

Decisions adopted by the fourth meeting of the Conference of the Parties

BRATISLAVA, SLOVAKIA, 4–15 MAY 1998

DECISION IV/1 | Report and recommendations of the third meeting of the Subsidiary Body on Scientific, Technical and Technological Advice, and instructions by the Conference of the Parties to the Subsidiary Body on Scientific, Technical and Technological Advice

A. Report and recommendations of the third meeting of the Subsidiary Body on Scientific, Technical and Technological Advice

The Conference of the Parties,

Recalling its decision III/2, which, *inter alia*, noted recommendation II/11 of the Subsidiary Body on Scientific, Technical and Technological Advice and decided to consider the recommendation further at its fourth meeting as part of the longer term review of the programme of work and the operations of the Conference of the Parties and subsidiary organs,

Also recalling its decision III/10 on identification, monitoring and assessment,

Further recalling past practice of noting the reports of the Subsidiary Body on Scientific, Technical and Technological Advice,

1–3. [RETIRED as per decision VII/33, paragraph 1],

4. *Proposes* that further work on indicators by the Parties and by the Subsidiary Body on Scientific, Technical and Technological Advice should take account of, *inter alia*, further work by the Subsidiary Body on Scientific, Technical and Technological Advice on the development of the ecosystem approach;

Identification monitoring and assessment

5. [RETIRED as per decision VII/33, paragraph 1];

6. *Decides* to transmit those recommendations to the Subsidiary Body on Scientific, Technical and Technological Advice for further consideration and use and encourages the Subsidiary Body on Scientific, Technical and Technological Advice to further cooperate with DIVERSITAS and with other relevant international, regional and national organizations and institutions on such issues.

B. Ecosystem approach

The Conference of the Parties,

Recognizing that in several decisions adopted at the third meeting of the Conference of the Parties the ecosystem approach has been addressed as a guiding principle, although the terminology used has varied, including: “ecosystem approach”, “ecosystem process-oriented approach”, “ecosystem management approach” and “ecosystem-based approach”,

Acknowledging that, by paragraph 1 of its decision II/8, the ecosystem approach has been adopted as a framework for the analysis and implementation of the objectives of the Convention on Biological Diversity, and in the elaboration and implementation of the various thematic and cross-cutting work programmes under the Convention, as appropriate,

Acknowledging the need for a workable description and further elaboration of the ecosystem approach,

1–2. [RETIRED as per decision VII/33, paragraph 1].

C. Alien species that threaten ecosystems, habitats or species

The Conference of the Parties,

Noting the significant adverse ecological and economic effects of certain alien species on biological diversity and human health,

Recalling that the Subsidiary Body on Scientific, Technical and Technological Advice, at its second meeting, considered the development of an indicative framework of processes and categories of activities that are likely to have significant adverse impacts on biological diversity to be a priority,

Recalling paragraphs 9 and 10 of its decision III/9, on the implementation of Articles 6 and 8 of the Convention, which address alien species that threaten ecosystems, habitats or species,

Recalling recommendations III/1, III/2 and III/3 of the Subsidiary Body on Scientific, Technical and Technological Advice, related to alien species as they affect inland water, marine and coastal, forest and agricultural biological diversity respectively in accordance with decisions II/10, III/11, III/12 and III/13 of the Conference of the Parties,

Recognizing the particular endemic biological diversity of geographically and/or evolutionarily isolated ecosystems, such as small islands, and the particularly damaging impacts, in terms of biological-diversity loss, that species introduction can have on such ecosystems,

Noting the importance of taking a precautionary and ecosystem approach when dealing with issues related to alien species,

Noting the need to address the issue of alien species as an integrated component of the various sectoral and thematic items under the programme of work of the Conference of the Parties,

Recognizing that there is also a need for complementary and consolidated action on alien species,

1. *Decides* that alien species is a cross-cutting issue for implementation of many of the themes of the Convention;
2. [RETIRED as per decision VII/33, paragraph 1];
3. *Invites* Parties to develop country-driven projects at national, regional, sub-regional and international levels to address the issue of alien species and *requests* the financial mechanism to provide adequate and timely support for those projects;
4. *Invites* the Parties to address the issue of alien species for the conservation and sustainable use of biological diversity and to incorporate such activities into their national strategies, programmes and action plans;
- 5–6. [RETIRED as per decision VII/33, paragraph 1].

D. Global Taxonomy Initiative

The Conference of the Parties,

Noting decision III/10, supporting a Global Taxonomy Initiative, and the activities being supported by the financial mechanism on taxonomy,

Recognizing the need for taxonomic input in many activities aimed at the conservation and sustainable use of biological diversity and the lack of taxonomic capacity in a majority of countries,

Recalling that paragraph 3 of decision III/10, in which the Conference of the Parties endorsed the recommendation II/2 of the Subsidiary Body on Scientific, Technical and Technological Advice concerning capacity-building for taxonomy through a Global Taxonomy Initiative,

Taking into account the urgency for the availability of taxonomic information to countries of origin, and the need of developing countries to develop national collections and human and institutional capacities in taxonomy,

1. [RETIRED as per decision VII/33, paragraph 1];
2. *Stresses* the urgent need for the further implementation of recommendation II/2 of the Subsidiary Body on Scientific, Technical and Technological Advice concerning capacity-building in all fields of taxonomy to assist in the implementation of the Convention, through the incorporation of targeted actions in its workplan, including promoting regional activities to set regional agendas;
3. [RETIRED as per decision VII/33, paragraph 1];
4. *Recognizes* that the implementation of a Global Taxonomy Initiative should occur on the basis of country-driven projects at the national, regional and sub-regional levels;

5. *Invites* the United Nations Environment Programme to assist in the global implementation of a Global Taxonomy Initiative, as offered by the Executive Director in his address to the Conference of the Parties at its fourth meeting;
6. *Encourages* Governments to make available appropriate resources to enhance the availability of taxonomic information;
7. *Encourages* Governments to develop bilateral and multilateral training and employment opportunities for taxonomists, particularly for those dealing with poorly known organisms;
8. *Stresses* the need to consider indigenous and traditional knowledge as an important existing information source that should be taken into account, and made available through appropriate mechanisms;
9. *Stresses* the urgent need for adequate financial resources to implement a Global Taxonomy Initiative and *requests* the institutional structure of the financial mechanism of the Convention to provide financial resources, particularly to assist in implementing, through country-driven activities within the context of the operational programmes of the Global Environment Facility, the Suggestions for Action annexed to the present decision.

ANNEX

SUGGESTIONS FOR ACTION

1. The Executive Secretary should, as a matter of urgency, seek means outside of core funding of the Convention, to appoint a Programme Officer with appropriate operational resources to have responsibility for the further development of a Global Taxonomy Initiative, through the network of existing global, regional and national relevant institutions and organizations. The officer should especially coordinate actions to meet the need, recognized by the meeting, for each country to conduct a national taxonomic needs assessment, and to link to national reporting under the Convention on Biological Diversity and immediately coordinate a global directory of taxonomic expertise and biological collections. This information resource should be made available in both electronic and paper form.
2. Parties and authorities responsible for museums and herbaria should invest, on a long-term basis, in the development of appropriate infrastructure for their national collections. As part of that investment, donors, both bilateral and multilateral, in their commitment to the conservation and sustainable use of biological diversity in countries where they provide investment support, should support infrastructural needs of collection-holding institutions.
3. Parties and international donors should encourage partnerships between institutions in developed and developing countries so as to promote scientific collaboration and infrastructure rationalization. Such collaboration should include the development of national, subregional, regional and global training initiatives. Taxonomic institutions in each nation, both individually and regionally, should develop national priorities in taxonomic training, infrastructure, new technology, capacity-building and market needs.

4. Parties and authorities should adopt internationally agreed levels of collection housing (climate control, fire protection systems, pest control, acceptable levels of workplace health and safety) that ensure protection of collections and the well-being of all people working on and accessing collections.
5. Parties and international donors should provide training programmes at different educational levels, relevant to the needs of individual countries, including vocational, technical and academic training. Parties should also recognize that ongoing employment for trainees is part of an effective training scheme.
6. Parties and authorities should utilize information systems to maximum effect in taxonomic institutions. In developing priority-setting criteria for information products, taxonomic institutions should consider the needs of the wide range of users of that information, including biological diversity managers. In particular, taxonomic information, literature and checklists should be put into electronic form.
7. Parties to the Convention on Biological Diversity should report on measures adopted to strengthen national capacity in taxonomy, to designate national reference centres, and to make information housed in collections available to countries of origin.
8. Institutions, supported by Parties and international donors, should coordinate their efforts to establish and maintain effective mechanisms for the stable naming of biological taxa.
9. Governments members of the Organization for Economic Cooperation and Development (OECD) should endorse and support the recommendations from the OECD Megascience Forum's Biodiversity Informatics Subgroup, regarding the development of a Global Biodiversity Informatics Facility (GBIF) to allow people in all countries to share biological diversity information and to provide access to critical authority files.

Implementing the actions

10. The Executive Secretary should ensure that the clearing-house mechanism (in collaboration with the OECD Megascience Forum's Biodiversity Informatics Subgroup Initiative) develop protocols and strategies for coordinating access to and distribution of taxonomic information contained in collections. In addition, the clearing-house mechanism, through its national focal points, should establish and update directories of taxonomists and their research and identification expertise.

11. In addition, Parties should:

- (a) Ensure that institutions responsible for biological diversity inventories and taxonomic activities are financially and administratively stable, so as to have potential for continued and growing training and employment opportunities;
- (b) Assist institutions to establish consortia to conduct regional projects;
- (c) Select or use centres of expertise at different geographical levels, capable of offering training programmes individually or in combination, where such centres include universities, museums, herbaria, botanical and zoological gardens, research institutes and international or regional organizations;

- (d) Give special attention to international funding of fellowships for specialist training abroad or for attracting international experts to national or regional courses. Appropriate areas for funding should include conventional academic courses, expeditions, collaborative research projects, secondments, institutional partnerships, regional flora and fauna, internships and tutorial guidance;
- (e) Provide programmes for re-training of qualified professionals moving into taxonomy-related fields;
- (f) Adapt training methods to the particular technical or academic backgrounds and experience of candidates. Content of courses should respond to external user demands and modern needs, taking into account cost-effectiveness in their delivery;
- (g) Ensure training programmes address gaps in knowledge and the need for specialists in given taxonomic groups, and offer a comprehensive view of biological-diversity issues, including new scientific/technological approaches to taxonomy (e.g. molecular biology/informatics);
- (h) Provide business management training, of the nature commonly offered to private-sector executives, for managers of biological-diversity institutions, as part of other efforts to strengthen those organizations;
- (i) Develop and maintain a register of practising taxonomists, areas of expertise and description of collections through electronic and other means, which should be available on the Internet;
- (j) Hold workshops to determine national taxonomic priorities, in the context of national biological-diversity studies and action plans. Once national priorities have been identified, support development of regional taxonomic priorities, including plans to database collections using mutually agreed software, quality control and core-data requirements.

SBSTTA RECOMMENDATION III/5

AGENDA ITEM 7.3: Current Approaches to Indicator Development and Recommendations for a Preliminary Core Set of Indicators of Biological Diversity, Particularly Those Related to Threats, and Options for Capacity-Building in Developing Countries in the Application of Guidelines and Indicators for Subsequent National Reports

The SBSTTA

Reaffirming the vital importance of indicators of all levels of biological diversity in the implementation of the Convention, particularly with respect to Article 7, and recognizing the need to provide urgent, practical advice to Parties in the implementation of identification and monitoring,

Having examined the documents prepared by the Executive Secretary in consultation with a liaison group concerning recommendations for a core set of indica-

tors of biological diversity (UNEP/CBD/SBSTTA/3/9 and UNEP/CBD/SBSTTA/3/Inf.13),

1. *Considers* that these provide a good basis for the development of further work on indicators and generally supports the proposed work programme on indicators as set out in UNEP/CBD/SBSTTA/3/9;
2. *Stresses* that the primary role of indicators in this context should be as a tool for management of biological diversity at local and national levels and assessing the implementation of the Convention, but recognizes also that they may have a wider role, for example in increasing public awareness;
3. *Stresses* that, in the future, the development of regional and global indicators will be necessary to assess specific aspects of the world's biological diversity;
4. *Stresses* also that all work undertaken by the secretariat and any liaison group on indicators should be integrated with any work on indicator development undertaken within thematic areas under the Convention, for example concerning forests, inland water ecosystems and agricultural biological diversity;
5. *Recognizes* that the development and application of indicators requires the collection and analysis of data on a continuing basis, and that this is likely to be a costly activity;
6. *Recognizes also* that every attempt should be made to avoid duplication of effort in the development and application of indicators;
7. *Recommends* to the Conference of the Parties:
 - (a) That any liaison group on indicators of biological diversity have as wide as possible a range of expertise, both geographical and sectoral, represented on it;
 - (b) That the secretariat and any such liaison group be requested to ensure that all their work on indicators take as full as possible account of other relevant indicator initiatives undertaken by different international processes and organizations, particularly those relating to sustainable development and biological diversity;
 - (c) That the secretariat and any such liaison group be requested to develop a key set of standard questions, using as a basis the material on pages 12 and 13 of document UNEP/CBD/SBSTTA/3/Inf.14;
 - (d) That the secretariat and any such liaison group be requested to compile a set of principles for designing national-level monitoring programmes and indicators. These should address matters such as:
 - (i) the way indicators relate to management questions;
 - (ii) the ability to show trends;
 - (iii) the ability to distinguish between natural and human-induced change;
 - (iv) the ability to provide reliable results (i.e. through the establishment of standard methodologies);
 - (v) the degree to which indicators are amenable to straightforward interpretation;

- (vi) the question of baselines for measurement, in light of the fact that application of a pre-industrial baseline may often prove problematic;
- (e) That the Executive Secretary be requested to invite countries and relevant organizations to forward case studies to the secretariat. The secretariat and any liaison group should use these to provide a menu of possible approaches and a synthesis of best practice and lessons, to provide further advice to Parties on identification and monitoring;
- (f) That consideration be given to providing means for regional coordination of indicator development;
- (g) That Parties be urged to share relevant experience concerning the development and application of indicators through the clearing-house mechanism and other means; and also be urged to include in their future National Reports specific reference to indicator development activities and their capacity to implement indicators;
- (h) That the need for capacity-building in indicator development and application be stressed;
- (i) That the work programme on indicators as set out in Table 5 of UNEP/CBD/SBSTTA/3/9 be adopted, as amended, in the annex to the present recommendation.

**ANNEX TO RECOMMENDATION III/5
PRELIMINARY OUTLINE OF WORK UNDER THE TWO-TRACK APPROACH**

ACTIVITY	DETAILS	WAYS AND MEANS	TIME SCALE
First Track			
Roster of experts	Establish a roster based upon submissions of names by Contracting Parties, countries and relevant organizations	Secretariat	Immediately
Contributions	Contact relevant institutions and processes to seek information and expertise, and to explore collaboration	Secretariat	Immediately
Further development of indicator framework, including standard questions and principles.	Incorporate recommendations from SBSTTA 3 and other reports	Liaison group, incorporating further expertise	Further meeting in 1997 if funds available

ACTIVITY	DETAILS	WAYS AND MEANS	TIME SCALE
Support from financial mechanism	Liaison with GEF secretariat on methodologies and priorities for supporting national development of indicators	Secretariat	Ongoing
Development of menu of indicators in thematic areas	Case studies (compilation and synthesis) of indicators for coastal and marine, agro-biological diversity, forest and freshwater systems	Liaison group	For SBSTTA 4
Capacity assessment	Questionnaire distributed to countries following agreement on indicator framework and analysis of first national reports	Developed by secretariat with assistance of liaison group	Questionnaire ready by COP 4
Training	Development of methodology sheets, guidelines and public information	Liaison group	Guidelines by SBSTTA 4
Training	Development of training systems to meet identified needs	Liaison group	After COP 4
Agreed indicator framework	Recommendations made available to Parties for inclusion in the second national report	Secretariat	As soon as available, and one year prior to deadline for report
Global Biodiversity Outlook	Data from initial national report and other sources for inclusion in GBO-2	Secretariat	Publication likely by COP 5

Second Track

Research and development	Develop research proposal		Submission to agencies by mid-1999
Pilot programme	Set up pilot programmes to develop and test indicators		Completed by May 1999
Second set of indicators	Further development of indicators		Available for preparation of third national reports

DECISION IV/2 | Review of the operations of the clearing-house mechanism

The Conference of the Parties,

Noting that decisions I/3, II/3, II/4, II/7, II/8, II/10, II/11, II/14, II/16, II/17, III/4, III/5, III/9, III/10, III/11, III/15, III/17, III/18 and III/19 of the Conference of the Parties have clearly stressed and broadened the roles of the clearing-house mechanism as a key instrument to promote and facilitate the implementation of the objectives of the Convention,

Recalling that four clearing-house regional workshops were held prior to the fourth meeting of the Conference of the Parties and drawing upon those experiences,

Recognizing the urgent need for the private sector to be involved in clearing-house mechanism activities to ensure that the facilitation and promotion of the transfer of technology meet the needs of Contracting Parties,

Acknowledging the need to establish a reliable network of existing and evolving biodiversity institutions and initiatives which can serve the needs and demands of Parties, not only during the pilot phase but also in the long term,

1. *Requests* all Governments and bilateral and multilateral funding institutions to provide funding for the development and implementation of the clearing-house mechanism, including support for national as well as regional and subregional clearing-house mechanism activities;
2. *Recommends* that Parties include in their national reports the lessons learned through activities undertaken to implement their national clearing-house mechanisms, as appropriate;
3. *Recommends* that each Party organize an appropriate national clearing-house mechanism steering committee or working group composed of multisectoral and interdisciplinary representatives, to achieve broad participation of different stakeholders in the implementation process of the clearing-house mechanism;
4. *Invites* the Parties and other partners to use the clearing-house mechanism logo as a unifying element creating a clearing-house mechanism identity;
5. *Recommends* that, in building up the content of information in the clearing-house mechanism either at the secretariat or other level, the following major content elements, among others, be used:
 - (a) *National, subregional and regional levels:* country profiles, biodiversity strategy and action plans, appropriate legislation, scientific and technological information, financial sources;
 - (b) *Secretariat level:* Convention on Biological Diversity and its implementation, national focal points, international themes, financial sources;
6. *Requests* those Parties with access to the Internet to link their national clearing-house mechanism home page to the Secretariat's clearing-house mechanism home page, where possible;

7. [RETIRED as per decision VII/33, paragraph 1];
8. *Agrees* that the clearing-house mechanism should act as the clearing-house mechanism for future programmes and activities under the Convention on Biological Diversity, subject to budgetary considerations;
9. *Requests* the Global Environmental Facility:
 - (a) To be a catalyst in the development and implementation of the clearing-house mechanism, so as to assist it to fulfil its role in promoting and facilitating the implementation of the Convention, in a participatory manner and fully incorporating available modern information and communication tools;
 - (b) To support capacity-building activities and country-driven pilot projects focused on priority areas, as critical components in the implementation of the clearing-house mechanism at the national, subregional, biogeographic, and regional levels, both during and after the pilot phase;
 - (c) To provide by all possible means, as appropriate, increased support for country-driven projects to establish and strengthen biodiversity information systems such as, *inter alia*, training, technology and processes related to the collection, organization, maintenance and updating of data and information and its communication to users through the clearing-house mechanism;
 - (d) [RETIRED as per decision VII/33, paragraph 1];
10. *Instructs* the Executive Secretary:
 - (a) [RETIRED as per decision VII/33, paragraph 1];
 - (b) To act as a focal point, during and after the pilot phase, to encourage the development of a network of partners, including indigenous and local communities, and to facilitate these in developing specific training for the effective participation of users in the clearing-house network;
 - (c) [RETIRED as per decision VII/33, paragraph 1];
 - (d) To provide encouragement for and facilitate the coordination of biodiversity-related networks, activities and focal points that may constitute the clearing-house mechanism, to encourage their linkages within the clearing-house mechanism network and to make available information arising from the Secretariat's own functions as outlined in Article 24 of the Convention;
 - (e) To assist in ensuring that the implementation of Articles 16 (Transfer of and Access to Technology), 17 (Information Exchange) and 18 (Scientific and Technical Cooperation) of the Convention on Biological Diversity is facilitated by the clearing-house mechanism;
 - (f) [RETIRED as per decision VII/33, paragraph 1];
 - (g) To improve synergy in regard to information exchange with other biodiversity-related conventions and ongoing international or supranational information initiatives, and to contribute to the harmonization of the information management of other biodiversity-related treaties and to continue to discuss the possibilities of joint and harmonized approaches with the United Nations

Framework Convention on Climate Change and the United Nations Convention to Combat Desertification;

- (h) To facilitate support to those Parties without adequate Internet access, preparing and disseminating to them updated information arising from the Secretariat's own functions as outlined in Article 24 of the Convention on, *inter alia*, CD-ROM or diskettes, either periodically or as required, and facilitating the dissemination of appropriate information to those Parties;
- (i) To collaborate, with partners, on the provision of advice to Parties and others on, *inter alia*, the necessary layout and system specifications of the clearing-house mechanism;
- (j)–(k) [RETIRED as per decision VII/33, paragraph 1].

DECISION IV/3 | Issues related to biosafety

[RETIRED as per decision VII/33, paragraph 1]

DECISION IV/4 | Status and trends of the biological diversity of inland water ecosystems and options for conservation and sustainable use

The Conference of the Parties

1. [RETIRED as per decision VII/33, paragraph 1];
2. *Welcomes* the recommendations on strategic approaches to freshwater management of the Commission on Sustainable Development at its sixth session and *urges* Parties and Governments to:
 - (a) Include information on the biological diversity of inland waters when providing voluntary national communications and reports on actions further to the recommendations of the Commission on Sustainable Development; and
 - (b) Consider inland water biological diversity in the agenda of subsequent meetings held to further the recommendations of the Commission on Sustainable Development.
3. *Urges* Parties and Governments to include inland water biological diversity considerations in their participation and collaboration with organisations, institutions and conventions affecting or working with inland water resources, consistent with the guidance provided to the Conference of the Parties and the Executive Secretary in part A “General”, paragraphs 1–3 of annex I to the present decision;
- 4–5. [RETIRED as per decision VII/33, paragraph 1].

6. Recognizing that Global Environment Facility projects are country-driven, *requests* the Financial Mechanism, within the context of implementing national biological diversity strategies and action plans, to provide adequate and timely support to eligible projects which help Parties to develop and implement national, sectoral and cross-sectoral plans for the conservation and sustainable use of biological diversity of inland water ecosystems.
7. *Urges* Parties when requesting support, for projects related to inland water ecosystems, from the Financial Mechanism that priority be given to:
- (a) Identifying inland water ecosystems in accordance with Article 7 and Annex I to the Convention, taking into account the criteria for Wetlands of International Importance as adopted under the Convention on Wetlands;
 - (b) Preparing and implementing integrated watershed, catchment and river basin management plans based on an ecosystem approach including transboundary watersheds, catchments and river basins, and those which include ecosystems identified under subparagraph (a) above;
 - (c) Investigating where appropriate, the processes contributing to the loss of biological diversity of inland water ecosystems, through targeted research, such as: investigations into the impacts of harmful substances, alien invasive species and saltwater intrusions; and the identification of measures needed to address these issues where they constitute threats to inland water ecosystem biological diversity;
8. [RETIRED as per decision VII/33, paragraph 1];
9. *Invites* all relevant organizations to support efforts by Parties and Governments to implement their national and sectoral plans for the conservation and sustainable use of the biological diversity of inland water ecosystems;
10. [RETIRED as per decision VII/33, paragraph 1];
11. *Notes* that, while the implementation of the programme of work is subject to the availability of financial resources, particular attention should be given to early progress in the development of rapid assessment methodologies especially related to small island States.

ANNEX I

BIOLOGICAL DIVERSITY OF INLAND WATER ECOSYSTEMS

[RETIRED as per decision VII/33, paragraph 1]

ANNEX II

POSSIBLE TIME-FRAME OF A WORK PROGRAMME PERTAINING TO THE ACTIVITIES OF THE SUBSIDIARY BODY ON SCIENTIFIC, TECHNICAL AND TECHNOLOGICAL ADVICE

[RETIRED as per decision VII/33, paragraph 1]

DECISION IV/5 | Conservation and sustainable use of marine and coastal biological diversity, including a programme of work

The Conference of the Parties,

I. Programme of Work Arising from Decision II/10 (Jakarta Mandate on Marine and Coastal Biological Diversity)

Reaffirming its decision II/10 on the conservation and sustainable use of marine and coastal biological diversity,

Having considered recommendation III/2 of its Subsidiary Body on Scientific, Technical and Technological Advice,

1–2. [RETIRED as per decision VII/33, paragraph 1];

3. *Urges* Parties, when requesting for assistance through the financial mechanism of the Convention, to propose projects which, while being fully consistent with previous guidance of the Conferences of the Parties, promote the implementation of the programme of work;

4. *Urges* the Executive Secretary to cooperate with the Convention on Wetlands of International Importance, especially as Waterfowl Habitat, where appropriate, in relation to the implementation of the joint work plan having regard to linkages with the programme of work on inland water biological diversity adopted by decision IV/4.

II. Coral Reefs

Being deeply concerned at the recent extensive and severe coral bleaching, such as that reported by the African countries, caused by abnormally high water temperatures experienced since January 1998,

Recognizing the potentially severe loss of biological diversity and consequent socio-economic impacts, and

Noting this occurrence as a possible consequence of global warming and in light of the precautionary approach,

1–3. [RETIRED as per decision VII/33, paragraph 1];

4. *Urges* Parties, with reference to programme element 1.3 (c) of the programme of work, to take appropriate actions to mitigate impacts upon marine and coastal biological diversity and consequent socio-economic effects.

III. Small Island Developing States

Recognizing the uniqueness and extreme fragility of marine and coastal biological diversity of small island developing States (SIDS), the disproportionate responsibility facing small island developing States in the conservation of these biological

resources, and the limited capacity of small island developing States to implement the Jakarta Mandate on Marine and Coastal Biological Diversity,

Strongly recommends to Parties, countries, relevant organizations and donor agencies that the special needs and considerations of small island developing States be a focus for implementing each of the elements of the programme of work, as appropriate.

ANNEX

PROGRAMME OF WORK ON MARINE AND COASTAL BIOLOGICAL DIVERSITY

[RETIRED as per decision VII/33, paragraph 1]

DECISION IV/6 | Agricultural biological diversity

The Conference of the Parties,

Recalling its decision III/11, on the conservation and sustainable use of agricultural biological diversity, and reiterating the importance of agricultural biological diversity as containing the most vital elements of biological diversity essential for food and livelihood security,

Emphasizing the need for a worldwide reorientation towards sustainable agriculture which balances production and conservation objectives in such a way as to meet the needs of expanding populations while maintaining an ecological balance,

Welcoming the statement presented by the Food and Agriculture Organization of the United Nations at the fourth meeting of the Conference of the Parties, regarding its offer to provide further technical assistance to Parties in the implementation of the three objectives of the Convention, in particular, in response to decision III/11,

Further welcoming the establishment by the Commission on Genetic Resources for Food and Agriculture, of an intergovernmental Technical Working Group for Animal Genetic Resources for Food and Agriculture, the first meeting of which is scheduled for September 1998,

1–2. [RETIRED as per decision VII/33, paragraph 1];

3. *Requests* the Executive Secretary to reiterate the invitation to Parties and Governments for further national submissions, if possible in electronic form, on ongoing activities, existing instruments and lessons learned in the area of agricultural biological diversity, in the light of paragraphs 4, 5 and 6 and annex 2 of decision III/11;

4. *Suggests* that Governments, funding agencies, the private sector and non-governmental organizations should join efforts to identify and promote sustainable agricultural practices, integrated landscape management of mosaics of agriculture and natural areas, as well as appropriate farming systems that will reduce possible negative impacts of agricultural practices on biological diversity and enhance the ecological functions provided by biological diversity to agriculture. In this

regard, *invites* Parties, Governments and organizations to begin the process of conducting case-studies based on socio-economic and ecological analyses of different land-use management options and to provide such case-studies to the Executive Secretary.

5. [RETIRED as per decision VII/33, paragraph 1];

6. *Requests* Parties, Governments and international organizations, in particular FAO, in the light of paragraphs 9, 15(a) and 15(m) of decision III/11 and paragraphs 3 and 4 of decision IV/1 A, to begin to provide inputs on the development and application of methodologies for assessments of agricultural biological diversity and tools for identification and monitoring, including: criteria and indicators for agricultural biological diversity, including those addressing farming systems and agricultural ecosystems; rapid assessment techniques; the identification of underlying causes behind the loss of biological diversity; and the identification of incentives to overcome constraints and enhance the conservation and sustainable use of agricultural biological diversity and the fair and equitable sharing of benefits;

7–13. [RETIRED as per decision VII/33, paragraph 1].

DECISION IV/7 | Forest biological diversity

[RETIRED as per decision VII/33, paragraph 1]

DECISION IV/8 | Access and benefit-sharing

The Conference of the Parties

1–3. [RETIRED as per decision VII/33, paragraph 1];

4. *Requests* the financial mechanism to give special emphasis to the following programme priorities to fund initiatives by eligible Parties:

- (a) Stock-taking activities, such as, for example, assessments of current legislative, administrative, and policy measures on access to genetic resources and benefit-sharing, evaluation of the strengths and weaknesses of a country's institutional and human capacity, and promotion of consensus-building among its different stakeholders; and, for those developing country Parties that have identified arrangements for benefit-sharing as a national priority;
- (b) Formulation of access and benefit-sharing mechanisms at the national, sub-regional and regional level including monitoring and incentive measures;
- (c) Capacity-building for measures on access to genetic resources and sharing of benefits, including capacity-building for economic valuation of genetic resources;
- (d) Within biodiversity projects, other specific benefit-sharing initiatives, such as support for entrepreneurial developments by local and indigenous communi-

ties, facilitation of financial sustainability of projects promoting the sustainable use of genetic resources, and appropriate targeted research components;

5. *Invites* all relevant organizations and the private sector to support efforts by Parties and Governments to develop and promote legislative or administrative measures, policies and programmes which facilitate the distribution of benefits arising from the use of genetic resources on mutually agreed terms and to update the Executive Secretary on a regular basis regarding their activities and experiences;
6. *Requests* the Executive Secretary:
 - (a) To explore the possibility of linking the clearing-house mechanism with relevant international and other organizations to access publicly available information on intellectual property rights which are based on biological resources and to report on the progress made on this matter to the Conference of the Parties at its fifth meeting;
 - (b) To compile information on access and benefit-sharing arrangements and to disseminate such information in a standardized format through the clearing-house mechanism;
 - (c) To facilitate the exchange of information related to access and benefit-sharing through appropriate means such as the clearing-house mechanism;
 - (d) [RETIRED as per decision VII/33, paragraph 1].

ANNEX

[RETIRED as per decision VII/33, paragraph 1]

DECISION IV/9 | Implementation of Article 8(j) and related provisions

The Conference of the Parties,

Recalling its decision III/14,

Realizing the importance for biological diversity of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity,

Emphasizing the need for dialogue with representatives of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity within the framework of the Convention,

Welcoming the report of the inter-sessional workshop on Article 8(j), held in Madrid from 24 to 28 November 1997,

Expressing its sincere appreciation to the Government of Spain for hosting the inter-sessional workshop,

Reaffirming the dynamic nature of traditional knowledge, innovations and practices,

Recognizing that traditional knowledge should be given the same respect as any other form of knowledge in the implementation of the Convention,

Recognizing also that intellectual property rights may have implications for the implementation of the Convention and achievement of its objectives under Article 8(j),

Further recognizing the importance of making intellectual-property-related provisions of Article 8(j) and related provisions of the Convention on Biological Diversity and provisions of international agreements relating to intellectual property mutually supportive, and the desirability of undertaking further cooperation and consultation with the World Intellectual Property Organization,

Welcoming the decision of the World Intellectual Property Organization to incorporate biodiversity-related issues under its 1998-1999 main programme item 11 (“Global intellectual property issues”),

Acknowledging the importance of starting work as soon as possible on priority work programme elements,

Expressing its sincere appreciation for the valuable contribution made by the participating representatives of the indigenous and local communities at the fourth meeting of the Conference of the Parties,

1. *Decides* that an ad hoc open-ended inter-sessional working group be established to address the implementation of Article 8(j) and related provisions of the Convention. The mandate of this working group shall be:

- (a) To provide advice as a priority on the application and development of legal and other appropriate forms of protection for the knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity;
- (b) To provide the Conference of the Parties with advice relating to the implementation of Article 8(j) and related provisions, in particular on the development and implementation of a programme of work at national and international levels;
- (c) To develop a programme of work, based on the structure of the elements in the Madrid report (UNEP/CBD/COP/4/10/Add.1) as set out in the annex to the present decision;
- (d) To identify those objectives and activities falling within the scope of the Convention; to recommend priorities taking into account the programme of work of the Conference of the Parties, such as the equitable sharing of benefits; to identify for which work-plan objectives and activities advice should be directed to the Conference of the Parties and which should be directed to the Subsidiary Body on Scientific, Technical and Technological Advice; to recommend which of the work-plan objectives and activities should be referred to other international bodies or processes; to identify opportunities for collaboration and coordination with other international bodies or processes with the aim of fostering synergy and avoiding duplication of work;

- (e) To provide advice to the Conference of the Parties on measures to strengthen cooperation at the international level among indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity and make proposals for the strengthening of mechanisms that support such cooperation;
2. *Decides* that the working group shall be composed of Parties and observers, including, in particular, representation from indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity with participation to the widest possible extent in its deliberations in accordance with the rules of procedure;
3. *Encourages* Parties to include representatives of indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity in their delegations;
4. *Encourages* Parties to promote consultations among indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity concerning the issues to be dealt with in the working group;
- 5–6. [RETIRED as per decision VII/33, paragraph 1];
7. *Decides* that the working group shall report directly to the Conference of the Parties and that the working group may provide advice to the Subsidiary Body on Scientific, Technical and Technological Advice on issues relevant to its agenda;
- 8–11. [RETIRED as per decision VII/33, paragraph 1];
12. *Requests* Parties according to their capabilities to facilitate the representation, and financially and logistically support the active participation in the working group of the indigenous and local communities from their territories;
13. *Encourages* Parties, when making applications to the interim financial mechanism for funding in respect of activities under Article 8(j) and related provisions, to consider: (a) priorities as set out in paragraph 10 and (b) projects in support of the development of national legislation and corresponding strategies on the implementation of Article 8(j), as well as (c) projects in support of preparations by indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity for their active participation in and contribution to the working group;
14. [RETIRED as per decision VII/33, paragraph 1];
15. *Encourages* Governments, relevant international and regional organizations and representatives of indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity to conduct and communicate to the Executive Secretary, case studies for dissemination through means such as the clearing-house mechanism and *requests* the Executive Secretary to compile case-studies submitted under decisions of the Conference of the Parties at its third and fourth meetings relating to Article 8(j) and intellectual property rights, including existing *sui generis* systems and/or adapted forms of protection to the knowledge, innovations and practices of indigenous and local communities rel-

evant to the conservation and sustainable use of biological diversity for transmittal to the World Intellectual Property Organization and for use in initiatives on legislating on the implementation of Article 8(j) and related provisions;

16. [RETIRED as per decision VII/33, paragraph 1];

17. *Requests* the Executive Secretary to seek ways, including the possibility of negotiating a memorandum of understanding with the World Intellectual Property Organisation, to enhance cooperation between the Convention on Biological Diversity and the World Intellectual Property Organization on issues arising from Article 8(j) and related provisions and *encourages* Parties to forward information to the Executive Secretary to support such cooperation.

ANNEX

STRUCTURE OF WORK PROGRAMME OPTIONS FROM THE MADRID REPORT (UNEP/CBD/COP/4/10/ADD.1)

- A. Participatory mechanisms for indigenous and local communities
- B. Status and trends in relation to Article 8(j) and related provisions
- C. Traditional cultural practices for conservation and sustainable use
- D. Equitable sharing of benefits
- E. Exchange and dissemination of information
- F. Monitoring elements
- G. Legal elements

DECISION IV/10 | Measures for implementing the Convention on Biological Diversity

A. Incentive measures: consideration of measures for the implementation of Article 11

The Conference of the Parties,

Reaffirming the importance for the implementation of the Convention of the design and implementation by Parties and Governments of economically and socially sound measures that act as incentives for the conservation and sustainable use of biological diversity,

Recalling decision III/18 on incentive measures,

Recognizing that incentive measures should be designed using an ecosystem approach and with the targeted resource management audience in mind,

Recognizing that economic valuation of biodiversity and biological resources is an important tool for well-targeted and calibrated economic incentive measures,

1. *Encourages* Parties, Governments and relevant organizations:

- (a) To promote the design and implementation of appropriate incentive measures, taking fully into account the ecosystem approach and the various conditions of the Parties and employing the precautionary approach of Principle 15 of the Rio Declaration on Environment and Development, in order to facilitate achieving the implementation of the objectives of the Convention and to integrate biological diversity concerns in sectoral policies, instruments and projects;
 - (b) [RETIRED as per decision VII/33, paragraph 1];
 - (c) To take into account economic, social, cultural and ethical valuation in the development of relevant incentive measures;
 - (d)–(e) [RETIRED as per decision VII/33, paragraph 1];
 - (f) To identify perverse incentives and consider the removal or mitigation of their negative effects on biological diversity in order to encourage positive, rather than negative, effects on the conservation and sustainable use of biological diversity;
 - (g) [retired as per decision VII/33, paragraph 1];
 - (h) To undertake value addition and enhancement of naturally occurring genetic resources, based on the participatory approach, where appropriate, to work as incentives for their conservation and sustainable use;
1. *Requests* Parties to include information on the design and implementation of incentive measures in their second national reports;
 2. *Requests* the financial mechanism to provide to eligible Parties adequate and timely support for the design and approaches relevant to the implementation of incentive measures including, where necessary, assessment of biological diversity of the relevant ecosystems, capacity-building necessary for the design and implementation of incentive measures and the development of appropriate legal and policy frameworks, and projects with components that provide for these incentives;
 3. *Invites* all relevant organizations:
 - (a) To support efforts by Parties to design and implement appropriate incentive measures;
 - (b) To assist Parties and Governments to identify gaps in national capacity for policy research and analysis relevant to the design of incentive measures and to develop the necessary capacity to conduct such research and analysis;
 4. [RETIRED as per decision VII/33, paragraph 1].

B. Public education and awareness: consideration of measures for the implementation of Article 13

The Conference of the Parties,

Recalling Article 13 of the Convention, on public education and awareness,

Recognizing the importance of public education and awareness as central instruments to achieve the Convention's goals and to ensure effective implementation of

the Convention at the national level, and *also recognizing* the need for capacity-building in this area,

Having taken note of the decision of the Commission on Sustainable Development at its sixth session on transfer of environmentally sound technology, capacity-building, education and public awareness, and science for sustainable development,

Recognizing that the conservation and sustainable use of biological diversity includes social issues which require cultural understanding and sensitivity, and that efforts to promote the goals of Article 13 entail recognition of the diverse needs of people and their differing perceptions, knowledge, attitudes, interests, values and understanding in respect of the goals of the Convention, and that public education and awareness on biological diversity is most effective when it occurs in a social context that is meaningful to a specific audience,

Noting the opportunities for synergy on this particular issue within the Convention, the activities of the Commission on Sustainable Development, the mandate and activities of the United Nations Educational Scientific and Cultural Organization, the World Conservation Union (IUCN) and relevant activities of other bodies on public education, training and awareness on matters related to biological diversity,

Stressing that modern technologies and expanding access to electronic communication means bringing new possibilities for promoting and encouraging understanding of the importance of, and measures required for, the conservation of biological diversity; but also *recognizing* the importance of traditional communication systems among local communities, with emphasis on maintaining their integrity and dynamism,

Further recognizing the role of the public media and non-traditional means of communication in information dissemination and awareness-raising,

Recognizing that non-governmental organizations have an important role in developing and disseminating information on biological diversity, especially in reaching out to marginalized groups who have a significant role to play in the conservation and sustainable use of biological diversity,

1. *Urges* Parties:

- (a) To place special emphasis on the requirements of Article 13 of the Convention in the development of their national strategies and action plans;
- (b) To promote education on biological diversity through relevant institutions, including non-governmental organizations;
- (c) To allocate appropriate resources for the strategic use of education and communication instruments at each phase of policy formulation, planning, implementation and evaluation, including the identification of relevant target groups seeking to provide these with relevant, timely, reliable and understandable information;
- (d) To integrate biological diversity concerns into education strategies, recognizing the particular needs of indigenous and local communities; and

- (e) To support initiatives by major groups that foster stakeholder participation in biological diversity conservation and sustainable use and that integrate biological diversity conservation matters into their practices and educational programmes;
2. *Also urges* Parties to share experiences on initiatives on public education and awareness and public participation relevant to the Convention, particularly on a sectoral and thematic basis, and to make relevant case studies as well as lessons learned in the preparation of national biological diversity policies, strategies and plans available to the Executive Secretary and for the exchange of information among Parties through the clearing-house mechanism and to consider how to organize assistance for Parties who may be keen to develop public awareness and education strategies, but lack the ability to do so;
 3. *Encourages* Parties to make use of the media, including print and electronic media, to promote public education and awareness about the importance and appropriate methods for the conservation and sustainable use of biological diversity;
 4. *Calls upon* Parties, where necessary, to illustrate and translate the provisions of the Convention into the respective local languages to promote public education and awareness-raising of relevant sectors, including local communities;
 5. *Decides* that public education and awareness issues shall be integrated into and become an integral component of all sectoral and thematic items under the programme of work of the Conference of the Parties;
 6. [RETIRED as per decision VII/33, paragraph 1];
 7. *Invites* the United Nations Environment Programme (UNEP), in cooperation with other United Nations bodies and other relevant international and regional organizations, agreements, processes and institutions, to continue and make use of existing initiatives and to further develop its information dissemination and public-awareness activities in support of the work of the Convention;
 8. *Urges* Parties, relevant organizations and donor agencies to support local, national, subregional and regional public education and awareness initiatives;
 9. *Urges* Parties, when requesting for assistance through the financial mechanism of the Convention, to propose projects which promote measures for implementing the provisions of the Convention on public education and awareness;
 10. *Decides* to review progress in the implementation of the above activities, at the latest at its seventh meeting.

C. Impact assessment and minimizing adverse effects: consideration of measures for the implementation of Article 14

The Conference of the Parties,

Recalling Article 14 of the Convention, on impact assessment and minimizing adverse impacts, including its provision on liability and redress for damage to biological diversity,

Recalling also its decision II/18, on measures to provide information and share experiences on the implementation of Article 14,

Taking note of the note by the Executive Secretary on impact assessment and minimizing adverse impacts; implementation of Article 14 (UNEP/CBD/COP/4/20),

Noting the initiatives in this field, such as the statement submitted to the fourth meeting of the Conference of the Parties on behalf of the International Association for Impact Assessment, following its 18th annual meeting in Christchurch, New Zealand, in April 1998,

Noting the entry into force of the Economic Commission for Europe Convention on Environmental Impact Assessment in a Transboundary Context (the “Espoo Convention”), as an example of regional cooperation,

Concerning impact assessment

1. *Invites* Parties, Governments, national and international organizations, and indigenous and local communities embodying traditional lifestyles, to transmit to the Executive Secretary for the purpose of exchanging information and sharing experiences on:

- (a) Impact assessments that consider environmental effects and interrelated socio-economic aspects relevant to biological diversity;
- (b) Strategic environmental assessments;
- (c) Ways and means of fully incorporating biodiversity considerations into environmental impact assessment procedures;
- (d) Reports and case studies relating to environmental impact assessment in the thematic areas specifically referred to in its decisions, particularly with respect to biological diversity, including in respect of activities with transboundary implications and for environmental impacts having cumulative effects on biological diversity;
- (e) Reports relating to existing legislation, experience with environmental impact assessment procedures and guidelines for environmental impact assessment, particularly with regard to the incorporation of biological diversity considerations into environmental impact assessment;
- (f) Reports concerning the implementation of mitigating measures and incentive schemes to enhance compliance with existing national environmental impact assessment systems;

2–4. [RETIRED as per decision VII/33, paragraph 1];

5. *Requests* the Executive Secretary to make this information available through the clearing-house mechanism and other appropriate means;
6. *Encourages* the Executive Secretary to initiate collaboration between the Convention and other international organizations and bodies with expertise in this field and to seek cooperation, in particular with the Convention on Wetlands of International Importance, especially as Waterfowl Habitat and the Bonn Convention on the Conservation of Migratory Species, with the World Conservation Union (IUCN) and the International Association for Impact Assessment, with a view to drawing on their networks of professional expertise and sources of information and advice;
7. *Emphasizes* the need to enable active participation by interested and affected stakeholders in the assessment process, including indigenous and local communities embodying traditional lifestyles and non-governmental organizations;

Concerning liability and redress

8–11. [RETIRED as per decision VII/33, paragraph 1].

DECISION IV/11 | Review of the effectiveness of the financial mechanism

The Conference of the Parties,

Recalling its decisions II/6 on financial resources and mechanism and III/7 on the review of the effectiveness of the financial mechanism,

Taking note of the synthesis report on the first review of the effectiveness of the financial mechanism, contained in document UNEP/CBD/COP/4/16,

Taking note also of the Statement of the First Assembly of the Global Environment Facility, held in New Delhi, India, from 1 to 3 April 1998, and the list of measures identified therein for the Global Environment Facility to improve its operational performance, and welcoming the second replenishment of the Global Environment Facility Trust Fund in the amount of US\$ 2.75 billion for its four focal areas,

Taking note of the report on the activities of the Global Environment Facility contained in document UNEP/CBD/COP/4/15,

Recalling the provisions of the Memorandum of Understanding between the Conference of the Parties and the Council of the Global Environment Facility, in particular paragraph 7 therein concerning the significance of inter-secretariat cooperation,

Welcoming the efforts made to date by the Global Environment Facility to address the concerns of Parties on the responsiveness of the financial mechanism to the policy, strategy, programme priorities and eligibility criteria established by the Conference of the Parties,

Taking into account the views and concerns expressed by Parties about the difficulties encountered in carrying out the first review, in particular the inadequacy of

the procedures; and the insufficient information provided as compared with that requested in decision III/7,

Recalling decision II/6, paragraph 2, which calls for the effectiveness of the financial mechanism to be reviewed every three years,

Recognizing concerns expressed by several Parties about the need for implementing agencies to improve the processing and delivery systems of the Global Environment Facility, and *reaffirming* paragraph 1 of decision III/5 in this regard,

Recognizing also that further improvements are needed in the effectiveness of the financial mechanism,

1. *Determines* to further improve the effectiveness of the financial mechanism;
2. *Requests* the Council of the Global Environment Facility to take the action identified in the annex to the present decision with a view to improving the effectiveness of the financial mechanism, and further requests the Global Environment Facility to report thereon to the Conference of the Parties at its fifth meeting;
3. [RETIRED as per decision VII/33, paragraph 1];
4. *Requests* the Executive Secretary to advise the Parties on matters relating to recommendations for further guidance to the financial mechanism with respect to:
 - (a) The relationship of any draft guidance to previous guidance; and
 - (b) Any possible effects of that draft guidance on the implementation of previous guidance from the Conference of the Parties.

ANNEX

ACTION TO IMPROVE THE EFFECTIVENESS OF THE FINANCIAL MECHANISM

1. The Council of the Global Environment Facility should improve the effectiveness of the financial mechanism by:
 - (a) Further streamlining its project cycle with a view to making project preparation simpler, more transparent and more country-driven;
 - (b) Further simplifying and expediting procedures for approval and implementation, including disbursement, for GEF-funded projects;
 - (c) Developing policies and procedures that fully comply with the guidance from the Conference of the Parties in a straightforward and timely manner;
 - (d) Increasing support to priority actions identified in national plans and strategies of developing countries;
 - (e) Applying in a more flexible, pragmatic and transparent manner the incremental cost principle;
 - (f) Promoting genuine country ownership through greater involvement of participant countries in GEF-funded activities;

- (g) Increasing its flexibility to respond to the thematic longer-term programme of work of the Convention on Biological Diversity, in accordance with the guidance of the Conference of the Parties;
- (h) Promoting the catalytic role of the Global Environment Facility in mobilizing funding from other sources for GEF-funded activities;
- (i) Including in its monitoring and evaluation activities the assessment of the compliance under its operational programmes with the policy, strategy, program priorities and eligibility criteria established by the Conference of the Parties;
- (j) Promoting efforts to ensure that the implementing agencies fully comply with the policy, strategy, programme priorities and eligibility criteria of the Conference of the Parties in their support for country-driven activities funded by the Global Environment Facility; and
- (k) Undertaking efforts to improve the efficiency, effectiveness and transparency of the process of cooperation and coordination between the implementing agencies with a view to improving the processing and delivery systems of the Global Environment Facility, and to avoid duplication and parallel processes.

DECISION IV/12 | Additional financial resources

[RETIRED as per decision VII/33, paragraph 1]

DECISION IV/13 | Additional guidance to the financial mechanism

The Conference of the Parties,

Bearing in mind Articles 20 and 21 of the Convention,

Taking into account the guidance provided by the Conference of the Parties at its first, second and third meetings to the Global Environment Facility,

Decides to provide the following additional guidance to the Global Environment Facility in the provision of financial resources, in conformity with decisions I/2, II/6 and III/5 of the Conference of the Parties. In this regard, the Global Environment Facility shall provide financial resources to developing countries for country-driven activities and programmes, consistent with national priorities and objectives, recognizing that economic and social development and poverty eradication are the first and overriding priorities of developing countries,

The Global Environment Facility should:

1. Provide adequate and timely support for country-driven projects at national, regional and subregional levels addressing the issue of alien species in accordance with decision IV/1 C;

2. Provide financial resources for country-driven activities within the context of its operation programmes to participate in the Global Taxonomy Initiative which take into account as appropriate, elements of the Suggestions for Action contained in the annex to decision IV/1 D;
3. Within the context of implementing national biological diversity strategies and action plans, provide adequate and timely support to eligible projects which help Parties to develop and implement national, sectoral and cross-sectoral plans for the conservation and sustainable use of biological diversity of inland water ecosystems in accordance with decision IV/4;
4. In accordance with decision IV/7 and with Article 7 of the Convention and also within the context of implementing national biological diversity strategies and plans, provide adequate and timely financial support to Parties for projects and capacity-building activities for implementing the programme of work of forest biological diversity at the national, regional and subregional levels and the use of the clearing-house mechanism to include activities that contribute to halting and addressing deforestation, basic assessments and monitoring of forest biological diversity, including taxonomic studies and inventories, focusing on forest species, other important components of forest biological diversity and ecosystems under threat;
5. In accordance with decision IV/2:
 - (a) Support capacity-building activities and country-driven pilot projects focused on priority areas, as critical components in the implementation of the clearing-house mechanism at the national, subregional, biogeographic, and regional levels, both during and after the pilot phase;
 - (b) Provide, as appropriate, increased support, in the framework of country-driven projects to promote the objectives of the Convention, to establish and strengthen biodiversity information systems such as, *inter alia*, training, technology and processes related to the collection, organization, maintenance and updating of data and information and its communication to users through the clearing-house mechanism;
 - (c) Evaluate at the end of the clearing-house mechanism pilot phase the experience of the Global Environment Facility's support for developing countries' activities, to consider additional efforts to meet the increasing interest in taking part in and having access to the clearing-house mechanism, including in regional networking, and to report to the Conference of the Parties prior to the next meeting of the Subsidiary Body on Scientific, Technical and Technological Advice;
6. Continue to provide financial assistance for the preparation of national reports, having regard to the constraints and needs identified by Parties in their first national reports, in accordance with decision IV/14;
7. Provide adequate and timely support for the design and approaches relevant to the implementation of incentive measures, including, where necessary, assessment of biological diversity of the relevant ecosystems, capacity-building necessary for the design and implementation of incentive measures and the development of appropriate legal and policy frameworks, and projects with components that provide for these incentives, in accordance with decision IV/10;

8. In accordance with decision IV/8, provide support for:
- (a) Stock-taking activities, such as, for example, assessments of current legislative, administrative and policy measures on access to genetic resources and benefit-sharing, evaluation of the strengths and weaknesses of a country's institutional and human capacity, and promotion of consensus-building among its different stakeholders;
 - (b) Formulation of access and benefit-sharing mechanisms at the national, sub-regional and regional levels, including monitoring, assessment, and incentive measures;
 - (c) Capacity-building on measures on access to genetic resources and sharing of benefits, including capacity-building on economic valuation of genetic resources;
 - (d) Within biodiversity projects, other specific benefit-sharing initiatives such as support for entrepreneurial developments by local and indigenous communities, facilitation of financial sustainability of projects promoting the sustainable use of genetic resources, and appropriate targeted research components.

DECISION IV/14 | National reports by Parties

The Conference of the Parties,

Recalling Article 26 and Article 23, paragraph 4(a) of the Convention,

Recalling further decision II/17 on the form and intervals of national reports,

Noting the difficulty experienced by Parties in preparing their national reports and that the first national reports varied in length and scope and that further guidelines are needed to simplify and streamline the national reporting process,

Welcoming the number of first national reports received by the Executive Secretary, 1–3. [RETIRED as per decision VII/33, paragraph 1].

4. *Urges* developed country Parties to include in their national reports information, in a standardized form, on their financial support for the objectives of the Convention;

5. *Requests* the Global Environment Facility, as the operating entity of the financial mechanism, to continue to provide financial assistance for the preparation of national reports, having regard to the constraints and needs identified by Parties in their first national reports.

ANNEX

ELEMENTS FOR THE RECOMMENDATION OF THE SUBSIDIARY BODY ON SCIENTIFIC, TECHNICAL AND TECHNOLOGICAL ADVICE ON THE PREPARATION OF NATIONAL REPORTS

[RETIRED as per decision VII/33, paragraph 1]

DECISION IV/15 | **The relationship of the Convention on Biological Diversity with the Commission on Sustainable Development and biodiversity-related conventions, other international agreements, institutions and processes of relevance**

The Conference of the Parties,

Recalling its decisions II/13, III/17 and III/21,

Recalling also Article 16, paragraph 5, Article 22, paragraph 1, Article 23, paragraph 4(h), and Article 24, paragraph 1(d), of the Convention on Biological Diversity,

Reaffirming the importance of mutually supportive activities under the Convention on Biological Diversity and activities under other conventions, processes and institutions relevant to the achievement of the objectives of the Convention, while avoiding unnecessary duplication of activities and costs on the part of Parties and the organs of the Convention,

Welcoming the progress made in the development of cooperative arrangements with relevant conventions, institutions and processes as reported by the Executive Secretary to its fourth meeting, while *recognizing* the need to further improve the method of work of the Conference of the Parties in terms of assessing work done in the context of these cooperative arrangements,

Noting that the Commission on Sustainable Development in its review of the implementation of Agenda 21, at the next comprehensive review of progress achieved in the implementation of Agenda 21 by the General Assembly in the year 2002, will require input on the status of implementation of the Convention on Biological Diversity,

1–3. [RETIRED as per decision VII/33, paragraph 1];

4. *Requests* that the Executive Secretary, on behalf of the Conference of the Parties, consider matters of liaison, cooperation and collaboration as a key responsibility;

5. *Requests* the Executive Secretary to continue to coordinate with the secretariats of relevant biodiversity-related conventions, institutions and processes, and to cooperate with related processes at regional and subregional levels, with a view to:

- (a) Facilitating the exchange of information and experience;
- (b) Exploring the possibility of procedures for promoting efficiencies between the reporting requirements of Parties under those instruments and conventions;
- (c) Exploring the possibility of developing joint work programmes, similar to that between the Convention on Biological Diversity and the Convention on Wetlands referred to above, between the Convention on Biological Diversity and other relevant institutions and conventions;
- (d) Exploring modalities, where appropriate, for suitable liaison arrangements in relevant centres, in particular Geneva and/or New York, for the purpose of

enhancing linkages with relevant processes, which will assist in achieving greater coherence in these intergovernmental organizations and processes;

6. *Encourages* the Executive Secretary to develop relationships with other processes with a view to fostering good management practices in areas such as: methods and approaches to deal with protected areas; ecosystem and bioregional approaches to protected area management and sustainable use of biological diversity; mechanisms to enhance stakeholder involvement; methods for developing systems plans and integrating biological diversity considerations into sectoral strategies and plans; and transboundary protected areas;

7. [RETIRED as per decision VII/33, paragraph 1];

8. *Also notes* that some Parties to the Convention on Biological Diversity, particularly many developing countries, are not members of the World Trade Organization, and are therefore limited in their abilities to present their concerns regarding biological diversity at the World Trade Organization;

9. *Stresses* the need to ensure consistency in implementing the Convention on Biological Diversity and the World Trade Organization agreements, including the Agreement on Trade-Related Aspects of Intellectual Property Rights, with a view to promoting increased mutual supportiveness and integration of biological diversity concerns and the protection of intellectual property rights, and invites the World Trade Organization to consider how to achieve these objectives in the light of Article 16, paragraph 5, of the Convention, taking into account the planned review of Article 27, paragraph 3(b), of the Agreement on Trade-Related Aspects of Intellectual Property Rights in 1999;

10. *Emphasizes* that further work is required to help develop a common appreciation of the relationship between intellectual property rights and the relevant provisions of the Agreement on Trade-Related Aspects of Intellectual Property Rights and the Convention on Biological Diversity, in particular on issues relating to technology transfer and conservation and sustainable use of biological diversity and the fair and equitable sharing of benefits arising out of the use of genetic resources, including the protection of knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity.

11–17. [RETIRED as per decision VII/33, paragraph 1].

DECISION IV/16 | Institutional matters and the programme of work

The Conference of the Parties,

Recognizing the urgency of the effective and full implementation of the Convention,

Aware of the difficulties experienced in the operations of the Convention and in achieving its full and effective implementation,

Recalling the primacy of the role of the Conference of the Parties as provided for in Article 23, paragraph 4, of the Convention,

Conscious of the need to achieve the full participation of Parties in the implementation of the Convention and emphasising the need for open and transparent preparations for the Conference of the Parties,

Underscoring the need for the Subsidiary Body on Scientific, Technical and Technological Advice to focus on scientific, technical and technological aspects of the Convention in accordance with its Article 25,

1–4. [RETIRED as per decision VII/33, paragraph 1].

5. *Requests* the Executive Secretary, subject to necessary voluntary contributions, to organize regional/subregional meetings to consider ways and means of implementing the Convention and the decisions of the Conference of the Parties;

6. *Requests* the Executive Secretary when preparing the provisional annotated agenda to clearly indicate whether matters are for information or for consideration and when preparing the supporting documentation to include suggestion of elements for draft decisions as appropriate;

7. *Invites* Parties to forward any proposed decisions to the Executive Secretary in sufficient time to enable him/her to circulate those draft decisions to all Parties at least three weeks before the commencement of meetings of the Conference of the Parties;

8. *Requests* the Executive Secretary to distribute the provisional annotated agenda for ordinary meetings of the Conference of the Parties as well as the principal documents for the meeting, in the official languages of the United Nations, as early as possible and in reasonable time for any regional preparatory meetings organized by the Executive Secretary and, in any event, preferably six months before the opening of its ordinary meetings;

9. *Invites* Parties to notify the Executive Secretary of any additional items they wish to add to the provisional agenda at least six weeks before the opening of the meeting;

10. [RETIRED as per decision VII/33, paragraph 1];

11. *Adopts* the *modus operandi* of the Subsidiary Body on Scientific, Technical and Technological Advice as set out in annex I to the present decision;

12. *Decides* that the Subsidiary Body on Scientific, Technical and Technological Advice shall hold two meetings, each of five days duration, before next ordinary meeting of the Conference of the Parties;

13. *Decides* that, while the Subsidiary Body on Scientific, Technical and Technological Advice should consider the financial implications of its proposals, its recommendations will only include advice to the Conference of the Parties regarding financial matters, including guidance to the financial mechanism, when the Conference of the Parties has so requested;

14. *Decides also* that in future requests to the Subsidiary Body on Scientific, Technical and Technological Advice, the Conference of the Parties will make clear whether it expects to receive information for noting, recommendations for

approval, or advice for decisions by the Conference of Parties, and that, likewise, the Subsidiary Body on Scientific, Technical and Technological Advice, when submitting recommendations to the Conference of the Parties, should indicate clearly whether it expects the Conference of the Parties to note, approve or decide on the matter in question;

15. *Requests* its Bureau to liaise on a regular basis with the bureaux of its subsidiary bodies, in particular the Bureau of the Subsidiary Body on Scientific, Technical and Technological Advice, and, to this end, *requests* the Executive Secretary to organize wherever possible back-to-back meetings of the bureaux of the Conference of the Parties and the Subsidiary Body on Scientific, Technical and Technological Advice;

16–17. [RETIRED as per decision VII/33, paragraph 1];

18. *Decides* to review the programme of work at each ordinary meeting of the Conference, in the light of developments in the implementation of the Convention;

19–21. [RETIRED as per decision VII/33, paragraph 1].

ANNEX I

MODUS OPERANDI OF THE SUBSIDIARY BODY ON SCIENTIFIC, TECHNICAL AND TECHNOLOGICAL ADVICE

* The Modus Operandi of the Subsidiary Body on Scientific, Technical, and Technological Advice has been reproduced in Section IV of this Handbook and amended as per Decision V/20.

ANNEX II

THE PROGRAMME OF WORK

[RETIRED as per decision VII/33, paragraph 1]

DECISION IV/17 | Programme budget for the biennium 1999–2000

The Conference of the Parties,

Recalling paragraph 7 of the financial rules for the Conference of the Parties,

Recalling also decisions III/23 and III/24, adopted at its third session,

Having considered the proposed budget for the biennium 1999–2000 submitted by the Executive Secretary,

1. *Endorses* the administrative arrangements between the United Nations Environment Programme and the Secretariat of the Convention on Biological Diversity, contained in annex III of document UNEP/CBD/COP/4/24, which entered into force on 30 June 1997, and *requests* the Executive Secretary to report regularly to the Conference of the Parties, through its Bureau, on the implementation of its provisions;

2–7. [RETIRED as per decision VII/33, paragraph 1];

8. *Invites* all Parties to the Convention to note that contributions to the core budget are due on 1 January of each year in accordance with paragraph 4 of the financial rules and to pay promptly and in full, for each of the years 1999 and 2000, the contributions required to finance expenditures approved under paragraph 2 above, as offset by surpluses noted in paragraph 3 and contributions noted under paragraph 4 of the present decision and, in this regard, *requests* the Executive Secretary to notify all Parties of the amount of their contributions by 1 October of the year preceding the year in which their contributions are due;

9. *Urges* all Parties and States not Parties to the Convention, as well as governmental, intergovernmental and non-governmental organizations and other sources, to contribute to the special trust funds;

10–15. [RETIRED as per decision VII/33, paragraph 1].

TABLE 1

Biennium Budget of the Trust Fund for The Convention on Biological Diversity 1999–2000

[RETIRED as per decision VII/33, paragraph 1]

TABLE 2

Staffing Table 1999–2000

[RETIRED as per decision VII/33, paragraph 1]

TABLE 3

Special Voluntary Trust Fund (BE) for Additional Voluntary Contributions In Support of Approved Activities for the Biennium 1999–2000

[RETIRED as per decision VII/33, paragraph 1]

TABLE 4

Special Voluntary Trust Fund (BZ) For Facilitating Participation of Parties in the Convention Process for the Biennium 1999–2000*

[RETIRED as per decision VII/33, paragraph 1]

TABLE 5

Contributions to the Trust Fund for the Convention on Biological Diversity for the Biennium 1999–2000

[RETIRED as per decision VII/33, paragraph 1]

* Developing Country Parties, in particular the least developed and small island developing States, and other Parties with economies in transition.

ADMINISTRATIVE ARRANGEMENTS BETWEEN THE UNITED NATIONS ENVIRONMENT PROGRAMME (UNEP) AND THE SECRETARIAT OF THE CONVENTION ON BIOLOGICAL DIVERSITY (CBD)

Preamble

The Executive Director of the United Nations Environment Programme (UNEP) and the Executive Secretary of the Convention on Biological Diversity (CBD);

Pursuant to decision I/4 of the first meeting of the Conference of the Parties to the CBD which designated the UNEP to carry out the functions of the Secretariat of the Convention while ensuring its autonomy to discharge the functions referred to in Article 24;

Recalling decision 18/36 of the Eighteenth Session of the Governing Council of the UNEP which welcomed the designation of the UNEP to carry out the functions of the Secretariat of the Convention while ensuring its autonomy to discharge the functions referred to in Article 24;

Aware that decision II/19 of the second meeting of the Conference of the Parties accepted the offer of Canada to host the Permanent Secretariat of the CBD in Montreal;

Recalling decision III/23 of the third meeting of the Conference of the Parties invited the Executive Director of the UNEP and the Executive Secretary of the CBD to develop procedures, making an effort to conclude by 27 January 1997, with respect to the functioning of the Permanent Secretariat of the CBD, to clarify and make more effective their respective roles and responsibilities;

Cognizant that decision III/23 stressed further that the procedures must be in accordance with the United Nations financial and staff rules and regulations and with decision I/4 of the Conference of the Parties and should as far as possible, and where appropriate, follow the Personnel, Financial and Common Services arrangements agreed to between the United Nations and the Framework Convention on Climate Change;

Aware that some of the services required by the Secretariat of the CBD in accordance with Article 24 of the Convention and the appropriate decisions of the Conference of the Parties are provided by the United Nations Office at Nairobi;

Hereby decide to apply the following, effective immediately:

I. Personnel Arrangements

1. The Executive Secretary of the CBD will be appointed by the Executive Director of UNEP after consultation with the Conference of the Parties through its Bureau. The level and term of office of the appointment will be determined by the Conference of the Parties. The term of office may be extended by the Executive Director of UNEP after consultation with the Conference of the Parties. Consultations on these matters will be conducted through the Bureau of the Conference of the Parties. The Executive Director of UNEP will also consult the Bureau when

appraising the performance of the Executive Secretary of the CBD and will provide the Bureau with the applicable performance criteria to be used in such appraisal. On an annual basis, the Bureau will submit its comments to the Executive Director of UNEP on the performance of the Executive Secretary of the CBD. The Executive Director of UNEP will reflect these comments in her/his performance evaluation of the Executive Secretary of the CBD. The Executive Director of UNEP will consult the Conference of the Parties, through its Bureau, on issues of concern to her/him in the performance of the Executive Secretary of the CBD.

2. In accordance with the relevant staff rules, the Executive Director of UNEP will, in full consultation with the Executive Secretary of the CBD, appoint CBD staff whose appointment will be limited to service with the Convention, unless mutually agreed otherwise and in accordance with United Nations Rules and Regulations.

3. Posts and their levels are established by the Conference of the Parties for classification and recruitment purposes in conformity with the principles laid down by the General Assembly of the United Nations.

4. The Executive Secretary of the CBD will make recommendations to the Executive Director of UNEP on the promotion of all staff up to D1/L-6 level and on the (non) extensions of appointments of all staff of the Convention at or below the D1/L-6 level, except for terminations under article X of the Staff Regulations. The provisions of ST/SGT/213/Rev 1, concerning the designation of staff members performing significant functions in financial management, personnel management and General Services administration, shall be applicable to CBD. All appointments and promotions to posts above the D1/L-6 level, or termination of appointment above the D1/L-6 level, requires prior approval of the Secretary General of the United Nations

5. The Executive Director of UNEP will, in full consultation with, and on the recommendation of the Executive Secretary of the CBD, appoint, promote and terminate project personnel up to D1/L-6 level, except for terminations under article X of the Staff Regulations. In all cases, contracts will be offered by the Executive Director of UNEP for service of the Secretariat of the Convention, and their duration is subject to availability of resources in the Trust Funds established by the Conference of the Parties to the CBD.

6. An Appointment and Promotion Board for CBD will be established at the seat of the Convention Secretariat by the Executive Director of UNEP in full consultation with the Executive Secretary of the CBD, to advise the Executive Director of UNEP on all matters related to appointments, promotions, and review of staff. The Board will consider all the appointments and promotions of staff in the General Service and related categories and in the Professional category up to D1/L-6 level.

7. The CBD Appointment and Promotion Board, which will make its recommendations to the Executive Director of UNEP for final approval, will follow the relevant UN Staff Regulations and Rules, the procedures of the Appointment and Promotion Board at UN Headquarters and the policies of the Secretary General of the United Nations in personnel questions. The Board will consist of four members and four alternates. Members and alternate members will be appointed by the Executive Director of UNEP in full consultation with the Executive Secretary of the

CBD. A representative of the Human Resources Management Services of the United Nations Office in Nairobi (HRMS/UNON) will be an *ex officio* member of the Board and will serve as its Secretary. The Executive Director of UNEP, in full consultation with the Executive Secretary of the CBD, will ensure that the other members and alternates are appointed after consultation with the CBD staff representative body referred to in paragraph 8 of this agreement. Such members and alternates will be appointed for fixed periods, normally of one year, subject to renewal.

8. Consistent with the Staff Regulations and Rules of the United Nations, a CBD staff representative body will be established, taking into account, as appropriate, the existing staff representative body(ies) at the seat of the Convention Secretariat and will be consulted on all matters related to staff.

9. Movements of staff between the Convention Secretariat and other parts of UNEP will be subject to the same conditions and arrangements as are applicable to staff serving with voluntarily funded programmes of the United Nations.

10. The principle of recruitment on as wide a geographical basis as possible will govern the Professional staff in accordance with the guidelines for voluntarily funded programmes.

11. Job descriptions are prepared and submitted to UNEP by the Executive Secretary for posts approved by the Conference of the Parties.

12. Once a post is classified, a recruitment process is carried out according to the following procedures:

- (a) Vacancy announcements are issued to all Parties/signatories to the CBD, “internally” to request candidates within UNEP and the UN system, and “externally” to elicit applications worldwide;
- (b) Upon completion of the time limited given for applications (which should not exceed six weeks), the HRMS/UNON submits the list of candidates and their detailed applications to the Executive Secretary;
- (c) The Secretariat will constitute a panel to prepare a short list and advise the Executive Secretary on the most suitable candidate. The panel will normally follow agreed procedures for its selection including interviewing the short listed candidates;
- (d) The Appointment and Promotion Board of the CBD, referred to in paragraphs 6 and 7 of this agreement, will review the recommendations and submit its advice to the Executive Director of UNEP for final approval;
- (e) The selected candidate(s) will be offered appointment(s) by the Executive Director of UNEP after consultation with the Executive Secretary of the CBD, in accordance with paragraphs 3, 4 and 5 of this agreement.

13. As an “external” recruitment process takes time, fixed-term appointments of short-term duration of less than one year (up to a maximum of eleven months) can be made as an interim solution, while the normal recruitment process is completed in accordance with the provisions of paragraphs 3, 4, 5, and 6 of this agreement.

14. The selection and terms of employment of consultants, within available allotments, will be decided by the Executive Secretary, in accordance with United Nations procedures.

15. Posts for General Services follow the International Civil Aviation Organization (ICAO) (the lead UN agency in Montreal) job classification standards. The procedure for selecting the most qualified candidate is also similar to that of the professional candidate. For these purposes, renewable contracts of up to but not exceeding eleven months for General Service staff may be offered by the Executive Secretary of the CBD.

16. The appropriate UN bodies, such as the Joint Appeal Board, the Joint Disciplinary Committee, the Claims Board and the Advisory Board on Compensation Claims, will have jurisdiction as regards all staff serving with the Convention.

17. Professional staff will normally be pay-rolled at UNEP Headquarters and their salaries deposited monthly in the individual bank accounts nominated by the staff unless agreed otherwise by UNEP and the CBD Secretariat.

18. For health insurance, Professional and General Services staff are enrolled in the Canadian Medicare which is a branch of Sunlife Medical Insurance. Enrollment is made once staff member starts working and the staff member's portion of the premium is charged to his/her salary. The administration of this service is provided by ICAO.

19. Staff attendance, annual sick leave will be monitored by the Executive Secretary of the CBD or the person to whom he/she delegates this responsibility.

II. Financial Arrangements

General Provisions

20. The Financial Regulations and Rules of the United Nations will govern these financial and common services arrangements. These arrangements will also be consistent with the financial rules adopted by the Conference of the Parties.

21. Taking into account that the resources of CBD are constituted by contributions from the Parties to the CBD and are distinct from the United Nations resources, the financial transactions of the CBD Secretariat that utilise these resources will be exempted from such restrictions as the Secretary General of the United Nations may from time-to-time impose regarding the employment of staff and consultants and the use of funds for operational requirements, including the restrictions currently in force due to the financial situation of the United Nations.

22. The financial and common support services of the CBD Secretariat will be provided by UNEP, UNON or any other United Nations entity, as appropriate, and as agreed by the Executive Director of UNEP, in full cooperation with the Executive Secretary of the Convention.

III. Contributions and Funds

23. The Executive Director of UNEP, with approval of UNEP's Governing Council, has established the following trust funds to support the Convention process:

- (a) Special account for the Core Administrative Budget of the CBD (General Trust Fund for the CBD-alpha code BY);
- (b) Special fund for additional voluntary contributions to the core budget for approved activities under the CBD (General Trust Fund for additional voluntary contributions in support of approved activities under the CBD-alpha code BE);
- (c) Special fund for voluntary contributions to facilitate the participation of Parties in the CBD process (General Trust Fund for voluntary contributions to facilitate the participation of Parties in the process of the CBD-alpha code BZ).

24. The trust funds, referred to in paragraph 21 above, will be subject to arrangements related to Appendix D of the Staff Regulations and Rules. The related resources and expenditures will be accounted for under a separate account to be established by the United Nations for this purpose.

25. For the purpose of recording funds and expenditures, the trust funds, referred to in paragraph 21 above, will be administered in accordance with UN Rules and Regulations with the following exception:

No operational reserve will be maintained under the Core Administrative Budget of the Convention account on the understanding that the CBD Working Capital Reserve will be maintained and administered under that account. No operational reserves will be maintained under the other trust fund accounts.

26. The CBD secretariat will be exempt from the requirement to submit cost plans and annual substantive and programme performance reports to the UNEP. It will, however, adopt appropriate financial planning and reporting practices corresponding to its own administrative needs and to such purposes as may be determined by the Conference of the Parties.

27. Notifications (invoices) of contributions due from parties to the Convention will be processed on the basis of the Executive Secretary's communication on approval of the CBD indicative scale of contribution amount for each Party, in cooperation with the Fund Management Branch of UNEP, as appropriate. Notifications (invoices) are to be sent by the CBD Secretariat to all Parties by 1 October of the year proceeding the year for which contributions are due. Pledged contributions will be recorded under the trust funds in accordance with the rules and regulations governing the acceptance of such pledges. Contributions of the CBD accounts shall be deposited in the following account:

UNEP Trust Funds Account No.015-002756
 UNEP Bank Account
 Chase Manhattan Bank
 New York, N.Y. 10017

28. UNEP will promptly advise the Executive Secretary by facsimile or any other appropriate means of communication, of the receipt of the contributions and acknowledge receipt to the donors. On a monthly basis, UNEP will provide to the Executive Secretary an up-to-date report of the status of pledges, payments of contributions and expenditures.

IV. Treasury

29. All contributions to the Convention are deposited in the Trust Funds referred to in paragraph 21 of this agreement, and in accordance with the terms of reference for such trust funds, it is the prerogative of the Secretary General of the United Nations to invest all available cash surpluses in the account to achieve the best possible investment returns. The Treasurer of the United Nations will therefore invest CBD monies that may not be immediately required. The interest earned on the Convention trust funds will be credited to the relevant trust funds.

V. Budget

30. The budget of the Convention is approved by the Conference of the Parties. The Executive Secretary may commit resources only if such commitments are within the budget approved by the Conference of the Parties and within available resources.

31. The Executive Secretary will prepare draft allotments and staffing tables for activities under the Convention's budget, for final approval of the Executive Director of UNEP. These allotments constitute the authority to the Executive Secretary to enter into commitments and expend resources, including the extension of staff contracts. The Executive Secretary of the CBD has the responsibility to adhere to all applicable UN Regulations and Rules when exercising this authority.

32. Certification authority for expenditures from each of the Convention trust funds will reside with the Secretariat-based Fund and Administrative Officer, who will consult fully with the Executive Secretary of the CBD on such matters. The Secretariat-based Fund and Administrative Officer, in full consultation with the Executive Secretary, can delegate this authority to the responsible Fund Programme Management Officer in UNEP when necessary.

VI. Accounting and Reporting

33. UNEP/UNON will maintain, in full consultation with the Executive Secretary, the accounts for CBD, approve payments on behalf of the CBD Secretariat, provide payroll services, record obligations, disbursements and expenditures and provide a timely, up-to-date report of all accounts to the Executive Secretary in accordance with established procedures.

34. No disbursement will be made if funds are not available within the trust funds established for the Convention.

35. A bank account will be maintained in Montreal to support the day-to-day transactions of the Secretariat. This account shall be replenished as and when required. The Montreal Bank Account is not intended for the receipt of contributions, except in extraordinary circumstances and in accordance with United Nations Rules and Regulations. In such circumstances, the Executive Secretary will record the related reasons and provide them to UNEP.

36. On a monthly basis, UNEP/UNON will provide the Executive Secretary with up-to-date information on the status of allotments, trial balance and unliquidated obligations. The final accounts will be submitted to the Executive Secretary for certification and submissions to the Board of External Auditors and reporting to the Conference of the Parties in accordance with CBD Financial Procedures.

VII. Procurement of Goods and Services

37. The Executive Secretary may approve procurement of goods and services up to a maximum of \$70,000 for each transaction, provided that:

- (a) Except as provided in (c) below, contracts involving commitments in excess of \$20,000 will be let only after competitive bidding or calling for proposals if proposals are called, a comparative analysis of such proposals shall be kept on record;
- (b) Contracts will be awarded to the lowest acceptable bidder, provided that where the interest of the Convention so required, all bids may be rejected. In such case the Executive Secretary will record the related reasons and provide them to UNEP;
- (c) The Executive Secretary may award contracts without calling for proposals or formal invitations to bid, in the circumstances set out in paragraphs (b) to (h) to financial rule 110.19; in such cases, appropriate reasons will be recorded and provided to UNEP.

For any transaction in excess of \$70,000, procurement will be handled under the procedures set out in financial rule: 111.17(d), as applicable to UNEP.

Travel of the CBD Secretariat staff will be authorized by the Executive Secretary and will be at standards not higher than those which the United Nations may set from time to time. Travel of delegations under the terms of the Special Fund for Voluntary Contributions to Facilitate Participation of Parties in the CBD process will be governed by ST/SGB/107/Rev.6 and related legislative decisions of the Conference of the Parties, or donor requirements.

VIII. Reimbursement for Services provided to the Secretariat

39. All trust funds established for the CBD are subject to 13 per cent programme support reimbursement on actual recorded expenditures.

40. The above programme support funds will be used in part for financing the full and effective requirements of the administrative/personnel unit of the CBD Secretariat in Montreal. The remaining will be used for financing the services provided

to the CBD Secretariat, including recruitment, services by UNEP/UNON to the APB referred to in paragraphs 6, 7 and 12(d) of this agreement, and the provision of human resources development staff by UNEP/UNON when required.

IX. Conference and Other Services

41. UNEP/UNON will facilitate the coordination and provision of conference services to the sessions of the Conference of the Parties and its subsidiary bodies in full cooperation with the Executive Secretary of the CBD. The Executive Secretary of the CBD will consult with UNEP/UNON when subcontracting services to other institutions.

X. Revision of this Agreement

42. The provisions of this agreement or their application may, at the request of either party be reviewed at any time. Such a request will be made at least four months in advance, and will then be addressed at the next meeting of the Bureau of the Conference of the Parties or the next meeting of the Conference of the Parties, whichever comes first.

Signed:

Elizabeth Dowdeswell
Executive Director of UNEP
Date: 30 June 1997

Calestous Juma
Executive Secretary of CBD
Date: 30 June 1997

DECISION IV/18 | Date and venue of the fifth meeting of the Conference of the Parties

[RETIRED as per decision VII/33, paragraph 1]

DECISION IV/19 | Tribute to the Government and people of the Slovak Republic

[RETIRED as per decision VII/33, paragraph 1]