



United Nations

FCCC/SB/2012/2



Framework Convention on  
Climate Change

Distr.: General  
18 October 2012

Original: English

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## **Subsidiary Body for Scientific and Technological Advice**

**Thirty-seventh session**

**Doha, 26 November to 1 December 2012**

Item 6 of the provisional agenda

**Development and transfer of technologies and report of the Technology Executive Committee**

## **Subsidiary Body for Implementation**

**Thirty-seventh session**

**Doha, 26 November to 1 December 2012**

Item 13(a) of the provisional agenda

**Development and transfer of technologies**

**Report of the Technology Executive Committee**

# **Report on activities and performance of the Technology Executive Committee for 2012\***

### *Summary*

This note reports on the activities and performance of the Technology Executive Committee for 2012, conducted in accordance with its rolling workplan for 2012–2013. It covers the outcomes of its 2<sup>nd</sup>, 3<sup>rd</sup> and 4<sup>th</sup> meetings, held in 2012, including key messages on enabling environments for and barriers to technology development and transfer, technology road maps and technology needs assessments.

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\* This document was submitted after the due date owing to the timing of the meeting of the Technology Executive Committee and the need for further consultations.

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## **I. Introduction**

### **A. Mandate**

1. The Conference of the Parties (COP), by decision 1/CP.16, paragraph 126, decided that the Technology Executive Committee (TEC) and the Climate Technology Centre and Network (CTCN) shall report, on an interim basis<sup>1</sup> and without prejudice to the relationship between the TEC and the CTCN, to the COP, through the subsidiary bodies, on their respective activities and on the performance of their respective functions.

### **B. Scope of the note**

2. This note contains information on the activities and performance of the TEC for 2012, conducted in accordance with its rolling workplan for 2012–2013. It covers the outcomes of its 2<sup>nd</sup> meeting, held on 15–17 February 2012 in Bonn, Germany, its 3<sup>rd</sup> meeting, held on 28–29 May 2012 in Bonn and its 4<sup>th</sup> meeting, held on 6–8 September 2012 in Bangkok, Thailand.

### **C. Possible action by the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation**

3. The Subsidiary Body for Scientific and Technological Advice (SBSTA) and the Subsidiary Body for Implementation (SBI) may wish to consider the report of the TEC and recommend any guidance for further action by the TEC for consideration and adoption by the COP at its eighteenth session, as appropriate.

## **II. Membership of the Technology Executive Committee**

4. The following changes in the membership of the TEC were proposed during 2012 and have taken effect:

(a) After the 1<sup>st</sup> meeting of the TEC: replacement of Mr. Niyazi Ilter (Turkey) by Mr. Sufyan Emiroglu (Turkey);

(b) After the 3<sup>rd</sup> meeting of the TEC: replacement of Mr. Mohamed Issa Hamad Abushahab (United Arab Emirates) by Mr. Majid Hasan Al Suwaidi (United Arab Emirates);

(c) After the 4<sup>th</sup> meeting of the TEC: replacement of Mr. Brendan Morling (Australia) by Ms. Margaret Ann Sewell (Australia).

## **III. Implementation of the rolling workplan of the Technology Executive Committee for 2012–2013**

5. The COP, by decision 4/CP.17, adopted the modalities and rules of procedure of the TEC with the provision that the TEC shall agree on its workplan and that the workplan shall be kept under regular review by the TEC. By the same decision, the COP requested

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<sup>1</sup> Until there is a decision on the issues contained in decision 1/CP.16, paragraph 128(a).

the TEC to make available its workplan for 2012–2013 to the subsidiary bodies at their thirty-sixth sessions.

6. The TEC, in response to this request by the COP, elaborated its rolling workplan for 2012–2013 at its 2<sup>nd</sup> meeting and made it available in its report to the subsidiary bodies at their thirty-sixth sessions.<sup>2</sup>

7. The workplan of the TEC for 2012–2013 aims to support Parties in enhancing and/or scaling up technology transfer activities under the Convention. The workplan should be considered as a rolling workplan, in order to allow for flexibility and adjustments in response to guidance from the COP.

8. To prioritize its work, the TEC has structured its workplan around three areas: activities mandated at the United Nations Climate Change Conference held in Durban, South Africa, in 2011, short-term activities (to begin in 2012) and medium-term activities (to begin in 2013).

9. The TEC wishes to express its appreciation for the financial contributions provided by Parties, which have enabled it to initiate and advance the implementation of its workplan for 2012–2013.

## **A. Activities mandated at the United Nations Climate Change Conference held in Durban, South Africa, in 2011**

### **1. Nominate Technology Executive Committee members for an evaluation panel for supporting the selection of the host of the Climate Technology Centre**

10. In order to make the Technology Mechanism fully operational in 2012, the COP, by decision 2/CP.17, adopted the terms of reference of the CTCN, the criteria to be used to evaluate and select the host of the CTCN and information required to be included in the proposals. By the same decision, the COP decided that the selection process for the host of the Climate Technology Centre (CTC) should be launched upon the conclusion of the seventeenth session of the COP.

11. In response to decision 2/CP.17, paragraph 137(d), the TEC nominated the members of the evaluation panel from within its membership on 17 February 2012, during the 2<sup>nd</sup> meeting of the TEC. The evaluation panel consisted of three members from Parties included in Annex I to the Convention and three from Parties not included in Annex I to the Convention (non-Annex I Parties). The evaluation panel, with the support of the TEC, agreed not to disclose its membership in the interests of safeguarding the neutrality and integrity of the selection process.

### **2. Elaborate modalities on linkages with other relevant institutional arrangements**

12. The TEC, in response to a request by the COP, further elaborated its modalities on linkages with other institutional arrangements under and outside the Convention at its 2<sup>nd</sup> meeting.<sup>3</sup> In doing so, the TEC drew upon relevant decisions related to institutional arrangements adopted by the COP at its seventeenth session. The modalities on linkages further built upon chapters V and VI of the modalities of the TEC adopted by decision 4/CP.17 and the discussions that took place at its 1<sup>st</sup> meeting, when the TEC elaborated its overall modalities.

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<sup>2</sup> FCCC/SB/2012/1, annex I.

<sup>3</sup> Decision 4/CP.17, paragraph 6.

13. The TEC recommends that chapters I and II of the proposed modalities on linkages contained in the annex, upon approval by the COP, should replace chapters V and VI, respectively, of the modalities of the TEC as adopted by decision 4/CP.17.

14. The modalities listed in the annex, paragraph 1, should be recognized as initial ideas, since the TEC has yet to consult with other relevant institutional arrangements under the Convention to seek their views on those approaches. In addition, the modalities listed in the annex, paragraph 3, may be utilized on an ad hoc and issue-oriented basis, as it relates to the rolling workplan of the TEC.

15. The SBI and the SBSTA, at their thirty-sixth sessions, noted that the TEC will consult with the relevant institutional arrangements, once they become operational, to seek their views and mutual agreement on the proposed linkage modalities. The SBI and the SBSTA also noted that the TEC will report on the results of its consultations with these relevant institutional arrangements on these modalities in its report on activities and performance for 2012, through the subsidiary bodies, for consideration by the COP at its eighteenth session.<sup>4</sup>

16. At its 3<sup>rd</sup> and 4<sup>th</sup> meetings, the TEC considered its strategy to consult with the relevant institutional arrangements under the Convention to seek their views on the proposed linkage modalities. In discussing such linkage modalities, the following issues were raised by members:

(a) The importance of linkages between the TEC and the CTCN, including through the cross participation of the Director of the CTC and the Chair of the TEC in the meetings of the respective bodies;

(b) The importance of establishing linkages between the TEC and the financial mechanism, the Standing Committee and the Adaptation Committee, including through exchanging information on linkages and synergies among the chairs of the constituted bodies;

(c) The linking modalities should be guided by the functions and the work programmes of the relevant bodies under the Convention.

17. The TEC agreed to invite the chairs of the relevant thematic bodies under the Convention to participate in the next meeting of the TEC. The Chair and the Vice-Chair of the TEC stand ready to participate in the meetings of other relevant thematic bodies under the Convention, if invited to do so.

## **B. Short-term activities (to begin in 2012)**

### **1. Prepare an inventory of the relevant work of the institutions that are active in the area of technology collaboration, with a view to informing the work of the Technology Executive Committee**

18. The COP, by decision 1/CP.16, requested the TEC, as one of its functions, to seek cooperation with relevant international technology initiatives, stakeholders and organizations, and to promote coherence and cooperation across technology activities, including activities under and outside the Convention.

19. The rolling workplan of the TEC for 2012–2013 includes the preparation of an inventory of the relevant work of institutions that are active in the area of technology collaboration, with a view to informing the work of the TEC.

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<sup>4</sup> FCCC/SBSTA/2012/2, paragraph 34.

20. The TEC, at its 3<sup>rd</sup> meeting, agreed to launch a call for inputs on activities undertaken by accredited observer organizations relevant to the TEC in performing its functions. Such inputs would assist the TEC in identifying possible partner organizations for undertaking any future collaborative activities.

21. As requested by the TEC, the secretariat issued a call for inputs through the technology information clearing house (TT:CLEAR) and invited interested organizations to provide their submissions by 31 July 2012.

22. The secretariat received submissions from 17 organizations in response to this call for inputs, including international organizations, United Nations agencies, research institutes, the private sector and non-governmental organizations (NGOs). Submissions were received from the following organizations: Asian Development Bank, Business Council for Sustainable Energy, Climate Alliance, Energy Research Centre of the Netherlands, Global Environment Facility (GEF), Global Carbon Capture and Storage Institute, International Centre for Trade and Sustainable Development, International Energy Agency, International Renewable Energy Agency, International Telecommunication Union, Young Volunteers for the Environment International, South Centre, Tsinghua University, Third World Network, United Nations Environment Programme (UNEP), World Business Council for Sustainable Development and World Intellectual Property Organization.

23. The submissions received and the synthesis of these submissions, including an inventory of the relevant work of institutions that are active in the area of technology collaboration, have been posted on TT:CLEAR.<sup>5,6</sup>

24. Information provided by the organizations in their submissions was in line with the six key elements of the modalities of the TEC adopted by decision 4/CP.17, as follows:

- (a) Analysis and synthesis;
- (b) Policy recommendations;
- (c) Facilitation and catalysing;
- (d) Linkage with other institutional arrangements;
- (e) Engagement of stakeholders;
- (f) Information and knowledge sharing.

25. The TEC, at its 4<sup>th</sup> meeting, considered the synthesis of submissions and agreed that the submissions showed that there are opportunities for collaboration between the TEC and other organizations and initiatives outside the Convention through expert groups, task forces and sharing of data, as well as delineating areas of competence and work by other organizations that the TEC need not duplicate.

26. The TEC, at its 3<sup>rd</sup> and 4<sup>th</sup> meetings, also considered possible linkages between its workplan and the workplans of other bodies under the Convention, including the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention and the Least Developed Countries Expert Group, with a view to identifying areas for possible collaboration.

27. The TEC agreed that the following activities should be undertaken in 2013:

- (a) Identify areas for collaboration between the TEC and organizations outside the Convention based upon the activities contained in the workplan of the TEC and the

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<sup>5</sup> Available at <<http://unfccc.int/ttclear/jsp/CallInputs/Actions.jsp>>.

<sup>6</sup> Available at <<http://unfccc.int/ttclear/jsp/TEC/TEC4.jsp>>.

information provided by the organizations in their submissions, and establish contact with these organizations;

(b) Issue a further call for inputs and encourage relevant organizations that have not done so to provide their submissions in response to this call, in particular regarding the gaps identified in the synthesis of submissions, with a view to enhancing the inventory of the relevant work of institutions that are active in the area of technology collaboration.

## **2. Review of technology needs from various sources**

28. The rolling workplan of the TEC includes an activity on the review of technology needs from various sources, with a view to strengthening the understanding of technology needs, to complement the processes for national communications, nationally appropriate mitigation actions (NAMAs) and national adaptation plans (NAPs), and to support the TEC in preparing its recommendations on guidance on policies and programmes.

29. At its 4<sup>th</sup> meeting, the TEC considered the experiences and lessons learned from the technology needs assessment (TNA) process, based upon the “Second synthesis report on technology needs identified by Parties not included in Annex I to the Convention”.<sup>7</sup> It further took note of a presentation by a representative of UNEP on the current status of the global TNA project implemented by UNEP and the UNEP Risoe Centre on behalf of the GEF, as part of the Poznan strategic programme on technology transfer.

### Key messages regarding technology needs assessments

30. The TEC discussed and analysed various issues relating to the TNA process and offers the following key messages:

(a) TNAs and their syntheses are a key information source for the work of the TEC on the prioritization of activities under the Technology Mechanism, and could be a rich source of information for governments, business and other stakeholders;

(b) Development and implementation of TNAs should continue and become integrated with other UNFCCC related processes, including NAMAs and NAPs;

(c) TNAs could be instrumental to supporting national planning and other development processes and tools;

(d) There is a need to engage financial and business communities and funding sources under and outside the Convention to facilitate the implementation of the TNA outcomes.

## **3. Organize thematic dialogues in order to seek cooperation with other relevant technology initiatives, stakeholders and organizations**

31. The TEC convened a thematic dialogue on enabling environments for and barriers to technology development and transfer, with presentations and discussions with experts and representatives of various stakeholders, including international organizations, United Nations agencies, research institutes, the private sector and NGOs. The dialogues were organized in conjunction with its 3<sup>rd</sup> and 4<sup>th</sup> meetings. The dialogue provided for extensive consultations on relevant issues.

32. The TEC, at its 3<sup>rd</sup> meeting, agreed to launch a call for inputs on ways to promote enabling environments and to address barriers to technology development and transfer, including on the role that the TEC could possibly play in this area of work.

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<sup>7</sup> FCCC/SBSTA/2009/INF.1.

33. As requested by the TEC, the secretariat issued a call for inputs through TT:CLEAR and invited interested organizations to provide their submissions by 31 July 2012. The secretariat received submissions from the following 17 organizations in response to this call for inputs: Asian Development Bank, Brookings Institution, Business Council for Sustainable Energy, Climate Action Network International, Climate Investment Funds, Energy Research Centre of the Netherlands, Global Carbon Capture and Storage Institute, Indian Institute of Technology, Institute for Global Environmental Strategies, International Centre for Trade and Sustainable Development, International Renewable Energy Agency, Mary Robinson Foundation Climate Justice, South Centre, Third World Network, United Nations Development Programme, World Bank and World Business Council for Sustainable Development.

34. The submissions received and the synthesis of these submissions have been posted on TT:CLEAR.<sup>8,9</sup>

Key messages on enabling environments for and barriers to technology development and transfer

35. The TEC discussed and analysed various issues relating to enabling environments and barriers based upon the information provided by experts during the thematic dialogues and panel discussions, interventions and submissions from observer organizations and relevant documents of the Expert Group on Technology Transfer, and offers the following key messages:

(a) Collaborative research, development and demonstration should be promoted as a way to share knowledge and experiences between developed and developing countries, including through North–South and South–South collaboration, in order to meet the technology needs of developing countries;

(b) Strengthening national systems of innovation provides an effective and efficient way to enhance national capacity to address climate change;

(c) The capacity of developing countries to assess, absorb and develop technologies needs to be enhanced to address their climate change related development challenges, taking into account their national circumstances and enabling factors;

(d) Activities related to the technology cycle,<sup>10</sup> policy, regulatory frameworks and financing should be considered in an integrated manner;

(e) Engaging the financial and business community, at both the international and the national level, at an early stage is crucial to enhance access to financing for the development and transfer of technologies;

(f) The Technology Mechanism and other international instruments used to promote technology transfer to developing countries should be clearly aligned with the enabling frameworks that facilitate private- and public-sector investment;

(g) Intellectual property rights were identified as an area for which more clarity would be needed on their role in the development and transfer of climate technologies based upon evidence on a case by case basis.

Follow-up activities

36. The TEC was of the view that issues encompassing enabling environments for and barriers to technology transfer are very wide in scope and have many dimensions and that

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<sup>8</sup> Available at <<http://unfccc.int/ttclear/jsp/CallInputs/EE.jsp>>.

<sup>9</sup> Available at <<http://unfccc.int/ttclear/jsp/TEC/TEC4.jsp>>.

<sup>10</sup> As defined in decision 1/CP.16.



further work would be required to inform deliberation among the TEC members on this matter. The output of this work should contribute to and/or inform the deliberation and decision-making among Parties on technology-related matters under the Convention.

37. The TEC agreed that the following activities should be undertaken in 2013:

- (a) Continue the dialogue with relevant stakeholders on this matter, with a view to broadening the scope of engagement;
- (b) Further mobilize support and seek further inputs from relevant stakeholders through issuing another call for inputs;
- (c) Undertake further comprehensive analysis of the information generated from various sources, including presentations and discussions that took place during the dialogue and the submissions from relevant stakeholders in response to the call for inputs on this matter;
- (d) Organize workshops on specific issues to enable in-depth discussion, with a view to elaborating on strategic and policy advice on ways to address those issues;
- (e) Explore the possibility of developing a technical paper on enabling environments.

#### 4. Prepare an inventory of existing technology road maps

38. The main objective of the TEC in the area of technology road maps is to catalyse the development and use of technology road maps by Parties, in particular developing country Parties, in the context of addressing climate change.

39. The TEC considered the issue of technology road maps at its 3<sup>rd</sup> and 4<sup>th</sup> meetings. The TEC discussed the tasks of developing an inventory of technology road maps and preparing a background paper on the review of technology road maps. To facilitate its work, the TEC called for inputs regarding technology road maps developed by relevant organizations.

40. As requested by the TEC, the secretariat issued a call for inputs through TT:CLEAR and invited interested organizations to provide their submissions by 31 July 2012. The secretariat received submissions from the following seven organizations in response to this call for inputs: Asian Development Bank, Business Council for Sustainable Energy, International Council of Chemical Associations, International Renewable Energy Agency, Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH, Global Carbon Capture and Storage Institute and World Business Council for Sustainable Development.

41. The submissions received have been posted on TT:CLEAR.<sup>11</sup>

##### Key messages on technology road maps

42. From the discussions, the TEC is in a position to deliver the following key messages regarding technology road maps:

- (a) Technology road maps provide a coherent basis for international and/or national policies to support enhanced action on development and transfer of technologies to address climate change;
- (b) Technology road maps can complement efforts and actions undertaken by various stakeholders at the international and the national levels, including TNAs, NAMAs and NAPs, and help to build the confidence of stakeholders who need to be engaged from an early stage.

<sup>11</sup> Available at <<http://unfccc.int/ttclear/jsp/CallInputs/RM.jsp>>.

Follow-up activities

43. The TEC agreed that the following activities should be undertaken in 2013:
- (a) Continue its efforts to improve the inventory of technology road maps in collaboration with relevant organizations;
  - (b) Complete the review of technology road maps contained in the inventory, with a view to identifying gaps and making recommendations to address these gaps;
  - (c) Organize an expert meeting with a focus on technology road maps in the area of adaptation to climate change;
  - (d) Develop practical guidelines and relevant tools for the development and use of technology road maps.

**5. Initiate the preparation of technical papers**

44. The rolling workplan of the TEC includes an activity to initiate the preparation of technical papers, with a view to providing guidance on policies and programmes.

45. The TEC, at its 3<sup>rd</sup> and 4<sup>th</sup> meetings, exchanged views on the preparation of its technical papers. The TEC agreed that the technical papers should be concise, policy-oriented, cost-effective and visually attractive, involve relevant stakeholders, build on existing knowledge and be useful for policymakers and the Technology Mechanism.

46. The TEC agreed that the second synthesis report on technology needs referred to in paragraph 29 above provides a fundamental basis for identifying possible topics for technical briefs to address the priority needs of non-Annex I Parties. The TEC agreed that the topics of the technical briefs should initially focus on technologies for adaptation and be targeted at policymakers as their primary audience.

47. The TEC agreed that the following activities should be undertaken in 2013:

- (a) Conduct a literature review focusing on key adaptation sectors and technologies for adaptation and their main barriers as identified in the second synthesis report on technology needs, with a view to providing input to the preparation of technical briefs;
- (b) Organize a workshop/expert meeting on barriers to and enabling factors for technologies for adaptation;
- (c) Organize a call for inputs from observers to support its deliberation on targeted issues;
- (d) Agree on specific topics of the technical briefs and prepare draft terms of reference.

**6. Develop an information platform for the Technology Executive Committee within the technology information clearing house (TT:CLEAR)**

48. The rolling workplan of the TEC includes an activity on the development of an information platform within TT:CLEAR for the TEC, with a view to disseminating the outcomes of the activities undertaken by the TEC and promoting information exchange among various stakeholders.

49. The TEC, at its 3<sup>rd</sup> meeting, discussed and agreed on the main features of the information platform and on the approach for developing the TEC information platform within TT:CLEAR.

50. TT:CLEAR is in the process of being upgraded in order to accommodate the key features of the new information platform as agreed by the TEC. The upgraded TT:CLEAR will be brought online before the eighteenth session of the COP and the new information platform with all the new features is expected to be completed and functioning by the thirty-eighth sessions of the subsidiary bodies.

## Annex

### **Modalities of the Technology Executive Committee on linkages with other relevant institutional arrangements under and outside the Convention**

#### **I. Linkages with other relevant institutional arrangements under the Convention**

1. For performing the functions as contained in decision 1/CP.16, paragraph 121, through close interaction with relevant thematic bodies established under the Convention with closely overlapping functions and/or possible activities, including, but not limited to, the advisory board of the Climate Technology Centre and Network, the Adaptation Committee, the board of the Green Climate Fund, the registry, the Least Developed Countries Expert Group, the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention, the Standing Committee and the Adaptation Fund Board, the modalities may include, inter alia, the following:

(a) Cross-participation in the meetings of the relevant bodies, including workshops and events organized by such bodies, or jointly organized, on issues of common interest;

(b) Inviting inputs to support the implementation of particular activities as specified in the workplan of the Technology Executive Committee (TEC);

(c) Providing inputs into other institutional arrangements under the Convention, in response to requests by the Conference of the Parties and/or invitations by respective institutions, to facilitate the work of those institutions;

(d) Knowledge and information sharing.

2. The modalities mentioned in paragraph 1 above should be recognized as initial ideas, since the TEC has yet to consult with other relevant institutional arrangements under the Convention to seek their views on these approaches.

#### **II. Linkages with other relevant institutional arrangements outside the Convention**

3. For performing the functions as contained in decision 1/CP.16, paragraph 121, through linkages with institutional arrangements outside the Convention, including, inter alia, public institutions, the business community, academia, international organizations, non-governmental organizations, networks and partnerships, the modalities may include, inter alia, the following:

(a) Offering participation in the TEC meetings as observers or expert advisers;

(b) Technical task forces, stakeholder forums and/or consultative groups;

(c) Bilateral cooperative arrangements;

(d) Web-based communication channels, including through the technology information clearing house (TT:CLEAR);

(e) The Chair and/or the Vice-Chair of the TEC, or any member designated by the TEC, representing the TEC at external meetings and reporting back to the TEC on those meetings.

4. The modalities mentioned in paragraph 3 above may be utilized on an ad hoc and issue-oriented basis, as it relates to the rolling workplan of the TEC.

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