



THE PRESIDENT
OF THE
GENERAL ASSEMBLY

26 March, 2014

Excellency,

I wish to make reference to paragraph 11 of General Assembly Resolution 68/210 in which Member States decided to hold a series of four, one-day structured dialogues to consider possible arrangements for a facilitation mechanism to promote the development, transfer and dissemination of clean and environmentally sound technologies.

I have the honour to inform you that the following dates have been reserved for the four, one-day structured dialogues:

Dialogues 1 and 2: Tuesday, 29 and Wednesday, 30 April (ECOSOC Chamber)

Dialogue 3: Wednesday, 4 June (ECOSOC Chamber)

Dialogue 4: Wednesday, 23 July (Trusteeship Council Chamber)

I am pleased to enclose herewith a concept note for the dialogues for your kind consideration. Additional information will be provided, in due course, on the programme for each dialogue.

Please accept, Excellency, the assurances of my highest consideration.

A handwritten signature in black ink, appearing to read "John W. Ashe".

John W. Ashe

To All Permanent Representatives
and Permanent Observers
to the United Nations

General Assembly Structured Dialogues
“Possible arrangements for a facilitation mechanism to promote the development, transfer and dissemination of clean and environmentally sound technologies”

Background

The Rio+20 Outcome Document *The Future We Want* (Resolution 66/288, July 2012) highlighted the central role of technological cooperation for the achievement of sustainable development and requested relevant United Nations agencies to identify options for “a facilitation mechanism that promotes the development, transfer and dissemination of clean and environmentally sound technologies by, inter alia, assessing the technology needs of developing countries, options to address those needs and capacity-building”.

In its resolution 68/210 of December 2013, the General Assembly decided to hold a series of four one-day structured dialogues, “supported by the United Nations system and enabling the involvement of relevant stakeholders, including international and regional organizations, multilateral and regional financial and development institutions, universities and research institutions, the private sector and civil society, to consider possible arrangements for a facilitation mechanism to promote the development, transfer and dissemination of clean and environmentally sound technologies by identifying and addressing, where appropriate, fragmentation, synergies, areas of duplication and opportunities for cooperation between existing mechanisms and processes, thus improving overall coherence and enhancing inter-linkages, identifying and addressing gaps throughout the full technology life cycle, from research to development, demonstration, market formation, transfer and diffusion, fostering innovation, and promoting an enabling environment at all levels, while respecting the mandates of existing institutions, frameworks and processes”.

The Assembly also decided that the dialogues will “result in a summary of the discussions and recommendations emerging there from, including on the possible modalities and organization of such a mechanism, to be submitted by the President of the General Assembly to the Assembly at its sixty-eighth session and for consideration and appropriate action by the Assembly at its sixty-ninth session, with the aim of reaching a conclusion in this regard”.

The dialogues will build on four interactive Workshops on technology facilitation held by the General Assembly during its 67th session¹. The Secretary-General produced a report (A/68/310), based on the discussions at the workshops and other inputs and building on his earlier report on the subject (A/67/348).²

As stipulated in the Outcome Document of the General Assembly Special Event of 25 September 2013, the outcome of these structured Dialogues is intended to inform the General Assembly on options for a technology facilitation mechanism in the elaboration of the post-2015 development agenda.

This Note lays out a proposed structure for the Dialogues mandated by resolution 68/210 of December 2013 around the overall theme of “possible arrangements for a facilitation mechanism to promote the development, transfer and dissemination of clean and environmentally sound technologies”.

¹ The Workshops were mandated by A/Res/67/203.

² “Options for a facilitation mechanism that promotes the development, transfer and dissemination of clean and environmentally sound technologies” (A/67/348), and “Options for facilitating the development, transfer and dissemination of clean and environmentally sound technologies” (A/68/310).

Structure and themes of individual Dialogues

Dialogue 1 "Stock-taking of the debates on development, transfer and dissemination of clean and environmentally sound technologies" "

Objectives:

- Identifying and addressing gaps throughout the full technology life cycle, from research to development, demonstration, market formation, transfer and diffusion, fostering innovation, and promoting an enabling environment at all levels, while respecting the mandates of existing institutions, frameworks and processes;
- Identifying and assessing existing international science, technology and innovation cooperation institutions, frameworks and processes within the technology life cycle, from research to development, demonstration, market formation, transfer and diffusion;
- How intergovernmental cooperation and public-private partnerships could foster innovation and diffusion of environmentally sound technology, while promoting an enabling environment at all levels? Enhancing the role of private sector- or non-profit-driven international development efforts in technology facilitation;
- Key lessons learned from existing mechanisms and processes meant to facilitate the development, transfer and dissemination of clean and environmentally sound technologies.

Dialogue 2 Assessing fragmentation, synergies, areas of duplication and opportunities for cooperation between existing mechanisms and processes, thus improving overall coherence and enhancing interlinkages

Objectives:

- Fragmentation, synergies, areas of duplication and opportunities for cooperation between existing mechanisms and processes including the Technology Bank dedicated to LDCs, WIPO Green, the UNFCCC Technology Mechanism, and CGIAR;
- How to improve overall coherence and enhance interlinkages between existing mechanisms and processes;
- Lessons in fostering innovation and enabling conditions for successful technology facilitation;
- Relevant lessons and successful practices learned from existing national or regional initiatives such as ARPA-e or the European Framework Programme;
- The scope for specific and concrete areas where a convergence of views and joint action is worth exploring in this cycle of structured Dialogues;
- Pros and cons regarding the scope and feasibility of new mechanisms, including a global mechanism for facilitation of clean and environmentally sound technology.

Dialogue 3 Identifying the potential for development, transfer and dissemination of clean and environmentally sound technologies and identifying options for the way forward

Objectives:

- Promoting overall coordination and synergy, while respecting existing mandates and bodies, while identifying sectors in which technology facilitation would be critical for sustainable development in post-2015 context;
- Case studies and potential institutional scenarios for technology facilitation in practice;
- Identifying options for the way forward, based, inter alia, on existing relevant reports.

Dialogue 4 Possible arrangements to enhance technology facilitation

Objectives:

- Areas of agreement or convergence regarding possible modalities and organization of a technology facilitation mechanism to promote the development, transfer and dissemination of clean and environmentally sound technologies;
- Assessing the contribution of multilateral and regional financial and development institutions and of public-private partnership to technology facilitation;
- Linkages with the sustainable development goals and the post-2015 development agenda;
- Linkages with other areas of means of implementation, promoting synergies and effectiveness;

Calendar

Each Dialogue will take a day. It is proposed to hold Dialogues 1 and 2 back-to-back.

Dialogue 1	29 April
Dialogue 2	30 April
Dialogue 3	4 June
Dialogue 4	23 July

Participation

The structured dialogues will allow for the involvement of relevant stakeholders, including Member States, international and regional organizations, multilateral and regional financial and development institutions, universities and research institutions, philanthropic foundations, global partnerships, the private sector and civil society.

The dialogues will be organized as multi-stakeholder, interactive dialogues assisted by moderators appointed by the President of the General Assembly.

Outcomes

To facilitate interaction amongst Member States during the inter-sessional periods, two preliminary summaries of the discussions will be circulated to Member States after dialogues 2 (reflecting the discussions in dialogues 1 and 2) and 3 (reflecting the discussions in this dialogue). In accordance with resolution 68/210 of December 2013, the dialogues will "result in a summary of the discussions and recommendations emerging there from, including on the possible modalities and organization of such a mechanism, to be submitted by the President of the General Assembly to the Assembly at its sixty-eighth session and for consideration and appropriate action by the Assembly at its sixty-ninth session, with the aim of reaching a conclusion in this regard".

Further information on the agenda and background information for the structured dialogues will be circulated to Member States in due course.



THE PRESIDENT
OF THE
GENERAL ASSEMBLY

17 April, 2014

Excellency,

Further to my letter of 26, March 2014 concerning the four, one-day structured dialogues, mandated by General Assembly Resolution 68/210, to consider possible arrangements for a facilitation mechanism to promote the development, transfer and dissemination of clean and environmentally sound technologies, I have the honor to inform that I have decided to appoint H.E. Mr. Paul Seger, Permanent Representative of Switzerland, and H.E. Mr. Guilherme de Aguiar Patriota, Deputy Permanent Representative of Brazil to moderate the dialogues on my behalf.

I trust that you will extend to them your full cooperation and support.

As indicated in my previous letter, the first two of these dialogues will take place on 29 and 30 April, 2014, the Programme for which will follow shortly.

Please accept, Excellency, the assurances of my highest consideration.

A handwritten signature in cursive script that reads "John W. Ashe".

John W. Ashe

To All Permanent Representatives
and Permanent Observers
to the United Nations



THE PRESIDENT
OF THE
GENERAL ASSEMBLY

28 April 2014

Excellency,

Further to my letter, dated 26 March 2014, in which I informed of the organisation of a series of four, one-day structured dialogues to consider possible arrangements for a facilitation mechanism to promote the development, transfer and dissemination of clean and environmentally sound technologies, I have the honour to enclose herewith the Programme for the first two dialogues, will take place on 29 and 30, April 2014. This document can also be accessed on my website <http://www.un.org/en/ga/president/68/events/> under the Calendar tab.

I look forward to your active participation in this event.

Please accept, Excellency, the assurances of my highest consideration.

A handwritten signature in black ink that reads "John W. Ashe". The signature is written in a cursive, flowing style.

John W. Ashe

To All Permanent Representatives
and Permanent Observers
to the United Nations
New York

General Assembly Structured Dialogues

"Possible arrangements for a facilitation mechanism to promote the development, transfer and dissemination of clean and environmentally sound technologies"

AGENDA

Dialogue 1

Stock-taking of the international debates on development, transfer and dissemination of clean and environmentally sound technologies

29 April 2014, ECOSOC Chamber, Conference Building, UN Headquarters, New York City

Time	Session
10 AM to 10.30 AM	<p>Opening</p> <p>Presidency of the 68th session of the UN General Assembly H.E. Ban Ki-moon, Secretary-General of the UN</p>
10.30 AM to 1 PM	<p>Session 1.1 - What is the scale and scope of the unfulfilled need for technology facilitation?</p> <p><i>Moderators:</i> H.E. Mr. Paul Seger, Permanent Representative of Switzerland and H.E. Mr. Guilherme de Aguiar Patriota, Deputy Permanent Representative of Brazil</p> <p>Remarks by the Moderators</p> <p><i>Panelists:</i></p> <p>Mr. David O'Connor, Chief, Policy and Analysis Branch, Division for Sustainable Development, Department of Economic and Social Affairs, UN Dr. Frank Rijsberman, Chief Executive Officer, CGIAR Dr. Zakri Abdul Hamid, Science Advisor to the Prime Minister of Malaysia and Chairman of the National Professors Council</p>
3 PM to 6 PM	<p>Session 1.2 - Options and ongoing efforts for strengthening technology facilitation at the international level</p> <p><i>Moderators:</i> H.E. Mr. Paul Seger, Permanent Representative of Switzerland and H.E. Mr. Guilherme de Aguiar Patriota, Deputy Permanent Representative of Brazil</p> <p><i>Panelists:</i></p> <p>Mr. Andrew W. Reynolds, Senior Advisor for Space and Advanced Technologies, Department of State, United States, and Chair, UN Commission on Science and Technology for Development Mr. Heinz Leuenberger, Director of the Environmental Management Branch of the United Nations Industrial Development Organization (UNIDO) Ms. Lucinda Longcroft, Head of New York Office, World Intellectual Property Organisation (WIPO) Prof. Carlos Correa, Director of the Centre for Interdisciplinary Studies on Industrial Property and Economics Law, University of Buenos Aires and South Centre (<i>invited</i>)</p>

General Assembly Structured Dialogues

"Possible arrangements for a facilitation mechanism to promote the development, transfer and dissemination of clean and environmentally sound technologies"

AGENDA

Dialogue 2

Assessing fragmentation, synergies, areas of duplication and opportunities for cooperation between existing mechanisms and processes, thus improving overall coherence and enhancing inter-linkages

30 April 2014, ECOSOC Chamber, Conference Building, UN Headquarters, New York City

Time	Session
10 AM to 1 PM	<p>Session 2.1 - How much fragmentation is there? How much of it represents gaps? How much of it is duplication? How much of it is lack of information on what exists?</p> <p><i>Moderators:</i> H.E. Mr. Paul Seger, Permanent Representative of Switzerland and H.E. Mr. Guilherme de Aguiar Patriota, Deputy Permanent Representative of Brazil</p> <p><i>Panelists:</i></p> <p>Mr. Jukka Uosukainen, Director of the Climate Technology Centre and Network (CTCN) Dr. Zhihong Zhang, Senior Program Coordinator, Clean Technology Fund (CTF) and Scaling-Up Renewable Energy Program (SREP), The World Bank Dr. José A. Zaglul, President, EARTH University, Costa Rica</p>
3 PM to 5.50 PM	<p>Session 2.2 – Arguments for a technology facilitation mechanism. What concrete reforms and actions have a chance to receive broad support?</p> <p><i>Moderators:</i> H.E. Mr. Paul Seger, Permanent Representative of Switzerland and H.E. Mr. Guilherme de Aguiar Patriota, Deputy Permanent Representative of Brazil</p> <p><i>Panelists:</i></p> <p>H.E. Ambassador Jean-Francis R. Zinsou, Permanent Representative of Benin to the United Nations Mr. Errol Levy, Research and Innovation Counselor, Delegation of the European Union, Washington, D.C Prof. Ambuj Sagar, Dean, Indian Institute of Technology</p>
5.50 PM to 6 PM	<p>Closing</p> <p>Presidency of the 68th session of the UN General Assembly</p>

General Assembly Structured Dialogues

"Possible arrangements for a facilitation mechanism to promote the development, transfer and dissemination of clean and environmentally sound technologies"

AGENDA

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General Assembly Structured Dialogues

"Possible arrangements for a facilitation mechanism to promote the development, transfer and dissemination of clean and environmentally sound technologies"

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5.50 PM to 6 PM	<p>Closing</p> <p>Presidency of the 68th session of the UN General Assembly</p>

29-30 April / 4 June / 23 July 2014

Structured dialogues to consider possible arrangements for a facilitation mechanism to promote the development, transfer and dissemination of clean and environmentally sound technologies

In its resolution 68/210 of December 2013, the General Assembly decided to hold a series of four one-day structured dialogues, "supported by the United Nations system and enabling the involvement of relevant stakeholders, including international and regional organizations, multilateral and regional financial and development institutions, universities and research institutions, the private sector and civil society, to consider possible arrangements for a facilitation mechanism to promote the development, transfer and dissemination of clean and environmentally sound technologies by identifying and addressing, where appropriate, fragmentation, synergies, areas of duplication and opportunities for cooperation between existing mechanisms and processes, thus improving overall coherence and enhancing interlinkages, identifying and addressing gaps throughout the full technology life cycle, from research to development, demonstration, market formation, transfer and diffusion, fostering innovation, and promoting an enabling environment at all levels, while respecting the mandates of existing institutions, frameworks and processes". The first two dialogues will take place on 29 and 30 of April. The first interactive dialogue will take stock of the debates on development, transfer and dissemination of clean and environmentally sound technologies, while the second one will assess fragmentation, synergies, areas of duplication and opportunities for cooperation between existing mechanisms and processes, thus improving overall coherence and enhancing interlinkages.



**Remarks
by**

**H.E. Ms Simona Miculescu
Vice-President**

on behalf of

**H.E. Mr. John W. Ashe
President of the 68th Session of the United Nations
General Assembly**

**General Assembly Structured Dialogues
on Technology Facilitation Mechanism
Closing Session, Dialogue II**

**New York
30 April 2014**

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Excellencies,
Distinguished Guests,
Ladies and Gentlemen,

On behalf of the President of the General Assembly, I would like to thank you for your participation and fruitful contributions over the past two days to the Structured Dialogue on technology transfer. We have had the opportunity to learn about the assessments and experiences of practitioners in the area of technology, as well as hear from representatives of countries or regions already involved in technology facilitation cooperation.

Yesterday and today, we explored both the scale and scope for technology facilitation, the ongoing efforts at the international level in this regard, the issue of fragmentation and duplication, as well as the existing gaps. We have heard arguments both in favor and against a facilitation mechanism.

Allow me to draw your attention to some important points that have emerged.

First and foremost, there is agreement on the clear, undeniable need for more action in the area of technology facilitation. The views around the table are diverse not on the final objective, but rather on how we can reach this objective. Some interventions highlighted that discussing the overarching purpose of such a mechanism might help us to advance the discussion on how to realize it. We also heard requests for more focused debates on how to move towards such a mechanism. Others called for a more prudent approach, inviting more reflection on existing tools and needs before deciding to set up new structures, which will add a new governance level in a process already complex. In this context, we were reminded that the Secretary General's 2012 report proposes several options to advance further on technology facilitation.

In terms of key points, the idea of an "umbrella framework" was mentioned by several delegations, as well as the importance of more coordination, which numerous delegations thought should be the first task for the technology facilitation mechanism. The function and importance of "monitoring" was also mentioned.

Others highlighted that the challenge at hand is much broader than technology transfer as such. For example, while the transfer of commercially viable technologies is a private sector issue, governments do facilitate an enabling regulatory framework, including good economic governance and effective enforcement of rules, including on International Property Rights (IPRs).

Science, Technology and Innovation (STI), as well as ICT for development, were widely recognized as crucial elements for a future mechanism, while many specific initiatives and tools were mentioned over the two-day Dialogue. We heard about the technology bank for the Least Developed Countries (LDCs), which generates high expectations from Member States. A number of participants said that some form of online "platform" seems to be regarded as a useful tool for a mechanism.

Much was also said about the role of private sector and multi-stakeholder partnerships in the context of a broader intergovernmental oversight framework. It was widely acknowledged that the private sector holds the greatest share of property rights that are relevant to sustainable development. In this regard, IPRs were seen as a means to stimulate innovation and technology transfer and development. Collaboration with the private sector was mentioned as relevant both at the local level, in collaboration with Small and Medium Enterprises (SMEs) and private non-profits, as well as at the international level, with transnational companies.

We also had the opportunity to hear strong pledges in favour of strengthening the capacity of Member States to assess their own needs. In addition, we also heard how important it is to enhance research and development, and promote education, which is an important enabling factor in order to facilitate technology transfer. Increasing the number of engineers and expanding vocational training were also considered as targets to be met.

We heard many different concerns about fragmentation, related to geographical fragmentation (different needs of different countries), fragmentation amongst international bodies engaged in technology facilitation, fragmentation between finance providers, beneficiaries and technology facilitators, and fragmentation across different stages of the technology cycle. The difficulty of coordinating technology

facilitation by a diverse set of international organizations and institutions with their own distinct governance arrangements was also highlighted.

Some of you questioned why, if the international community is moving towards an integrated post-2015 sustainable development agenda, technology facilitation activities seem to happen still largely in sectoral or institutional silos. On the one hand, some argued for a more “systemic” approach to technology facilitation at the international level. On the other hand, others suggested that an accurate diagnosis of the deficiencies of the present set-up must precede any next steps.

Your comments also focused on how to move this discussion forward, as mandated by Resolution 68/210. Several of you asked that the remainder of these dialogues be squarely focused on discussing the modalities and functions of a technology facilitation mechanism, building on the important work being done by multiple actors, scaling it up and making it more effective.

Ladies and Gentlemen,

Regarding next steps, everything that has been said here will be part of a summary with emerging action points, which will be prepared by the moderators. This summary will be sent out to you in the next days.

I encourage you to reflect upon ideas that you have heard and prepare your inputs for the next dialogue, which, as you know will look into the potential for development, transfer and dissemination of clean and environmentally sound technologies. Our next dialogue will also identify options for the way forward, which will take into account preliminary views expressed during the first dialogues.

During the 4th and last dialogue, our ambition is to look more into the details of the possible arrangements to enhance technology facilitation.

On behalf of the President of the General Assembly, I extend my appreciation for your contributions.

Thank you.



THE PRESIDENT
OF THE
GENERAL ASSEMBLY

27 May, 2014

Excellency,

I have the honour to enclose herewith a letter from H.E. Mr. Paul Seger, Permanent Representative of Switzerland and H.E. Mr. Guihlerme de Aguiar Patriota, Deputy Permanent Representative of Brazil, co-moderators of the structured dialogues on possible arrangements for a technology facilitation mechanism to promote the development, transfer and dissemination of clean and environmentally sound technologies.

Under cover of the aforementioned letter, the co-moderators have submitted their notes on the first and second structured dialogues that took place on 29 and 30 April, 2014, respectively. This document, a copy of which is also enclosed, will constitute the basis for discussions for the upcoming, third dialogue which is scheduled to take place on 4 June, 2014. A copy of the draft Programme is also attached.

I encourage Member States to actively participate in this third dialogue on this important matter.

Please accept, Excellency, the assurances of my highest consideration.

A handwritten signature in black ink, reading "John W. Ashe". The signature is written in a cursive, flowing style.

John W. Ashe

To All Permanent Representatives and
Permanent Observers to the United Nations
New York



Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra

Permanent Mission of Switzerland to the United Nations

His Excellency
Mr. John W. Ashe
President of the General Assembly
68th Session
CB – 0250
United Nations Headquarters
New York

New York, 27.05.2014

Mr. President,

We have the honor to enclose herewith the co-moderator's notes on the 1st and 2nd structured dialogues on possible arrangements for a facilitation mechanism to promote the development, transfer and dissemination of clean and environmentally sound technologies, which took place on April 29 and 30, 2014 at the UN Headquarters in New York. We kindly ask you to circulate it to all member states.

As co-moderators we feel the need to even better structure the two upcoming dialogues in order to fulfill the mandate of resolution 68/210 with a summary of the discussions and recommendations emerging from the dialogues, including on the possible options for such a mechanism. The moderators intend to facilitate the next dialogue using the questions and issues raised in the document enclosed to better channel discussions.

The secretariat's summary, which will be available on the secretariat's website, provides further useful background information on the dialogues.

We thank you, Mr. President, once again for entrusting us with this important mandate.

Please accept, Mr. President, the assurances of our highest consideration.

Guilherme de Aguiar Patriota
Ambassador
Deputy Permanent Representative of Brazil to the
United Nations

Paul Seger
Ambassador Extraordinary Plenipotentiary
Permanent Representative of Switzerland to
the United Nations

Notes from the Co-Moderators on the 1st and 2nd Dialogues on possible arrangements for a technology facilitation mechanism to promote the development, transfer and dissemination of clean and environmentally sound technologies

29 and 30 April 2014

The aim of these notes by the co-moderators is to provide a basis to better channel the discussions on possible arrangements for a technology facilitation mechanism during the next dialogue in order to fulfil the mandate as laid out in A/RES/68/210.

It was generally acknowledged that a wide range of activities regarding the transfer of clean and environmentally sound technologies exists already. On the other hand, there was also a strong sense in the room that more needs to be done and that the efforts are currently fragmented and leave gaps. "The scale of efforts is yet to match the scale of the challenge."

Delegations agreed that there is room for improvement; there were however different perceptions on the most effective way to move forward.

- Many delegations were of the view that needs differ across the national, regional and global levels.
- There is ambiguity on the thematic scope of such a technology facilitation mechanism to promote development, transfer and dissemination of clean and environmentally sound technologies. Is it only environmental or should it address technology in a broader sense? Some delegations highlighted its importance in the context of the post-2015 development agenda in eradicating poverty, promoting social inclusion, gender equality and seeking a transformative shift in the area of sustainable development. One first step in order to clarify the issue of scope would be to discuss the potential technology facilitation mechanisms in regard to the three dimensions of sustainable development, in association with the post-2015 development agenda.
- Diverse views were expressed as to which of the following aspects mentioned by delegations – education, capacity building, finance, tech transfer, IP, R&D or all of them – would be addressed by a technology facilitation mechanism. Some delegations highlighted the need to combine efforts on technology facilitation with other initiatives such as financing, ensuring an enabling environment, capacity building and higher levels of education, particularly technological vocational training in areas such as engineering and mathematics (STEM). Other delegations emphasized that in the dialogues on technology transfer for sustainable development a restrictive definition of technology transfer - that of commercially available technologies from industrialised to developing countries – needs to be avoided. It was suggested that a broader look should be taken at the role of technology cooperation. In this perspective, technology transfer should be seen not only in terms of acquisition of technology, but also in terms of knowledge creation and sharing.
- There were different views on the breath of the technology cycle that a technology facilitation mechanism could cover. Many expect that it would address the full technology life cycle from Research to Development, Demonstration, Market formation and Diffusion. Others were of the opinion that it would focus on the stages with the biggest needs and where it would have the highest impact.

Several delegations and panellists mentioned concrete tasks and functions of a potential technology facilitation mechanism. Other delegations recalled the crucial role of the private sector and the responsibility of governments to ensure an enabling environment (education, legal and regulatory regimes including good governance and access to information and data etc.).

Some of the specific tasks and functions that were mentioned are as follows:

- Coordination and improving coherence: While acknowledging the value of various existing initiatives, fragmentation of efforts can hinder the progress toward responsive and effective technology cooperation. In the view of some delegations, an UN technology facilitation mechanism could serve as an umbrella

framework for system-wide coordination and cooperation in the area of technology cooperation, while respecting the rules and or mandates of existing institutions, frameworks and processes.

- Improve data and information: A technology mechanism could also gather, consolidate and assess detailed data and information on technology facilitation efforts underway within the United Nations Systems and improve information sharing between institutions.
- Capacity building: A technology mechanism could articulate a network of capacity development programmes and knowledge platforms within the United Nations System, facilitating access to existing capacity building initiatives. It could also promote capacity building opportunity in developing countries on human capital and research, institutional framework for innovation, and market/business environment.
- Knowledge sharing and networking: A technology mechanism could facilitate networking in R&D and promote N-S, S-S, S-N and triangular technology cooperation, as well as global networks, peer learning, exchange and collaborative training programs.
- Monitoring and Diffusion of priority technologies: Identify high-impact technologies for poverty eradication and promotion of sustainable development. Identify gaps and barriers to the dissemination of high-impact technologies.
- Technology access and transfer: Promote technology access to developing countries on preferential and/or concessional terms, especially in the context of publicly-funded technologies, and encourage the expansion of clean and environmentally sound technologies in public domains. Support the operationalization of LDC Technology Bank, building synergy with existing initiatives and agencies.

The following additional issues also stood out from the discussion:

- Views on the definition of "mechanism" differ. For some delegations it means simply increased coordination and cooperation. Other delegations refer to a centralized body, a policy forum or a virtual platform. Many cautioned not to create additional governance layers.
- Another question is how to involve non-state actors in the discussion (academia, civil society, business). Several delegations underlined the crucial role of these actors in their respective roles and the need to include them in the discussion.
- The perceptions on the way forward also vary. On the one hand there was a strong sense of urgency but on the other hand some delegations felt there is still need for sound analysis to provide appropriate data and information. A feasibility study assessing the best possible institutional arrangements was suggested.
- While many delegations underlined the need to focus the present set of dialogues on how to establish a technology facilitation mechanism, one delegation in particular underlined that there are different opinions regarding what precisely was mandated by the Rio+20 conference and that there was no agreement among member states to create a new mechanism under the UN.

Tentative Programme of the Third Dialogue, 4 June 2014

Identifying the potential for development, transfer and dissemination of clean and environmentally sound technologies and identifying options for the way forward

Time	Venue: ECOSOC Chamber, Conference Building, UN Headquarters, New York City
10 AM - 10.15 AM	<p>Opening: Remarks by the Moderators:</p> <p>H.E. Mr. Paul Seger, Permanent Representative of Switzerland</p> <p>H.E. Mr. Guilherme de Aguiar Patriota, Deputy Permanent Representative of Brazil</p>
10.15 AM - 1 PM	<p>Session 3.1 – Options regarding the functions and modalities of a possible technology facilitation mechanism</p> <p>Professor Ambuj Sagar, Vipula and Mahesh Chaturvedi Professor of Policy Studies, Indian Institute of Technology – Delhi</p> <p><i>Presentation of a joint study with Prof. Arun Majumdar on possible functions and modalities that a technology facilitation mechanism could incorporate</i></p> <p>Mr. Dominique Guellec, Head of Country Studies and Outlook Division, Directorate for Science, Technology and Industry, Organisation for Economic Cooperation and Development (OECD)</p> <p>Mr. Martin Khor, Executive Director, South Centre</p> <p>Mr. Ahmed Abdel Latif, Senior Programme Manager, Programme on Innovation, Technology and Intellectual Property, International Centre for Trade and Sustainable Development (ICTSD) <i>(by video conference)</i></p> <p>DISCUSSION</p>
3 PM - 5.45 PM	<p>Session 3.2 - Options and priorities for the way forward</p> <p>Dr. Thomas Gass, Assistant Secretary-General, Department of Economic and Social Affairs (DESA), United Nations</p> <p>Dr. Arun Majumdar, Vice President for Energy, Google <i>(by video conference)</i></p> <p>Mr. Pat Mooney, Executive Director, ETC Group</p> <p>Mr. Renzo Tomellini, Head of Strategy, Resource Efficiency and Climate Action Directorate, DG Research & Innovation, European Commission</p> <p>DISCUSSION</p>
5.45 -6 PM	<p>Closing: Remarks by the Moderators</p>



THE PRESIDENT
OF THE
GENERAL ASSEMBLY

16 July, 2014

Excellency,

I have the pleasure to enclose herewith a letter from H.E. Mr. Paul Seger, Permanent Representative of Switzerland and H.E. Mr. Guilherme de Aguiar Patriota, Deputy Permanent Representative of Brazil, Co-moderators of the structured dialogues on possible arrangements for a technology facilitation mechanism to promote the development, transfer and dissemination of clean and environmentally sound technologies, related to the organisation of the fourth and last dialogue, to take place on 23 July 2014.

I encourage Member States to actively participate in this fourth dialogue on this important matter, recalling that complementary information on the structured dialogues so far can be found online at <http://sustainabledevelopment.un.org/index.php?menu=1822>.

Please accept, Excellency, the assurances of my highest consideration.

A handwritten signature in black ink, reading "John W. Ashe".

John W. Ashe

To All Permanent Representatives and
Permanent Observers to the United Nations
New York



Permanent Mission of Brazil
to the United Nations



Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra

Permanent Mission of Switzerland to the United Nations

His Excellency
Mr. John W. Ashe
President of the General Assembly
68th Session
CB - 0250
United Nations Headquarters
New York

New York, 16.07.2014

Mr. President,

We have the honor to enclose herewith the co-moderator's notes on the 3rd structured dialogue on possible arrangements for a facilitation mechanism to promote the development, transfer and dissemination of clean and environmentally sound technologies, which took place on June 4, 2014 at the UN Headquarters in New York. We kindly ask you to circulate it to all member states.

The aim of the co-moderators notes is to channel the discussions during the 4th and last dialogue in order to identify common ground with regards to possible arrangements for a potential technology facilitation mechanism. On the basis of this exchange, the co-moderators will produce a final summary of the discussions and recommendations emerging therefrom, including on the possible modalities and organization of such a mechanism.

Furthermore, and based on what has been discussed during the structured dialogues, co-moderators would like to invite member states to share their views on how the issue of possible arrangements for a technology facilitation mechanism should be discussed further in order to fulfil the mandate of resolution 68/210. In this regard, the co-moderators intend to inform member states about the suggestion by the President of the General Assembly to the co-moderators to submit a procedural resolution during the current session of the General Assembly, requesting the Secretary General to take into account the outcome of the structured dialogues in his synthesis report, and also encouraging member States to reach a conclusion during the 69th Session of the General Assembly in the context of the post-2015 development agenda. The co-moderators will be seeking for guidance from member states on this suggestion during the second part of the 4th dialogue on July 23, 2014.

We thank you, Mr. President, once again for entrusting us with this important mandate.

Please accept, Mr. President, the assurances of our highest consideration.

Guilherme de Aguiar Patriota
Ambassador
Deputy Permanent Representative
of Brazil to the United Nations

Paul Seger
Ambassador Extraordinary Plenipotentiary
Permanent Representative of Switzerland to
the United Nations

Notes from the Co-Moderators on the 3rd Dialogue on possible arrangements for a facilitation mechanism to promote the development, transfer and dissemination of clean and environmentally sound technologies

4 June 2014

The first two dialogues on possible arrangements for a facilitation mechanism to promote the development, transfer and dissemination of clean and environmentally sound technologies were dedicated to taking stock of the process to develop options for a technology facilitation mechanism, including by assessing existing mechanisms and processes. The third dialogue identified areas of convergence and tried to channel discussions and align different perceptions, while considering possible functions to be performed by a “technology facilitation mechanism”. In order to focus deliberations during the third structured dialogue, co-moderators provided Member States with notes that synthesized the main areas of discussion and outlined possible functions and tasks to be performed by a potential mechanism.

The aim of the present co-moderators notes is to channel the discussions during the 4th and last dialogue in order to identify common ground with regards to possible arrangements for a potential technology facilitation mechanism.

Delegations agreed that there is room for improvement with regards to the transfer of clean and environmentally sound technologies; there were however different perceptions on the most effective way to move forward to address this issue.

While many delegations agreed to focus the dialogues on the question of how to establish a technology facilitation mechanism, some delegations underlined during the dialogues that there is difference of opinion regarding what precisely was mandated by the Rio+20 conference and that there was no agreement at this moment to create a new UN mechanism. Others highlighted the importance of considering the options for its creation in the context of the post-2015 development agenda.

Views were also expressed as to which of the following aspects mentioned by delegations – education, capacity building, finance, tech transfer, IP, R&D or all of them – could be addressed by a technology facilitation mechanism.

Some delegations considered non-government actors to be the primary drivers of technological advance. They also took the position that science, technology and innovation for sustainable development should not be seen only in terms of technology transfer, but more generally understood as the need to promote innovation, technology adaptation and diffusion and the acquisition of capacities and know-how. Successful technology transfer involves access to financing and promotion of entrepreneurship and FDI, STEM education and capacity building in STI, promoting good governance, an enabling environment and a regulatory framework, including for Intellectual Property Rights.

Others argued that intellectual property may constitute a barrier to or delay technology transfer to developing countries. Some underscored the role of governments and adequate public policies in the support for and promotion of science, technology and innovation, noting that the market alone and trade in technology embedded goods and services would not in and of themselves promote development of ST&I capacities in developing countries. Governments are still major actors in

funding and building the foundations for STEM education, which is a requisite for technological development.

Taking into account discussions during dialogues 1, 2 and 3, the co-moderators elaborated the following options for discussion during the 4th dialogue:

Possible modalities and organization of a facilitation mechanism

1. Better information and mapping of existing facilitation activities

Member States converged on the usefulness of providing more and better access to public information on existing technology facilitation mechanisms, frameworks and processes, including by promoting greater coherence, awareness and information sharing. This could include carrying out a mapping of technology cooperation initiatives, as well as knowledge sharing and learning, including through guidelines or handbooks.

Such function could be performed by an electronic knowledge platform, incorporating a global database, which could make available information on existing mechanisms, processes and frameworks, as well as learning material and other documents. Such platform should provide orientation and access to information, serving as an entry-point for government officials, private sector, civil society and other stakeholders interested in clean and environmentally sound technologies.

2. Improving coherence and synergy between existing facilitation activities

There was also wide support to avoiding duplication of efforts and to better utilising the existing infrastructure through increased coherence and synergies among technology transfer initiatives, programmes and mechanisms already operating within the UN system and under the Rio Conventions (e.g. LDC Technology Bank, the UNFCCC Technology Mechanism and technology transfer provisions under the UN Convention to Combat Desertification (UNCCD) and the UN Convention on Biological Diversity). A potential technology transfer mechanism should minimise duplication, maximise synergy, coordination, and effectiveness, enhance capacity and help those Member States that desire to learn from and adapt successful strategies.

In order to find ways to better coordinate, improve coherence, share best practices and pursuit of synergy among the large number of existing mechanisms, Member States suggested enhancing dialogue through the High-level Political Forum to connect relevant actors.

Further suggestions that were raised include creating an online-based clearinghouse of existing initiatives and networks in different thematic fields (energy, climate etc) or establishing an inter-agency coordination mechanism such as UN Water or UN Energy.

Engaging the private sector in a meaningful UN Technology initiative was also suggested, considering many current UN partner companies are from the technology sector. Adequate corporate responsibility and accountability to the UN membership would be required.

3. Conducting analyses of technology needs and gaps in addressing them

Delegations highlighted that a UN technology facilitation mechanism should promote technology needs assessments, identify key technologies that can accelerate sustainable development ("horizon

scanning") and address the needs of countries in special situation regarding appropriateness, affordability and adaptability of technologies (in particular, SIDS and LDCs).

Other delegations acknowledged the importance of conducting a broad and methodical examination of gaps in technology development, dissemination and adoption, including on basic capacity issues e.g., STEM education, development of innovation ecosystems and IP.

In order to advance in this field, it was suggested to delve deeper into an analysis of needs and gaps in facilitating clean and environmentally sound technology for developing countries, in particular, by studying options for focused capacity building initiatives to help countries, especially SIDS and LDCs, in navigating the international landscape of technology facilitation.

4. Promote the development, transfer and dissemination of clean and environmentally sound technologies

Delegations also reiterated that the three key functions of the mechanism should be to develop, transfer and disseminate clean and environmentally sound technologies. They called for the establishment of a UN Technology Facilitation Mechanism, consisting of: a) A technology development fund, to strengthen global R&D and demonstration cooperation, technology transfer and participation of developing countries; b) Network of technology transfer, innovation and information centres, based on existing global and regional centres, online platforms, clearing houses, international conventions with technology provisions and economic partnership agreements; c) Network of universities, institutes and research, development and innovation institutions; d) Capacity development programmes and knowledge platforms, and technology needs assessment; e) PPPs including on collaborative IP systems and licensing; f) A management and coordination structure within the UN, including regional and sub-regional cooperative mechanisms and national coordination units, which could be assisted by an advisory team composed of experts and stakeholders.