



Ref.: SCBD/SEL/ML/GD/68996

1 October 2009

NOTIFICATION

Decision IX/14: Technology transfer and cooperation

Dear Madam/Sir,

In its decision IX/14 on technology transfer and cooperation, paragraph 6, the Conference of the Parties requested the Executive Secretary, in cooperation with relevant partner organizations, to:

- (a) identify options for activities to be included in a prospective Biodiversity Technology Initiative as well as for the structure, functioning and governance of a Biodiversity Technology Initiative; and to
- (b) complete, as necessary, the list of criteria for selecting the host institution of the Biodiversity Technology Initiative, bearing in mind the possibility of the Initiative being hosted by the Secretariat of the Convention;

and to submit the options and the list of criteria to the Ad Hoc Open-ended Working Group on Review of Implementation of the Convention at its third meeting for its consideration.

The attached document has been prepared pursuant to this request. Please refer to section 2. of the document for additional background information. Relevant partner organizations are kindly invited to review the attached document and provide comments and input at their earliest convenience but **no later than 13 November 2009**.

Comments and inputs received will be taken into account in the revision of the document, which will be submitted to the third meeting of the Ad Hoc Open-ended Working Group on Review of Implementation of the Convention, to be held in Nairobi, Kenya, from 24-28 May 2010 for its consideration.

I thank you for your cooperation and continued support to the Convention.

Please accept, Madam/Sir, the assurances of my highest consideration.

Ahmed Djoghlaif
Executive Secretary

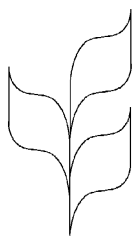
To : Relevant partner organizations



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AD HOC OPEN-ENDED WORKING GROUP ON
REVIEW OF IMPLEMENTATION OF THE
CONVENTION

Third meeting

Nairobi, 24-28 May 2010

Item 7 of the provisional agenda

**FURTHER CONSIDERATION OF THE PROPOSED BIODIVERSITY TECHNOLOGY
INITIATIVE**

Note by the Executive Secretary

DRAFT – PLEASE DO NOT CITE OR QUOTE

1. INTRODUCTION

1. In paragraph 6 of decision IX/14, on technology transfer and cooperation, the Conference of the Parties requested the Executive Secretary, in cooperation with relevant partner organizations, to:

- (a) identify options for activities to be included in a prospective Biodiversity Technology Initiative as well as for the structure, functioning and governance of a Biodiversity Technology Initiative; and to
- (b) complete, as necessary, the list of criteria for selecting the host institution of the Biodiversity Technology Initiative, bearing in mind the possibility of the Initiative being hosted by the Secretariat of the Convention; and to submit the options and the list of criteria to the Ad Hoc Open-ended Working Group on Review of Implementation of the Convention at its third meeting for its consideration.

2. The present note was prepared further to this request. Consultations with xxx were held on a first draft of the present note. Section 2 provides background information related to the potential launching of a Biodiversity Technology Initiative (BTI). Section 3 provides options in designing the BTI, addressing its possible portfolio of activities, structure and functioning. Section 4 provides the requested list of criteria for selecting the host institution; this section also discusses the possibility of the Initiative being hosted by the Secretariat of the Convention.

2. BACKGROUND

3. At its seventh meeting, in February 2004, the Conference of the Parties adopted a programme of work on technology transfer and scientific and technological cooperation, and requested the Executive Secretary to prepare proposals on options to apply institutional, administrative, legislative and policy measures to facilitate access to and adaptation of technologies (decision VII/29, paragraphs 1 and 7). Such proposals were prepared accordingly and submitted to the Conference of the Parties at its eighth meeting, in March 2006, as document UNEP/CBD/COP/8/19/Add.2.

4. The proposals contained in this document *inter alia* noted that “*the example of the Climate Technology Initiative (CTI), which was launched in 1995 by 23 OECD/International Energy Agency member countries and the European Commission to support the technology-related objectives of the United Nations Framework Convention on Climate Change, shows the useful role of such an international network for the effective implementation of provisions on technology transfer*” and suggested that “*Parties may wish to engage in a collaborative effort to establish an international initiative with a view to support the implementation of Article 16 to 19 and the programme of work on technology transfer and scientific and technological cooperation*”. ^{1/}

5. Upon consideration of the proposals, the Conference of the Parties at its eighth meeting requested the Executive Secretary to “*explore possibilities of developing a ‘Biodiversity Technology Initiative’, taking into account the Climate Technology Initiative*” (decision VIII/12, paragraph 15).

6. Pursuant to this request, the Executive Secretary prepared a document contained such an exploration. A first draft of this document was made available to the meeting of the Ad Hoc Technical Expert Group on Technology Transfer and Scientific and Technological Cooperation, which took place in September 2007. The Ad Hoc Technical Expert Group considered the establishment of a Biodiversity Technology Initiative in section VI of its suggested strategy for the practical implementation of the programme of work, ^{2/} noting that committed Parties and organizations that act as champions of technology transfer can play an important role in promoting and supporting the effective implementation of Articles 16 to 19 and the programme of work on technology transfer and scientific and technological cooperation. The example of the CTI would indicate the useful role of such an international network of champions for the effective implementation of provisions on technology transfer. The establishment of a similar ‘Biodiversity Technology Initiative’ would be useful and welcome if effectively contributing to the implementation of the suggested strategy.

7. The Group noted that open questions remain, including on the funding needs, the potential portfolio of activities, and other questions as identified in the draft report, and suggested inviting Parties and relevant organizations to provide their views on these open questions. Such invitations were communicated by the Executive Secretary by notifications and comments received from a number of Parties and the International Environmental Technology Centre of the United Nations Environment Programme (UNEP/IETC) were reflected in the final document, which was submitted to the Conference of the Parties at its ninth meeting as document UNEP/CBD/COP/9/18/Add.1.

8. Document UNEP/CBD/COP/9/18/Add.1 contains a description of the Climate Technology Initiative, addressing its historical background, the evolution of its institutional structure and its host institution agreements, its funding and portfolio of activities. Based on this description, ^{3/} the document explores possibilities for developing a Biodiversity Technology Initiative (BTI), addressing its possible portfolio

^{1/} Document UNEP/CBD/COP/8/19/Add.2, paragraph S7 and rationale.

^{2/} See UNEP/CBD/COP/9/18, annex.

^{3/} Reviews were provided by the chair of the CTI Executive Committee, Mr. Elmer Holt, and the CTI secretariat, and are gratefully acknowledged

of activities and its funding needs as well as possible funding mechanisms and arrangements. It also discusses how to identify a host institution, providing a list of criteria, and how to identify an institution providing secretariat services if different from the former. The document highlights the need for full involvement and participation of developing countries in the Initiative, and also discusses governance issues such as the relationship of the Initiative with the Convention and its bodies, the need for cooperative arrangements with other organizations and conventions, and stakeholders; and the governing body and evaluation of the Initiative. The present note builds on this earlier document.

3. OPTIONS IN DESIGNING A PROSPECTIVE BIODIVERSITY TECHNOLOGY INITIATIVE (BTI)

A. *Portfolio of activities*

9. The activities of the Climate Technology Initiative (CTI) fall into the general – and overlapping – categories of *Technology needs assessments (TNAs)*, *Implementation activities*, *Training courses*, and *Information Dissemination*, and *seminars and symposia*. Most comments received on the earlier document followed the example of the CTI closely, and a portfolio based on the CTI activities, with suitable adaptations in order to reflect the specific needs and circumstances of the Convention, would presumably provide viable options.

10. Adaptation would need to include an adequate reflection of those provisions related to access to and transfer of technology which are specific to the Convention, in particular those pertaining to the fair and equitable sharing of benefits arising out of the utilization of genetic resources (Articles 16 (3) and 16 (4)) as well as 19 (1) and 19 (2), in conjunction with Article 15 (6) and Article 8 (j)). Such reflection would *inter alia* require an adaptation of the list of relevant stakeholders to be engaged in the BTI and its activities, to include for instance indigenous and local communities.

11. It has been underlined in the strategy for the practical implementation of the programme of work ⁴ that technology transfer, in particular in the context of the third objective of the Convention, will not be effective as an on-off and one-way activity, but needs to be embedded in a participatory decision-making process as well as in integrated, long-term scientific and technological cooperation. ⁵ At its ninth meeting, the Conference of the Parties encouraged Parties to engage in South-South technology transfer and cooperation on science, technology and innovation, as well as explore alternative models for triangular, regional or multilateral cooperation, as complementary mechanisms to North-South activities. ⁶ These provisions provide entry points for putting emphasis, in the activity portfolio of the BTI, on, *inter alia*, the promotion of international research cooperation.

Support technology needs assessments

12. The Biodiversity Technology Initiative could provide, in collaboration with the GEF and its implementing agencies ⁷ as well as other relevant organizations and stakeholders, technical assistance to developing countries and countries with economies in transition in carrying out *technology needs assessments*. This could include the training on TNA methods, including workshops, the development of relevant materials, and the dissemination of experiences and of information on lessons learned and best practices:

⁴ Decision IX/14 Annex.

⁵ Ibid., paragraph 4.

⁶ Decision IX/14, paragraph 13.

⁷ At its ninth meeting, the Conference of the Parties requested the Global Environment Facility to provide support to developing country Parties in the preparation of national assessments of technology needs for implementation of the Convention. See decision IX/14, paragraph 14.

- (a) Capacity-building for biodiversity-related technology needs assessments;
- (b) Technical assistance to countries carrying out needs assessments;
- (c) Development of methodological approaches to technology needs assessments in partnership with relevant international organizations;
- (d) Exchange of experiences about successful approaches to conducting technology needs assessments;
- (e) Facilitating interaction between governments, agencies and relevant international organizations on technology needs assessments.

13. One concrete activity under sub-paragraph (c) above could be the development of a handbook providing clear and practical advice on how to carry out biodiversity-related technology needs assessments. This work could be based on a suitable revision of the Technology Needs Assessment handbook for climate change, prepared by UNEP-GEF in cooperation with the CTI. ⁸

Support implementation activities

14. The BTI could facilitate the actual transfer of relevant technologies, that is, according to Article 16(1) of the Convention, technologies that are relevant to the conservation and sustainable use of biodiversity or make use of genetic resources and do not cause significant harm to the environment. The transfer of these technologies, identified during the technology needs assessment process, could be supported through a variety of activities, including:

- (a) Based on outcomes from the technology needs assessment process, identifying priority technology sectors in partnership with developing countries and countries with economies in transition, research institutions and relevant stakeholders including the private sector, as well as indigenous and local communities; ⁹
- (b) Undertaking active match-making between potential technology providers, recipients, and, as needed, relevant funding institutions, with a view to fast-track financing and access by developing countries to relevant technologies in the public domain, the transfer and application of which does not involve intellectual property rights issues; ¹⁰
- (c) Implementing other targeted activities in selected priority sectors with a view to foster access to and transfer of technology, including by promoting collaborative research and the development of biotechnology-based industries in biodiversity-rich countries, by catalysing or facilitating the establishment of research alliances or consortia, joint ventures, or twinning arrangements;
- (d) Evaluating activities, and disseminating lessons learned, to inform pertinent activities in other regions and sectors;
- (e) Based on an exchange of practical experiences and lessons learnt, and in accordance with identified needs, develop voluntary guidance for identifying and removing barriers to

⁸ See document UNEP/CBD/COP/8/19 for further discussion.

⁹ This could for instance include biological resources, including biomass, and their possible application in sectors such as energy, health, agriculture, livestock, industry, and the environment.

¹⁰ See decision IX/14, paragraph 9.

technology transfer, and for promoting an enabling environment for technology transfer and scientific and technological cooperation, both in providing and in receiving countries. This could include identifying good practices for the transfer of relevant technologies on a fair and most favourable basis, according to the requirements of the Convention, ¹¹ as well as work on, for instance, biosecurity, bioethics, intellectual property rights, and licensing technology.

15. As part of its work under sub-paragraph (e) above, the BTI could be instrumental in enhancing policy coherence. For instance, the BTI could promote that technology issues need are adequately addressed in Parties' national biodiversity strategies and action plans as well as in their national development plans such as poverty reduction strategies. Within developed countries, coherence could be enhanced for instance with other instruments of technical assistance and technology transfer, such as those under official development assistance (ODA) activities, in order to avoid duplications and facilitate synergies.

16. It is noteworthy, in particular with regard to activity (a) above, that the Climate Technology Initiative has a strong focus on energy efficiency-enhancing technologies – an important component of technologies for mitigation of climate change. This subset of technologies has the important advantage that it is tangible and readily identifiable. In contrast, many technologies that are relevant for the Convention, and in particular technologies that are relevant to the conservation and sustainable use of biodiversity, are broad and not readily identifiable. Technologies that make use of genetic resources are readily identifiable and, if considerations were made to put focus on these technologies, the linkages to the international regime on access and benefit sharing would need to be carefully taken into account. In light of these considerations, achieving activity (a) above would presumably be challenging, but will also be of particular importance.

Capacity-building and training

17. The BTI could organize training courses, on national or regional levels, in cooperation with relevant international organizations and with a focus on the special requirements and circumstances of countries. Specific activities could include:

- (a) Capacity-building for technology needs assessment;
- (b) Exchange and dissemination of information on relevant technologies and their application;
- (c) Exchange of experiences, including good practices, and capacity building on the establishment of enabling environments or certain aspects thereof, as appropriate to the circumstances of the region and/or the country;
- (d) Professional education and training, for instance on systematics, taxonomy, genomics (structural and functional), proteomics, and metabolomics, and germplasm banks.

Information Dissemination

18. Through its activities, the BTI could facilitate the exchange and dissemination of relevant information among Governments, industry, research institutions, relevant international organizations, other stakeholders and indigenous and local communities, in order to support the transfer and adaptation of relevant technologies. This could take place through the organization of workshops and symposia (see next section), the dissemination of pertinent publications, and the establishment, in close coordination with the clearing house mechanism of the Convention, of electronic means of information exchange.

¹¹ See Article 16 (2).

Workshops, symposia, and other meeting

19. The BTI could organize a programme of seminars and workshops designed to promote and facilitate the access to and transfer of technologies of relevance to the Convention, and the development of scientific and technological cooperation. The BTI could also organize side events at CBD events to share experiences and lessons learned from pertinent activities. Such meetings would be an important means of implementing the activities outlined above, in particular on capacity-building and training, and on information dissemination.

20. Such meetings would be organized with the active participation of relevant agencies/centers, the private sector, universities, research institutions, international organizations, financial institutions, other stakeholders, and indigenous and local communities, and would initiate or strengthen networking between these actors, for collaborative activities on relevant technologies.

21. The BTI could also facilitate specifically arranged technology transfer fairs and/or match-making events in conjunction with meetings under the Convention on Biological Diversity.

B. Structure*Degree of independence and participation of developing countries and countries with economies in transition*

22. The Climate Technology Initiative (CTI) is a voluntary initiative of nine members of the Organization for Economic Cooperation and Development (OECD) for supporting the work on technology transfer under the UNFCCC. The CTI is governed by an Executive Committee, composed of representatives from each of the CTI's Member countries. While independent from the UNFCCC, the CTI works closely with the UNFCCC process, including its Secretariat and the Expert Group on Technology Transfer (EGTT), as well as with relevant Implementing Agreements of the International Energy Agency (IEA) and other international organizations or initiatives.

23. An important issue to consider is whether and to what extent the proposed BTI would be independent from the Convention and its bodies. One option is to adhere to the model of the CTI and establish the BTI as an independent initiative, which would be open to all interested Parties on a voluntary basis on the clear understanding that the mandate of the BTI, as an initiative to support technology transfer and scientific and technological cooperation, would be of a limited and voluntary nature.

24. It could also be considered whether to open membership at some level to institutions as well, for instance, research institutions, civil society organizations, or international organizations. Membership for private sector participants would also provide an opportunity for private sector financial support, either through membership contributions or other arrangements.

25. The comments of Parties on the earlier document reflected a desire for the active participation of developing countries, with several submissions advising that the BTI should be structured in a way to be able to address developing countries' specific needs and their national biodiversity strategy and action plans. As explained above, such consideration is particularly important in light of the third objective of the Convention and the provisions of Article 16, paragraph 3, Article 19, paragraphs 1 and 2, and Article 15, paragraph 6, and the subsequent promotion of collaborative research and joint venture projects in developing countries.

26. Several, not mutually exclusive, options can be identified to address this aspect.

- (a) Membership status is tied to the issue of funding. In order to alleviate the financial burden associated with membership, a differentiated payment schedule could be established for developing countries and countries with economies in transition (see next section for further discussion);
- (b) In addition to an Executive Committee consisting of member representatives which would be responsible for the day-to-day management of the BTI, a strong steering committee or advisory body could be established which would guide the BTI on programmatic issues and, in particular, would ensure that the BTI addresses the needs and circumstances of developing countries. This body could be composed of representatives of developed and developing countries as well as countries with economies in transition, international organizations, research institutions, the private sector, other stakeholders, and the SCBD.

27. Another option is to move the BTI closer to the Convention and its bodies. This could include, for instance:

- (a) a reporting obligation of the BTI to the Conference of the Parties;
- (b) the provision of strategic guidance to the BTI by the Conference of the Parties. In this case, the role of the steering committee or advisory board could be to complement and further specify the advice provided by the conference of the Parties;
- (c) the hosting of the BTI by the Secretariat of the Convention. In this case, the day-to-day management would be undertaken by the Executive Secretary, based on the guidance from the Conference of the Parties and the advice provided by the steering committee/advisory board (which could then also include member representatives).

28. All options will require the active engagement of committed Parties and organizations that act as champions of technology transfer and would provide both financial and capacity support to the BTI and the implementation of its portfolio of activities. ¹²

Hosting arrangements

29. Starting in 1996, the International Energy Agency (IEA) hosted the Climate Technology Initiative CTI on a temporary basis, with CTI activities being part of the IEA programme of work, funded largely by voluntary contributions. In 2002, the IEA Governing Board determined that the levels of firm member-country commitment and dedicated financial resources were not sufficient to warrant a designation as a ‘special activity’ of the IEA. The CTI was subsequently reorganized as an IEA Implementing Agreement, the difference being that as a “special activity”, the CTI would depend on the IEA Secretariat as the “operating agent”, rather than an outside entity. The International Center for Environmental Technology Transfer (ICETT) in Japan ¹³ was named to serve as the CTI’s secretariat.¹⁴

30. The specific institutional arrangement of the CTI is consistent with its focus on climate and energy technologies. While not amenable to a direct emulation by a prospective “Biodiversity Technology Initiative” (BTI), the arrangement seems to generally indicate that it is useful to identify a strong “umbrella” organization that can act as institutional host. However, the specific arrangements for

¹² The important role of such champions was also underlined in the strategy for the practical implementation of the programme of work on technology transfer and scientific and technological cooperation, which was developed by the Ad hoc Technical Expert Group on Technology Transfer and Scientific and Technological Cooperation. See decision IX/14 Annex, paragraph 30.

¹³ www.icett.or.jp

¹⁴ See document UNEP/CBD/COP/9/18/Add.1

hosting the BTI would need further exploration of the specific statutes and governance structure of the potential host, in order to ascertain whether they provide sufficient flexibility for hosting the BTI. One potentially important issue is that not all Parties which are members of the host institution may be members of the BTI, and there would then be a need to explore::

- (a) Whether it is generally possible to establish the BTI as an activity of only a sub-set of members (and possibly non-members) of the host institution;
- (b) Whether, further to (a), the host institution can provide secretariat services to the BTI;
- (c) Whether suitable funding arrangement can be made; for instance, if a decision is made to operate the BTI with new and additional funds, whether it is administratively feasible to establish a special fund to operate the BTI under the umbrella of the host institution.

31. Section 4 below provides a discussion on, and a list of criteria for, selecting the host institution.

C. Functioning

Funding mechanisms

32. Core funding for the BTI could be provided by mutually agreed annual membership fees. In order to alleviate the financial burden for developing countries and countries with economies in transition associated with membership in the BTI, fees could be differentiated in accordance with levels of development.

33. Additional funding and capacity could be mobilized through:

- (a) Additional voluntary contributions for specific activities, both from members and non-members as well as from relevant international organizations and initiatives and stakeholders, including the private sector;
- (b) Close cooperation with other initiatives and/or programmes which work on the formation and training of human resources, and/r on scientific and technological cooperation and the transfer of technologies which are relevant to the Convention;
- (c) In-kind arrangements like the hosting of meetings, temporary secondments of staff, etc., both by members and non-members;
- (d) Financial support for official representatives to attend meetings and workshops.

34. Several comments from Parties highlighted the limited nature of a prospective BTI. Funding on a scale comparable to the CTI would not be able to satisfy the need for biodiversity technology transfer, including because new technologies, in particular biotechnologies, are mostly proprietary products of private sector actors, and their transfer would carry high price tags, in addition to the further additional research effort needed to assess and adapt them to local conditions and to the needs of local communities. Recognition of this limited nature of the prospective BTI would be important.

Cooperative arrangements

35. As noted above, earlier comments emphasized the importance of collaborative efforts with other organizations and initiatives as well as stakeholders: firstly, because technology transfer is typically embedded in a long-term process of scientific and technological cooperation; and secondly, because it would also mobilize additional resources as well as create synergies with existing activities and processes. In fact, one important function of the BTI could be to nurture a network of champions which

promote scientific and technological cooperation and the transfer of technologies which are of relevance to the Convention, including research institutions and the private sector.

36. Coordination of activities is an important element of cooperation with other organizations and processes. For instance, BTI activities could be held, whenever appropriate, in conjunction with meetings and events of the Convention. The BTI could also seek to cooperate with the UNFCCC and the CTI, for instance, in the area of technologies of joint interest.¹⁵

D. Governance

37. As explained under sub-section B. above, the governance of the BTI will be tied to its degree of independence from the Convention and will also depend on how to best involve developing countries and countries with economies in transition.

- (a) In case of an independent BTI, an Executive Committee consisting of member representatives could be established which would be responsible for the day-to-day management of the BTI;
- (b) In addition, a steering committee or advisory body could be established which would guide the BTI on programmatic issues and, in particular, would ensure that the BTI addresses the needs and circumstances of developing countries. This body could be composed of representatives of developed and developing countries as well as countries with economies in transition, international organizations, research institutions, the private sector, other stakeholders, and the SCBD.
- (c) If the BTI were given strategic guidance by the Conference of the Parties, the role of the steering committee or advisory board could be to complement and further specify the advice provided by the conference of the Parties;
- (d) If the BTI were hosted by the Secretariat of the Convention (see discussion below), the day-to-day management would be undertaken by the Executive Secretary. Strategic guidance would then be provided by the Conference of the Parties, which could be further specified by advice provided by the steering committee/advisory board (which could in this case also representatives from those Parties and organizations providing funds for the BTI).

38. Following the example of the CTI, the BTI could be evaluated periodically in order to determine whether it is achieving its goals of improving technology transfer. How this evaluation is to be carried out and by whom could be dependent on how the BTI is hosted and funded at the time of evaluation. For instance, if the BTI were to be hosted by the Secretariat of the Convention and, accordingly, would operate under United Nations rules and regulations, such evaluations could be part of the periodical evaluations by the Joint Inspection Unit.

4. LIST OF CRITERIA FOR SELECTING A HOST INSTITUTION

39. As requested by decision IX/14, this section provides a list of criteria for selecting the host institution of the BTI. The rationale provided for each criterion is based on the analysis of the previous section.

- (a) The host institution should hold relevant technical capacity and expertise on the Convention, and should have in particular concrete experiences in the transfer of relevant technologies and in scientific and technological cooperation as related to the Convention.

¹⁵ Ibid.

Rationale: The BTI will provide support to implementing the provisions on technology transfer and scientific and technological cooperation for the Convention. In light of this overall objective and the options on a possible portfolio of tasks, as outlined above, a host institution which would meet these criteria could start activities in a short time frame and with relatively little additional resources.

- (b) The host institution should have a sound knowledge of the pertinent needs and circumstances of developing countries and countries with economies in transition.

Rationale: It has been underlined that technology transfer under the Convention should be a country-driven and demand-driven process. ¹⁶

- (c) The host institution should provide access to a strong international network of relevant experts and partner institutions.

Rationale: In conjunction with (a), this would enable the host institution to synergize with existing work of other organizations and initiative, and mobilize relevant expertise. It would also be an important precondition for being able to forge new partnerships, which would be a critical activity for advancing scientific and technological cooperation.

- (d) The host institution should have high convening power.

Rationale: As explained above, forging partnerships by bringing people together is an important element in a possible portfolio of tasks, and convening power will be important for effectively undertaking this activity. A high reputation and impartiality are important determinants of convening power.

- (e) The host institution should provide sufficient institutional flexibility to enable the establishment of a Biodiversity Technology Initiative under its umbrella.

Rationale: This criterion would be important if candidates under consideration in light of the previous criteria would be multilateral organizations, and the prospective membership of the BTI would not correspond to the membership of the host organization.

Hosting of the BTI by the Secretariat of the Convention

40. In decision IX/14, paragraph 6, the Conference of the Parties requested, when completing the list of criteria for selecting the host institution of the Biodiversity Technology Initiative, to bear in mind the possibility of the Initiative being hosted by the Secretariat of the Convention. This sub-section responds to this request by assessing the profile of the Secretariat against the criteria set out above.

- (a) The Secretariat holds relevant technical capacity and expertise on the Convention, including on its provisions and programme of work on technology transfer and scientific and technological cooperation. It is familiar with the various aspects of the topic. As the Secretariat services a global intergovernmental process on various areas and programmes of work, many of which are not directly related to the transfer of technology and scientific and technological cooperation, it has however only limited concrete and practical experiences in the actual transfer and adaptation of specific technologies and in promoting scientific and technological cooperation as related to the Convention.

¹⁶ Decision VII/29 Annex, paragraph 2 (programme of work on technology transfer and scientific and technological cooperation); decision IX/14 Annex, paragraph 5 (strategy for the implementation of the programme of work).

- (b) The Secretariat has a sound overview of the general needs and circumstances of developing countries and countries with economies in transition as related to the transfer of relevant technologies and to scientific and technological cooperation, although it may not necessarily have detailed knowledge on the specific needs and circumstances of individual countries.
- (c) The Secretariat could build on its large network based on Parties' National Focal Points for the various work areas under the Convention, and in particular on the network established through the earlier work in designing and implementing the programme of work on technology transfer and scientific and technological cooperation, including the work of the Ad hoc Technical Expert Group on Technology Transfer and Scientific and Technological Cooperation, which convened in September 2007.
- (d) Servicing a United Nations intergovernmental process of 193 Parties, the Secretariat holds high convening power on matters related to the three objectives of the Convention.
- (e) As per pertinent decisions of the Conference of the Parties, the funding for the Biodiversity Technology Initiative could be established as a budget line either under the BY trust fund (core budget) or the BE trust fund (voluntary contributions), and needed posts could be established as L-position. Hence, the institutional flexibility would in principle be given. ¹⁷

41. This overall assessment shows that the Secretariat would in principle be able to host the Biodiversity Technology Initiative. In light of the central role of the Secretariat as coordinator on biodiversity issues among international organizations, it could play a similar role with regard to the BTI, if a decision were made to move the BTI more closely under the Convention process. However, the assessment against criteria (a) and (b) also points to limitations. The Secretariat assists in implementing large number of programmes of work, including 7 thematic work programmes and 18 work programmes on various cross-cutting issues, as well as providing support to a number of implementation mechanisms. Many of those work streams are not directly related to the issues of technology transfer and scientific and technological cooperation and, as a consequence, the BTI when hosted by the Secretariat could only rely on limited in-house synergy.

42. At present, the Secretariat does not have the capacity to host the BTI and provide secretariat services. Effective hosting and provision of secretariat support in light of the possible portfolio of activities provided above would require the establishment of one to two professional posts (at L-3 or L-4 levels, with exact numbers and levels depending on the exact configuration of the agreed portfolio of activities), as well as one general service post (at G-7 level). It would also require the establishment of an operating budget in the same order of magnitude as the budget of the Climate Technology Initiative, as well as a commitment by supporting Parties, organizations and stakeholders to provide diverse in-kind contributions as outlined above. ¹⁸

¹⁷ The establishment of the Life Web Initiative may provide an example where similar arrangements were made. See <http://www.cbd.int/lifeweb/> .

¹⁸ Member contributions to the CTI in 2008 totalled 654,130 Euro, plus diverse in kind contributions and a minimum core contribution of 10,000 Euro per Member for communications and outreach. See the CTI Annual Report 2008, available under <http://www.climatech.net/publications/> .