

## **Decision 3/CP.13**

### **Development and transfer of technologies under the Subsidiary Body for Scientific and Technological Advice**

*The Conference of the Parties,*

*Recalling* chapter 34 of Agenda 21 and the relevant provisions of the programme for the further implementation of Agenda 21 on the transfer of environmentally sound technologies adopted by the United Nations General Assembly at its nineteenth special session,

*Recalling* the relevant provisions of the Convention, in particular Article 4, paragraphs 1, 3, 5, 7, 8 and 9, Article 9, paragraph 2(c), Article 11, paragraphs 1 and 5, and Article 12, paragraphs 3 and 4,

*Recalling* decisions 4/CP.7, 6/CP.10, 6/CP.11 and 3/CP.12,

*Welcoming* the progress of the work and achievements of the Expert Group on Technology Transfer since its inception in advancing and facilitating the implementation of the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention, and its related activities under the framework,

*Noting* the range of important actions and partnerships undertaken by Parties within and outside the framework of the Convention, which contribute to the development, transfer and deployment of environmentally sound technologies, including through joint research and development programmes,

*Noting with appreciation* the progress made by Parties included in Annex II to the Convention in establishing innovative financing partnerships such as the Global Energy Efficiency and Renewable Energy Fund and the European Union Energy Initiative,

*Further noting* the actions of Parties to contribute to addressing technology financing issues, through such vehicles as the Global Environment Facility, the Special Climate Change Fund, the Least Developed Countries Fund, the World Bank and the Climate Technology Initiative,

*Recognizing* that there is a crucial need to accelerate innovation in the development, deployment, adoption, diffusion and transfer of environmentally sound technologies among all Parties, and particularly from developed to developing countries, for both mitigation and adaptation,

*Emphasizing* that effective actions to address climate change require a broad portfolio of activities, including the widespread uptake of new and existing technologies and the creation of appropriate enabling environments,

*Recognizing* that close collaboration between government, industry and the research community, in particular through public–private partnerships, can stimulate the development of a wide range of mitigation and adaptation technologies and reduce their costs,

*Further recognizing* that the immediate and urgent delivery of technology development, deployment, diffusion and transfer to developing countries requires suitable responses, including a continued emphasis by all Parties, in particular Parties included in Annex I to the Convention, on enhancement of enabling environments, facilitating access to technology information and

capacity-building, identification of technology needs and innovative financing that mobilizes the vast resources of the private sector to supplement public finance sources where appropriate,

*Further recognizing* the importance of an effective institutional arrangement, access to financing and suitable indicators for monitoring and evaluating effectiveness to the development, deployment, diffusion and transfer of environmentally sound technologies to developing countries,

1. *Agrees* that the five themes listed in the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention (the technology transfer framework), as contained in the annex to decision 4/CP.7, and the structure, definitions and purpose of this framework, continue to provide a solid basis for enhancing the implementation of Article 4, paragraph 5, of the Convention;

2. *Adopts* the set of actions, for consideration by the Expert Group on Technology Transfer in formulating its future work programmes, as set out in the recommendations for enhancing the technology transfer framework contained in annex I to this decision, and agrees that these activities would complement the actions in the technology transfer framework;

3. *Agrees* to reconstitute the Expert Group on Technology Transfer for a further five years with the terms of reference contained in annex II to this decision, and to review, at its eighteenth session, progress of the work and terms of reference, including, if appropriate, the status and continuation of this body; and agrees that the Expert Group on Technology Transfer should provide advice as appropriate to the subsidiary bodies;

4. *Decides* that the Expert Group on Technology Transfer shall constitute an effective institutional arrangement within the Convention, which is necessary to support action, and that this Expert Group on Technology Transfer shall have particular regard to the need for, and in accordance with the terms of reference referred to in paragraph 3 above:

- (a) Adequate and timely financial support, within the context of Article 4, paragraph 5, of the Convention;
- (b) Development of performance indicators, for monitoring and evaluating effectiveness;

5. *Requests* the Expert Group on Technology Transfer, with the support of the secretariat, to consult with relevant international organizations, and solicit information on their abilities to support certain activities identified in the set of actions contained in annex I to this decision, and to report on its findings to the subsidiary bodies at their twenty-ninth session;

6. *Invites* each of the relevant international organizations and initiatives referred to in paragraph 5 above to closely coordinate with the Expert Group on Technology Transfer on the relevant activities in its work programme;

7. *Urges* Parties not included in Annex I to the Convention to use the United Nations Development Programme handbook *Conducting Technology Needs Assessments for Climate Change*<sup>1</sup> when undertaking their technology needs assessments;

8. *Urges* Parties included in Annex II to the Convention, relevant intergovernmental organizations, international financial institutions, and other partnerships and initiatives, including the Climate Technology Initiative, in a position to do so, to provide technical and financial support to Parties

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<sup>1</sup> <[http://ttclear.unfccc.int/ttclear/pdf/TNA/UNDP/TNA%20Handbook\\_Final%20version.pdf](http://ttclear.unfccc.int/ttclear/pdf/TNA/UNDP/TNA%20Handbook_Final%20version.pdf)>.

not included in Annex I to the Convention and countries with economies in transition to help them conduct, identify and implement prioritized technology needs;

9. *Requests* the secretariat to facilitate the implementation of the actions for enhancing the technology transfer framework further elaborated in annex I to this decision, and of the work of the Expert Group on Technology Transfer in cooperation with Parties, the Global Environment Facility and other relevant international organizations, initiatives and intergovernmental processes;

10. *Requests* the Global Environment Facility, as an operating entity of the financial mechanism of the Convention, to provide financial support for the technology transfer framework, and complemented by the set of actions referred to in paragraph 2 above.

## ANNEX I

**Recommendations for enhancing the implementation of the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention<sup>1</sup>**

1. The purpose of these recommendations is to identify specific actions for enhancing the implementation of the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention (referred to hereinafter as the technology transfer framework), as requested by decision 6/CP.10.
2. These recommendations were developed taking into account:
  - (a) Experience and lessons learned from the implementation of the technology transfer framework since its adoption by the Conference of the Parties (COP) at its seventh session (decision 4/CP.7);
  - (b) Progress of the work and the activities completed since the inception of the Expert Group on Technology Transfer (EGTT) in 2001 and the outcomes of its deliberations;
  - (c) Relevant ongoing activities relating to the development and transfer of technologies of various national, regional and international organizations, governments and the private sector, in different forums;
  - (d) That the work on advancing the uptake of mitigation technologies and technologies for adaptation to climate change involves cross-cutting activities and, as such, normally is implemented under multiple key themes of the framework;
  - (e) The need to promote a broader involvement of Parties, international organizations, the private sector (in particular business and industry as well as the financial community), technology practitioners and other relevant stakeholders for the implementation of the framework;
  - (f) The need to strike a balance between strategic and operational actions, whereby the strategic actions are implemented by organizing technical workshops and expert meetings. These lead to the preparation of reports, technical papers and other tools on specific issues that provide technical inputs and operational guidance for the benefit of Parties and other users.
3. The existing structure, five thematic areas of work, definitions and purpose under the current technology transfer framework contained in the annex to decision 4/CP.7 continue to provide a solid basis for implementing the provisions of Article 4, paragraph 5, of the Convention.
4. Given that technology is one of the important elements for discussions on the future long-term cooperative actions to address climate change by enhancing implementation of the Convention, the suggested time frame for the implementation of the actions outlined below is for the medium term covering the period between 2007 and 2012 or until the eighteenth session of the COP. These recommendations address the medium-term work, pending the results of the dialogue on long-term cooperative action to address climate change by enhancing implementation of the Convention (Dialogue).

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<sup>1</sup> The recommendations presented here are reproduced as included in document FCCC/SBSTA/2006/5, annex II.

5. The implementation of the recommendations presented below should be considered as further actions for enhancing the implementation of Article 4, paragraph 5, of the Convention set out in the technology transfer framework.
6. Work developed under each key theme has evolved to a more practical and results-oriented level and should continue to do so by promoting actions in specific sectors and regions. Therefore, there is a need to undertake periodic review on implementation of the framework and its effectiveness.
7. The EGTT recognized the need for financial and technical support to enable the Parties not included in the Annex I to the Convention (non-Annex I Parties) to implement the recommended actions below. In this regard Parties, when considering these recommendations, may wish to consider ways and means to address these needs.

#### **A. Technology needs and needs assessments**

8. Most of the actions described in paragraph 7 of the technology transfer framework under the theme of technology needs assessments (TNAs) have been completed as described in paragraphs 16–21 of the main part of document FCCC/SBSTA/2006/INF.4. Based on lessons learned in the implementation of this theme, the following recommendations are made to enhance the implementation of this key theme:
  - (a) To encourage non-Annex I Parties that have not yet undertaken or completed their TNAs, to do so as soon as possible, and to make these reports available to the secretariat for posting on the UNFCCC technology information clearing house (TT:CLEAR);
  - (b) To encourage non-Annex I Parties to provide updated information on their technology needs in their second national communications and other national reports and to make them available to the secretariat;
  - (c) To request the secretariat to prepare a synthesis report(s) of the information mentioned in paragraph 8 (a) and (b) above for consideration by the Subsidiary Body for Scientific and Technological Advice (SBSTA);
  - (d) To request the Global Environment Facility (GEF) and its implementing agencies, other intergovernmental organizations (IGOs), international financial institutions (IFIs), the Climate Technology Initiative (CTI) and Parties that are in a position to do so to provide capacity-building for non-Annex I Parties to conduct, report and use TNAs;
  - (e) To request that, not later than 2009:
    - (i) The secretariat, in collaboration with the EGTT, United Nations Development Programme (UNDP), United Nations Environment Programme (UNEP) and CTI, update the handbook for conducting technology needs assessments before SBSTA 28, taking into account experience and lessons learned indicated in the synthesis report on technology needs prepared by the secretariat,<sup>2</sup> cross-referencing the work on innovative financing and technologies for adaptation, and widely disseminate the updated handbook to Parties through TT:CLEAR and other means in different United Nations official languages;
    - (ii) The EGTT, with the assistance of the secretariat, prepare a report on good practices for conducting TNAs in collaboration with UNDP, UNEP and CTI for

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<sup>2</sup> FCCC/SBSTA/2006/INF.1.

consideration by the SBSTA, and disseminate it to relevant stakeholders and practitioners;

- (f) To make available the results of TNAs, related experience and lessons learned in the TNA process and share them at national and international levels through the network of technology information centres, including through the organization of workshops by the secretariat in collaboration with relevant international organizations and initiatives;
- (g) The secretariat to provide regular updates on progress of the implementation of the results of technology needs identified in TNAs, including success stories for consideration by the SBSTA at its subsequent sessions, as appropriate;
- (h) To invite the EGTT to cooperate closely with the other expert groups constituted under the Convention, especially the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention, with the aim of coordinating activities relating to TNAs and national communications.

9. The main actors in this work are Parties, the EGTT, the secretariat, the GEF and its implementing agencies, and CTI in collaboration with relevant national and international stakeholders.

### **B. Technology information**

10. The actions identified under this theme of the technology transfer framework were mainly completed as described in paragraphs 27–34 of the main part of document FCCC/SBSTA/2006/INF.4. Based on lessons learned in the implementation of this theme, the following recommendations are made to enhance the implementation of this theme:

- (a) To maintain, update and further develop TT:CLEAR taking into account relevant conclusions of the SBSTA at its twentieth session and client surveys;
- (b) To enhance outreach activities by the secretariat to increase the numbers of users of TT:CLEAR from developing country Parties;
- (c) To share experiences and lessons learned among national and regional experts participating in the pilot project on TT:CLEAR networking through the organization of expert meetings;
- (d) To use TT:CLEAR and the network of technology centres developed through the current pilot programme to share technical information on technologies for adaptation and the associated capacity-building to meet the needs for technology information of vulnerable communities and countries;
- (e) To encourage the link between TT:CLEAR and technical information providers, including the private sector, in technology transfer;
- (f) To encourage the organization of training programmes and workshops by the secretariat in collaboration with the EGTT and relevant national, regional and international organizations for building capacity of experts in the creation of their national technology information databases;
- (g) To encourage Parties to provide more information on their technology transfer activities in their national communications.

11. The main actors in the work are the secretariat, Parties and their national and regional technology centres, relevant international organizations and the private sector.

### **C. Enabling environments for technology transfer**

12. Based on lessons learned in the implementation of this theme, the following recommendations are made to enhance the implementation of this theme:

- (a) Preparation of technical studies on barriers, good practice and recommendations for developing enhanced enabling environments that accelerate the development and transfer of environmentally sound technologies (ESTs), at the national and international levels. This should cover related trade issues, technology development (including endogenous technologies), and technology push and market pull factors for consideration by the SBSTA;
- (b) To encourage Parties to avoid trade and intellectual property rights policies, or lack thereof, restricting transfer of technology;
- (c) To encourage Parties to make available through TT:CLEAR and other means information on ongoing and planned publicly funded research and development (R&D) activities where there are opportunities for non-Annex I Parties to jointly participate in such R&D activities, along with the terms under which Parties might participate and the steps necessary to establish such a collaborative relationship;
- (d) Close cooperation with public and/or private partnerships that focus on improving enabling environments for accelerating development and transfer of ESTs and which have been established in the context of processes such as the World Summit on Sustainable Development, the Group of Eight and other initiatives (Renewable Energy and Energy Efficiency Partnership, Johannesburg Renewable Energy Coalition, Carbon Sequestration Leadership Forum, and CTI and other International Energy Agency implementing agreements);
- (e) To encourage Parties to integrate the objective of technology transfer into national policies and to enhance the interaction between governments and the private sector.

13. The main actors in this work are Parties, the secretariat, relevant international organizations and initiatives, and the private sector.

### **D. Capacity-building for technology transfer**

14. Activities relating to capacity-building are also listed under other sections of these recommendations. Based on lessons learned in the implementation of this theme, the following additional recommendations are made to enhance its implementation:

- (a) To encourage Parties, IGOs and other institutions and initiatives to support capacity-building activities to promote technology transfer, at the regional and national levels, that are targeted to respond to priority capacity-building needs identified by non-Annex I Parties in their TNAs, national communications and other national reports;
- (b) The secretariat to prepare periodic reports containing information relating to capacity-building needs for the development, deployment, application and transfer of technologies from all relevant sources of information, such as national communications of non-Annex I Parties, reports of TNAs and National Capacity Self Assessment reports supported by the GEF for consideration by the SBSTA. To the extent possible those reports could identify key elements for successful capacity-building for development and transfer of technologies for both mitigation of and adaptation to climate change;

- (c) To increase communication and outreach with regard to technology transfer activities under the framework and the work of the EGTT by creating learning centres (tools and methods) and partnership fairs (opportunities) in parallel with subsidiary body sessions and side events;
- (d) To encourage Parties, IGOs and other institutions and initiatives to organize training in management and operation of climate technologies; to establish/strengthen relevant organizations/institutions in developing countries for capacity-building for technology transfer; to establish/strengthen training, expert exchange, scholarship and cooperative research programmes in relevant national and regional institutions in developing countries for transfer of ESTs; and to organize seminars/training/workshops on capacity-building for adapting to the adverse effects of climate change.

15. The main actors in this work are Parties, the EGTT, the secretariat, the GEF and its implementing agencies, and relevant international organizations and initiatives.

### **E. Mechanisms for technology transfer**

16. The following recommendations were built on ongoing work of the secretariat and the EGTT in different areas for enhancing the implementation of the technology transfer framework.

#### **1. Innovative options for financing the development and transfer of technologies**

17. The recommended actions in this area are:

- (a) To invite relevant international organizations and initiatives, such as CTI, in collaboration with the EGTT and the secretariat, to provide technical support through coaching and training programmes for project developers in developing countries and countries with economies in transition to transform project ideas resulting from TNAs into project proposals that meet the standards of the international financial providers;
- (b) To disseminate the new UNFCCC practitioners' guide for preparing and presenting project financing proposals to Parties and practitioners in developing countries and encourage its use in the activity mentioned in paragraph 14 (a) above, and post the guide on TT:CLEAR for distance learning purposes and for use in other training programmes;
- (c) To request the EGTT to promote success stories in financing technology transfer projects in emerging markets involving the private sector, including carbon funds, corporate-social-responsible, and triple-bottom-line<sup>3</sup> investors;
- (d) To encourage Parties to create an environment conducive for private sector investments by providing such incentives as greater access to multilateral sources and other sources of targeted "smart" subsidy schemes that trigger private sector co-financing;
- (e) To encourage Parties to scale up and/or develop innovative public-private financing mechanisms and instruments that increase access to developing country project and business developers that play a role in the transfer, development and/or deployment of ESTs, focusing in particular on:
  - (i) Increasing the potential of public funds to leverage private sector capital;

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<sup>3</sup> These measure the economic, social and environmental benefits of a project.



- (ii) Increasing options for sharing and mitigating risks and for bundling small-scale projects to bridge the distance between large-scale infrastructure investors and small-scale project and business developers;
- (iii) The role that small and medium-sized enterprises, particularly joint ventures, can play in transferring, deploying and developing ESTs;
- (iv) Providing options for integrated technical assistance to help developing, managing and operating EST projects and businesses;
- (v) Promoting enterprise and corporate-driven R&D, innovation, and cost reductions;
- (f) To strengthen the dialogue between government and industry to encourage discussions between relevant ministries in recipient countries and private sector organizations to enhance the investment conditions for climate-friendly technologies;
- (g) For the EGTT to report regularly on the implementation of the mechanisms for technology transfer as spelled out in this document on a regular basis with a view to recommending new approaches that will further enhance technology transfer.

18. The main actors in this work are Parties, the EGTT, the secretariat, the GEF and its implementing agencies, public and private funding institutions, relevant international organizations and initiatives, and the private sector.

2. Possible ways and means to enhance cooperation with relevant conventions and intergovernmental processes

19. The recommended actions in this area are:

- (a) For the EGTT to explore possible ways to enhance cooperation between the UNFCCC and other multilateral environmental agreements (MEAs), through, inter alia, the Joint Liaison Group and other intergovernmental processes, in particular the Commission on Sustainable Development, where technology transfer is considered. It may be useful to look beyond MEAs and look for synergy with other intergovernmental processes (e.g. World Trade Organization, International Energy Agency (IEA), the Group of Eight and Asia-Pacific Economic Cooperation);
- (b) For the UNFCCC to be proactive in sharing information and experiences relating to the transfer of technologies, in particular for adaptation;
- (c) For the COP to encourage Parties, when formulating climate change strategies, programmes and projects, to take into consideration objectives of other MEAs;
- (d) Identification of areas for potential cooperation and formulation of clear objectives for this cooperation.

20. The main actors in this work are Parties, the EGTT, the secretariat, and relevant international organizations and processes.

3. Promotion of endogenous development of technology through provision of financial resources and joint research and development

21. The recommended actions in this area are:
- (a) To invite non-Annex I Parties to provide information on barriers encountered in the development of endogenous technologies, and to invite Parties to share good experiences in the promotion of endogenous technologies in non-Annex I Parties;
  - (b) To consider options for encouraging the setting up of institutions such as national systems of innovation that could lead to the endogenous development of technologies in developing countries and countries with economies in transition;
  - (c) To share lessons learned in endogenous technology development through TT:CLEAR;
  - (d) To report regularly to the SBSTA on endogenous technology development and seek further guidance from the SBSTA and the COP.
22. The main actors in this work are Parties, the EGTT and the secretariat.

4. Promotion of collaborative research and development on technologies

23. The recommended actions in this area are:
- (a) To provide guidance for TNA reporting on joint R&D needs and use of information in the national communications and TNAs to identify needs and opportunities for R&D;
  - (b) To provide opportunities for reporting joint R&D agreements, including voluntary agreements, on TT:CLEAR;
  - (c) To invite relevant intergovernmental organizations (e.g. Intergovernmental Panel on Climate Change, UNDP, UNEP, United Nations International Development Organization, Food and Agriculture Organization of the United Nations) and international organizations (e.g. IEA) to provide information on supported R&D activities relating to climate change;
  - (d) To consider options for promoting regional research platforms, making use of existing networks of centres of excellence, where possible;
  - (e) To prepare periodic stocktaking papers on status, opportunities and needs for further R&D;
  - (f) To invite governments to encourage academia and industry to develop research programmes to address climate-friendly technologies and to promote investment in climate change.

5. The Expert Group on Technology Transfer

24. The COP may wish to take into account the work of the EGTT and the recommendations contained in this document when reviewing the EGTT at its twelfth session.

## ANNEX II

**Terms of reference of the Expert Group on Technology Transfer**1. Objectives

1. The Expert Group on Technology Transfer shall have the objectives of enhancing the implementation of Article 4, paragraph 5, of the Convention and advancing the development and transfer of technology activities under the Convention.
2. The Expert Group on Technology Transfer shall have the objectives of enhancing the implementation of the Convention provisions relevant to advancing the development, deployment, adoption, diffusion and transfer of environmentally sound technologies to developing countries, taking into consideration differences in accessing and applying technologies for mitigation and adaptation.

2. Functions

3. The Expert Group on Technology Transfer shall:
  - (a) Analyse and identify ways to facilitate and advance the development and transfer of technology activities, including those identified in the technology transfer framework and in annex I to this decision, and make recommendations for consideration, as appropriate, by the Subsidiary Body for Scientific and Technological Advice (SBSTA) and the Subsidiary Body for Implementation (SBI) to inform subsequent decisions by the Conference of the Parties (COP) related to the development and transfer of technology;
  - (b) Help implement results of technology needs assessments (TNAs), building on the work of the Expert Group on Technology Transfer on innovative financing and on other areas of the technology transfer framework;
  - (c) Develop, as part of its future programme of work, a set of performance indicators that could be used by the SBI to regularly monitor and evaluate the effectiveness of the implementation of the technology transfer framework, complemented with the set of actions set out in annex I, as referred to in paragraph 2 of this decision, considering the related work under the Convention and other relevant bodies. The terms of reference should be available for consideration by the SBSTA at its twenty-eighth session, with a view to proposing a draft report with a set of performance indicators to the subsidiary bodies for consideration at their thirtieth sessions, in order to make its final report available to the COP at its fifteenth session;
  - (d) Propose a two-year rolling programme of work, for endorsement by the twenty-eighth session of the subsidiary bodies following consideration by a joint contact group of the subsidiary bodies,<sup>1</sup> to facilitate the development, deployment, diffusion and transfer of technologies under the Convention. The setting of this programme of work should:
    - (i) For the medium-term perspective (2008–2012), take into account the set of actions for enhancing the implementation of the technology transfer framework complemented by annex I to this decision; this work in the context of the Convention could benefit from becoming more focused on practical actions, in particular with special attention given to the African region, small island developing States and least developed countries. It should also:

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<sup>1</sup> To be established at the plenary of the SBSTA and at the plenary of the SBI.

- a. Accelerate the implementation of development and transfer of technologies through practical actions that fully consider sectoral and regional aspects and differences in national circumstances;
  - b. Consider a better integration of national strategies for sustainable development and poverty reduction, based on the United Nations Millennium Development Goals;
- (ii) For the long-term perspective beyond 2012: develop the terms of reference for elaborating a strategy paper, including sectoral approaches, that could draw on the work undertaken by Parties in processes under the Convention and outside the Convention as well as the results of work undertaken by other international organizations and forums. The strategy paper should be considered by the subsidiary bodies at their thirtieth sessions;
- (e) Assess strategies and innovative funding opportunities or incentives for engaging the participation of relevant stakeholders and partner organizations, and make recommendations to the subsidiary bodies for their consideration;
- (f) As part of its first two-year programme of work (2008–2009):
  - (i) Identify and analyse existing and potential new financing resources and relevant vehicles in supporting the development, deployment, diffusion and transfer of environmentally sound technologies in developing countries;
  - (ii) Based on the above identification and analysis, assess gaps and barriers to the use of and access to these financing resources in order to provide information to Parties to consider their adequacy and predictability;
- (g) In this identification, analysis and assessment, take into account the checklist of the following criteria:
  - (i) The implementation of TNAs;
  - (ii) Joint research and development programmes and activities in the development of new technologies;
  - (iii) Demonstration projects;
  - (iv) Enabling environments for technology transfer;
  - (v) Incentives for the private sector;
  - (vi) North–South and South–South cooperation;
  - (vii) Endogenous capacities and technologies;
  - (viii) Issues associated with meeting the agreed full incremental costs;
  - (ix) Licences to support the access to and transfer of low-carbon technologies and know-how;
  - (x) A window for, inter alia, a venture capital fund related to or possibly located in a multilateral financial institution;

- (h) Make available the terms of reference for this work (identification, analysis and assessment) for consideration by the SBSTA at its twenty-eighth session, with a view to proposing a report with recommendations on future financing options necessary for enhancing the implementation of the Convention with regard to the technology transfer framework complemented with the set of actions set out in annex I, as referred to in paragraph 2 of this decision, to the subsidiary bodies at their thirtieth sessions. The criteria in the checklist shall be regarded as important points for attention in funding through existing vehicles and new initiatives;
- (i) The Expert Group on Technology Transfer, with the assistance of the UNFCCC secretariat, should communicate the results of this work broadly, including to appropriate intergovernmental bodies and international financial institutions.

### 3. Membership

4. The Expert Group on Technology Transfer shall comprise 19 experts, as follows:
  - (a) Three members from each of the regions of the Parties not included in Annex I to the Convention (non-Annex I Parties), namely Africa, Asia and the Pacific, and Latin America and the Caribbean;
  - (b) One member from the small island developing States;
  - (c) Eight members from Parties included in Annex I to the Convention (Annex I Parties);
  - (d) One member from other non-Annex I Parties.
5. In addition, four resource persons may be invited, who represent relevant international organizations and initiatives (e.g. the GEF, the United Nations Development Programme, the African Development Bank, the Food and Agriculture Organization of the United Nations, the Asian Development Bank, the United Nations Environment Programme, the United Nations Industrial Development Organization, the World Bank, the International Energy Agency and Climate Technology Initiative). The Expert Group on Technology Transfer will proactively engage with these organizations and initiatives. If needed, the group may invite resource persons from other relevant organizations on an issue-oriented basis.
6. The members of the Expert Group on Technology Transfer shall be nominated by Parties for a period of two years and be eligible to serve two consecutive terms. Half of the members of the expert group nominated initially shall serve for a period of three years, taking into account the need to maintain the overall balance of the group. Every year thereafter, half of the members shall be nominated for a period of two years. Appointment pursuant to paragraph 7 below shall count as one term. The members shall remain in office until their successors are nominated. The resource persons from four relevant international organizations and initiatives shall serve on an issue-oriented basis.
7. If a member of the Expert Group on Technology Transfer resigns or is otherwise unable to complete the assigned term of office or to perform the functions of that office, the secretariat may, depending on the proximity of the next session of the COP, request the group that had nominated the member to nominate another member to replace the said member for the remainder of that member's mandate. In such a case, the secretariat shall take into account any views expressed by the group that had nominated the member.

8. The Expert Group on Technology Transfer shall elect annually a Chair and a Vice-Chair from among its members, with one being a member from an Annex I Party and the other being a member from a non-Annex I Party. The positions of Chair and Vice-Chair shall alternate annually between a member from an Annex I Party and a member from a non-Annex I Party.

9. The members of the Expert Group on Technology Transfer shall serve in their personal capacity and shall have expertise in the five thematic areas of the current framework and/or in any of the following areas, inter alia: greenhouse gas mitigation and technologies for adaptation; technology assessments; information technology; resource economics including public and private financing instruments; and social development.

#### 4. Organization of work

10. The Expert Group on Technology Transfer shall provide a report at each session of the subsidiary bodies with a view to seeking guidance for further actions.

11. The secretariat shall facilitate the organization of meetings of the group and shall prepare its reports and recommendations to the SBSTA and SBI and at their subsequent sessions.

12. The Expert Group on Technology Transfer shall meet twice a year in conjunction with the sessions of the subsidiary bodies, and resources permitting, additional meetings may be organized.

*8<sup>th</sup> plenary meeting  
14–15 December 2007*