

UNITED NATIONS



NATIONS UNIES

NEW YORK

OFFICE OF THE PRESIDENT OF THE GENERAL ASSEMBLY

New York, 23 May 2013

Excellency,

I refer to the letter from the President of the General Assembly, dated 1 March 2013, on a series of four one-day workshops, mandated by Resolution 67/203, on the development, transfer and dissemination of clean and environmentally sound technologies and their interconnection with sustainable development.

The first two workshops, as announced in my letter dated 18 April 2013, were held on 30 April and 1 May 2013. The relevant documents and presentations, as well as a short summary of the event, which is in preparation, can be accessed at the following website: <http://sustainabledevelopment.un.org/technology/2013workshops>.

In this connection, I would like also to inform you about the final round of workshops which will be held at United Nations Headquarters on 30 and 31 May 2013 in Conference Room 3 (CR-3) of the North Lawn Building (NLB). An updated programme and a Concept Note with elements for discussion are enclosed.

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

A handwritten signature in black ink, appearing to read 'Zdravko Ponos'.

Zdravko Ponos
Chef de Cabinet

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

Workshop 3

Capacity building to enhance the development, adoption and use of clean and environmentally sound technologies in developing countries

UN HQ, New York City, 30 May 2013, 10.00 – 18.00

PRELIMINARY AGENDA

This Workshop will seek to identify the most promising opportunities offered by international institutions and programs to facilitate R&D and promote more rapid and widespread global transfer and diffusion of environmentally sound technologies. It will offer perspectives on how information, capacity or other gaps can be addressed and how existing international arrangements can be further enhanced to foster technology cooperation and transfer.

10.00 Opening Address

H.E. Mr. Vuk Jeremic, President of the 67th Session of the United Nations General Assembly

10.10 Setting the stage – linking to the discussions of Workshops 1 and 2:

Prof. Ambuj D. Sagar (*), Dean, Alumni Affairs & International Programs and Vipula and Mahesh Chaturvedi Professor of Policy Studies, Department of Humanities and Social Sciences, Indian Institute of Technology

10.25 – 13.00 Session 3.1 – Focus on intellectual property considerations and related capacity building activities

Moderator: **Mr. David Biello** (*), Associate Editor, Environment & Energy, *Scientific American*

- **Mr. Ahmed Abdel Latif** (*), Senior Programme Manager, Programme on Innovation, Technology and Intellectual Property, International Centre for Trade and Sustainable Development (ICTSD)
- **Prof. Carlos Correa** (*), Director of the Centre for Interdisciplinary Studies on Industrial Property and Economics Law, University of Buenos Aires
- **Ms. Lucinda Longcroft** (*), Deputy Director, Development Agenda Coordination Division, World Intellectual Property Organization (WIPO)
- **Dr. Krishna Ravi Srinivas** (*), Associate Fellow, Research Information System for Developing Countries (RIS), New Delhi
- Q/A and interventions from Member States, Major Groups and UN System

13.00 – 15.00 Lunch Break

15.00 – 17.50 Session 3.2 – Other international capacity building activities

Moderator: **Prof. Ambuj D. Sagar** (*), Dean, Alumni Affairs & International Programs and Vipula and Mahesh Chaturvedi Professor of Policy Studies, Department of Humanities and Social Sciences, Indian Institute of Technology

Keynote Speech: *Global Diffusion of Clean Energy Technologies*: Prof. Kelly Sims Gallagher (*), Associate Professor of Energy and Environmental Policy, Fletcher School, Tufts University

- **Ms. Lidia Brito** (*), Director, Division of Science and Sustainable Development, UNESCO
- Representative of UNCTAD
- **Mr. Morgan Bazilian** (*), Deputy Director, Joint Institute for Strategic Energy Analysis (JISEA), National Renewable Energy Laboratory (NREL), United States
- Q/A and interventions from Member States, Major Groups and UN System

17.50 Closing Remarks

H.E. Mr. Vuk Jeremic, President of the 67th Session of the United Nations General Assembly

Workshop 4

The way forward: Strengthening the international architecture for clean and environmentally sound technology development, transfer and dissemination

UN HQ, New York City, 31 May 2013, 10.00 – 18.00

PRELIMINARY AGENDA

Themes to be addressed in the final Workshop include: a) Enhancing coherence among existing international structures, institutions, mechanisms to support environmentally sound technology development, transfer and dissemination; identifying gaps and options for addressing them; b) Options for a technology facilitation mechanism; c) Strengthening developing countries' participation in international research networks; d) Meeting the specific technology development needs of developing countries; addressing barriers and constraints to technology transfer and diffusion of clean and environmentally sound technologies; e) Enhancing North-South, South-South and triangular cooperation.

10.00 – 13.00 Session 4.1 – Sharing of experiences on technology facilitation

Moderator: A senior official from the UN Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States: To be announced.

- **Dr. Alexandra Mallett** (*), Assistant Professor, School of Public Policy and Administration (SPPA), Carleton University, Ottawa
- Perspectives from developing countries: To be announced
- **Mr. Errol Levy** (*), Research and Innovation Counselor, Delegation of the European Union, Washington, D.C.
- **Mr. Altay Altınörs** (*), First Secretary, Permanent Representation of Turkey to the UN
- **Mr. Morgan Bazilian** (*), Deputy Director, Joint Institute for Strategic Energy Analysis (JISEA), National Renewable Energy Laboratory (NREL), United States
- Q/A and interventions from Member States, Major Groups and UN System

13.00 – 15.00 Lunch Break

15.00 – 17.50 Session 4.2 – Strengthening clean and environmentally sound technology development, transfer and dissemination: Options for a facilitation mechanism

Moderator: **Mr. Nikhil Seth** (*), Director, Division for Sustainable Development, Department of Economic and Social Affairs (DESA), UN

- **H.E. Ambassador Manjeev Puri** (*), Deputy Permanent Representative, Permanent Mission of India to the UN
- **Mr. Yuri Yaroshevich** (*), Head of Department, Ministry of Foreign Affairs, Republic of Belarus
- Perspectives from developing countries: To be announced
- Perspectives from developed countries: To be announced
- Q/A and interventions from Member States, Major Groups and UN System

17.50 Closing Remarks

H.E. Mr. Vuk Jeremic, President of the 67th Session of the United Nations General Assembly

For updates of this agenda and other papers visit: <http://sustainabledevelopment.un.org/technology/2013workshops>

General Assembly Consultative Workshops on:
“Development, transfer and dissemination of clean
and environmentally sound technologies in developing countries”

ISSUES PROPOSED FOR DISCUSSION

Workshop 3

Capacity building to enhance the development, adoption and use of clean and environmentally sound technologies in developing countries

Intellectual property considerations and related capacity building

The social value of disclosing inventions is often greater than their direct value to inventors. Today’s intellectual property (IP) regimes are meant to exploit this positive externality, in order to encourage the dissemination of technological knowledge. IP regimes try to achieve this objective by a variety of means including term limits on exclusive use patent and other IP rights. In theory, the intent is to balance incentives to innovate – which are generally provided by granting temporary exclusive rights to inventors – with encouraging dissemination of innovations, on the understanding that new knowledge builds on existing knowledge and there can be important societal benefits from its more rapid diffusion.

There can be a tension, however, between the objectives of IP regimes and sustainable development policy objectives, such as those relating to health, education, poverty eradication, energy, water and environment. For example, global sustainable development objectives may necessitate the promotion and transfer of clean and environmentally sound technologies, in particular in view of developing countries facing special capacity challenges. This tension has contributed to an enduring debate on IP issues in relation to sustainable development, with a considerable polarization of views.

A vast range of technologies is available (some being considered “mature”) to address environmental aspects of sustainability. A variety of factors affect the rate of diffusion of those technologies across countries, including regulations and incentives, relative costs, and technological capabilities. There are different views as to whether or in which contexts the dissemination of these technologies is hampered by IP issues.

The aim of this Session is to outline key issues and discuss potential recommendations relating to the role of IPRs in relation to the development, global diffusion and transfer to developing countries of environmentally sound technologies.

- *In delegates’ view, do intellectual property issues pose significant constraints for developing countries in the case of certain clean and environmentally sound technologies? If yes, can you provide examples? What approaches could achieve close alignment of IP regimes with sustainable development objectives?*
- *In delegates’ view, should exceptions to IP protection for clean technologies be prioritised for specific groups of developing countries? What sort of an international negotiation process can be envisaged to establish priorities for global action, in view of the special needs and initiatives of various groups of countries, including Least-Developed Countries and Small Island Developing States?*
- *What do international organisations do (or should they do) to provide empirical evidence on the impact of IP regimes on the development and dissemination of clean and environmentally sound technologies?*

Other specific issues:

- *Patent pools: do they work satisfactorily? What sectors/aspects of sustainable development are they most relevant for? Are they a relevant tool for countries with few if any firms possessing strong technological capabilities?*
- *IP clearing houses: are there functioning good examples?*
- *Patent buyouts: are there cost-effective examples with significant impact?*

Other international technology capacity building activities

Technology flows through various channels, including trade and investment as well as movements of skilled people. Being able to utilize, adapt and improve upon those technologies is a function of domestic technological capabilities and whether the institutional and policy environment rewards technological effort.

Countries can, and many do, actively promote strengthening of domestic technological capabilities. Still, there is wide variation across countries in such capabilities, as well as wide variation within countries – c.g. between leading and lagging enterprises in a given sector.

Technological needs and capabilities evolve through stages as countries move closer to the technological frontier. Governments can facilitate advances in such capabilities by a combination of measures: investing in scientific and engineering education and training, creating a policy environment that encourages investment in progressively more technology-intensive activities, and fostering institutions that perform R&D into critical technologies that support domestic industries.

International cooperation can also help bolster technological capabilities in developing countries. Such cooperation can occur through joint research projects between university-based researchers in developed and developing countries, through joint private sector R&D between developed and developing country firms, through bilateral and multilateral government technology cooperation programmes, as well as some combination thereof – in the form of global technology partnerships.

International institutions have long played an active role in fostering such technology cooperation and technology transfer. These include a number of United Nations agencies as well as other international or supra-national institutions (such as the European Union). National laboratories of a number of developed countries also have programmes of international cooperation including with developing countries. These may be bilateral or multilateral in nature.

This session aims to map important elements of the global science and especially technology cooperation landscape. The idea is to know whether the needs for capacity building of developing countries are being adequately addressed by these various initiatives, and if not where the major gaps are.

- *What are the main technology-related capacity building initiatives of the international organisations? Whom do they reach and how effectively are they addressing the needs of developing countries?*
- *Are there examples of successful networks for international cooperation in research and development for environmentally sound technologies? What have they achieved and how have they shared the outputs of their efforts among the various partners? Which developing countries have been able to play a partner in such networks?*
- *What opportunities are offered by international organisations for developing countries to strengthen public and private sector capabilities for the adoption and efficient use as well as for the research, development and demonstration of clean and environmentally sound technologies?*
- *How can information and capacity gaps be addressed and how can existing international arrangements be further enhanced to foster technology cooperation and transfer? What good practices could be scaled up by international organisations for capacity building?*

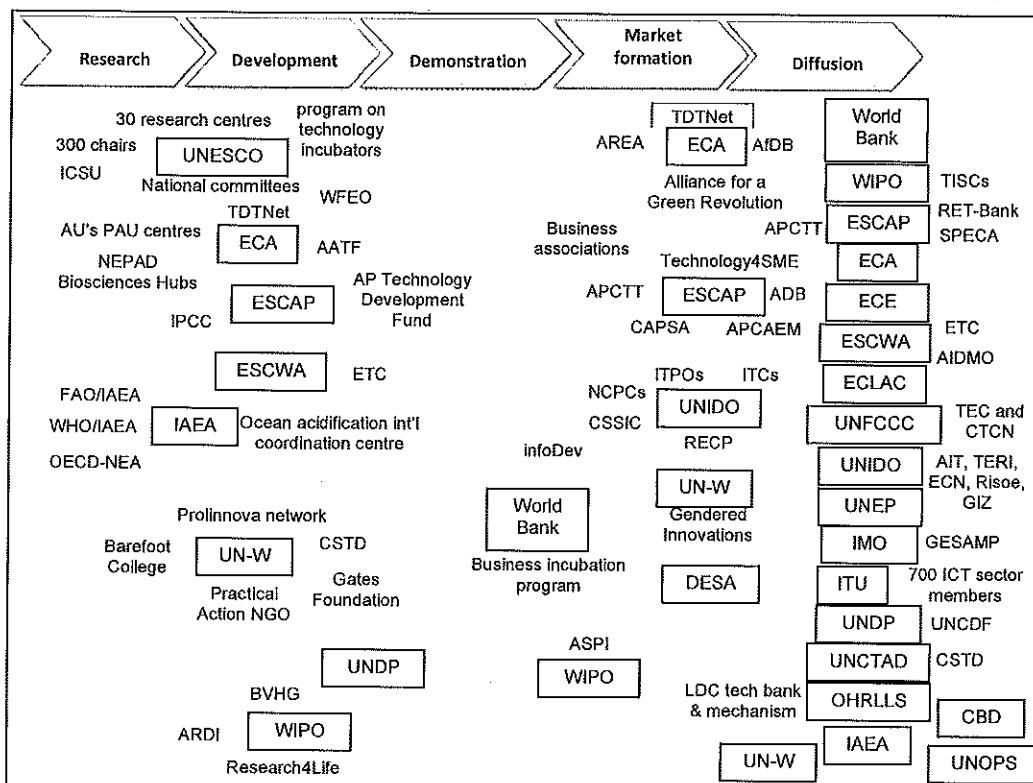
Workshop 4

The way forward: Strengthening the international architecture for environmentally sound technology development, transfer and dissemination

What needs to be improved in the current system of facilitation for clean and environmentally sound technologies?

Figure 1 illustrates existing and planned contributions of, and selected partnerships by, UN entities, as contained in their submissions to the support the Secretary General's report A/67/348 in 2012.

Figure 1 Overview of UN contributions (boxes) and selected partnerships (without boxes).



Source: "Options for a facilitation mechanism that promotes the development, transfer and dissemination of clean and environmentally sound technologies", Report of the Secretary-General, A/67/348, 4 September 2012.

- Are there additional important international initiatives that should be added to Figure 1? What could be done to address concerns about the efficiency and efficacy of the UN system in supporting technology facilitation?
- From the perspective of individual country representatives, which international capacity building or support mechanisms represent good practices that should be replicated or expanded?
- What are the most important gaps in the capacity building activities of UN entities to promote the development, transfer and dissemination of clean and environmentally sound technologies?
- For which technology areas or stages is it most difficult to tap into existing mechanisms for support? More specifically, what is the size and scope of unmet demand for international assistance?
- According to Figure 1, much of international organisations' efforts to foster access to clean technologies in developing countries is concentrated in the market formation and diffusion aspects of innovation. Is there a case for stronger international assistance in the more basic aspects of scientific and research capabilities in developing countries?

What are the preferred options for a facilitation mechanism that promotes the development, transfer and dissemination of clean and environmentally sound technologies?

In response to the UNCTAD (“Rio+20”) outcome, the UN Secretary General – in his report A/67/348 to the General Assembly – proposed options for a facilitation mechanism that promotes the development, transfer and dissemination of clean and environmentally sound technologies, based on inputs from relevant UN entities, see <http://sustainabledevelopment.un.org/index.php?menu=1455>.

Discussions among Member States on the suggested options have led to the present series of Workshops, in order to consider a wider range of views. It should also be noted that recently (16 May 2013), UN Member States and UN entities have been invited to provide further inputs and views on options for a technology facilitation mechanism.

In this context, delegates may wish to consider the following questions:

- *Is there a need for a new and additional mechanism to facilitate the transfer and deployment of clean and environmentally sound technologies? If yes, in what ways should it go beyond existing initiatives?*
- *What global coordination role should it play to strengthen the many ongoing capacity building activities worldwide?*
 - *More specifically, what would be its relationship to other initiatives such as the climate technology centre and networks as well as a possible technology bank for the least developed countries?*
- *What gaps is a new technology facilitation mechanism expected to fill?*
 - *How specifically might it enhance and facilitate access to selected technologies that are deemed to be essential to sustainable development?*
- *What should be the governance mechanism appropriate for such a technology facilitation mechanism?*
- *Is a new mechanism needed at both the global and regional levels?*

Even when a given technology (as machinery or codified knowledge) can be transferred on preferential terms to a developing country, benefiting fully from it in a sustained manner usually depends on the availability of numerous ancillary skills and management capabilities across the economy. It is often the absence of such capabilities that has prevented the development of appropriate technologies in developing countries. This presents decision makers with complementary sets of challenges:

- *What roles could a technology facilitation mechanism play in overcoming the difficulties faced by developing countries in getting right the ancillary aspects of technology uptake, such as access to skills, knowledge and management capabilities, in order to support innovation systems?*
- *What could a technology facilitation mechanism do to overcome the shortages in skills and capabilities over and above general development cooperation frameworks and activities that are underway?*
- *What policies and actions should be prioritised by governments to eliminate distortions in the trade and investment frameworks that might constrain technology transfer?*

Finally, assuming there are identified areas where the existing international architecture is found wanting,

- *how can an international consensus be reached on the facilitation of clean and environmentally sound technology development, transfer and dissemination to developing countries?*