

**UNITED NATIONS CONFERENCE ON TRADE AND DEVELOPMENT**  
**Geneva**

**TAXATION AND TECHNOLOGY  
TRANSFER: KEY ISSUES**

**ANNEX**



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## ANNEX

### UNCTAD's work in the area of technology transfer and intellectual property rights ([www.unctad.org/tot-ip](http://www.unctad.org/tot-ip))

Responding to mandates received from member States at UNCTAD XI in São Paulo and from the Bangkok Plan of Action, the UNCTAD secretariat is implementing a transfer of technology and intellectual property rights (TOT-IP) work plan under its international arrangements programme (covering issues related to investment as well as technology and IP). The TOT-IP initiative seeks to help developing countries participate effectively in international discussions on TOT and IP, and to identify policy options for successfully integrating developing countries into the world economy. The programme conducts research and policy analysis, technical assistance and policy dialogues with negotiators, diplomats and policy makers.

#### A. Work in the area of technology transfer

The TOT study series addresses government officials, international organizations and agencies, and researchers. It draws lessons from successful experiences with technology transfer and diffusion in developing countries and the effectiveness of the different modes of TOT.

- ***Case studies on TOT in developing countries.*** UNCTAD's series *Transfer of Technology for Successful Integration into the Global Economy* consists of a number of case studies on TOT issues in individual industries in selected developing countries. The series includes studies on the aircraft, automotive, automobile components, electronics, pharmaceutical and salmon fish industries in selected developing countries. These studies draw lessons from successful experiences with the transfer and diffusion of technology through various channels.
- ***Home-country measures in promoting TOT.*** The paper presents an overview of initiatives and measures as well as incentives provided to industry and public institutions in developed countries to facilitate TOT to developing countries. It covers measures that promote TOT through investment, training, matchmaking services, financing and development of the technological absorptive capacity of developing countries.
- ***Compendium of international TOT arrangements.*** To provide an overview of existing technology-related provisions in international instruments, UNCTAD has compiled a *Compendium of International Arrangements on Transfer of Technology: Selected Instruments*. This compendium contains a selection of TOT-related provisions drawn from international instruments. It includes relevant excerpts from international instruments at the multilateral, regional, interregional and bilateral levels. The technology-related provisions in such instruments follow different approaches, depending on the purpose of the instrument. They all aim at promoting access to technologies. In some cases they also seek to foster the development of local capabilities in developing countries, particularly least developed countries.
- ***Providing substantive input to the Working Group on Trade and Transfer of Technology.*** At the request of members, UNCTAD has been providing substantive

input to the WTO Working Group and the Like-Minded Group through presentation of its studies on TOT.

## **B. Work in the area of intellectual property rights**

The UNCTAD-ICTSD<sup>46</sup> Project on Intellectual Property Rights and Sustainable Development addresses the concerns voiced by developing countries with respect to implementation of the TRIPS Agreement and new developments brought about in the area of IPRs by multilateral treaties and regional and bilateral free trade agreements.

The project aims to improve understanding of the development implications of IPRs and facilitate informed participation in ongoing multilateral, regional and bilateral negotiations, as well as assisting national authorities in the implementation and adoption of forward-looking IPRs policies.

The project consists of three interrelated components:

**1. Policy-oriented interdisciplinary research.** Highlights of the project's research outputs include:

- *A Resource Book on TRIPS and Development* providing a development-oriented analysis of each provision of the TRIPS Agreement, taking into account economic and social implications and IPRs trends in non-WTO forums. The entire book is available on the project website and was published in a revised version by Cambridge University Press in 2004.
- Series on various topical IPRs issues, including studies on TOT, public health, geographical indications, nutrition, traditional knowledge, TRIPS-plus in bilateral and regional agreements, technical assistance, innovation, competition and computer software.
- *A Policy Discussion Paper: Intellectual Property Rights: Implications for Development*, a synthesis of the main issues to help policy makers, stakeholders and the public in developing and developed countries understand the development impact of IPRs and different policy positions regarding TRIPS.

**2. Enhancing policy formulation.** The project places considerable emphasis on helping developing countries enhance IP policy formulation by establishing and supporting networks. The overall objective is to facilitate the emergence of a critical mass of well-informed stakeholders that could play an active role in future policy making.

- *At the international levels*, the project has convened a series of dialogues involving key policy makers and stakeholders at the Rockefeller Foundation facilities in Bellagio, Italy, in order to build and promote a development-oriented agenda on IPRs.
- *At the regional and national levels*, the project works closely with selected centres of excellence based in established universities and research institutions in developing

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<sup>46</sup> International Centre for Trade and Sustainable Development.

countries, as well as with NGOs, the media and parliamentarians. The main means of collaboration are joint research and regional dialogues, which draw *inter alia* on the existing and ongoing research described above.

**3. Outreach and dissemination.** Outreach and dissemination are carried out both through traditional channels and, in particular, through continuous updating and maintenance of the project website. Regular informal encounters with stakeholders in Geneva are organized to continue raising awareness and to keep Geneva-based delegations informed of the project's activities, including the regional dialogues.

Since 2001, the project has benefited from the financial support of the Department for International Development (United Kingdom), the Swedish International Development Cooperation Agency and the Rockefeller Foundation.