

FORMAT FOR THEMATIC REPORT ON TRANSFER OF TECHNOLOGY AND TECHNOLOGY COOPERATION

The following format for preparing a thematic report on transfer of technology and technology cooperation is a series of questions based on those elements of relevant decisions adopted by the Conference of the Parties, the programmes of work adopted at previous meetings of the Conference of the Parties as well as the recommendations from SBSTTA. The information submitted by the Parties will be compiled to facilitate the consideration of relevant issues at the seventh meeting of the Conference of the Parties. The responses to these questions will also assist with the assessment of the overall status of implementation of the Convention.

It should be noted that for the purpose of the Convention on Biological Diversity, technology here includes biotechnology. Technologies for transfer to other Contracting Parties are those that are relevant to the conservation and sustainable use of biological diversity or make use of genetic resources and do not cause damage to the environment. These technologies will be referred to in the questionnaire as “relevant technologies”. They include technologies and know-how relevant to the identification, characterization and monitoring of ecosystems, species and genetic resources; technologies appropriate for the *in-situ* and *ex-situ* conservation and for sustainable use of biological diversity and its components.

The questions are designed in a way to facilitate completion of the review. In some cases, optional answers are provided and only a tick in one or more boxes is required. In some cases, there is a box after the question for detailed comments and information. There is no limit to the extra pages for the information provided. The Parties are encouraged to provide information as succinct as possible.

This information provided by Contracting Parties will not be used to rank performance between individual Contracting Parties.

In order to assist with the review and synthesis of the information in the reports, respondents are asked to ensure that the further information provided in the box is closely related the preceding questions and is as succinct as possible. This is no set limit on length, but it is anticipated that Parties will be able to provide adequate and useful information in a few pages.

Contracting Parties are also invited to communicate any issues relevant to the provisions of the Convention that have not been addressed by the questions below. The Executive Secretary would also welcome any comments on the adequacy of the questions, and difficulties in completing these questions, and any recommendations on how these reporting guidelines and questions could be improved.

It is recommended that Contracting Parties involve a wide range of stakeholders in the preparation of the report, in order to ensure a participatory and transparent development of such a report. A box is provided to identify those stakeholders who have been involved in this process.

Contracting Parties are requested to submit their thematic reports on transfer of technology and technology cooperation in this format to the Executive Secretary by **30 March 2003**. Parties are requested to submit an original signed copy by post and an electronic copy on diskette or by electronic mail. An electronic version of this document will be sent to all national focal points and this will also be available from the website of the Convention at: <http://www.biodiv.org>

Completed thematic reports and any comments should be sent to:

The Executive Secretary
Secretariat of the Convention on Biological Diversity
World Trade Center
393 St.Jacques Street, Suite 300
Montreal, Quebec, Canada, H2Y 1N9
Fax: 1-514-2886588
Email: secretariat@biodiv.org

Thematic Report on Transfer of Technology and Technology Cooperation

Please provide the following details on the origin of this report.

Contracting Party:	
<i>National Focal Point</i>	
Full name of the institution:	
Name and title of contact officer:	
Mailing address:	
Telephone:	
Fax:	
E-mail:	
<i>Contact officer for national report (if different)</i>	
Full name of the institution:	
Name and title of contact officer:	
Mailing address:	
Telephone:	
Fax:	
E-mail:	
<i>Submission</i>	
Signature of officer responsible for submitting national report:	
Date of submission:	

Please provide summary information on the process by which this report has been prepared, including information on the types of stakeholders who have been actively involved in its preparation and on material which was used as a basis for the report.

Transfer of Technology and Technology Cooperation

Inventory and assessment

1. Has your country developed an inventory of existing technologies or category of technologies, including from indigenous and local communities, for the conservation and sustainable use of biological diversity and its components, in all the thematic areas and cross-cutting issues addressed by the Convention?	
a) no	
b) an inventory under development	
c) an inventory of some technologies available (please provide some details)	
d) yes, a comprehensive inventory available (please provide details)	
2. Has your country assessed the potential impacts of relevant technologies on biological diversity and their requirements for successful application?	
a) no	
b) yes, please give some examples	
3. Has your country carried out an assessment of the needs for relevant technologies?	
a) no (please specify the reasons)	
b) yes, and please specify the needs met and the needs not met for existing technologies and for new technologies	

Implementation of some relevant articles of the Convention, relevant decisions adopted at the previous meetings of the Conference of the Parties and recommendations of SBSTTA

4. In implementing the thematic programmes of work adopted by previous meetings of COP, has your country achieved the outcomes identified in these programmes of work through technology transfer and technology cooperation? (Decisions II/10, III/11, IV/6, IV/7 and V/4)	
a) no	
b) yes, but only a few activities in some programmes	
c) yes, and a wide range of activities in many programmes of work	
d) if yes, please specify these activities and programmes of work	
5. Has your country undertaken technology cooperation with other Contracting Parties that lack the expertise and resources to assess the risks and minimize the negative impacts of introducing alien species? (Decision V/8)	
a) no	
b) yes – please give details below (including types of technology transferred, actors involved, terms for transfer and means of access to technology)	
6. Has your country taken any steps or measures to facilitate transfer of technology to and technology cooperation with other Parties to develop and/or strengthen their capacity to implement the policy, program and practice for sustainable use of biological diversity? (Decision V/24)	
a) no	
b) yes, please specify detailed measures and steps	

7. Could you provide examples or illustrations of benefit-sharing contractual agreements which have included technology cooperation and technology transfer as benefits to be shared? (Article 15)	
a) no	
b) yes	
8. Has your Government taken measures, as appropriate, to ensure, as set out in the Article 16(3) that Contracting Parties providing genetic resources are provided access to and transfer of technology which makes use of those genetic resources? (Article 16)	
a) no	
b) yes, please provide some details	
9. Have the taxonomic institutions in your country taken any initiatives in developing national priorities, both individually and regionally, in new technology? (Decision IV/1)	
a) no	
b) yes, in early stages of development	
c) yes, in advanced stages of development	
d) yes, some initiatives in place and some priorities identified	
e) yes, comprehensive priorities identified	
10. Has your country been involved in technology development and/or transfer for the maintenance and utilization of ex situ collections? (Decision V/26)	
a) no	
b) yes – please give details below (including types of technology transferred, actors involved, terms for transfer and means of access to technology)	
11. Has the clearing-house mechanism in your country been further developed in order to assist in obtaining access to information concerning access to and transfer of technologies? (Decision V/14)	
a) no	
b) yes, please provide some examples	

Role of public and private sectors in technology transfer and technology

12. Do you know of any examples of technology partnerships between public R&D institutions from developing countries and private-sector firms from industrialized countries? If so, to what extent have these partnerships involved	
a) the training of developing country scientists in the application of new technologies for the conservation and utilization of genetic resources	
b) information exchange on new scientific exchange and technological advances	
c) providing various technology components to developing country partner institutions	
d) engaging in joint R&D?	

13. Has your country taken any measures or developed any programmes to encourage the private sector or the public-private partnership to develop and transfer technologies for the benefit of governments and institutions of developing countries, including South-South cooperation?	
a) no	
b) yes, please give details	
14. Have any type of incentives been established in your country to encourage the participation of the private sector in conservation and sustainable use activities as sources of new technologies and potential financiers of conservation programmes?	
a) no	
b) yes, please give details	

Impact of intellectual property rights on technology transfer and technology cooperation

15. Are the technologies your country has accessed or wishes to access in the public domain or covered by intellectual property rights?	
a) public domain	
b) intellectual property rights	
c) both	
16. Have intellectual property rights been a limiting factor in acquiring technologies for the conservation and sustainable use of biological diversity?	
a) no	
b) yes, please provide an example and specify the following: the type of technology sought (hard or soft technology); the area to which it is to be applied (e.g. forest, marine, inland waters, agriculture, etc.)	

Capacity-building for technology transfer and technology cooperation

17. Have adequate institutional structures been established and/or is adequate human capacity available to access relevant technologies, in your country?	
a) no	
b) yes	
18. What, if any, have been the limiting factors in implementing relevant technologies?	
a) institutional capacity	
b) human capacity	
c) others - please specify	
19. Does your country consider that access to information and training or lack thereof has been a limiting factor in access to and transfer of technology?	
a) no	
b) yes, please provide some examples	

20. Has your country been able to identify relevant technologies in specific areas for the conservation and sustainable use of biological diversity in your country?	
a) no	
b) yes, please give details	
21. Has your country developed national policy and established international and national institutions to promote technology cooperation, including through the development and strengthening of technical, human and institutional capabilities?	
a) no (please specify the reasons)	
b) yes, please give some details or examples	
22. Has your country established joint research programmes and joint ventures for the development of technologies relevant to the objectives of the Convention?	
a) no	
b) yes, please give some details or examples	

Measures for facilitating access to and transfer of technology

23. Has your country established the mechanisms and/or measures to encourage and facilitate the transfer of technology to and technology cooperation with other Contracting Parties?	
a) no	
b) yes, please provide some details	
24. Has your country established channels for access to the technologies developed and applied for attaining the objectives of the Convention?	
a) no	
b) yes, please provide detailed information	

Success stories of and constraints to technology transfer and technology cooperation

25. Has your country identified any success stories and opportunities of and constraints to transfer of technology and technology cooperation?	
a) no	
b) yes, please provide detailed information	

Further comments


