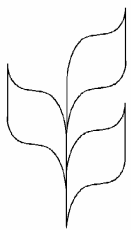


**An Introduction to
Funding Guidance of
The Convention on
Biological Diversity**

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Secretariat of the Convention on Biological Diversity
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User's Guide

This *Introduction to Funding Guidance of the Convention on Biological Diversity* is intended to provide a reference guide to decisions adopted by the Conference of the Parties (COP) to the Convention on Biological Diversity which require action by funding agencies/organizations as well as by Parties and Governments. As a leading instrument on international biodiversity issues, the Convention on Biological Diversity and the funding guidance from its Conference of the Parties provide a comprehensive guiding framework for programming international financial activities relating to biological diversity as well as a common platform for negotiating funding programmes, projects and/or activities between donors and recipients. Thus, this *Introduction to Funding Guidance of the Convention on Biological Diversity* may be used by funding practitioners of both donor countries and recipient countries.

Coverage

This *Introduction to Funding Guidance of the Convention on Biological Diversity* is focused on thematic areas and crosscutting issues of the Convention. Topical issues have been chosen on the basis of the following criteria: (i) there are explicit requests for financial support by the Conference of the Parties; (ii) there have been substantial elaborations of relevant issues by the Conference of the Parties. A request for financial support to certain subjects without substantial elaborations is only mentioned in the introductory section of each section. A full coverage of all decisions of the Conference of the Parties by articles of the Convention on Biological Diversity can be found in the *Handbook of the Convention on Biological Diversity* which is also published by the Convention Secretariat.

Structure

Information is organized by functional divisions of the Convention Secretariat.

Part I includes thematic areas, that is, agricultural biodiversity, forest biodiversity, marine and coastal biodiversity, biodiversity of inland waters, and dry and sub-humid lands.

Part II contains crosscutting issues of scientific and technical nature, that is, ecosystem approach, monitoring, assessment and the Global Taxonomy Initiative, Global Strategy for Plant Conservation, invasive alien species.

These two sections are generally covered by the Division of Scientific, Technical and Technological Matters.

Part III consists of crosscutting issues of socio-economic and legal nature, that is, environmental impact assessment, liability and redress, access to and transfer of technology, Article 8(j) and related provisions, access and benefit-sharing, and incentive measures, which are in principle covered by the Division of Social, Economic and Legal affairs.

Part IV takes in mechanisms for implementation, that is, biodiversity strategies and action plans, clearing-house mechanism, communication, education and public awareness, financial resources and mechanism, national reporting, the Secretariat. These issues are mainly covered by the Implementation and Outreach Division.

Part V is devoted to biosafety issue. The Cartagena Protocol on Biosafety features prominently under the Convention on Biological Diversity in the past few years and is covered by the Biosafety Unit.

For easier reference, each chapter starts with a compilation of relevant funding guidance from the Conference of the Parties. It follows with issues and mandate where relevant provisions of the Convention itself are provided, and where necessary, a brief introduction on the scope of issues, threats and related causes is also included. The third section of each chapter gives a brief description of the evolution of consideration of relevant issues by the Conference of the Parties from its first meeting to its sixth meeting. The next section presents a compilation of required action by Parties and Governments, for which the Conference of the Parties has also called financial support from funding agencies/organizations. Due to space consideration, the final section has subjectively selected the four most informative documents used at various meetings of the Convention on Biological Diversity.

Further message

The Secretariat of the Convention on Biological Diversity intends to update this *Introduction to Funding Guidance of the Convention on Biological Diversity* after each subsequent meeting of the Conference of the Parties. We welcome suggestion for additions and any other comments for improving the coverage and readability of future editions.

Timelines of the Convention on Biological Diversity

- 1972 The United Nations Conference on Human Environment held in Stockholm identified as a priority the need for the conservation of biological diversity
- 1987 *Our Common Future*, the report of the World Commission on Environment and Development stressed the new challenges facing the conservation and sustainable use of biological diversity.
- 17 June 1987 UNEP convened on an Ad Hoc Working Group of Experts on Biological Diversity for the harmonization of the existing conventions related to biological diversity, and at its very first meeting, the Group of Experts agreed on the need to elaborate an international binding instrument on biological diversity.
- May 1989 UNEP established the Ad Hoc Working Group of Technical and Legal Experts to prepare an international legal instrument for the conservation and sustainable use of biological diversity
- February 1991 The UNEP's Ad Hoc Working Group became known as the Intergovernmental Negotiating Committee
- 22 May 1992 The Conference for the Adoption of the Agreed text of the Convention on Biological Diversity adopted the Nairobi Final Act at UNEP Headquarters, Nairobi
- 5 June 1992 The Convention was opened for signature at the United Nations Conference on Environment and Development (the Rio "Earth Summit") in Rio de Janeiro, Brazil
- 4 September 1992 Mauritius became the first State that had ratified the Convention
- 4 June 1993 The Convention received 168 signatures, and was closed for signature in accordance with Article 33 of the Convention
- 30 September 1993 Mongolia deposited the thirtieth instrument of ratification of the Convention, making the entry into force of the Convention a reality
- 29 December 1993 The Convention entered into force
- 28 November –9 December 1994 The first session of the Conference of the Parties was held in Nassau, the Bahamas, which set in place the mechanisms provided for by the Convention
- 29 December 1994 The United Nations General Assembly declared 29 December, the date of entry into force of the Convention, International Day for Biological Diversity.

- 6 -19 November 1995 The second meeting of the Conference of the Parties held in Jakarta, Indonesia, of which the Ministerial Segment adopted the Jakarta Mandate on Marine and Coastal Biological Diversity
- 1 February 1996 Upon the generous offer of Canada, the Secretariat of the Convention was relocated to Montreal
- 4 to 15 November 1996 The third meeting of the Conference of the Parties convened in Buenos Aires, Argentina.
- 4 - 15 May 1998 The fourth meeting of the Conference of the Parties held in Bratislava, Slovak Republic
- 22-24 February 1999 The first extraordinary meeting of the Conference of the Parties held in Cartagena, Colombia suspended in an effort to adopt the Cartagena Protocol on Biosafety
- 24-29 January 2000 The resumed session of the first extraordinary meeting of the Conference of the Parties held in Montreal, Canada successfully adopted the Cartagena Protocol on Biosafety to the Convention on Biological Diversity
- 15 - 26 May 2000 The fifth meeting of the Conference of the Parties held in Nairobi, Kenya, which adopted principles of the ecosystem approach
- 4 June 2001 The Cartagena Protocol on Biosafety received 103 signatures in accordance with Article 36 of the Protocol
- 20 December 2000 The United Nations General Assembly proclaimed 22 May, the date of the adoption of the text of the Convention, as the International Day for Biological Diversity henceforth
- 7 - 19 Apr. 2002 The sixth meeting of the Conference of the Parties held in The Hague, The Netherlands, which adopted: Strategic Plan for the Convention on Biological Diversity; Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of the Benefits Arising out of their Utilization; Guidelines for incorporating biodiversity-related issues into environmental impact assessment legislation and/or process and in strategic environmental assessment; Guiding principles for the prevention, introduction and mitigation of impacts of alien species that threaten ecosystems, habitats or species
Governments resolved to achieve by 2010 a significant reduction of the current rate of biodiversity loss at the global, regional and national levels.
- 31 December 2002 With addition of Tuvalu, the Convention has 187 Parties
Cartagena Protocol on Biosafety has 39 Parties
- 15 - 26 Mar. 2004 The seventh meeting of the Conference of the Parties will be held in Kuala Lumpur, Malaysia

Frequently Used Acronyms

AALCO – Asian-African Legal Consultative Organization

AHTEG – *Ad hoc* Technical Expert Group

AIA – Advance Informed Agreement

AMCEN – African Ministerial Conference on the Environment

AOSIS – Alliance of Small Island States

BCH - Biosafety Clearing House

BGCI – Botanic Gardens Conservation International

CDI- Capacity Development Initiative

CEPA – Communication, Education and Public Awareness

CIFOR – Center for International Forestry Research

CPF – Collaborative Partnership on Forests

DESA – Division for Sustainable Development

ECG- Ecosystem Conservation Group

ECOSOC – Economic and Social Council of the United Nations

EMG- Environmental Management Group

GCRMN – Global Coral Reef Monitoring Network

GIWA – Global International Waters Assessment

GMO – Genetically Modified Organism

GPA - Global Programme of Action for the Protection of the Marine Environment from Land-based Activities

HIPC – Highly Indebted Poor Countries

IABIN – Inter-American Biodiversity Information Network

IAIA – International Association for Impact Assessment

IBRD – International Bank on Reconstruction and Development

ICGEB – International Center for Genetic Engineering and Biotechnology

ICLARM – International Center for Living Aquatic Resources Management

ICPM - Interim Commission of the Phytosanitary Measures

ICRAF – International Centre for Research in Agroforestry

ICSU – International Council of Scientific Unions

ILO – International Labour Organization

IPCC – Intergovernmental Panel on Climate Change

IPGRI – International Plant Genetic Resources Institute

IPI – International Pollinators Initiative

IPPC – International Plant Protection Convention

ITFF – Inter-Agency Task Force on Forests

ITIS – Integrated Taxonomic Information System

ITTO – International Tropical Timber Organization

IUBS – International Union of Biological Sciences

IUCN – The World Conservation Union (The International Union for the Conservation of Nature)

MAB - Man and Biosphere Programme
MEA – Millennium Ecosystem Assessment
MEAs – Multilateral Environmental Agreements
MOC – Memorandum of Cooperation

NABIN- North American Biodiversity Information Network
NACEC – North American Commission for Environmental Cooperation
NAFTA- North American Free Trade Agreement
NBSAP – National Biodiversity Strategy and Action Plan
NTFP – Non-timber Forest Products

OAU – Organization of African Unity
OIE – Office International des Epizooties

PEBLDS - Pan-European Biological and Landscape Diversity Strategy
POPs – Persistent Organic Pollutants

SADC – Southern African Development Community
SBI- Subsidiary Body for Implementation
SCOPE – Scientific Committee for Problems of the Environment
SOCA – Subcommittee on Oceans and Coastal Areas
SPB – Sanitary and Phytosanitary Measures
STAP- Scientific and Technical Advisory Panel of the Global Environment Facility (GEF)
STOs – Specific Trade Obligations

TBT- Technical Barriers to Trade
TEST- Transfer of Environmentally Sound Technologies

UNCCD – United Nations Convention to Combat Desertification
UNFCCC – United Nations Framework Convention on Climate Change
UNHCHR – United Nations High Commissioner for Human Rights
UNITAR – United Nations Institute for Training and Research
UPOV- International Union for the Protection of New Varieties of Plants

WCMC – World Conservation Monitoring Centre
WRI – World Research Institute
WTO – World Tourism Organization
WTO – World Trade Organization

Part I Thematic Areas

The work of the Convention on Biological Diversity has been conveniently organized around three topical fields: thematic areas, crosscutting issues and mechanisms for implementation. The COP has initiated work on five thematic work programmes, addressing marine and coastal biodiversity, agricultural biodiversity, forest biodiversity, the biodiversity of inland waters, and dry and sub-humid lands. Each thematic programme establishes a vision for, and basic principles to guide, future work; sets out key issues for consideration; identifies potential outputs; and suggests a timetable and means for achieving these outputs. The COP has explicitly directed that the consideration of certain crosscutting issues should be integrated into the thematic work programmes. Periodic review of the implementation of the work programme by the COP and SBSTTA is provided. It is envisaged that implementation of the work programmes will involve contributions from Parties, the Secretariat, relevant intergovernmental organisations and other organisations.

Mountain ecosystem will be considered by the Conference of the Parties at its seventh meeting. However, the COP already identified mountain ecosystem as one of the programme priorities for the financial mechanism at its first meeting, which states:

“The programme priorities are ... [p]rojects which promote the conservation of biological diversity and sustainable use of its components in other environmentally vulnerable areas such as arid and semi-arid and mountainous areas” [*decision 1/2, annex I, paragraph 4(k)*]

Chapter 1. Agricultural Biodiversity

“The Global Environment Facility shall provide financial resources... [f]or supporting, as a priority, efforts for the conservation and sustainable use of biological diversity important to agriculture, in accordance with decision III/11” [*decision III/5, paragraph 2(c)*]

“Draws the attention of international funding agencies to the urgent need to support the conservation and sustainable use of biological diversity important to agriculture and invites these agencies to provide information and feedback in this respect to the Conference of the Parties and in this context, requests the interim financial mechanism to give priority to supporting efforts for the conservation and sustainable use of biological diversity important to agriculture in accordance with this decision” [*decision III/11, paragraph 22*]

“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 Secretariat...

With reference to paragraphs 21 and 22 of decision III/11, draws the attention of international funding agencies, including the financial mechanism, of the need to support capacity-building in the development and implementation of this work programme” [*decision IV/6, paragraphs 4 and 12*]

“Invites Parties, in accordance with Article 20 of the Convention, and bilateral and international funding agencies to provide support for the implementation of the activities of the programme of work on agricultural biological diversity, in particular, for capacity-building and case-studies in developing countries and countries with economies in transition...

Requests the Executive Secretary, the Subsidiary Body on Scientific, Technical and Technological Advice and the financial mechanism to support the development and implementation of the Initiative and invites Parties and Governments to collaborate and compile case-studies and implement pilot projects, making use of the clearing-house mechanism, and to report to the Conference of the Parties at its sixth meeting” [*decision V/5, paragraphs 9 and 18*]

“The Global Environment Facility should provide support ... [A]s a priority, for projects which: (i) Implement the Convention's programme of work on agricultural biodiversity, in accordance with decision V/5, through the timely finalization and implementation of its operational programme on agricultural biodiversity, and through the development and implementation of other relevant operational programmes ...

For projects which assist with the development and implementation of the International Initiative for the Conservation and Sustainable Use of Pollinators in Agriculture, in accordance with decision V/5” [*decision V/13, paragraphs 2(b.i) and 2(c)*]

“Invites Parties, other Governments, the financial mechanism and funding organizations to provide adequate and timely support to the implementation of the Plan of Action, especially by developing country Parties and Parties with economies in transition, and in particular least developed countries and Small Island developing States...

Invites Parties, other Governments, the financial mechanism and funding organizations to provide adequate and timely support to enable countries, especially developing country Parties and Parties with economies in transition, and in particular least developed countries and small island developing States, to participate fully in the preparatory process for the first Report on the State of World’s Animal Genetic Resources, and implement follow-up actions identified through the process that will contribute to conservation sustainable use, access and benefit-sharing of animal genetic resources for food and agriculture” [decision VI/5, paragraphs 12 and 16]

“The Global Environment Facility should provide support ... [F]or projects that assist with the implementation of the Plan of Action for the International Initiative for the Conservation and Sustainable Use of Pollinators by developing country Parties, in particular, least developed countries and Small Island developing States...

To build capacity of developing country Parties, in particular least developed countries and Small Island developing States, to participate effectively in the preparatory process for the first Report on the State of World’s Animal Genetic Resources” [decision VI/17, paragraphs 10(g) and 10(h)]

Issues

Agricultural biodiversity is a broad term that includes all components of biological diversity of relevance to food and agriculture, and all components of biological diversity that constitute the agro-ecosystem: the variety and variability of animals, plants and micro-organisms, at the genetic, species and ecosystem levels, which are necessary to sustain key functions of the agro-ecosystem, its structure and processes.

The distinctive features of agricultural biodiversity include the following:

- Agricultural biodiversity is essential to satisfy basic human needs for food and livelihood security;
- Agricultural biodiversity is managed by farmers; many components of agricultural biodiversity depend on this human influence; indigenous knowledge and culture are integral parts of the management of agricultural biodiversity;
- There is a great interdependence between countries for the genetic resources for food and agriculture;
- For crops and domestic animals, diversity within species is at least as important as diversity between species and has been greatly expanded through agriculture;
- Because of the degree of human management of agricultural biodiversity, its conservation in production systems is inherently linked to sustainable use;
- Nonetheless, much biological diversity is now conserved ex situ in gene banks or breeders’ materials;
- The interaction between the environment, genetic resources and management practices that occurs in situ within agro-ecosystems often contributes to maintaining a dynamic portfolio of agricultural biodiversity.

The following dimensions of agricultural biodiversity can be identified:

- Genetic resources for food and agriculture, including:

- Plant genetic resources including pasture and rangeland species and forest genetic resources of trees that are an integral part of farming systems;
 - Animal genetic resources, including fishery genetic resources, in cases where fish production is part of the farming system, and insect genetic resources;
 - Microbial and fungal genetic resources.
- These constitute the main units of production in agriculture, including cultivated species, domesticated species and managed wild plants and animals;
- Components of agricultural biodiversity that provide ecological services. These include a diverse range of organisms in agricultural production systems that contribute, at various scales to, inter alia:
 - Nutrient cycling, decomposition of organic matter and maintenance of soil fertility;
 - Pest and disease regulation;
 - Pollination;
 - Maintenance and enhancement of local wildlife and habitats in their landscape,
 - Maintenance of the hydrological cycle;
 - Erosion control;
 - Climate regulation and carbon sequestration;
 - Abiotic factors, which have a determining effect on these aspects of agricultural biodiversity;
 - Socio-economic and cultural dimensions since agricultural biodiversity is largely shaped by human activities and management practices. These include:
 - Traditional and local knowledge of agricultural biodiversity, cultural factors and participatory processes;
 - Tourism associated with agricultural landscapes;
 - Other socio-economic factors.

Biodiversity provides not only food and income but also raw materials for clothing, shelter, medicines, breeding new varieties, and performs other services such as maintenance of soil fertility and biota, and soil and water conservation, all of which are essential to human survival. The importance of agrobiodiversity encompasses socio-cultural, economic and environmental elements. All domesticated crops and animals result from human management of biological diversity, which is constantly responding to new challenges to maintain and increase productivity.

About 7,000 plant species have been cultivated and collected for food by humans since agriculture began about 12,000 years ago. Today, only about 15 plant species and 8 animal species supply 90% of our food.

In recent years, as the world's population continues to grow and agricultural production must meet the rising demand for food, agricultural expansion into forests and marginal lands, combined with overgrazing and urban and industrial growth, has substantially reduced levels of biological diversity over significant areas. Nearly one third of the world's land area is used for food production, making agriculture the largest single cause of habitat conversion on a global basis.

Background and Status

As part of its first medium-term programme of work, the COP decided to consider agricultural biological diversity at its third meeting [*decision 1/9*]. It has also addressed issues relevant to agricultural biological diversity in its consideration of other items on its medium-term programme

of work, including the relationship with the FAO Global System for Plant Genetic Resources for Food and Agriculture, and access to genetic resources.

At its second meeting, the COP adopted a statement for transmission to the International Technical Conference on the Conservation and Utilization of Plant Genetic Resources for Food and Agriculture in June 1996 [*decision II/16*].

At COP 3, the COP adopted decision III/11, “Conservation and sustainable use of agricultural biological diversity”, which, *inter alia*, decided to establish a multi-year programme of activities on agricultural biological diversity.

In decision IV/6, the COP requested that SBSTTA develop and provide to COP5, advice and recommendations as to the development of the multi-year programme of work. Decision IV/6 also initiated an assessment of any consequences for the conservation and sustainable use of biological diversity from the development and use of new technology for the control of plant gene expression.

COP 5 adopted a programme of work on agricultural biological diversity, contributing to the implementation of decision III/11 [*decision V/5*]. In decision V/5, the COP also established an International Initiative for the Conservation and Sustainable Use of Pollinators as a cross-cutting initiative within the programme of work on agricultural biodiversity.

At its sixth meeting, the COP adopted decision VI/5 on agricultural biodiversity, which contains provisions on the implementation of the programme of work, the International Pollinator Initiative, soil biodiversity, animal genetic resources, trade liberalization and genetic use restriction technologies (GURTs). In this decision, COP adopted the steps for the further implementation of the programme of work by the Executive Secretary and partner organizations and the reporting schedule for SBSTTA and COP. COP also adopted the plan of action on the International Pollinators Initiative; established the International Initiative on Soil Biodiversity, encouraged Parties to participate in the development of the FAO first Report on the State of the World's Animal Genetic Resources.

The programme comprises four mutually reinforcing programme elements:

1. Assessments: to provide a comprehensive analysis of status and trends of the world's agricultural biodiversity and of their underlying causes, as well of local knowledge of its management.
2. Adaptive management: to identify management practices, technologies and policies that promote the positive and mitigate the negative impacts of agriculture on biodiversity, and enhance productivity and the capacity to sustain livelihoods, by expanding knowledge, understanding and awareness of the multiple goods and services provided by the different levels and functions of agricultural biodiversity.
3. Capacity-building: to strengthen the capacities of farmers, indigenous and local communities, and their organizations and other stakeholders, to manage sustainably agricultural biodiversity so as to increase their benefits, and to promote awareness and responsible action.
4. Mainstreaming: to support the development of national plans or strategies for the conservation and sustainable use of agricultural biodiversity and to promote their mainstreaming and integration in sectoral and cross-sectoral plans and programmes.

The Programme of Work also addresses the following cross-cutting issues: Genetic Use Restriction Technologies (GURTs): International Initiative for the Conservation and Sustainable Use of Pollinators

Funding needs

The COP has adopted certain policy guidance to Parties in its decisions on agricultural biodiversity and also called upon Parties to provide information and case studies on particular issues. In this regard, the COP has invited funding agencies/organizations including the financial mechanism to support efforts for the conservation and sustainable use of agricultural biological diversity.

The following recommended national action might require financial support by bilateral, regional and multilateral funding institutions and development agencies:

Decision III/11. Agricultural biological diversity

“4. Requests Parties, as far as possible and as appropriate, to identify and assess relevant ongoing activities and existing instruments at the national level and to report back to the Conference of the Parties;

5. Requests Parties, as far as possible and as appropriate, to identify issues and priorities that need to be addressed at the national level and to report back to the Conference of the Parties ...

9. Encourages the Parties, in accordance with decision I/2 of the Conference of the Parties, to use and/or study and develop methods and indicators to monitor the impacts of agricultural development projects, including the intensification and extensification of production systems, on biological diversity and to promote their application;

10. Invites countries to share case-study experiences addressing the conservation and sustainable use of agricultural biological diversity, which, among other ways of sharing information, should be posted through the clearing-house mechanism of the Convention;

11. Encourages interested Parties and international agencies to conduct case studies on the two initial issues identified by the Subsidiary Body on Scientific, Technical and Technological Advice in recommendation II/7, described in Annex 3 ...

13. Recognizes that the successful implementation of policies aiming at the sustainable use of agrobiodiversity components largely depends on the degree of public awareness and understanding of its basic importance for society, and recommends Parties to establish or enhance mechanisms for information and education, including the use of the clearing-house mechanism, specific to groups of concern at national, regional and international levels ...

15. Encourages Parties to develop national strategies, programmes and plans which, inter alia:

(a) Identify key components of biological diversity in agricultural production systems responsible for maintaining natural processes and cycles, monitoring and evaluating the effects of different agricultural practices and technologies on those components and encouraging the adoption of repairing practices to attain appropriate levels of biological diversity;

(b) Redirect support measures which run counter to the objectives of the Convention regarding agricultural biodiversity;

- (c) Internalize environmental costs;
- (d) Implement targeted incentive measures which have positive impacts on agrobiodiversity, in order to enhance sustainable agriculture, in accordance with Article 11 and consistent with Article 22, as well as to undertake impact assessments in order to minimize adverse impacts on agrobiodiversity, in accordance with Article 14;
- (e) Encourage the development of technologies and farming practices that not only increase productivity, but also arrest degradation as well as reclaim, rehabilitate, restore and enhance biological diversity and monitor adverse effects on sustainable agricultural biodiversity. These could include, inter alia, organic farming, integrated pest management, biological control, no-till agriculture, multi-cropping, inter-cropping, crop rotation and agricultural forestry;
- (f) Empower their indigenous and local communities and build their capacity for in situ conservation and sustainable use and management of agricultural biological diversity, building on the indigenous knowledge systems;
- (g) Encourage ex ante and/or ex post evaluation of impacts on biological diversity from agricultural development projects, to assure the use of best practices to promote the conservation and sustainable use of biological diversity;
- (h) Integrate with other plans, programmes and projects relating to the conservation and sustainable use of other terrestrial, freshwater, coastal and marine ecosystems, in accordance with Article 6 (b) of the Convention on Biological Diversity;
- (i) Promote partnerships with researchers, extension workers and farmers in research and development programmes for biological diversity conservation and sustainable use of biological diversity in agriculture. To achieve this, countries should be encouraged to set up and maintain local level forums for farmers, researchers, extension workers and other stakeholders to evolve genuine partnerships;
- (j) Promote at national and regional levels adequate and appropriate services to farmers and responsiveness of public research and extension services and development of genuine partnerships;
- (k) Promote research into, and development and implementation of, integrated pest management strategies, in particular, methods and practices alternative to the use of agro-chemicals, that maintain biodiversity, enhance agro-ecosystem resilience, maintain soil and water quality and do not affect human health;
- (l) Encourage the consideration of introducing necessary measures and/or legislation, as appropriate, to encourage appropriate use of and discourage excessive dependence on agro-chemicals with a view to reducing negative impacts on biological diversity;
- (m) Study, use and/or develop, in accordance with decision I/2, methods and indicators to monitor the impacts of agricultural development projects on biological diversity, including intensification and extensification, of production systems on biological diversity, and to promote their application;
- (n) Study the positive and negative impacts on ecosystems and biomes of agricultural transformation resulting from intensification or extensification of production systems in their countries;

16. Encourages Parties to develop national strategies, programmes and plans, which should focus on, inter alia:

- (a) The key elements of the Global Plan of Action, such as broadening the genetic base of major crops; increasing the range of genetic diversity available to farmers; strengthening the capacity to develop new crops and varieties that are specifically adapted to local environments; exploring and promoting the use of underutilized crops; and deploying genetic diversity to reduce crop vulnerability;

- (b) The development of inventories which consider the status of farm animal genetic resources and measures for their conservation and sustainable utilization;
- (c) Micro-organisms of interest for agriculture;

17. Encourages Parties at the appropriate level, with the support of the relevant international and regional organizations, to promote:

- (a) The transformation of unsustainable agricultural practices into sustainable production practices adapted to local biotic and abiotic conditions, in conformity with the ecosystem or integrated land use approach;
- (b) The use of farming practices that not only increase productivity, but also arrest degradation as well as reclaim, rehabilitate, restore and enhance biological diversity;
- (c) Mobilization of farming communities including indigenous and local communities for the development, maintenance and use of their knowledge and practices in the conservation and sustainable use of biological diversity in the agricultural sector with specific reference to gender roles”

Decision IV/6. Agricultural biological diversity

“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 Secretariat...

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 of part A of decision IV/1 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”

Decision V/5. Agricultural biological diversity: review of phase I of the programme of work and adoption of a multi-year work programme

“4. Urges Parties, Governments, international and regional organizations, civil-society organizations and other relevant bodies to promote and, as appropriate, carry out the programme of work and to promote regional and thematic cooperation within this framework...

10. Invites Parties, Governments and relevant organizations to support actions to raise public awareness in support of sustainable farming and food production systems that maintain agricultural biodiversity ...

24. Encourages Parties and Governments to consider how to address generic concerns regarding such technologies as genetic use restriction technologies under international and national approaches to the safe and sustainable use of germplasm;

25. Reaffirming the need of Parties and Governments for additional information, and recalling Article 8(g) of the Convention on Biological Diversity, which calls on Parties and Governments to establish or maintain procedures for regulating, managing or controlling risks associated with the use and release of living modified organisms resulting from biotechnology, invites Parties to carry out and disseminate the results through the clearing-house mechanism and submit scientific assessments on, inter alia, ecological, social and economic effects of genetic use restriction technologies taking into account such information, as available, as:

(a) The molecular biology information available;

(b) The genetic constructs and inducers used;

(c) Effects at the molecular level, such as site-specific effects, gene-silencing, epigenesis and recombination;

(d) Potential positive applications of the variety-specific genetic use restriction technologies on limiting gene flow, and possible negative impacts of genetic use restriction technologies on small populations of threatened wild relatives; and to make these assessments available through, inter alia, the clearing-house mechanism;

26. Further encourages Parties and Governments to identify ways and means to address the potential impacts of genetic use restriction technologies on the in situ and ex situ conservation and sustainable use, including food security, of agricultural biological diversity;

27. Urges Parties and Governments to assess whether there is a need to develop, and how to ensure the application of, effective regulations at national level which take into account, inter alia, the specific nature of variety-specific and trait-specific genetic use restriction technologies, in order to ensure the safety of human health, the environment, food security and the conservation and sustainable use of biological diversity and to make this information available through, inter alia, the clearing-house mechanism.”

Decision VI/5. Agricultural biological diversity

“3. Invites Parties, other Governments, and relevant organizations to submit case-studies on their experiences with mainstreaming matters related to agricultural biodiversity in their plans, programmes and strategies, to be made available through the clearing-house mechanism;

4. Invites Parties and Governments to provide, thematic reports on the implementation of the programme of work on agricultural biodiversity, as part of the third national reports, prior to the eighth meeting of the Conference of the Parties ...

11. Invites Parties and other Governments, and relevant organizations to contribute to the implementation of the International Pollinators Initiative ...

15. Encourages Parties to participate in the development of the first Report on the State of World’s Animal Genetic Resources, in particular through the preparation of country reports ...

18. Encourages Parties and other Governments to address generic concerns regarding such technologies as genetic use restriction technologies under international and national approaches to the safe and sustainable use of germplasm;

19. Urges Parties and other Governments to assess whether there is a need to develop, and how to ensure the application of, effective regulations at national level which take into account, *inter alia*, the specific nature of variety-specific and trait-specific genetic use restriction technologies, in order to ensure the safety of human health, the environment, food security and the conservation and sustainable use of biological diversity ...

22. Invites Parties, other Governments and relevant organizations to protect native species and associated traditional knowledge by paying a particular attention to smallholder farmers, indigenous and local communities and Farmers' Rights in their implementation of the programme of work on agricultural biological diversity and the Global Strategy for Plant Conservation, in order to promote the sustainable use and in situ development of genetic resources”

Useful documents

Agricultural Biodiversity: Progress report on the implementation of the programme of work, including development of the International Pollinators Initiative (UNEP/CBD/SBSTTA/7/9)

Agricultural biological diversity: review of phase I of the programme of work and adoption of a multi-year programme of work (UNEP/CBD/COP/5/11)

Programme of Work on Agricultural Biological Diversity: Note by the Executive Secretary (UNEP/CBD/COP/4/6)

Consideration of Agricultural Biodiversity under the Convention on Biological Diversity (UNEP/CBD/COP/3/14)

Chapter 2. Forest Biodiversity

“Urges Parties and countries and international financial institutions, including the Global Environment Facility, to give high priority to the allocation of resources to activities that advance the objectives of the Convention in respect of forest biological diversity;

Calls upon the Global Environment Facility (GEF) to provide financial support, in accordance with Article 7 of the Convention, for activities and capacity-building for the implementation of the work programme for forest biological diversity and the use of the clearing-house mechanism, particularly for activities to halt and mitigate deforestation effects, 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...

Requests the financial mechanism of the Convention to consider the operational objectives of the programme of work as a guidance for funding in the field of forest biological diversity and strongly encourages the Global Environment Facility to assist in the implementation of the programme of work at the national, regional and subregional level” [*decision IV/7, paragraphs 5, 6 and 8*]

“The Global Environment Facility should... [i]n 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” [*decision IV/13, paragraph 4*]

“The Global Environment Facility should provide support ... [A]s a priority, for projects which: (iii) Assist in the implementation of the programme of work on forest biodiversity at the national, subregional and regional levels, and consider the operational objectives of the aforementioned programme of work as guidance for funding, in accordance with decision V/4” [*decision V/13, paragraph 2(b.iii)*]

“The Global Environment Facility should provide support ... [F]or country-driven projects focusing on the identified national priorities, as well as regional and international actions that assist the implementation of the expanded work programme considering conservation of biological diversity, sustainable use of its components and fair and equitable sharing of the benefits from genetic resources in a balanced way, underscoring the importance of ensuring long-term conservation, sustainable use, and benefit-sharing of native forests” [*decision VI/17, paragraph 10(c)*]

“Urges donors and the international community to contribute through financing and technology transfer to country-identified or regionally-identified priorities for forest biodiversity, with an understanding of the impact of scarce resources on the effective implementation of the objectives of the Convention;

Agrees that the availability of new and additional financial resources from public, private, domestic or international sources, with the transfer of technology and capacity-building is necessary to facilitate the effective implementation of the expanded work programme by developing countries, in particular the least developed and small island developing States among them, and in countries with economies in transition ...

Invites Parties, other Governments and funding organizations to provide adequate and timely financial support to facilitate the international and regional actions. These actions should not prejudice the financing and support for other international and regional actions in the work programme including projects by Parties and other Governments in the context of their national priorities” [decision VI/22, paragraphs 16, 17 and 20]

Issues

Forest biodiversity may be the most rich of all terrestrial systems. Together, tropical, temperate and boreal forest offer diverse sets of habitats for plants, animals and micro-organisms, holding the vast majority of the world's terrestrial species.

Forest biodiversity provides a wide array of goods and services, from timber and some non-timber forest resources to playing an important role in mitigating climate change as carbon sinks. At the same time, it provides livelihood and jobs for hundreds of millions of people worldwide. Forest biological diversity also has important economic, social and cultural roles in the lives of many indigenous and local communities.

In the last 8000 years about 45 percent of the Earth's original forest cover has disappeared, cleared mostly during the past century.

According to the Food and Agriculture Organization of the United Nations (FAO), the present area of the world's forest is 3.9 billion hectares. This area is the equivalent to North, Central and South America combined.

Forest biodiversity is being lost due to the rapid deforestation, fragmentation, and degradation of all forest types. According to FAO, there has been an annual net loss of 9.4 million hectares (0.22 per cent annually) since 1990, of which most was natural forest in the tropics. As these figures are calculated by including the rate of reforestation, the true reality in terms of loss of natural forest may be up to 14 million hectares a year, if not more. The most important factors associated with forest and biological diversity decline are human-induced causes: conversion to agricultural land, overgrazing, unmitigated shifting cultivation, unsustainable forest management, introduction of invasive alien plant and animal species, infrastructure development (road building, hydro-electrical development urban sprawl), mining and oil exploitation, forest fires caused by humans, pollution and climate change.

Background and Status

At its second meeting, the COP adopted a statement from the Convention to the Intergovernmental Panel on Forests (IPF) on biological diversity and forests [decision II/9]. It also requested the Executive Secretary to produce a background document on the links between forests and biological diversity, and to provide advice and information on the relationship

between indigenous and local communities and forests as invited by the Inter-Agency Task Force of the IPF.

COP3 endorsed recommendation II/8 of SBSTTA regarding further input to the IPF [*decision III/12*], and decided to develop a focused work programme for forest biological diversity with an initial focus on research, cooperation and the development of technologies necessary for the conservation and sustainable use of forest biological diversity. COP 3 also directed SBSTTA to advance its scientific, technical and technological consideration of forest biological diversity by initially focusing on development of criteria and indicators for the conservation of biological diversity and analysing the ways in which human activities, in particular forest-management practices, influence biological diversity and assessment of ways to minimize or mitigate negative influences.

At its fourth meeting, the COP endorsed a work programme for forest biological diversity [*decision IV/7*]. The work programme provides several elements of work including: holistic and inter-sectoral ecosystem approaches that integrate the conservation and sustainable use of biological diversity, taking account of social and cultural and economic considerations; comprehensive analysis of the ways in which human activities, in particular forest-management practices, influence biological diversity and assessment of ways to minimize or mitigate negative influences. It urged Parties, countries, international and regional organizations, major groups and other relevant bodies to collaborate in carrying out the task identified in the work programme.

COP 5 reviewed implementation of the work programme and called for its further implementation by Parties, relevant organizations and the Executive Secretary [*decision V/4*]. It also decided to consider expanding the focus of the work programme from research to practical action at its sixth meeting. The COP established an ad hoc technical expert group on forest biological diversity to provide advice on scientific programmes and international cooperation in research and development, to carry out a review of available information on status, trends and threats to forest biological diversity and to identify options and suggest priority actions for the conservation and sustainable use of forest biological diversity

The COP at its sixth meeting adopted the expanded programme of work on forest biological diversity [*decision VI/22*]. It recognized that Parties should implement this expanded programme of work in the context of their national priorities and needs, and that activities implemented domestically will be prioritized based on country and regionally specific needs. At the national level, COP urged Parties to incorporate relevant objectives of the expanded programme of work into their national biodiversity strategies and action plans and their national forest programmes, to address the effectiveness of forest-related laws and to recognize the vital role that women in indigenous and local communities play in the sustainable use and conservation of forest biological diversity. The COP proposed guidance on activities to be carried out urgently at the global and international level to address issues such as the application of ecosystem approach, climate change, non-timber forest resources, forest fires, and collaboration with other bodies. COP6 also agreed to establish an ad hoc technical expert group to provide advice to SBSTTA in the review of the implementation of the programme of work

The expanded programme of work on forest biological diversity consists of 3 programme elements, 12 goals, 27 objectives and 130 activities. The three programme elements are:

1. Conservation, sustainable use and benefit-sharing: to apply the ecosystem approach to the management of all types of forests, reduce the threats and mitigate the impacts of threatening processes on forest biological diversity, protect, recover and restore forest

- biological diversity, promote the sustainable use of forest biological diversity, access and benefit-sharing of forest genetic resources.
2. Institutional and socio-economic enabling environment: to enhance the institutional enabling environment, address socio-economic failures and distortions that lead to decisions that result in loss of forest biological diversity, increase public education, participation and awareness.
 3. Knowledge, assessment and monitoring: to characterize and to analyze from forest ecosystem to global scale and develop general classification of forests on various scales in order to improve the assessment of status and trends of forest biological diversity, improve knowledge on and methods for the assessment of the status and trends of forest biological diversity, based on available information, improve understanding of the role of forest biodiversity and ecosystem functioning.

Funding needs

The COP has recommended the following national action, which might require financial support and for which the COP has invited funding agencies/organizations including the financial mechanism to provide support:

Decision IV/7. Forest biological diversity

- “2. Urges Parties, countries, international and regional organizations, major groups and other relevant bodies to collaborate in carrying out the tasks identified in the work programme;
3. Calls upon Parties and countries to integrate forest biological diversity considerations in their participation and collaboration with organizations, institutions and conventions affecting or working with forest biological diversity ...
7. Invites Parties, when requesting assistance through the financial mechanism, to propose projects that are being fully consistent with previous guidance of the Conference of the Parties and promote the implementation of the focused work programme on forest biological diversity”

Decision V/4. Progress report on the implementation of the programme of work for forest biological diversity

- “1. Urges the Parties, Governments and relevant organizations to advance the implementation of the work programme for forest biological diversity, as contained in decision IV/7 ...
3. Decides to call upon Parties, Governments and organizations to take practical actions within the scope of the existing programme of work in order to address urgently the conservation and sustainable use of forest biological diversity, applying the ecosystem approach and taking into consideration the outcome of the fourth session of the Intergovernmental Forum on Forests (UNEP/CBD/COP/5/INF/16), and also contributing to the future work of the United Nations Forum on Forests ...
7. Invites Parties, countries, international organizations, institutions and processes and other relevant bodies, as well as indigenous and local communities and non-governmental organizations to provide relevant information on the implementation of the work programme through, inter alia, case-studies, entries in national reports and other means, as appropriate;

8. Encourages Parties and other Governments to promote the integration of national forest programmes with national biodiversity strategies, applying the ecosystem approach and sustainable forest management;

9. Further encourages Parties and other Governments to ensure participation by the forest sector, private sector, indigenous and local communities and non-governmental organizations in the implementation of the programme of work;

10. Recognizes past efforts by different organizations and encourages Parties and other Governments to strengthen national capacities, including local capacities, to enhance the effectiveness and functions of forest protected area networks, as well as national and local capacities for implementation of sustainable forest management, including restoration, when needed ...

13. Urges Parties to consider without delay the proposals for action of the Intergovernmental Forum on Forests and the Intergovernmental Panel on Forests on programme element II.d (v), on valuation of forest goods and services”

Decision VI/22. Forests biological diversity

“11. Recognizes that Parties should implement the expanded programme of work on forest biological diversity in the context of their national priorities and needs. Activities implemented domestically by Parties will be prioritized based on country and regionally specific needs, national determination, legislation, circumstances and priorities concerning forest-related issues, and their national forest and biodiversity strategies. Inclusion of an activity in the work programme does not mean relevance of that activity to all Parties;

12. Invites Parties, other Governments and relevant organizations to take note of the information pertaining to potential actors, timeframes, performance measures and indicators of progress contained in the note by the Executive Secretary on the subject ...

18. Recognizes that the work programme contains a number of activities that call for regional and international actions and collaboration and encourages Parties, other Governments and international and regional organizations and processes to collaborate on the implementation of regional and international activities ...

21. Requests Parties to report on progress in implementing relevant objectives and related activities of the expanded programme of work on forest biological diversity, through their national reports, starting with the third national report, bearing in mind the national reporting cycles of Parties...

28. Urges Parties and other Governments to incorporate relevant objectives and related activities of the programme of work into their national biodiversity strategies and action plans and national forest programmes and promote compatibility and complementarity between these plans/programmes and other related initiatives;

29. Invites Parties to undertake national-level implementation and to coordinate their work relating to forest biological diversity at an international level, particularly in respect of work relating to the Convention on Biological Diversity, the United Nations Forum on Forests, as well as other relevant bodies, and to achieve greater integration and collaboration between their

implementing agencies at the national level through, for example, joint strategies or policies, and coordinating committees at political and/or technical levels;

30. Urges Parties and other governments to address the effectiveness of forest and forest-related laws and their enforcement and implementation of policies and related trade as a matter of urgency, recognizing the negative impacts on biodiversity in the absence of these actions;

31. Recognizes the important role that indigenous and local communities can play in the implementation of the programme of work and, in addition, encourages the development of community-based approaches for the conservation and sustainable use of forest biodiversity, integrating traditional forest-related knowledge and benefit-sharing considerations, in accordance with Article 8(j) and related provisions of the Convention on Biological Diversity;

32. Urges Parties to recognize in particular the vital role that women in indigenous and local communities play in the sustainable use and conservation of forest biological diversity, especially but not limited to the sustainable use and conservation of non-timber resources, and values;

33. Encourages Parties and other Governments to develop closer collaboration for the conservation and sustainable use of transboundary forest ecosystems and populations of species”

Useful documents

Biological diversity in forests (UNEP/CBD/SBSTTA/2/11)

Forest biological diversity: status and trends and identification of options for conservation and sustainable use (UNEP/CBD/SBSTTA/5/8)

Consideration of specific threats to forest biological diversity: (a) climate change; (b) human induced uncontrolled forest fires; and (c) harvesting of non-timber forest resources, including bush meat and living botanical resources (UNEP/CBD/SBSTTA/7/7)

Elements for the possible expansion of the programme of work on forest biological diversity (UNEP/CBD/SBSTTA/7/8)

Chapter 3. Inland Waters Ecosystems

“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...

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” [decision IV/4, paragraphs 6 and 9]

“The Global Environment Facility should... [w]ithin 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” [decision IV/13, paragraph 3]

“The Global Environment Facility should provide support. ... [F]or the implementation of capacity-building measures for developing and implementing national and sectoral plans for the conservation and sustainable use of inland water ecosystems, including comprehensive assessments of the biological diversity of inland waters, and capacity-building programmes for monitoring the implementation of the programme of work and the trends in inland water biological diversity and for information gathering and dissemination among riparian communities” [decision V/13, paragraph 2(n)]

“Urges the Global Environment Facility, other funding institutions, and development agencies to provide financial support for implementation of the programme of work on the biological diversity of inland water ecosystems as well as the River Basin Initiative” [decision VI/2, paragraph 6]

“The Global Environment Facility should provide support. ... [F]or projects that assist with the implementation of the programme of work on biological diversity of inland water ecosystems” [decision VI/17, paragraph 10(i)]

Issues

Inland water systems can be fresh or saline within continental and island boundaries. They include lakes, rivers, ponds, streams, groundwater, springs, cave waters, floodplains, as well as bogs, marshes and swamps, which are traditionally grouped as inland wetlands. Biodiversity of inland waters is a source of food, income and livelihood. Other values of these ecosystem include: water supply, energy production, transport, recreation and tourism, maintenance of the hydrological balance, retention of sediments and nutrients, and provision of habitats for various fauna and flora.

Inland water ecosystems are often extensively modified by man, more so than marine or terrestrial systems, and appear to be the most threatened ecosystem type of all. Physical alteration, habitat loss and degradation, water withdrawal, overexploitation, pollution and the introduction of

Alien Invasive Species are main threats to these ecosystems and their associated biological resources. 41 percent of the world's population lives in river basins under water stress. More than 20 percent of the world's 10,000 freshwater fish species have become extinct, threatened or endangered in recent decades.

Industrial Revolution, rapid economic development and population growth, have brought about transformations of these ecosystems and biodiversity loss on an unprecedented scale. There is an increasing concern for maintenance of the richness of inland water biodiversity and reducing the risks many species face so that the goods and services they deliver will be maintained as well.

Background and Status

As part of its first medium-term programme of work, COP 2 decided to assess the status and trends of the biodiversity of inland water ecosystems and identify options for conservation and sustainable use at its fourth meeting [*decision II/18*].

At its fourth meeting, the COP adopted a work programme on biological diversity of inland water ecosystems, and provided certain guidance regarding inland water biological diversity addressed to Parties and governments, the financial mechanism, SBSTTA and the Secretariat [*decision IV/4*]. The inland waters programme promotes integrated watershed management as the best way to reconcile competing demands with dwindling supplies of inland waters, and identifies the actions that Parties need to carry out to halt the trend of biodiversity loss.

COP 5 endorsed a joint work plan of the Convention on Biological Diversity and the Ramsar Convention on Wetlands of International Importance especially as Waterfowl Habitat, and urged the implementation of capacity-building measures for developing and implementing national and sectoral plans for the conservation and sustainable use of inland water ecosystems, including comprehensive assessments of the biological diversity of inland water ecosystems, and capacity-building programmes for monitoring the implementation of the programme of work and the trends in inland water biological diversity, and for information-gathering and dissemination among the riparian communities [*Decision V/2*].

In decision VI/2, the COP emphasized the importance of review and elaboration of the programme of work on biological diversity of inland water ecosystems, and of the implementation of activity 11 of programme of work on the Global Taxonomy Initiative. The COP also recognized the importance of the River Basin Initiative for implementation of the programme of work on biodiversity of inland waters and application of the ecosystems approach, and decided to strengthen collaboration with the Convention on Wetlands on the implementation of the River Basin Initiative. Decision VI/2 further requested the Executive Secretary and Bureau of the Convention on Wetlands to facilitate the implementation of the third Joint Work Plan with the Convention on Wetlands (2002-2006) (UNEP/CBD/COP/6/Inf.14).

The programme of work on inland water ecosystems contains four parts:

- A. Assessment of the status and trends of the biological diversity of inland water ecosystems and identification of options for conservation and sustainable use: national action recommended in the fields of watershed management, appropriate technologies, technology transfer, research, monitoring and assessment, sustainable use, environmental impact assessments, alien species, genotypes and genetically modified organisms, education and public awareness, collaboration with broader water resource community,

- transboundary cooperation, involvement of local and indigenous communities, economic and legal instruments.
- B. Provision of scientific advice and further guidance to assist in the national elaboration of annex I of the Convention (as pertaining to inland water ecosystems): to review and apply criteria for the assessment of threatened species and populations.
 - C. Review of methodologies for assessment of biological diversity (as pertaining to inland water ecosystems): to adopt an integrated approach in the assessment, management and where possible remedial action of inland water ecosystems, including associated terrestrial and inshore marine ecosystems.
 - D. The urgency of needed action on taxonomy.

Funding needs

The implementation of the programme of work on inland water ecosystems is subject to the availability of financial resources. As such, the COP has requested funding agencies/organizations including the financial mechanism to provide financial support to help Parties to carry out the programme of work. The recommended national action, which might require financial support, is as follows:

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

“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 ...

5. Urges Parties and Governments to integrate those elements highlighted by the Subsidiary Body on Scientific, Technical and Technological Advice as important for Parties, contained in annex I, sections A, B, C and D, to the present decision (respectively concerning inland water ecosystems, identification and monitoring, methodologies for assessment and taxonomy), as appropriate, into their national and sectoral plans and to implement these as soon as possible ...

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.”

Decision V/2. Progress report on the implementation of the programme of work on the biological diversity of inland water ecosystems (implementation of decision IV/4)

“2. Endorses the proposed joint work plan for the period 2000-2001 of the Convention on Biological Diversity and the Ramsar Convention on Wetlands of International Importance especially as Waterfowl Habitat (UNEP/CBD/SBSTTA/5/INF/12), which includes, inter alia, a River Basin Initiative, encourages Parties, other Governments and relevant bodies to support and participate in the Initiative, and stresses that Parties to the Convention on Biological Diversity that are not Parties to the Ramsar Convention shall not be disadvantaged in the workings and implementation of the joint work plan;

3. Encourages Parties to address the lack of information on the status of inland water biological diversity as a basis for future decisions on inland water at the national level and to include this information in their national reports.”

Useful documents

Status and Trends of the Biological Diversity of Inland Water Ecosystems and Options for Conservation and Sustainable Use (UNEP/CBD/COP/4/4)

Biological Diversity of Inland Waters (UNEP/CBD/SBSTTA/3/2)

Identification and Monitoring of Components of Biological Diversity of Inland Waters Ecosystems (UNEP/CBD/SBSTTA/3/7)

Methodologies for the Assessment of Biological Diversity in Inland Water Ecosystems (UNEP/CBD/SBSTTA/3/8)

Chapter 4. Marine and Coastal Ecosystems

“The programme priorities are ... [P]rojects that promote the conservation and sustainable use of biological diversity of coastal and marine resources under threat” [*decision I/2, annex I, paragraph 4 (k)*]

“Decides to forward this decision and annexes to the Global Environment Facility, other funding agencies and other relevant international bodies, to be taken into account in considering activities related to the conservation and sustainable use of marine and coastal biological diversity” [*decision II/10, paragraph 11*]

“Urges Parties, countries, relevant organizations and donor agencies to contribute to the implementation of specific elements of the programme of work” [*decision IV/5, I, paragraph 2*]

“The Global Environment Facility should provide support ... [F]or capacity-building at the national, subregional and regional level to address the issue of coral bleaching within the context of implementation of the programme of work on marine and coastal biological diversity, in accordance with decision V/3” [*decision V/13, paragraph 2(d)*]

“Recognizes the need for support through the financial mechanism to developing country Parties, in particular the least developed and small island developing States among them, for country-driven activities aimed at enhancing capabilities to address the impacts of mortality related to coral bleaching and physical degradation and destruction of coral reefs, including developing rapid response capabilities to implement measures to address coral-reef degradation, mortality and subsequent recovery” [*decision VI/3, paragraph 5*]

“The Global Environment Facility should provide support ... [F]or country-driven activities aimed at enhancing capabilities to address the impacts of mortality related to coral bleaching and physical degradation and destruction of coral reefs, including developing rapid response capabilities to implement measures to address coral-reef degradation, mortality and subsequent recovery” [*decision VI/17, paragraph 10(e)*]

Issues

The oceans cover 70 percent of the planet’s surface area and marine and coastal environments contain diverse habitats that support an abundance of marine life. Life in our seas produces a third of the oxygen that we breathe, offers a valuable source of protein and moderates global climatic change. Some examples of marine and coastal communities include: mangroves; coral reefs; seagrasses; algae; pelagic or open-ocean communities and deep-sea communities.

Impacts on marine and coastal ecosystems can be grouped in five main categories: chemical pollution and eutrophication; fisheries operations; global climate change; and alterations of physical habitat and invasions of exotic species.

Seas and coastal areas are under threat from pollution, over-exploitation and ill-planned coastal development. Many areas have been degraded beyond rescue, and the world’s fishery resources are in danger of depletion. Other living resources, such as mangroves, corals and species

amenable to bioprospecting, are also over-exploited. Coral reef ecosystems are increasingly being degraded and destroyed worldwide by a variety of human activities and by global warming.

Background and Status

The COP identified marine and coastal biological diversity as an early priority. At its first meeting, the COP requested SBSTTA to advise on scientific, technical and technological aspects of the conservation and sustainable use of marine and coastal biological diversity [*decision I/7*].

COP 2 adopted decision II/10 on the conservation and sustainable use of marine and coastal biological diversity, which provided certain guidance on the process to be utilized to develop a work programme on marine and coastal biological diversity, and on key substantive elements of the work programme. Also at COP 2, the Ministerial Statement on the Implementation of the Convention on Biological Diversity referred to the new global consensus on the importance of marine and coastal biological diversity as the "Jakarta Mandate on Marine and Coastal Biological Diversity". The Ministerial Statement reaffirmed the critical need for the COP to address the conservation and sustainable use of marine and coastal biological diversity, and urged Parties to initiate immediate action to implement COP decisions on this issue [Jakarta Ministerial Statement].

In decision IV/5, the COP adopted the programme of work arising from decision II/10. It also specifically addressed the issue of coral bleaching, and related biodiversity loss, and the special needs and considerations of Small Island developing states in implementation of the work programme.

COP 5 reviewed progress in the implementation of the work programme, and added a work element on coral reefs, specifically on coral bleaching, to be integrated into programme element 2 (Marine and coastal living resources), with a minimum three-year time schedule [*decision V/3*]. The annex of this decision contains priority areas for action on coral bleaching under four headings: information-gathering; capacity-building; policy development/implementation; and financing. COP 5 also made suggestions for further action in each of the existing programme elements and approved the terms of reference and duration of work specified for the ad hoc technical expert groups on marine and coastal protected areas and mariculture.

In decision VI/3, the COP took note of the progress made in the implementation of the programme of work, including the integration of coral reefs into programme element 2 of the programme of work. It requested the Executive Secretary to continue facilitating the implementation of the specific work plan on coral bleaching and the work plan on physical degradation and destruction of coral reefs.

The programme of work on marine and coastal biological diversity comprises of the following six elements together with respective operational objectives, specific activities and timeframes:

1. Integrated marine and coastal area management (IMCAM): to review existing instruments related to IMCAM, promote the development and implementation of IMCAM at the local, national and regional level, develop guidelines for ecosystem evaluation and assessment (including indicators)
2. Marine and coastal living resources: to promote ecosystem approaches to the sustainable use of marine and coastal living resources, make available to Parties information on marine and coastal genetic resources, including bioprospecting, gather and assimilate information on, build capacity to mitigate the effects of, and to promote policy

- development and implementation strategies to address: (i) the biological and socio-economic consequences of physical degradation and destruction of tropical and cold-water coral-reef ecosystems, including identification and promotion of management practices, methodologies and policies to reduce and mitigate impacts upon marine and coastal biological diversity and to restore and rehabilitate damaged coral reef; and in particular (ii) the impacts of coral bleaching and related mortality on coral-reef ecosystems and the human communities which depend upon coral-reef services, including through financial and technical assistance.
3. Marine and coastal protected areas: to facilitating research and monitoring activities on the value and effects of marine and coastal protected areas or similarly restricted areas on sustainable use of marine and coastal living resources, develop criteria for the establishment and management of marine and coastal protected areas
 4. Mariculture: to assess the consequences of mariculture for marine and coastal biological diversity and promoting techniques to minimise adverse impacts
 5. Alien species and genotypes: to achieve better understanding of the causes and impacts of introductions of alien species and genotypes, identify gaps in existing or proposed legal instruments, guidelines and procedures and collecting information on national and international actions, establish an “incident list” of introductions
 6. General: to assemble a database of initiatives on programme elements, particularly integrated marine and coastal area management, develop a database of experts from the Roster of Experts and other sources for the development and implementation of national policies on marine and coastal biological diversity

Funding needs

The COP has urged funding agencies/organizations to contribute to the implementation of the programme of work on marine and coastal biological diversity through financing projects that support its implementation. It has identified the following areas for national action, which might require financial support:

Decision II/10. Conservation and sustainable use of marine and coastal biodiversity (see also [SBSTTA recommendation I/8](#))

“2. Encourages the use of integrated marine and coastal area management as the most suitable framework for addressing human impacts on marine and coastal biological diversity and for promoting conservation and sustainable use of this biodiversity;

3. Encourages Parties to establish and/or strengthen, where appropriate, institutional, administrative, and legislative arrangements for the development of integrated management of marine and coastal ecosystems, plans and strategies for marine and coastal areas, and their integration within national development plans;

4. Takes note of the recently finalized Food and Agriculture Organization of the United Nations Code of Conduct for Responsible Fisheries, the Agreement for the Implementation of the Provisions of the United Nations Convention on the Law of the Sea of 10 December 1982 Relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks, and the Washington Declaration and Global Programme of Action for the Protection of the Marine Environment from Land-based Activities, and supports their implementation, including that by Parties, in ways that are consistent with, and conform to, the objectives of the Convention on Biological Diversity.”

Decision IV/5. Conservation and sustainable use of marine and coastal ecosystems, including a programme of work

I. Programme of work arising from decision II/10 9(Jakarta Mandate on Marine and Coastal Biological Diversity)

“2. Urges Parties, countries, relevant organizations and donor agencies to contribute to the implementation of specific elements of the programme of work;

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”

II. Coral reefs

“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.”

Decision V/3. Progress report on the implementation of the programme of work on marine and coastal biological diversity (implementation of decision IV/5)

“6. Urges Parties, other Governments and relevant bodies to implement response measures to the phenomenon of coral bleaching by:

- (a) Identifying and instituting additional and alternative measures for securing the livelihoods of people who directly depend on coral-reef services;
- (b) Encouraging and supporting multidisciplinary approaches to action relating to coral-reef management, research and monitoring, including the use of early-warning systems for coral bleaching, and collaborating with the International Coral Reef Initiative and the Global Coral Reef Monitoring Network;
- (c) Building stakeholder partnerships, community participation programmes and public education campaigns and information products that address the causes and consequences of coral bleaching;
- (d) Using appropriate policy frameworks to implement integrated marine and coastal area management plans and programmes that supplement marine and coastal protected areas and the multiple conservation measures outlined in the Renewed Call to Action of the International Coral Reef Initiative;
- (e) Supporting capacity-building measures, including training of and career opportunities for marine taxonomists, ecologists and members of other relevant disciplines, particularly at the national level;
- (f) Implementing and coordinating targeted research programmes, including predictive modelling, in the context, as appropriate, of the ongoing activities referred to in paragraph 4 of the present decision;

7. Invites Parties, other Governments and relevant bodies to submit case-studies on the coral-bleaching phenomenon to the Executive Secretary, for dissemination through the clearing-house mechanism.”

Useful documents

Scientific, Technical and Technological Aspects of the Conservation and Sustainable Use of Coastal and Marine Biological Diversity: Note by the Secretariat to the First Meeting of the

Subsidiary Body on the Scientific, Technical and Technological Advice
(UNEP/CBD/SBSTTA/1/8)

Conservation and Sustainable Use of Marine and Coastal Biological Diversity: Report by the
Executive Secretary to the Third Meeting of the Subsidiary Body on the Scientific, Technical and
Technological Advice (UNEP/CBD/SBSTTA/3/4)

Implementation of the programme of work on marine and coastal biological diversity
(UNEP/CBD/COP/6/INF/41)

Report of the Expert Consultation on Coral Bleaching (UNEP/CBD/SBSTTA/5/Inf.11)

Chapter 5. Dry and Sub-Humid Land Ecosystems

“The programme priorities are ... [p]rojects which promote the conservation of biological diversity and sustainable use of its components in other environmentally vulnerable areas such as arid and semi-arid and mountainous areas” [decision I/2, annex I, paragraph 4(k)]

“The Global Environment Facility should provide support ... [A]s a priority, for projects which: (ii) Implement the Convention's programme of work on biodiversity of dry and sub-humid lands, in accordance with decision V/23, through the development, review and implementation of its operational programmes, in particular, the operational programme on arid and semi-arid ecosystems” [decision V/13, paragraph 2(b.ii)]

“Invites bilateral and international funding agencies to provide support for the implementation of the activities of the programme of work on the biodiversity of dry and sub-humid lands, in particular for capacity-building in developing countries and countries with economies in transition” [decision V/23, paragraph 11]

Issues

Two billion people (one third of the human population) rely on the resilience of dry and sub-humid land biodiversity to provide their daily needs. These people are particularly vulnerable to climatic fluctuations and biodiversity loss. Major uses of dry and sub-humid land biodiversity include existing crops and livestock and their wild relatives, potential new crops (e.g. salt tolerant species), wild foods, medicinal, aromatics and stimulants, ornamentals, pastoralism, soil stabilisation, and wildlife tourism. Farming and pastoral systems in the harsh and stressful environments, particularly those in mountain areas, still mostly depend on a diversity of traditional crops, farmers' varieties (landraces) and local breeds. Therefore, significant genetic diversity of cultivated plants and domestic animals has been conserved by farmer and herder communities *in situ* and future conservation programs can be based on the local community efforts.

Biological diversity assessed in terms of species number tends to be moderate in semi-arid areas and to decline to low or very low levels as aridity increases. However, in contrast to this general rule, diversity in some groups tends at first to increase as aridity increases but to decrease at extreme desert conditions. Important centres of crop origins and primary genetic diversity are found within semi-arid and sub-humid lands. Biodiversity in dry and sub-humid lands may be extremely important to the maintenance of key environmental services.

Climate change and changes of land use are particularly relevant for loss of biological diversity on dry and subhumid lands. Increasing water demand for an expanding urban population and for use in more intensive agro-industrial farming is predicted to lower water tables in arid regions, leading to increased desertification and biodiversity loss. Management malpractices, inter alia inflexible management under highly variable environmental conditions and reduction of the natural range of variability of abiotic and biotic factors, have led to important levels of biodiversity degradation and habitat loss. Biodiversity has been further reduced in many areas by the voluntary and involuntary introduction of alien invasive species.

Background and Status

Dry and sub-humid ecosystems were first considered by COP 3 under the agenda item 'Terrestrial biological diversity' [*decision III/3*].

At its fourth meeting, the COP decided that one of the items for in-depth consideration at its fifth meeting would be dryland, Mediterranean, arid, semi-arid, grassland and savannah ecosystems [*decision IV/16*].

In decision V/23, the COP adopted a work programme, noting that the programme could be referred to as the programme on 'dry and sub-humid lands'. The COP then urged Parties and organizations and others to implement the programme and to support its activities.

At its sixth meeting, the COP took note of the progress reports on the implementation of the programme of work on the biodiversity of dry and sub-humid lands and the report of the Ad Hoc Technical Expert Group on the Biodiversity of Dry and Sub-Humid Lands, and decided to consider a mechanism to coordinate activities in biodiversity, desertification/land degradation and climate change [*decision VI/4*].

The work programme on dry and sub-humid lands is divided into two parts, 'assessments' and 'targeted actions in response to identified needs', to be implemented in parallel.

Under assessments, six activities are identified all concerning assessments in dry and sub-humid lands:

1. Assessment of the status and trends of biological diversity.
2. Identification of specific areas of value for biological diversity, with reference to the criteria in Annex I to the Convention.
3. Further development of indicators.
4. Building knowledge on ecological, physical and social processes.
5. Identification of local and global benefits derived from biological diversity.
6. Identification and dissemination of best management practices, including knowledge, innovation and practices of indigenous and local communities.

These activities are to be carried out through: consolidation of information from existing sources; targeted research; multidisciplinary and interdisciplinary case-studies on management practices, carried out primarily by national and regional institutions; dissemination of information and capacity-building.

Under targeted actions, three clusters of activities are identified:

1. Promotion of specific measures for the conservation and sustainable use of biological diversity, through for example, use and establishment of additional protected areas, appropriate management and sustainable use of water resources and management of invasive alien species.
2. Promotion of responsible resource management, at appropriate levels, applying the ecosystem approach, through and enabling policy environment.
3. Support for sustainable livelihoods, through diversifying sources of income, promotion of sustainable harvesting including of wildlife; exploring innovative sustainable use of biological diversity.

These activities are to be carried out through capacity building, particularly at national and local levels, establishment of an international network of designated demonstration sites, case studies

on successful management, partnerships between relevant stakeholders and enhanced interaction between the work programmes of this Convention and the Convention to Combat Desertification.

Funding needs

The COP has identified the following action, which would be undertaken by Parties and Governments, and which might require financial support from funding agencies/organizations:

Decision V/23. Consideration of options for conservation and sustainable use of biological diversity in dryland, Mediterranean, arid, semi-arid, grassland and savannah ecosystems

“3. Urges Parties, countries, international and regional organizations, major groups and other relevant bodies to implement it [the programme of work on dry and sub-humid lands], to support scientifically, technically and financially its activities at the national and regional levels and to foster cooperation among countries within regions and subregions sharing similar biomes”

Decision VI/4. Biological diversity of dry and sub-humid lands

“3. Recognizing the horizontal nature of this programme of work on dry and sub-humid lands, recommends that the Executive Secretary and Parties enhance synergies in the implementation of this and other thematic programmes of work of the Convention.”

Useful documents

Assessment of the status and trends and options for conservation and sustainable use of terrestrial biological diversity: dryland, mediterranean, arid, semi-arid, grassland and savannah ecosystems (UNEP/CBD/SBSTTA/4/7)

Biological diversity of dryland, mediterranean, arid, semi-arid, grassland and savannah ecosystems: options for the development of a programme of work (UNEP/CBD/SBSTTA/5/9)

Reports: Biological diversity of dry and sub-humid lands (UNEP/CBD/SBSTTA/7/4)

Part II Crosscutting Issues – Scientific and Technical Matters

The work of the Convention on Biological Diversity has been conveniently organized around three topical fields: thematic areas, crosscutting issues and mechanisms for implementation. Essentially crosscutting issues correspond to the issues contained in the Convention's substantive provisions in Articles 6-20. Initiatives on crosscutting issues often directly support work under thematic programmes. These cross cutting issues have an important role to play in bringing cohesion to the work of the Convention as they provide the substantive bridges or links between the thematic programmes.

Certain crosscutting issues are of a scientific and technical nature, for instance, ecosystem approach, monitoring, assessment and Global Taxonomy Initiative, Global Strategy for Plant Conservation, invasive alien species. These issues have been addressed by the COP through the SBSTTA, and will be elaborated by this chapter.

In addition, the COP has also requested the financial mechanism to support to the following areas (i.e., endemic species, targeted research and related activities) on which the COP has not given further elaboration:

“The programme priorities are ... [P]rojects that promote the conservation and/or sustainable use of endemic species” [*decision I/2, annex I, paragraph 4(l)*]

“The programme priorities are ... [p]rojects that promote the sustainability of project benefits; that offer a potential contribution to experience in the conservation of biological diversity and sustainable use of its components which may have application elsewhere; and that encourage scientific excellence” [*decision I/2, annex I, paragraph 4(g)*]

“The Conference of the Parties... [r]equests the Global Environment Facility, in preparing projects..., to include in such projects... project components addressing: [t]argeted research which contributes to conservation of biological diversity and the sustainable use of its components including research for reversing current trends of biodiversity loss and species extinction” [*decision III/5, paragraph 6(a)*]

Chapter 6. Ecosystem Approach

“Recognizes the need for support for capacity-building to implement the ecosystem approach, and invites Parties, Governments and relevant organizations to provide technical and financial support for this purpose” [*Decision V/6, paragraph 6*]

“The Global Environment Facility should provide support ... [F]or projects utilizing the ecosystem approach, without prejudice to differing national needs and priorities which may require the application of approaches such as single-species conservation programmes, in accordance with decision V/6” [*Decision V/13, paragraph 2(a)*]

“Invites Parties, other Governments and organizations to provide technical and financial resources for the organization of regional workshops to promote the exchange of experiences and regional, national and local capacity-building, and to enhance awareness” [*Decision VI/12, paragraph 3*]

Mandate

Article 2 of the Convention defines that “‘Ecosystem’ means a dynamic complex of plant, animal and micro-organism communities and their non-living environment interacting as a functional unit”.

The COP, in decision V/6, determined that the ecosystem approach is a strategy for the integrated management of land, water and living resources that promotes conservation and sustainable use in an equitable way. Application of the ecosystem approach will help to reach a balance of the three objectives of the Convention. It is based on the application of appropriate scientific methodologies focused on levels of biological organization which encompass the essential processes, functions and interactions among organisms and their environment. It recognizes that humans, with their cultural diversity, are an integral component of ecosystems.

Background and Status

At its second meeting, the COP decided that the ecosystem approach should be the primary framework of action to be taken under the Convention [*decision II/8*].

COP 4 noted the results of the Malawi workshop, and asked SBSTTA to develop principles and other guidance on the ecosystem approach, taking into consideration the results of the workshop [*decision IV/1, B*].

In decision V/6, the COP endorsed a description of the ecosystem approach, points of operational guidance, and recommended application of the principles as reflecting the present level of common understanding. It also encouraged further conceptual elaboration and practical verification.

COP 6 noted that, in many countries, implementation of the ecosystem approach has been slow due to financial constraints [*decision VI/12*]. It also recognized the necessity to apply the ecosystem approach in national policies and legislation, and underlined the importance of developing regional guidelines to apply the ecosystem approach.

The approach adopted by the COP is based on modern techniques of integrated management. The description of the ecosystem approach stresses that, as defined under the Convention, an ecosystem can be a functional unit at any spatial scale. It also observes that humans are an integral part of many ecosystems, and notes that, because of the often unpredictable nature of ecosystem responses and our incomplete understanding of ecosystem functioning, application of the ecosystem approach will require adaptive management techniques. It further states that the ecosystem approach does not preclude other management and conservation approaches, such as protected areas and single -species conservation programmes, but could rather integrate all these approaches to deal with complex situations [*decision V/6 Annex, A*].

The twelve complementary and interlinked principles are:

1. The objectives of management of land, water and living resources are a matter of societal choice.
2. Management should be decentralized to the lowest appropriate level.
3. Ecosystem managers should consider the effects (actual or potential) of their activities on adjacent and other ecosystems.
4. Recognizing potential gains from management, there is usually a need to understand and manage the ecosystem in an economic context. Any such ecosystem-management programme should: (a) Reduce those market distortions that adversely affect biological diversity; (b) Align incentives to promote biodiversity conservation and sustainable use; (c) Internalize costs and benefits in the given ecosystem to the extent feasible
5. Conservation of ecosystem structure and functioning, in order to maintain ecosystem services, should be a priority target of the ecosystem approach
6. Ecosystems must be managed within the limits of their functioning.
7. The ecosystem approach should be undertaken at the appropriate spatial and temporal scales.
8. Recognizing the varying temporal scales and lag-effects that characterize ecosystem processes, objectives for ecosystem management should be set for the long term
9. Management must recognize that change is inevitable.
10. The ecosystem approach should seek the appropriate balance between, and integration of, conservation and use of biological diversity
11. The ecosystem approach should consider all forms of relevant information, including scientific and indigenous and local knowledge, innovations and practices
12. The ecosystem approach should involve all relevant sectors of society and scientific disciplines.

The five specific points of operational guidance are:

1. Focus on functional relationships and processes within ecosystems.
2. Enhance benefit-sharing.
3. Use adaptive management practices.
4. Carry out management actions at the scale appropriate for the issue being addressed, with decentralization to lowest level, as appropriate.
5. Ensure intersectoral cooperation.

Funding needs

Financial constraints have resulted in a slow implementation of the ecosystem approach in many countries. Thus, the COP has repeated its request for financial support to the following national activities:

Decision IV/1, B. Ecosystem approach

Decision V/6. Ecosystem approach

“2. Calls upon Parties, other Governments, and international organizations to apply, as appropriate, the ecosystem approach, giving consideration to the principles and guidance contained in the annex to the present decision, and to develop practical expressions of the approach for national policies and legislation and for appropriate implementation activities, with adaptation to local, national, and, as appropriate, regional conditions, in particular in the context of activities developed within the thematic areas of the Convention;

3. Invites Parties, other Governments and relevant bodies to identify case-studies and implement pilot projects, and to organize, as appropriate, regional, national and local workshops, and consultations aiming to enhance awareness, share experiences, including through the clearing-house mechanism, and strengthen regional, national and local capacities on the ecosystem approach ...

6. Recognizes the need for support for capacity-building to implement the ecosystem approach, and invites Parties, Governments and relevant organizations to provide technical and financial support for this purpose;

7. Encourages Parties and Governments to promote regional cooperation, for example through the establishment of joint declarations or memoranda of understanding in applying the ecosystem approach across national borders.”

Decision VI/12. Ecosystem approach

“1. Urges Parties, other Governments and relevant organizations that have not done so to submit case-studies and lessons learned on the development and implementation of the ecosystem approach at the national and regional levels ...

3. Invites Parties, other Governments and organizations to provide technical and financial resources for the organization of regional workshops to promote the exchange of experiences and regional, national and local capacity-building, and to enhance awareness.”

Useful documents

Ecosystem approach: further conceptual elaboration (UNEP/CBD/SBSTTA/5/11)

Report of the Workshop on the Ecosystem Approach (UNEP/CBD/COP/4/Inf. 9)

The ecosystem approach: towards its application to agricultural biodiversity (UNEP/CBD/COP/5/Inf. 11)

An ecosystem approach to the management of northern coniferous forests (UNEP/CBD/COP/3/Inf. 34)

Chapter 7. Identification, Monitoring and Global Taxonomy Initiative

“The programme priorities are ... [I]dentification and monitoring of wild and domesticated biodiversity components, in particular those under threat, and implementation of measures for their conservation and sustainable use” [decision I/2, annex I, paragraph 4 (d)]

“Requests the interim institutional structure to implement the relevant provisions of the following decisions: II/8 on preliminary consideration of components of biological diversity particularly under threat and action which could be taken under the Convention” [decision II/6, paragraph 11]

“Emphasizes the need for capacity-building as well as adequate financial resources for the implementation of the tasks identified in this decision” [decision II/8, paragraph 5]

“The Global Environment Facility shall provide financial resources... [f]or capacity-building, including taxonomy, to enable developing countries to develop and carry out an initial assessment for designing, implementing and monitoring programmes in accordance with Article 7, taking into account the special need of small island States (Note: The Conference of the Parties endorsed recommendation II/2 of the Subsidiary Body on Scientific, Technical and Technological Advice, concerning capacity-building for taxonomy)” [decision III/5, paragraph 2(b)]

“Requests the institutional structure of the interim financial mechanism of the Convention to provide financial resources to developing countries in order to address the need for capacity-building, including taxonomy, to enable them to develop and carry out an initial assessment for designing, implementing and monitoring programmes in accordance with Article 7, taking into account the special need of small island States.” [decision III/10, paragraph 10]

“Acknowledges the work already under way by the financial mechanism in response to decision III/10 of the Conference of the Parties, and requests the Global Environment Facility to report on these experiences at the fifth meeting of the Conference of the Parties ...

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.” [decision IV/1, D, paragraphs 1 and 9]

“The Global Environment Facility should... [p]rovide 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” [decision IV/13, paragraph 2]

“Requests the financial mechanism to continue promoting awareness of the Global Taxonomy Initiative in its outreach activities, such as the Capacity Development Initiative and the Country Dialogue Workshops, and to investigate ways both within and outside its operational programme

structure to facilitate capacity-building in taxonomy, and the implementation of the short-term activities referred to in the annex to the present decision.” [decision V/9, paragraph 6]

“The Global Environment Facility should provide support ... [T]o strengthen capabilities to develop monitoring programmes and suitable indicators for biological diversity, in accordance with decision V/7

To continue promoting awareness of the Global Taxonomy Initiative in the relevant activities of the Global Environment Facility, such as the Country Dialogue Workshops, and to facilitate capacity-building in taxonomy, including in its Capacity Development Initiative” [decision V/13, paragraphs 2(j) and 2(k)]

“Encourages Parties to support the involvement of experts in the Millennium Ecosystem Assessment process and provide assistance to developing countries and countries with economies in transition that are interested in undertaking national or regional assessments within the framework of the Millennium Ecosystems Assessment” [decision VI/7, C, paragraph 2]

“Decides that the post of Global Taxonomy Initiative Programme Officer within the Secretariat of the Convention on Biological Diversity be made permanent, with funding from the core budget of the Convention, and that adequate operational funds be provided to enable the occupant of the post to carry out her or his duties.” [decision VI/8, paragraph 8]

“The Global Environment Facility should provide support ... [F]or national and regional taxonomic capacity-building, as a basis for implementing the programme of work for the Global Taxonomy Initiative, with particular attention to funding country-driven pilot projects identified under the Global Taxonomy Initiative, taking into consideration the special needs of least developed countries and small island developing States” [decision VI/17, paragraph 10(f)]

Mandate

Article 7 (Identification and monitoring) of the Convention states:

“Each Contracting Party shall, as far as possible and as appropriate, in particular for the purposes of Articles 8 to 10:

- (a) Identify components of biological diversity important for its conservation and sustainable use having regard to the indicative list of categories set down in Annex I;
- (b) Monitor, through sampling and other techniques, the components of biological diversity identified pursuant to subparagraph (a) above, paying particular attention to those requiring urgent conservation measures and those which offer the greatest potential for sustainable use;
- (c) Identify processes and categories of activities which have or are likely to have significant adverse impacts on the conservation and sustainable use of biological diversity, and monitor their effects through sampling and other techniques; and
- (d) Maintain and organize, by any mechanism data, derived from identification and monitoring activities pursuant to subparagraphs (a), (b) and (c) above.”

In considering Article 7, the COP has also addressed the issues of indicators and taxonomy. Biodiversity indicators are information tools, summarizing data on complex environmental issues

to indicate the overall status and trends of biodiversity. They can be used to assess national performance and to signal key issues to be addressed through policy interventions and other actions. A wide range of species and higher taxa have been proposed as indicators, and environmental indicator research for certain sectors (such as forestry) has made some progress. However, very few satisfactory indicator species have yet been identified, and far less has been made in developing indicators for biological diversity. The COP has also acknowledged the existence of a “taxonomic impediment” to the sound management of biodiversity. The purpose of the Global Taxonomic Initiative (GTI) is to remove or reduce this taxonomic impediment - in other words, the knowledge gaps in our taxonomic system (including those associated with genetic systems), the shortage of trained taxonomists and curators, and the impact these deficiencies have on our ability to conserve, use and share the benefits of our biological diversity.

Background and Status

COP 1 decided to consider options for implementing Article 7 and appraise SBSTTA’s review of assessment of biological diversity for the implementation of Article 25(2) and advice on methodologies for future assessments [*decision I/9*].

At its second meeting the COP considered, in a preliminary fashion, components of biological diversity particularly under threat [*decision II/8*]. It stressed that it was essential to identify the driving forces determining the status and trends of components of biological diversity. In the context of assessing the effectiveness of measures taken under the Convention, the COP was of the view that “the use of indicators of biological diversity and the status of its components is particularly time- and cost-effective. Several indicators are currently being used and developed. They should be reviewed and their use promoted”. COP 2 also decided to address the issue of the lack of taxonomists who would be needed for the national implementation of the Convention.

COP3 considered options for implementing Article 7 in its discussion on identification, monitoring and assessment [*decision III/10*]. It endorsed SBSTTA recommendation II/1 which dealt *inter alia* with the review and promotion of indicators of biological diversity and made a number of general observations on indicator development and use. The recommendation advocated a two-track approach to assessment and indicator development: in the short term assessment of reasonably well-known sectors and components of biological diversity should be carried, while at the same time longer-term programmes should be developed involving research and capacity building in areas needing advances in knowledge. Among the priority tasks identified in SBSTTA recommendation II/1 was the development of a core set of indicators for national reports and of indicators in thematic areas important to the Convention, particularly coastal and marine ecosystems, agricultural biological diversity, forests and freshwater ecosystems.

COP3 also endorsed the resulting recommendation of SBSTTA (recommendation II/2), concerning practical approaches for capacity-building for taxonomy. It recommended that national institutions and regional and subregional networks be established or strengthened and linkages enhanced with taxonomic institutions in developing and developed countries. It emphasised the importance of training and noted that consideration should be given to information needs and capacity-building specifically for bio-prospecting, habitat conservation, sustainable agriculture and the sustainable use of biological resources, particularly in countries of origin.

Discussion of Article 7 at COP4 was essentially confined to deliberations on SBSTTA’s recommendations on indicators, assessments and monitoring [*decision IV/1, A, D*], which contains with 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 recommendation stressed that the primary role of indicators in this context should be as a tool for management of biological diversity at local and national level and assessing the implementation of the Convention, but also recognized that they may have a wider role and further stressed that in future the development of regional and global indicators would be necessary to address specific aspects of the world's biological diversity. It noted that further work on indicators should take account on the development of the ecosystem approach. COP4 effectively launched the Global Taxonomy Initiative with eleven suggestions for action.

COP 5 reviewed the implementation of the work programme on indicators of biological diversity and decided to develop: (a) a set of principles for designing national-level monitoring programmes and indicators; (b) a key set of standard questions and list of available and potential indicators, covering the ecosystem, species and genetic levels, taking into account the ecosystem approach, that may be used by Parties at their national level and in national reporting and that also allow for regional and global overviews on the state and trends of biodiversity and, if possible and appropriate, any responses from policy measures [decision V/7]. COP5 also established a Global Taxonomy Initiative coordination mechanism to assist in the facilitation of international cooperation and coordinate activities under the Global Taxonomy Initiative in accordance with the terms of reference contained in the annex to decision V/9. In addition to the coordination mechanism, the Global Taxonomy Initiative consists of its National Focal Points, a series of regional meetings, a liaison group, and a group of experts and a roster of experts.

In decision VI/7 B, the COP requested a report on the development and use of indicators in all thematic areas and cross-cutting issues, and decided on further work on: (a) Principles for developing national-level monitoring and indicators; (b) A set of standard questions for developing national-level indicators; and (c) A list of available and potential indicators based on a conceptual framework that has qualitative and quantitative approach. The COP also welcomed the outline for the assessment reports developed by the Millennium Ecosystems Assessment. In decision VI/8, the COP established the programme of work for the Global Taxonomy Initiative and urged its implementation.

The programme of work for the GTI has been designed to focus on supplying the needed taxonomic information to support the major work areas of the Convention, and the need to support capacity-building to ensure the ability of countries to undertake the priority taxonomic work required to implement the Convention. This programme of work is intended to fulfill the following functions:

- (a) To contribute to the implementation of the Convention's Strategic Plan (in preparation);
- (b) To set operational objectives with clear expected outputs and ways and means through which to achieve the set objectives;
- (c) To provide the rationale for the choice of the operational targets, with indications of opportunities for further elaboration of the programme of work; and
- (d) To serve as a guide to all biodiversity stakeholders on specific objectives to which they can contribute individually or collectively, at the local, national or international level.

The programme of work planned activities around 5 operational objectives:

1. Assess taxonomic needs and capacities at national, regional and global levels for the implementation of the Convention.
2. Provide focus to help build and maintain the human resources, systems and infrastructure needed to obtain, collate and curate the biological specimens that are the basis for taxonomic knowledge.
3. Facilitate an improved and effective infrastructure/system for access to taxonomic information; with priority on ensuring that countries of origin gain access to information concerning elements of their biodiversity.
4. Within the major thematic work programmes of the Convention include key taxonomic objectives to generate information needed for decision-making in conservation and sustainable use of biological diversity and its components.
5. Within the work on cross-cutting issues of the Convention, include key taxonomic objectives to generate information needed for decision-making in conservation and sustainable use of biological diversity and its components.

Funding needs

The COP has adopted a wide range of activities which should be undertaken at national levels, for which the COP has also called for financial support from funding agencies/organizations:

Decision II/8. Preliminary consideration of components of biological diversity particularly under threat and action which could be taken under the Convention

Decision III/10. Identification, monitoring and assessment

“1. Urges Parties to identify indicators of biological diversity and to develop innovative methods of implementing Article 7 as a high priority, in particular commending the value of rapid biological diversity assessment approaches as an efficient and cost-effective way of assessing biological diversity and identifying priorities for action, and recognizing also the role of remote sensing as a useful tool for monitoring ...

4. Recommends that Parties consider a step-by-step approach to the implementation of Article 7, paying attention to the indicative list of categories of important components of biological diversity set out in Annex I of the Convention, beginning with the rapid implementation of Article 7 (a) and the first part of Article 7 (c), concerning identification of important components of biological diversity and the processes and categories of activities which have or are likely to have significant adverse impacts on biological diversity ...

6. Calls on Parties to cooperate on a voluntary pilot project to demonstrate the use of successful assessment and indicator methodologies;

7. Also calls on Parties to prepare, where appropriate, reports on experiences on the application of assessment methodologies and results from assessments and to disseminate these reports by appropriate mechanisms such as the clearing-house mechanism”

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

D. Global Taxonomy Initiative

“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.”

Annex: Suggestions for action

“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...

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.”

Decision V/7. Identification, monitoring and assessment, and indicators

“2. Encourages Parties and Governments to establish or increase regional cooperation in the field of indicators, monitoring and assessment and invites the Executive Secretary to establish a process through which the documents mentioned above are reviewed and broadly discussed at regional workshops on the basis of case-studies submitted by Parties, Governments and relevant organizations ...

4. Invites Parties, Governments and organizations to undertake appropriate actions to assist other Parties (particularly developing countries) to increase their capacity to develop and use indicators. Appropriate actions may include:

- (a) Provision of training;
- (b) Assisting in the development of national networks;
- (c) Sharing experiences between and among countries, regions and organizations involved in the development and use of indicators.”

Decision V/9. Global Taxonomy Initiative: Implementation and further advance of the suggestions for action

“2. Urges Parties, Governments and relevant organizations to undertake the following priority activities to further the Global Taxonomy Initiative:

- (a) The identification of national and regional priority taxonomic information requirements;
- (b) Assessments of national taxonomic capacity to identify and, where possible, quantify national and regional-level taxonomic impediments and needs, including the identification of taxonomic tools, facilities and services required at all levels, and mechanisms to establish, support and maintain such tools, facilities and services;
- (c) Establishment or consolidation of regional and national taxonomic reference centres;
- (d) The building of taxonomic capacity, in particular in developing countries, including through partnerships between national, regional and international taxonomic reference centres, and through information networks;
- (e) Communication to the Executive Secretary and Global Taxonomy Initiative coordination mechanism, by 31 December 2001, of suitable programmes, projects and initiatives for consideration as pilot projects under the Global Taxonomy Initiative ...

4. Requests all Parties and Governments to designate a national Global Taxonomy Initiative focal point by 31 December 2000, linked to other national focal points, and participate in the development of regional networks to facilitate information-sharing for the Global Taxonomy Initiative ...

6. Urges eligible Parties and consortia of eligible Parties to seek resources for the above priority actions through the financial mechanism ...”

Decision VI/7. Identification, monitoring, indicators and assessments

B. Designing national-level monitoring programmes and indicators

“2. Urges Parties that have yet not done so to respond to the questionnaire on the subject of indicators that was sent by the Executive Secretary in May 2001 so as to enable the Executive Secretary to update the analysis”

C. Scientific assessments

Decision VI/8. Global Taxonomy Initiative

“2. Urges Parties, Governments, international and regional organizations, and other relevant organizations to promote, and, as appropriate, carry out, the programme of work ...

6. Requests all Parties and other Governments to:

- (a) Designate a national focal point for the Global Taxonomy Initiative, linked to other national focal points, as requested in decision V/9, paragraph 4;
- (b) Provide updated information, through the clearing-house mechanism, about legal requirements for exchange of biological specimens and about current legislation and rules for access and benefit-sharing in terms of the needs of the Global Taxonomy Initiative;
- (c) Initiate the setting up of national and regional networks to aid the Parties in their taxonomic needs in implementing the Convention on Biological Diversity”

Useful documents

Assessments of biological diversity and methodologies for future assessments (UNEP/CBD/COP/3/13)

Review and promotion of indicators of biological diversity (UNEP/CBD/SBSTTA/2/4)

Practical approaches for capacity building for taxonomy (UNEP/CBD/SBSTTA/2/5)

Review of the Global Taxonomy Initiative (UNEP/CBD/SBSTTA/5/4)

Chapter 8. Global Strategy for Plant Conservation

“Invites relevant international and regional organizations to endorse the strategy and to contribute to its implementation, including to adopt these targets, in order to promote a common effort towards halting the loss of plant diversity...

Invites Parties, other Governments, the financial mechanism, and funding organizations to provide adequate and timely support to the implementation of the strategy, especially by developing country Parties, in particular the least developed countries and small island developing States among them, and Parties with economies in transition” [*decision VI/9, paragraphs 2 and 7*]

“The Global Environment Facility should provide financial support ... [F]or country-driven capacity-building activities by developing country Parties, in particular, least developed countries and Small Island developing States among them, for the implementation of the Global Strategy for Plant Conservation” [*decision VI/17, paragraph 10(d)*]

Issues

Plants are universally recognized as a vital part of the world's biological diversity and an essential resource for the planet. In addition to the small number of crop plants used for basic food and fibres, many thousands of wild plants have great economic and cultural importance and potential, providing food, medicine, fuel, clothing and shelter for vast numbers of people throughout the world. Plants play a key role in maintaining the planet's basic environmental balance and ecosystem stability and provide an important component of the habitats for the world's animal life. At present, a complete inventory of the plants of the world has not been assembled, but it is estimated that the total number of vascular plant species may be of the order of 300,000. Of particular concern is the fact that many are in danger of extinction, threatened by habitat transformation, over-exploitation, alien invasive species, pollution and climate change. The disappearance of such vital and large amounts of biodiversity sets one of the greatest challenges for the world community: to halt the destruction of the plant diversity that is so essential to meet the present and future needs of humankind.

Background and Status

The Global Strategy for Plant Conservation was proposed in the Gran Canaria Declaration due to the recognition that the Convention on Biological Diversity is a leading international convention for the conservation and sustainable use of biodiversity. In deciding to consider the establishment of a global strategy for plant conservation, COP 5 also took note of the resolution of the XVI International Botanical Congress, and took into account the International Agenda for Botanic Gardens in Conservation, the Global Invasive Species Programme, and the Plants Programme of the IUCN Species Survival Commission [*decision V/10*].

COP 6 adopted the Global Strategy for Plant Conservation, including outcome-oriented global targets for 2010, and stressed the potential role of the strategy in contributing to poverty alleviation and sustainable development [*decision VI/9*]. It decided to review the progress made in reaching the global targets at its eighth and tenth meetings.

The Global Strategy for Plant Conservation aims to halt the current and continuing loss of plant diversity. It sets out the following global targets for the year 2010:

“(a). Understanding and documenting plant diversity:

- (i) A widely accessible working list of known plant species, as a step towards a complete world flora;
- (ii) A preliminary assessment of the conservation status of all known plant species, at national, regional and international levels;
- (iii) Development of models with protocols for plant conservation and sustainable use, based on research and practical experience;

(b) Conserving plant diversity:

- (iv) At least 10 per cent of each of the world's ecological regions effectively conserved;
- (v) Protection of 50 per cent of the most important areas for plant diversity assured;
- (vi) At least 30 per cent of production lands managed consistent with the conservation of plant diversity;
- (vii) 60 per cent of the world's threatened species conserved in situ;
- (viii) 60 per cent of threatened plant species in accessible *ex situ* collections, preferably in the country of origin, and 10 per cent of them included in recovery and restoration programmes;
- (ix) 70 per cent of the genetic diversity of crops and other major socio-economically valuable plant species conserved, and associated indigenous and local knowledge maintained;
- (x) Management plans in place for at least 100 major alien species that threaten plants, plant communities and associated habitats and ecosystems;

(c) Using plant diversity sustainably:

- (xi) No species of wild flora endangered by international trade;
- (xii) 30 per cent of plant-based products derived from sources that are sustainably managed;
- (xiii) The decline of plant resources, and associated indigenous and local knowledge, innovations and practices that support sustainable livelihoods, local food security and health care, halted;

(d) Promoting education and awareness about plant diversity:

- (xiv) The importance of plant diversity and the need for its conservation incorporated into communication, educational and public-awareness programmes;

(e) Building capacity for the conservation of plant diversity:

- (xv) The number of trained people working with appropriate facilities in plant conservation increased, according to national needs, to achieve the targets of this Strategy;
- (xvi) Networks for plant conservation activities established or strengthened at national, regional and international levels.”

Funding needs

The COP invited funding agencies/organizations to support the implementation of the global strategy for plant conservation at country level:

Decision V/10. Global Strategy for Plant Conservation

Decision VI/9. Global Strategy for Plant Conservation

“2. Invites Parties and Governments to develop national and/or regional targets, and, as appropriate, to incorporate them into relevant plans, programmes and initiatives, including national biodiversity strategies and action plans ...

7. Invites Parties, other Governments, the financial mechanism, and funding organizations to provide adequate and timely support to the implementation of the strategy, especially by developing country Parties, in particular the least developed countries and small island developing States among them, and Parties with economies in transition”

Useful documents

An analysis of opportunities for the implementation of the Global Strategy for Plant Conservation through the thematic and cross-cutting programmes of work of the Convention on Biological Diversity (UNEP/CBD/GSPC/1/3)

Review of existing nationally-based initiatives that can contribute to the implementation of a Global Strategy for Plant Conservation at national levels (UNEP/CBD/GSPC/1/4)

Draft matrix of activities relevant to the 16 draft gspc targets under existing international initiatives (UNEP/CBD/GSPC/1/5)

Global Strategy for Plant Conservation: Technical review of the targets and analysis of opportunities for their implementation: Report of the meeting of technical experts on the global plant conservation strategy, Gran Canaria, 11-13 february 2002 (UNEP/CBD/COP/6/INF/21)

Chapter 9. Invasive Alien Species

“Requests the financial mechanism to provide adequate and timely support for those projects” [decision IV/1 C, paragraph 3]

“The Global Environment Facility should... [p]rovide 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” [decision IV/13, paragraph 1]

“Invites the Global Environment Facility, Parties, Governments and funding organizations to provide adequate and timely support to enable the Global Invasive Species Programme to fulfil the tasks outlined in the present decision” [decision V/8, paragraph 17]

“The Global Environment Facility should provide support... [F]or activities to implement the Global Invasive Species Programme, in accordance with decision V/8” [decision V/13, paragraph 2(m)]

“The Global Environment Facility should provide support... [A]s a priority, for projects that assist with the development and implementation, at national and regional levels, of the invasive alien species strategies and action plans called for in paragraph 6 of decision V/8, in particular those strategies and actions related to geographically and evolutionarily isolated ecosystems, paying particular attention to the needs of least developed countries and small island developing States, including needs related to capacity-building” [decision VI/17, paragraph 10(k)]

“Invites international organizations to develop financial and other measures for the promotion of activities aiming to reduce the harmful effects of invasive alien species ...

Endorses the international cooperative initiative on invasive alien species on islands, developed by the Government of the New Zealand, the Invasive Species Specialist Group, and the Global Invasive Species Programme, and calls on the Global Environment Facility, Parties, Governments and relevant organizations to support and participate in these initiatives...

Also welcomes the "I3N" (Inter-American Biodiversity Information Network (IABIN) Invasives Information Network) initiative on invasive alien species, and calls on the Global Environment Facility, Parties, Governments and relevant organizations to support and participate in these initiatives ...

Urges bilateral donors and other funding sources to provide, as an urgent priority funding for the development and implementation, at national and regional levels, of the invasive alien species strategies and action plans called for in paragraph 6 of decision V/8 and with a particular priority for those strategies and actions related to geographically and evolutionarily isolated ecosystems, and to developing countries and countries with economies in transition, paying particular attention to the needs of the least developed countries and small island developing States, including needs related to capacity-building” [decision VI/23, paragraphs 17, 19, 22 and 34]

Issue and Mandate

Article 8 (*In-situ* conservation), paragraph (h), of the Convention states:

“Each Contracting Party shall, as far as possible and as appropriate: Prevent the introduction of, control or eradicate those alien species which threaten ecosystems, habitats or species.”

Invasive alien species are species introduced deliberately or unintentionally outside their natural habitats where they have the ability to establish themselves, invade, outcompete natives and take over the new environments. They are widespread in the world and are found in all categories of living organisms and all types of ecosystems. However, plants, mammals and insects comprise the most common types of invasive alien species in terrestrial environments. Biological invasions will undergo rapid increase in this century due to interactions with other global changes such as increasing globalization of markets, explosive rises in global trade, travel, tourism, and exchange of goods.

The threat to biodiversity due to invasive alien species is considered second only to that of habitat loss. They are thus a serious impediment to conservation and sustainable use of global, regional and local biodiversity, with significant undesirable impacts on the goods and services provided by ecosystems.

Invasive alien species can cause significant irreversible environmental and socio-economic impact at the genetic, species and ecosystem levels. Their management costs include not only costs of prevention, control and mitigation, but also indirect costs due to impacts on ecological services.

Environmental and socio-economic impacts of harmful invasive alien species are already being felt: Philippine rice farmers have lost nearly US\$1 billion in crops to the invasive golden apple snail. Alien water weeds, like water hyacinth and water lettuce (*Eichornia crassipes*, *Pistia* spp.), are a global problem; African nations alone spend an estimated US\$60 million annually on their control. International trade has introduced the Asian tiger mosquito - which carries dengue fever- to the Americas and Africa, and has spread life-threatening bacteria *Escherichia coli* in meat exports.

There is an urgent need to address the impact of invasive alien species. Eradication, control, mitigation of their impacts combined with legislation and guidelines at national, regional and international levels are some of the ways that the Convention is addressing the issue.

Background and Status

While considering the implementation of Articles 6 and 8 of the Convention, COP-3 first addressed alien species that threaten ecosystems, habitats or species [*decision III/9, paragraphs 9 and 10*]

In decision IV/1 C, the COP decided that alien species were a cross-cutting issue within the Convention. COP 4 decided to develop guiding principles for the prevention, introduction and mitigation of impacts of alien species, and identify the priority work pertinent to the issues of alien species in geographically and evolutionarily isolated ecosystems. It also decided to consider alien species as one of three priority issues for COP 6 [*decision IV/16*].

COP 5 adopted the interim guiding principles for the prevention, introduction and mitigation of impacts of alien species, and urged Parties, Governments and relevant organizations to apply the guiding principles on an interim basis, noting that the definition of many of the terms was not yet settled. It also called for case studies to be submitted. COP 5 decided that it would consider at

COP 6 further options for implementing Article 8 (h), including the possibility of developing an international instrument [*decision V/8*].

At its sixth meeting, the COP adopted 15 guiding principles for the prevention, introduction and mitigation of impacts of invasive alien species and a number of decisions for the full and effective implementation of Article 8(h) of the Convention. The COP reaffirmed the importance of national and regional invasive alien species strategies and action plans, and of international collaboration to address the threats to biodiversity of invasive alien species and the need for funding as a priority to implement invasive alien species strategies. The COP acknowledged the contribution to the implementation of Article 8(h) of existing international instruments but noted that there were gaps and inconsistencies in the international regulatory framework from the perspective of the threats of invasive alien species to biological diversity. Therefore, the COP invited relevant international organizations to consider incorporating criteria related to those threats as they elaborate or review standards and agreements, including risk assessment/analysis [*decision VI/23*].

Funding needs

The following country-level action identified by the COP might require financial support from funding agencies/organizations:

Decision IV/1 C. Alien species that threaten ecosystems, habitats or species

“3. Invites Parties to develop country driven projects at national, regional, subregional 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.”

Decision V/8. Alien species that threaten ecosystems, habitats or species

“1. Urges Parties, Governments and relevant organizations to apply the interim guiding principles contained in annex I to the present decision, as appropriate, in the context of activities aimed at implementing Article 8(h) of the Convention on Biological Diversity, and in the various sectors ...

3. Urges Parties, Governments and relevant organizations to submit case-studies to the Executive Secretary, particularly focusing on thematic assessments, on the basis of the outline contained in the annex to the present decision ...

6. Urges Parties, other Governments and relevant bodies to give priority to the development and implementation of alien invasive species strategies and action plans;

7. Strongly encourages Parties to develop mechanisms for transboundary cooperation and regional and multilateral cooperation in order to deal with the issue, including the exchange of best practices;

8. Urges Parties, other Governments and relevant bodies, such as the Global Invasive Species Programme, in their work on alien invasive species, to give priority attention to geographically

and evolutionarily isolated ecosystems, and to use the ecosystem approach and precautionary and biogeographical approaches, as appropriate;

9. Encourages Parties to develop effective education, training and public-awareness measures, as well as to inform the public about the different aspects of the issue, including the risks posed by alien invasive species ...

12. Invites the Parties, Governments, the Global Invasive Species Programme and other relevant bodies, to disseminate publicly available information which they hold or acquire, including databases of alien species, through the Convention's clearing-house mechanism ...

17. Invites the Global Environment Facility, Parties, Governments and funding organizations to provide adequate and timely support to enable the Global Invasive Species Programme to fulfil the tasks outlined in the present decision.”

Decision VI/23. Alien species that threaten ecosystems, habitats or species

“5. Urges Parties, other Governments and relevant organizations to promote and implement the Guiding Principles;

6. Recommends that Parties to the Convention on Biological Diversity and other Governments, as appropriate, consider ratifying the revised International Plant Protection Convention, and calls on Parties, Governments, and relevant organizations to actively work to enhance the implementation of the International Plant Protection Convention ...

10. Urges Parties and other Governments, in implementing the Guiding Principles, and when developing, revising and implementing national biodiversity strategies and action plans to address the threats posed by invasive alien species, to:

- (a) Identify national needs and priorities;
- (b) Create mechanisms to coordinate national programmes;
- (c) Review, in the light of the Guiding Principles, relevant policies, legislation and institutions to identify gaps, inconsistencies and conflicts, and, as appropriate, adjust or develop policies, legislation and institutions;
- (d) Enhance cooperation between the various sectors, including the private sector that might provide pathways or vectors for the unintended transfer of invasive alien species, in order to improve prevention, early detection, eradication and/or control of invasive alien species, and in particular, ensure communication between focal points of respective relevant international instruments;
- (e) Promote awareness of the threats to biological diversity and related ecosystem goods and services posed by invasive alien species and of the means to address such threats, among policy makers at all levels of government, and in the private sector; quarantine, customs and other border officials; and the general public;
- (f) Facilitate the involvement of all stakeholder groups, including in particular indigenous and local communities, and the private sector, as well as all levels of government, in national invasive alien species strategies and action plans, and in decisions related to the use of alien species that may be invasive;
- (g) Collaborate with trading partners and neighbouring countries, regionally, and with other countries, as appropriate, in order to address threats of invasive alien species to biological diversity in ecosystems that cross international boundaries, to migratory species, and to address matters of common interest ...

12. Encourages Parties and other Governments, in undertaking this work and, in particular, when developing priority actions, to consider the need to:

- (a) Develop capacity to use risk assessment/analysis to address threats of invasive alien species to biological diversity, and incorporate such methodologies in environmental impact assessments, and strategic environmental assessments, as appropriate and relevant;
- (b) Develop financial measures, and other policies and tools, to promote activities to reduce the threat of invasive alien species;
- (c) When necessary, develop recommendations and strategies to take account of effects of alien species on populations and naturally occurring genetic diversity;
- (d) Incorporate invasive alien species considerations into national biodiversity strategies and action plans and into sectoral and cross-sectoral policies, strategies and plans, taking into account the ecosystem approach, and in order to ensure full implementation of the national invasive alien species strategies and action plans as called for in paragraph 6 of decision V/8 of the Conference of the Parties ...

24. Urges Parties, Governments and relevant organizations, at the appropriate level, with the support of relevant international organizations to promote and carry out, as appropriate, research and assessments on:

- (a) The characteristics of invasive species and the vulnerability of ecosystems and habitats to invasion by alien species, and the impact of climate change on these parameters;
- (b) The impact of alien species on biological diversity;
- (c) Analysis of the importance of various pathways for the introduction of invasive alien species;
- (d) The socio-economic implications of invasive alien species particularly the implications for indigenous and local communities;
- (e) The development of environmentally benign methods to control and eradicate invasive alien species, including measures for use in quarantine and to control fouling of ship hulls;
- (f) The costs and benefits of the use of biocontrol agents to control and eradicate invasive alien species;
- (g) Means to enhance the capacity of ecosystems to resist or recover from alien species invasions;
- (h) Priorities for taxonomic work through, *inter alia*, the Global Taxonomy Initiative;
- (i) Criteria for assessing risks from introduction of alien species to biological diversity at the genetic, species and ecosystem levels;
- (j) The use of the traditional knowledge of indigenous and local communities in the development and implementation of measures to address invasive alien species, in accordance with Article 8(j) of the Convention

27. Urges Parties, Governments and relevant organizations, at the appropriate level, to develop and make available technical tools and related information to support efforts for the prevention, early detection, monitoring, eradication and/or control of invasive alien species and to support public awareness-raising and environmental education to the extent possible.”

Useful documents

Invasive alien species: Progress report on matters identified in decision V/5, paragraphs 5, 11 and 14, and an analysis of national reports (UNEP/CBD/SBSTTA/06/6)

Invasive alien species: Comprehensive review on the efficiency and efficacy of existing measures for their prevention, early detection, eradication and control (UNEP/CBD/SBSTTA/06/7)
Invasive alien species: A Guide to Designing Legal and Institutional Frameworks on Alien Invasive Species (UNEP/CBD/SBSTTA/06/Inf.8)
Invasive alien species: Status, impacts and trends of alien species that threaten ecosystems, habitats and species (UNEP/CBD/SBSTTA/06/Inf.11)

Part III Crosscutting Issues -- Socio-Economic and Legal Matters

The work of the Convention on Biological Diversity has been conveniently organized around three topical fields: thematic areas, crosscutting issues and mechanisms for implementation. Essentially crosscutting issues correspond to the issues contained in the Convention's substantive provisions in Articles 6-20. Initiatives on crosscutting issues often directly support work under thematic programmes. These cross cutting issues have an important role to play in bringing cohesion to the work of the Convention as they provide the substantive bridges or links between the thematic programmes.

Certain crosscutting issues are of a socio-economic and/or legal nature, for instance, environmental impact assessment, liability and redress, access to and transfer of technology, Article 8(j) and related provisions, access and benefit-sharing, and incentive measures. These issues have been addressed by the COP through the SBSTTA or other inter-sessional processes, and will be elaborated by this chapter.

In addition, the COP has also requested the financial mechanism to support to the following area on which the COP has not given further elaboration:

“The programme priorities are ... [p]rojects aimed at the conservation of biological diversity and sustainable use of its components which integrate social dimensions including those related to poverty” [*decision I/2, annex I, paragraph 4(m)*]

Chapter 10. Environmental Impact Assessment, Liability and Redress

“Urges Parties, Governments and relevant international organizations to cooperate with a view to strengthening capacities at the national level with regard to measures for the prevention of damage to biological diversity, establishment and implementation of national legislative regimes, and policy and administrative measures on liability and redress, and to provide financial resources for this purpose” [decision VI/11, paragraph 3]

Issues and Mandate

Article 14 (Impact Assessment and Minimizing Adverse Impacts) of the Convention states:

“1. Each Contracting Party, as far as possible and as appropriate, shall:

(a) Introduce appropriate procedures requiring environmental impact assessment of its proposed projects that are likely to have significant adverse effects on biological diversity with a view to avoiding or minimizing such effects and, where appropriate, allow for public participation in such procedures;

(b) Introduce appropriate arrangements to ensure that the environmental consequences of its programmes and policies that are likely to have significant adverse impacts on biological diversity are duly taken into account;

(c) Promote, on the basis of reciprocity, notification, exchange of information and consultation on activities under their jurisdiction or control which are likely to significantly affect adversely the biological diversity of other States or areas beyond the limits of national jurisdiction, by encouraging the conclusion of bilateral, regional or multilateral arrangements, as appropriate;

(d) In the case of imminent or grave danger or damage, originating under its jurisdiction or control, to biological diversity within the area under jurisdiction of other States or in areas beyond the limits of national jurisdiction, notify immediately the potentially affected States of such danger or damage, as well as initiate action to prevent or minimize such danger or damage; and

(e) Promote national arrangements for emergency responses to activities or events, whether caused naturally or otherwise, which present a grave and imminent danger to biological diversity and encourage international cooperation to supplement such national efforts and, where appropriate and agreed by the States or regional economic integration organizations concerned, to establish joint contingency plans.

2. The Conference of the Parties shall examine, on the basis of studies to be carried out, the issue of liability and redress, including restoration and compensation, for damage to biological diversity, except where such liability is a purely internal matter.”

Impact assessment is a generic term that includes environmental impact assessment (EIA) and strategic environmental assessment (SEA). It provides a key means of implementing sustainable development when major actions are proposed and before or even after decisions are made. A family of tools can be combined in order to systematically address the social, economical and

environmental impacts, both positive and adverse, and to involve the people who are directly affected by or interested in a proposed action.

Impact assessment processes are in place and applied in many countries, however biodiversity considerations are often inadequately addressed. There is a growing recognition of this and increasing actions are taken to correct this problem.

Important barriers to the incorporation of biodiversity in Impact Assessment include low priority for biodiversity and lack of: capacity to carry out the assessments; awareness of biodiversity values; adequate data; and post-project monitoring. Strategic environmental assessments (SEA) have high potential for addressing biodiversity in planning and decision-making, but there are challenges to their application.

Background and Status

As part of its first medium term programme of work, the COP decided to consider measures for implementing the Convention: to provide information and share experiences on the implementation of Article 14 at its fourth meeting [*decision I/9*].

At its fourth meeting, the COP asked for information on impact assessment, and decided to consider the need for additional work to develop guidelines on the incorporation of biological diversity considerations into environmental impact assessment. It recommended that appropriate issues related to environmental impact assessment should be integrated into and become an integral component of relevant sectoral and thematic items under the programme of work of the COP. COP 4 also invited submissions on national and international measures on: liability and redress applicable to damage to biodiversity; and information on experiences in implementation, as well as information on access by foreign citizens to national courts in cases of transboundary harm [*decision IV/10 C*].

COP 5 called for further information concerning impact assessment and decided to develop guidelines for incorporating biodiversity-related issues in legislation and/or processes on strategic environmental impact assessment. The COP also decided to, at its sixth meeting, a process for reviewing Article 14, paragraph 2, including the establishment of an ad hoc technical expert group [*decision V/18*]

In decision VI/7 A, the COP endorsed the draft guidelines for incorporating biodiversity-related issues into environmental impact assessment (EIA) legislation and/or processes and in strategic environmental assessments (SEA), and requested proposals for further development and refinement of the guidelines, incorporating all stages of the environmental impact assessment and strategic environmental assessment processes while taking into account the ecosystem approach. In decision VI/11, the COP established a group of legal and technical experts composed of government-nominated experts with the mandate to review the information gathered and undertake analysis of pertinent issues. It recognized the importance of capacity-building and cooperation with respect to the prevention of damage to biological diversity and the establishment of national legislative regimes, and urged Parties, Governments and international organizations to cooperate in strengthening such national capacities.

Funding needs

Financial resources should be provided to support the following national action as identified by the COP:

Decision IV/10, C. Impact assessment and minimizing adverse risks: consideration of measures for the implementation of Article 14

“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 ...

8. Invites Parties, Governments and relevant international organizations to provide the Executive Secretary with information on national, international and regional measures and agreements on liability and redress applicable to damage to biological diversity, including the nature, scope and coverage of such provisions, and information on experiences in their implementation, as well as information regarding access by foreign citizens to national courts potentially applicable to or in cases involving transboundary environmental harm;

9. Invites Parties to include in their national reports information on actions taken with respect to liability and redress for damage to biological diversity.”

Decision V/18. Impact assessment, liability and redress

“1. Invites Parties, Governments and other relevant organizations:

- (a) To implement paragraph 1 of Article 14 of the Convention on Biological Diversity in conjunction with other components of the Convention and to integrate environmental impact assessment into the work programmes on thematic areas, including the biological diversity of inland water ecosystems, marine and coastal biological diversity, forest biological diversity, agricultural biological diversity, and the biological diversity of dry and sub-humid lands, and on alien species and tourism;
- (b) To address loss of biological diversity and the interrelated socio-economic, cultural and human-health aspects relevant to biological diversity when carrying out environmental impact assessments;
- (c) To consider biological diversity concerns from the early stages of the drafting process, when developing new legislative and regulatory frameworks;

(d) To ensure the involvement of interested and affected stakeholders in a participatory approach to all stages of the assessment process, including governmental bodies, the private sector, research and scientific institutions, indigenous and local communities and non-governmental organizations, including by using appropriate mechanisms, such as the establishment of committees, at the appropriate level;

(e) To organize expert meetings, workshops and seminars, as well as training, educational and public awareness programmes and exchange programmes, and carry out pilot environmental impact assessment projects, in order to promote the development of local expertise in methodologies, techniques and procedures;

2. Encourages Parties, Governments and relevant organizations:

(a) To use strategic environmental assessments to assess not only the impact of individual projects, but also their cumulative and global effects, incorporating biological diversity considerations at the decision-making and/or environmental planning level;

(b) To include the development of alternatives, mitigation measures and consideration of the elaboration of compensation measures in environmental impact assessment;

3. Requests Parties to include in their national reports information on practices, systems, mechanisms and experiences in the area of strategic environmental assessment and impact assessment ..

6. Renews the invitation to Parties, Governments, and relevant international organizations, contained in its decision IV/10 C, paragraph 8, to provide the Executive Secretary with information on national, international and regional measures and agreements on liability and redress applicable to damage to biological diversity, acknowledging that some Parties, Governments and organizations have already provided the Executive Secretary with such information”

Decision VI/7. Identification, monitoring, indicators and assessments

A. Further development of guidelines for incorporating biodiversity-related issues into environmental impact-assessment legislation or processes and in strategic impact assessment

“2. Urges Parties, other Governments and organizations to apply the guidelines as appropriate in the context of their implementation of paragraph 1 of Article 14 of the Convention and share their experience, *inter alia*, through the clearing-house mechanism and national reporting”

Decision VI/11. Liability and redress

“3. Urges Parties, Governments and relevant international organizations to cooperate with a view to strengthening capacities at the national level with regard to measures for the prevention of damage to biological diversity, establishment and implementation of national legislative regimes, and policy and administrative measures on liability and redress, and to provide financial resources for this purpose.”

Useful documents

Impact Assessment, Liability, and Redress (UNEP/CBD/COP/5/16)

Synthesis of reports and case-studies relating to environmental impact assessment (UNEP/CBD/SBSTTA/4/10)

Impact Assessment: Further development of guidelines for incorporating biodiversity-related issues into environmental impact assessment legislation and/or processes and in strategic environmental assessment (UNEP/CBD/SBSTTA/7/13)

Liability and Redress (Article 14, Paragraph 2): Update of synthesis report of submissions from Governments and international organizations (UNEP/CBD/COP/6/12/ADD1)

Chapter 11. Access to and Transfer of Technology

“The programme priorities are ... [i]n accordance with Article 16 of the Convention, and to meet the objectives of conservation of biological diversity and sustainable use of its components, projects which promote access to, transfer of and cooperation for joint development of technology” [*decision I/2, annex I, paragraph 4(f)*]

“Requests the Executive Secretary to contact relevant international organizations, particularly the World Intellectual Property Organization, to invite them to take into account in their development cooperation programmes, where appropriate, the need to build capacity to achieve the objectives of the Convention on Biological Diversity as related to intellectual property rights” [*decision III/17, paragraph 3*]

Mandate

Article 16 (Access to and transfer of technology) of the Convention states:

“1. Each Contracting Party, recognising that technology includes biotechnology, and that both access to and transfer of technology among Contracting Parties are essential elements for the attainment of the objectives of this Convention, undertakes subject to the provisions of this Article to provide and/or facilitate access for and transfer to other Contracting Parties of technologies that are relevant to the conservation and sustainable use of biological diversity or make use of genetic resources and do not cause significant damage to the environment.

2. Access to and transfer of technology referred to in paragraph 1 above to developing countries shall be provided and/or facilitated under fair and most favourable terms, including on concessional and preferential terms where mutually agreed, and, where necessary, in accordance with the financial mechanism established by Articles 20 and 21. In the case of technology subject to patents and other intellectual property rights, such access and transfer shall be provided on terms which recognise and are consistent with the adequate and effective protection of intellectual property rights. The application of this paragraph shall be consistent with paragraphs 3, 4 and 5 below.

3. Each Contracting Party shall take legislative, administrative or policy measures, as appropriate, with the aim that Contracting Parties, in particular those that are developing countries, which provide genetic resources, are provided access to and transfer of technology which makes use of those resources, on mutually agreed terms, including technology protected by patents and other intellectual property rights, where necessary, through the provisions of Articles 20 and 21 and in accordance with international law and consistent with paragraphs 4 and 5 below.

4. Each Contracting Party shall take legislative, administrative or policy measures, as appropriate, with the aim that the private sector facilitates access to, joint development and transfer of technology referred to in paragraph 1 above for the benefit of both governmental institutions and the private sector of developing countries and in this regard shall abide by the obligations included in paragraphs 1, 2 and 3 above.

5. The Contracting Parties, recognizing that patents and other intellectual property rights may have an influence on the implementation of this Convention, shall co-operate in this regard

subject to national legislation and international law in order to ensure that such rights are supportive of and do not run counter to its objectives.”

Background and Status

As part of its medium-term programme of work, the COP decided to consider access to and transfer and development of technology, as envisaged in Articles 16 and 18 of the Convention, at its second and third meetings [*decision I/9*].

COP 2 took note of SBSTTA Recommendation I/4 on ways and means to promote and facilitate access to, and transfer and development of technology as envisaged in Articles 16 and 18 of the Convention, and requested for a substantive and well-focused background document [*decision II/4*]. With respect to intellectual property rights, COP 2 also requested a preliminary study which analyses the impact of intellectual property rights systems on the conservation and sustainable use of biological diversity and the equitable sharing of benefits derived from its use in order to gain a better understanding of the implications of Article 16(5) [*decision II/12*].

At its third meeting, the COP emphasized the importance of technology transfer in the achievement of each of the three objectives of the Convention, and recognized that intellectual property rights are relevant to and may have implications for the implementation of the Convention and the achievement of its objectives. It decided that work on technology transfer would be conducted within sectoral themes related to the priority issues under its programme of work, and noted that the issue of technology would be dealt at its fourth meeting, focusing especially on matters related to benefit-sharing and measures to promote and advance the distribution of benefits from biotechnology in accordance with Article 19. COP 3 also called for case studies on the impacts of intellectual property rights on the achievement of the Convention’s objectives, and invited relevant international organization to take into account in their development cooperation programmes the need to build capacity to achieve the objectives of the Convention as related to intellectual property rights [*decisions III/16 and III/17*].

COP 4 decided that transfer of technology and technology co-operation will be one of items for in-depth consideration by the COP at its seventh meeting [*decision IV/16*].

At its fifth and sixth meetings, the COP considered the role of intellectual property rights in implementing access and benefit sharing arrangements. COP V reaffirmed the importance of *sui generis* and other systems for the protection of traditional knowledge, and invited the World Trade Organization to acknowledge relevant provisions of the Convention and to explore the interrelationship between relevant provisions of TRIPs agreement and of the Convention [*decision V/26 B*].

COP 6 decided to carry out further information gathering and analysis on the role of intellectual property rights in the implementation of access and benefit-sharing arrangements. It encouraged the disclosure of the country of origin of genetic resources in applications for intellectual property rights as a possible contribution to tracking compliance with prior informed consent and the mutually agreed terms on which access to those resources was granted [*decision VI/24*].

Funding needs

Possible funding needs may be derived from the following requests from the COP:

Decision II/4. Ways and means to promote and facilitate access to, and transfer and development of technology

Decision II/12. Intellectual Property Rights

Decision III/16. Ways to promote and facilitate access to and transfer and development of technology, as envisaged in Articles 16 and 18 of the Convention

Decision III/17. Intellectual Property Rights

“1. Encourages Governments, and relevant international and regional organizations, to conduct and communicate to the Executive Secretary, for dissemination through means such as the clearing-house mechanism, case studies of the impacts of intellectual property rights on the achievement of the Convention's objectives, including relationships between intellectual property rights and the knowledge, practices and innovations of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity. Such studies could:

- (a) Take into account the information and options for future work contained in the preliminary study prepared by the Executive Secretary, contained in document UNEP/CBD/COP/3/22;
- (b) Take into consideration existing and potential interrelationships between intellectual property rights and other aspects of the Convention's implementation, including, for example, implementation of Articles 8 (j), 15 and 16;
- (c) Involve, through consultation or cooperation, relevant international organizations, as well as relevant regional and national bodies, stakeholders, and others with relevant expertise, as appropriate;
- (d) Consider the role and the potential of existing intellectual property rights systems in achieving the objectives of the Convention, including, inter alia, in facilitating technology transfer and in arrangements by which interested parties including indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity and countries may determine access to and share equitably the benefits of genetic resources or knowledge, innovations and practices;
- (e) Consider the development of intellectual property rights, such as sui generis systems/approaches, or alternative forms of protection that could promote achievement of the Convention's objectives, consistent with the Parties' international obligations;
- (f) Reflect the importance of coordinating efficiently with work undertaken pursuant to other elements of the work programme of the Conference of the Parties and work programmes of other relevant organizations.”

Decision V/26. Access to genetic resources

B. 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

Decision VI/24. Access and benefit-sharing as related to genetic resources

C. Role of intellectual property rights in the implementation of access and benefit-sharing arrangements

“1. Invites Parties and Governments to encourage the disclosure of the country of origin of genetic resources in applications for intellectual property rights, where the subject matter of the application concerns or makes use of genetic resources in its development, as a possible contribution to tracking compliance with prior informed consent and the mutually agreed terms on which access to those resources was granted;

2. Also invites Parties and Governments to encourage the disclosure of the origin of relevant traditional knowledge, innovations and practices of indigenous and local communities relevant for the conservation and sustainable use of biological diversity in applications for intellectual property rights, where the subject matter of the application concerns or makes use of such knowledge in its development ...

6. Invites Parties and Governments to submit case-studies that they consider relevant to the issues specified in paragraphs 3 and 4 ...

12. Encourages Parties to facilitate the participation of indigenous and local communities and other relevant stakeholders in the various forums, in particular the World Intellectual Property Organization, the Convention on Biological Diversity, the World Trade Organization, the United Nations Conference on Trade and Development and regional forums, as well as in the preparation of national strategies, policies, regulatory frameworks and legislation related to access to genetic resources and benefit-sharing, from a very early stage.”

Useful documents

The Convention on Biological Diversity and the Agreement on Trade-Related Aspects of Intellectual Property Rights (TRIPs): Relationships and synergies (UNEP/CBD/COP/3/23)
Submissions received by the Executive Secretary concerning ways and means to promote and facilitate access to and transfer and development of technology (UNEP/CBD/COP/3/Inf.4)
Ways and means to promote and facilitate access to, and transfer and development of technologies as envisaged in Articles 16 and 18 of the Convention (UNEP/CBD/SBSTTA/1/5)
Ways and means to promote and facilitate access to, and transfer and development of technology, including biotechnology (UNEP/CBD/SBSTTA/2/6)

Chapter 12. Article 8(j) and Related Provisions

“The programme priorities are ... [p]rojects that strengthen the involvement of local and indigenous people in the conservation of biological diversity and sustainable use of its components” [*decision I/2, annex I, paragraph 4 (j)*]

“The Conference of the Parties... [r]equests the Global Environment Facility to examine the support of capacity-building projects for indigenous and local communities embodying traditional lifestyles related to the preservation and maintenance of their knowledge, innovations and practices relevant for the conservation and sustainable use of biological diversity with their prior informed consent and their participation” [*decision III/5, paragraph 5*]

“Requests the interim financial mechanism to examine the support of capacity-building projects for indigenous and local communities embodying traditional lifestyles related to the preservation and maintenance of their knowledge, innovations and practices relevant for the conservation and sustainable use of biological diversity with their prior informed consent and their participation ...

Calls upon Parties to make additional voluntary contributions to help fund the workshop.” [*decision III/14, paragraphs 5 and 12*]

“The Global Environment Facility should provide support ... [f]or the implementation of the priority activities identified in the programme of work on Article 8(j) and related provisions, in accordance with decision V/16” [*decision V/13, paragraph 2(i)*]

“Requests Parties, Governments, and international, regional and national organizations to provide appropriate financial support for the implementation of the programme of work ...

Further requests Parties and international financial institutions to explore ways of providing the necessary funding for these activities” [*decision V/16, paragraphs 7 and 20*]

“Also invites international funding and development agencies that provide funding and other forms of assistance to Governments, developing countries, in particular least developed countries and small island developing States, to facilitate the incorporation of the recommendations into policies and processes for the assessment of proposed developments;

Further invites international funding and development agencies and relevant non-governmental organizations, where requested, and in accordance with their mandates and responsibilities, to consider providing assistance to indigenous and local communities, particularly women, for the conduct of cultural, environmental and social impact assessments regarding developments proposed to take place on territories, lands and waters traditionally occupied or used by them, and which take into account the recommendations in annex II to the present decision;

Also requests funding agencies, in particular the Global Environment Facility, to provide information on activities and processes, including information on the criteria for eligibility and access to project funding, and make such information easily accessible to Parties, Governments and indigenous and local communities (for example, through electronic, print/broadcast, popular publications, and other means);

Invites the Global Environment Facility to give special consideration in funding to projects that clearly contain elements of participation of indigenous and local communities, where appropriate, and to continue to apply the Global Environment Facility's policy on public involvement to support the full and effective participation of indigenous and local communities;

Also invites Parties, Governments, international development agencies, and other relevant international organizations and institutions to provide technical and financial assistance to developing country Parties, in particular the least developed and small island developing States among them, and countries with economies in transition, and to indigenous and local communities, in consultation with the national focal points, where appropriate, for the enhancement of national capacities for the establishment and maintenance of mechanisms to protect traditional knowledge at national and subnational levels, and for building the capacity of indigenous and local communities to develop strategies and systems for the protection of traditional knowledge” [decision VI/10, paragraphs 18, 19, 29, 30 and 42]

“The Global Environment Facility shall provide financial resources ... [F]or the enhancement of national capacities for the establishment and maintenance of mechanisms to protect traditional knowledge at national and subnational levels, and for building the capacity of indigenous and local communities to develop strategies and systems for the protection of traditional knowledge” [decision VI/17, paragraph 10(n)]

Issues and Mandate

Article 8 (*In-situ* conservation), paragraph (j), of the Convention states:

“Each contracting Party shall, as far as possible and as appropriate:

Subject to national legislation, respect, preserve and maintain knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity and promote their wider application with the approval and involvement of the holders of such knowledge, innovations and practices and encourage the equitable sharing of the benefits arising from the utilization of such knowledge innovations and practices.”

Article 10 (Sustainable use), paragraph (c), states:

“Protect and encourage customary use of biological resources in accordance with traditional cultural practices that are compatible with conservation or sustainable use requirements.”

Article 17 (Exchange of information), paragraph 2, states:

“Such exchange of information shall include exchange of results of technical, scientific and socio-economic research, as well as information on training and surveying programmes, specialized knowledge, indigenous and traditional knowledge as such and in combination with the technologies referred to in Article 16, paragraph 1. It shall also, where feasible, include repatriation of information.”

Article 18 (Technical and scientific cooperation), paragraph 4, states:

“The Contracting Parties shall, in accordance with national legislation and policies, encourage and develop methods of cooperation for the development and use of technologies, including indigenous and traditional technologies, in pursuance of the objectives of this Convention. For this purpose, the Contracting Parties shall also promote cooperation in the training of personnel and exchange of experts.”

Traditional knowledge refers to the knowledge, innovations and practices of indigenous and local communities around the world. Developed from experience gained over the centuries and adapted to the local culture and environment, traditional knowledge is transmitted orally from generation to generation. It tends to be collectively owned and takes the form of stories, songs, folklore, proverbs, cultural values, beliefs, rituals, community laws, local language, and agricultural practices, including the development of plant species and animal breeds. Traditional knowledge is mainly of a practical nature, particularly in such fields as agriculture, fisheries, health, horticulture, and forestry.

There is today a growing appreciation of the value of traditional knowledge. This knowledge is valuable not only to those who depend on it in their daily lives, but to modern industry and agriculture as well. Many widely used products, such as plant-based medicines and cosmetics, are derived from traditional knowledge. Other valuable products based on traditional knowledge include agricultural and non-wood forest products as well as handicraft.

Traditional knowledge can make a significant contribution to sustainable development. Most indigenous and local communities are situated in areas where the vast majority of the world's plant genetic resources are found. Many of them have cultivated and used biological diversity in a sustainable way for thousands of years. However, the contribution of indigenous and local communities to the conservation and sustainable use of biological diversity goes far beyond their role as natural resource managers. Their skills and techniques provide valuable information to the global community and a useful model for biodiversity policies. Furthermore, as on-site communities with extensive knowledge of local environments, indigenous and local communities are most directly involved with conservation and sustainable use.

Background and Status

As part of its first medium-term programme of work, the COP decided to address knowledge, innovations and practices of indigenous and local communities and implementation of Article 8 (j) at its third meeting [*decision I/9 and decision II/18*].

COP 3 adopted decision III/14 on implementation of Article 8 (j) which set in motion a process for consideration of further work in this area. As part of this process, the COP agreed upon the need for a workshop to advise the COP on the possibility of developing a work plan on Article 8 (j) and related provisions, and to examine the need for an intersessional working group or subsidiary body to consider the role of traditional knowledge, innovations and practices relevant to the conservation and sustainable use of biological diversity.

In decision IV/9, COP 4 decided to establish an Ad Hoc Open-ended Inter-sessional Working Group to address the implementation of Article 8 (j) and related provisions

At its fifth meeting, the COP adopted a programme of work on Article 8 (j) and related provisions [*decision V/16*]. The programme of work is divided into two phases according to the priority assigned to the tasks. The mandate of the Working Group was extended to undertake specific tasks under the programme of work, to review progress on its implementation, and to make

recommendations for further actions. The work programme comprises the following seven elements:

- Element 1: Participatory mechanisms for indigenous and local communities.
- Element 2: Status and trends in relation to Article 8 (j) and related provisions.
- Element 3: Traditional cultural practices for conservation and sustainable use.
- Element 4: Equitable sharing of benefits.
- Element 5: Exchange and dissemination of information.
- Element 6: Monitoring elements.
- Element 7: Legal elements.

For each element a range of specific tasks to be undertaken by the Parties, the Secretariat and/or the Working Group is identified.

COP 6 considered the progress made in the integration of the relevant tasks of the programme of work on Article 8(j) in the thematic programmes of the Convention, and identified actions to be taken with respect to forest biological diversity, marine and coastal biological diversity, inland water ecosystems and agricultural biological diversity [*decision VI/10*]. The COP also reviewed progress in the implementation of the priority tasks of the programme of work on Article 8(j), and made recommendations on participatory mechanisms for indigenous and local communities as well as on the assessment of the effectiveness of existing subnational, national and international instruments, particularly intellectual property rights instruments, that may have implications for the protection of the knowledge, innovations and practices of indigenous and local communities. The COP adopted: (i) the outline of the composite report on the status and trends regarding the knowledge, innovations and practices of indigenous and local communities relevant to the conservation and sustainable use of biodiversity; and (ii) the recommendations for the conduct of cultural, environmental and social impact assessment regarding developments proposed to take place on, or which are likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities.

Funding needs

The COP has recommended a range of activities to be undertaken at national level, for which financial support has been also requested:

Decision III/14. Implementation of Article 8 (j)

“1. Requests those Parties that have not yet done so to develop national legislation and corresponding strategies for the implementation of Article 8 (j) in consultation particularly with representatives of their indigenous and local communities;

2. Urges Parties to supply information about the implementation of Article 8 (j) and related articles, for example, national legislation and administrative and incentive measures, and to include such information in national reports;

3. Invites Governments, international agencies, research institutions, representatives of indigenous and local communities and non-governmental organizations to submit case studies to the Executive Secretary in time for consideration by the workshop referred to in paragraph 9 below on measures taken to develop and implement the Convention's provisions relating to indigenous and local communities. These studies could highlight key areas of discussion and help in considering the implementation of Article 8 (j) and related articles, including, inter alia,

interactions between traditional and other forms of knowledge relating to conservation and sustainable use of biological diversity; the influence of current laws and policies on knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity; and incentive measures”

Decision IV/9. Implementation of Article 8 (j) and related provisions

“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 ...

10. As part of the short-term activities, invites Governments, international agencies, research institutions, representatives of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity and non-governmental organizations to submit case-studies and other relevant information to the Executive Secretary ...

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 ...

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 relevant 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”

Decision V/16. Article 8 (j) and related provisions

“3. Urges Parties and Governments in collaboration with relevant organizations, subject to their national legislation, to promote and implement this programme of work, and to integrate the tasks identified into their ongoing programmes as appropriate to national circumstances, taking into account the identified collaboration opportunities;

4. Requests Parties, Governments and relevant organizations to take full account of existing instruments, guidelines, codes and other relevant activities in the implementation of the programme of work ...

7. Requests Parties, Governments, and international, regional and national organizations to provide appropriate financial support for the implementation of the programme of work ...

10. Requests Parties, Governments, subsidiary bodies of the Convention, the Executive Secretary and relevant organizations, including indigenous and local communities, when implementing the programme of work contained in the annex to the present decision and other relevant activities under the Convention, to fully incorporate women and women's organizations in the activities;

11. Invites Parties and Governments to support the participation of the International Indigenous Forum on Biodiversity, as well as relevant organizations representing indigenous and local communities, in advising the Conference of the Parties on the implementation of Article 8(j) and related provisions;

12. Urges Parties and Governments and, as appropriate, international organizations, and organizations representing indigenous and local communities, to facilitate the full and effective participation of indigenous and local communities in the implementation of the Convention and, to this end:

(a) Provide opportunities for indigenous and local communities to identify their capacity needs, with the assistance of Governments and others, if they so require;

(b) Include, in proposals and plans for projects carried out in indigenous and local communities, funding requirements to build the communications capacity of indigenous and local communities to facilitate dissemination and exchange of information on issues related to traditional knowledge, innovations and practices;

(c) Provide for sufficient capacity in national institutions to respond to the needs of indigenous and local communities related to Article 8(j) and related provisions;

(d) Strengthen and build capacity for communication among indigenous and local communities, and between indigenous and local communities and Governments, at local, national, regional and international levels, including with the Secretariat of the Convention on Biological Diversity, with direct participation and responsibility of indigenous and local communities through their appropriate focal points;

(e) Use other means of communication in addition to the Internet, such as newspapers, bulletins, and radio, and increasing the use of local languages;

(f) Provide case-studies on methods and approaches that contribute to the preservation of traditional knowledge, innovations and practices, including through their recording where appropriate, and that support control and decision-making by indigenous and local communities over the sharing of such knowledge, innovation and practices ...

15. Invites Parties and Governments to exchange information and share experiences regarding national legislation and other measures for the protection of the knowledge, innovations and practices of indigenous and local communities;

16. Recognizes that the maintenance of knowledge, innovations, and practices of indigenous and local communities is dependent on the maintenance of cultural identities and the material base that sustains them and invites Parties and Governments to take measures to promote the conservation and maintenance of such identities;

17. Requests Parties to support the development of registers of traditional knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity through participatory programmes and consultations with indigenous and local communities, taking into account strengthening legislation, customary practices and traditional systems of resource management, such as the protection of traditional knowledge against unauthorized use;

18. Invites Parties and Governments to increase the participation of representatives of indigenous and local community organizations in official delegations to meetings held under the Convention on Biological Diversity”

Decision VI/10. Article 8 (j) and related provisions

“2. Notes the progress made in the integration of the relevant tasks of the programme of work in the thematic programmes of the Convention and emphasizes to Parties the need for further action on:

(a) With regard to forest biological diversity, the development of methodologies to advance the integration of traditional forest-related knowledge into sustainable forest management, promotion of activities to assemble management experiences and scientific, indigenous and local information at the national and local levels, and dissemination of research results and syntheses of reports on relevant scientific and traditional knowledge on key forest biological issues;

(b) With regard to marine and coastal biological diversity, the provision of information regarding approaches to the management of marine and coastal living resources in relation to those used by indigenous and local communities;

(c) With regard to inland water ecosystems, the implementation of the guidelines for establishing and strengthening local communities' and indigenous peoples' participation in the management of wetlands, adopted by the Conference of the Parties to the Ramsar Convention, through its resolution VII.8;

(d) With regard to agricultural biological diversity, the need to support local dryland and sub-humid ecosystems, and capacity-building to promote farming practices and information exchange to assist farmers and indigenous and local communities to transform unsustainable agricultural practices to sustainable ones and to increase productivity;

3. Urges Parties, where they have not already done so, to include information in their national reports on each of the thematic programmes dealt with under the Convention on Biological Diversity, on:

(a) The status and trends in relation to traditional knowledge, innovations and practices of indigenous and local communities;

(b) Measures taken to enhance the participation of indigenous and local communities, particularly that of women from such communities, and their relevant organizations in the implementation of national work programmes in each of the thematic areas; and

(c) Capacity-building measures taken to facilitate the involvement of indigenous and local communities and the application of the knowledge they hold, with their prior informed consent, in

the management, conservation and sustainable use of biological diversity in each of the thematic areas at national, subnational and local levels ...

5. Reminds Parties of the need for further action in relation to the potential impacts of genetic use restriction technologies on the indigenous and local communities and on Farmer's Rights, according to the studies and reports elaborated by different relevant organizations, the consultations held by the Executive Secretary, and other appropriate analysis and information sources ...

11. Further requests the Executive Secretary to ensure the full and effective participation of indigenous and local communities, particularly women, in the completion of the report, through, *inter alia*, the organization of regional workshops, and encourages Parties and Governments to hold national workshops. In that regard, appropriate financing should be provided. The outcome of the workshops will be submitted to the Secretariat as a contribution to the composite report ...

15. Invites Parties and Governments to pay due regard to these recommendations until the complete set of guidelines for impact assessment is finalized;

16. Requests Parties and Governments to undertake education and awareness-raising and develop communication strategies that allows indigenous and local communities, with special attention to indigenous and local community women, relevant government departments and agencies, private sector developers, potential stakeholders in development projects, and the public at large to be made aware of these recommendations, for incorporation, as appropriate, into policies and processes for the assessment of proposed developments ...

20. Invites Parties, Governments and relevant international, non-governmental and indigenous and local community organizations, to submit to the Executive Secretary information on their national experiences, case-studies, best practices, and lessons learned concerning participatory mechanisms for indigenous and local communities in matters related to the objectives of Article 8(j) and related provisions of the Convention;

21. Requests the Executive Secretary to prepare a synthesis report based on the information referred to in paragraph 20 above, and, taking into account that conditions may vary from country to country, invites Parties and Governments to use the report as a basis for the establishment and/or strengthening of mechanisms at the national and local levels aimed at promoting full and effective participation of indigenous and local communities, especially women, in the decision-making process regarding the preservation, maintenance and utilization of traditional knowledge relevant for the conservation and sustainable use of biological diversity ...

23. Urges Parties and Governments to strengthen their efforts to support capacity-building aimed at the full and effective participation of indigenous and local communities, particularly women, in decision-making processes regarding the preservation, maintenance and utilization of traditional knowledge relevant for the conservation and sustainable use of biological diversity at all levels (local, national, regional and international); and, where indigenous and local communities and Parties and Governments deem appropriate, promote their participation in the management of biological diversity; and encourage the capacity-building efforts of indigenous and local communities in getting access to existing protections in national and international laws regarding the preservation, maintenance and utilization of their traditional knowledge;

24. Also urges Parties and Governments and, as appropriate, international organizations to encourage and support the development of communication mechanisms, such as the Indigenous

Biodiversity Information Network, among indigenous and local communities in response to their need for better understanding of the objectives and provisions of the Convention on Biological Diversity and for supporting discussions on guidelines, priorities, time-lines and the implementation of the thematic programmes of the Convention ...

27. Urges Parties and Governments to develop, implement and evaluate, in cooperation with indigenous and local communities, strategies aimed at promoting awareness and enhancing access by indigenous and local communities to information on issues relating to Article 8(j) and related provisions of the Convention ...

33. Also invites Parties and Governments, with the approval and involvement of indigenous and local communities representatives, to develop and implement strategies to protect traditional knowledge, innovations and practices based on a combination of appropriate approaches, respecting customary laws and practices, including the use of existing intellectual property mechanisms, sui generis systems, customary law, the use of contractual arrangements, registers of traditional knowledge, and guidelines and codes of practice, with the support of relevant intergovernmental organizations such as the Working Group on Indigenous Populations of the United Nations Commission on Human Rights, the Permanent Forum on Indigenous Issues established by the Economic and Social Council, the World Health Organization, the World Intellectual Property Organization, the United Nations Educational, Scientific and Cultural Organization, and the United Nations Conference on Trade and Development ...

35. Also requests the Executive Secretary to continue to compile information provided by Parties and Governments relating to existing national legislation and other measures for the protection of traditional knowledge, innovations and practices ...

39. Encourages Parties and Governments, where they have not already done so, to take measures to establish or improve operational links between their national governmental intellectual-property bodies, national focal points of the Convention on Biological Diversity, and indigenous and local communities and their organizations in order to better coordinate and institute measures to protect their traditional knowledge, innovations and practices relevant to the conservation and sustainable use of biological diversity, particularly with regard to traditional-knowledge documentation initiatives and community-based registries of traditional knowledge;

40. Also encourages Parties and Governments, with the assistance of international development agencies and other relevant organizations, as appropriate, and with the participation, involvement and consent of the concerned indigenous and local communities, to undertake pilot projects in order to evaluate the effectiveness of existing intellectual property rights regimes, contractual methods and new systems being developed as a means of protection of traditional knowledge;

41. Invites Parties and Governments, with the approval and involvement of indigenous and local communities to examine the feasibility of establishing mechanisms to protect the traditional knowledge, innovations and practices of these communities relevant to the conservation and sustainable use of biological diversity, taking into consideration customary laws and practices, and subject to national legislation ...

43. Further invites Parties and Governments, indigenous and local communities and relevant organizations to exchange national experiences among countries where progress has been made in incorporating elements of customary law relevant for the protection of traditional knowledge, innovations and practices of indigenous and local communities in national legislation;

44. Also invites Parties and Governments, indigenous and local community organizations and other relevant organizations to submit case-studies and other relevant information for the Executive Secretary to compile and disseminate through the clearing-house mechanism concerning:

- (a) Information regarding the nature, diversity and status under national laws of customary laws of indigenous and local communities, collected with their full and effective participation;
- (b) The development of strategies by indigenous and local communities to protect their traditional knowledge, innovations and practices, emphasizing the approaches used, the method of implementation and problems encountered;
- (c) The establishment of operational links between national intellectual-property authorities and indigenous and local communities to facilitate the protection of their traditional knowledge, innovations and practices relevant to the conservation and sustainable use of biological diversity;
- (d) Experiences in the implementation of regionally harmonized sui generis systems; and
- (e) The activities and conduct of researchers and academic institutions pertinent to the protection and promotion of traditional knowledge, innovations and practices;

46. Invites Parties and Governments to encourage the disclosure of the origin of relevant traditional knowledge, innovations and practices of indigenous and local communities relevant to the conservation and sustainable use of biological diversity in applications for intellectual property rights, where the subject matter of the application concerns or makes use of such knowledge in its development;

47. Urges Parties and Governments to examine, as appropriate, relevant provisions of the Convention on Biological Diversity with respect to prior informed consent and mutually agreed terms where traditional knowledge is used in its original form or in the development of new products and/or new applications;

48. Invites Parties and Governments, with the assistance of the World Intellectual Property Organization, to take into account traditional knowledge in the examination of novelty and inventive step in patent applications;

49. Also invites Parties, Governments and relevant international organizations to submit information on the feasibility of establishing appropriate dispute-settlement or arbitration procedures and mechanisms, including the possible application of Article 27 of the Convention on Biological Diversity, to address cases of disputes between contracting Parties concerning the interpretation or application of the Convention relating to traditional knowledge, innovations and practices.”

Useful documents

Knowledge, innovations and practices of indigenous and local communities (UNEP/CBD/SBSTTA/2/7)

Implementation of Article 8 (j) and related provisions (UNEP/CBD/COP/4/10)

Report of the Ad Hoc Working Group on Article 8 (j) and related provisions (UNEP/CBD/COP/5/5)

Report of the ad hoc open-ended inter-sessional working group on Article 8(j) and related provisions of the Convention on Biological Diversity on the work of its second meeting (UNEP/CBD/COP/6/7)

Chapter 13. Access and Benefit-Sharing

“The Conference of the Parties... [u]rges the Global Environment Facility, along with Governments, regional economic integration organizations, and competent international, regional and national organizations, to support human and institutional capacity-building programmes for Governments, non-governmental organizations and local and indigenous communities, as appropriate, to promote the successful development and implementation of legislative, administrative and policy measures and guidances on access to genetic resources, including scientific, technical, business, legal and management skills and capacities” [*decision III/5, paragraph 4*]

“Urges Governments, regional economic integration organizations, the interim financial mechanism, and competent international, regional and national organizations to support and implement human and institutional capacity-building programmes for Governments, non-governmental organizations and local and indigenous communities, as appropriate, to promote the successful development and implementation of legislative, administrative and policy measures and guidelines on access, including scientific, technical, business, legal and management skills and capacities” [*decision III/15, paragraph 3*]

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

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” [*decision IV/8, paragraphs 4 and 5*]

“The Global Environment Facility should... [p]rovide 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, subregional 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/13, paragraph 8*]

"The Global Environment Facility should provide support ... [f]or projects that will address the issue of access and benefit-sharing, in accordance with decision V/26" [*decision V/13, paragraph 2(g)*]

"The Global Environment Facility should provide support ... [F]or projects that assist with the implementation of the Action Plan on Capacity-building for Access and Benefit-sharing in support of the implementation of the Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of the Benefit Arising out of their Utilization" [*decision VI/17, paragraph 10(m)*]

"Invites Parties and relevant organizations to provide financial and technical assistance to support developing countries, in particular least developed countries, small islands developing states, as well as countries with economies in transition, in implementing the Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of the Benefit Arising out of their Utilization" [*Decision VI/24,A, paragraph 5*]

"Invites the financial mechanism and other relevant intergovernmental organizations to participate in the Workshop and to support the implementation of the Action Plan on Capacity-building for Access and Benefit-sharing" [*decision VI/24, B, paragraph 7*]

Mandate

One of the three objectives of the Convention on Biological Diversity, as set out in its Article 1, is the

"fair and equitable sharing of the benefits arising out of the utilization of genetic resources, including by appropriate access to genetic resources and by appropriate transfer of relevant technologies, taking into account all rights over those resources and to technologies, and by appropriate funding".

Article 15 (Access to genetic resources) of the Convention states:

"1. Recognizing the sovereign rights of States over their natural resources, the authority to determine access to genetic resources rests with the national governments and is subject to national legislation.

2. Each Contracting Party shall endeavour to create conditions to facilitate access to genetic resources for environmentally sound uses by other Contracting Parties and not to impose restrictions that run counter to the objectives of this Convention.

3. For the purpose of this Convention, the genetic resources being provided by a Contracting Party, as referred to in this Article and Articles 16 and 19, are only those that are provided by Contracting Parties that are countries of origin of such resources or by the Parties that have acquired the genetic resources in accordance with this Convention.
4. Access, where granted, shall be on mutually agreed terms and subject to the provisions of this Article.
5. Access to genetic resources shall be subject to prior informed consent of the Contracting Party providing such resources, unless otherwise determined by that Party.
6. Each Contracting Party shall endeavour to develop and carry out scientific research based on genetic resources provided by other Contracting Parties with the full participation of, and where possible in, such Contracting Parties.
7. Each Contracting Party shall take legislative, administrative or policy measures, as appropriate, and in accordance with Articles 16 and 19 and, where necessary, through the financial mechanism established by Articles 20 and 21 with the aim of sharing in a fair and equitable way the results of research and development and the benefits arising from the commercial and other utilization of genetic resources with the Contracting Party providing such resources. Such sharing shall be upon mutually agreed terms.”

Background and Status

As part of its first medium term programme of work, the COP decided to address the question of access to genetic resources at its second and third meetings, and the question of benefit sharing at its fourth meeting [*decision I/9*].

COP 2 reviewed existing legislation, administrative and policy information on access to genetic resources and the equitable sharing of benefits derived from their use and the information provided by Governments as well as relevant reports from appropriate international organizations regarding policy, legislative, or administrative measures related to intellectual property rights as provided in Article 16 of the Convention and to access to and transfer of technology that makes use of genetic resources, and requested further compilation of studies and relevant information [*decision II/11*].

At its third meeting, the COP considered the views of Parties on possible options for developing national legislative, administrative or policy measures, as appropriate to implement Article 15, and requested further information gathering and sharing. It decided to cooperate closely with the World Trade Organization to explore the extent to which there may be linkages between Article 15 and relevant articles of the Agreement on Trade-related Aspects of Intellectual Property Rights [*decision III/15*].

COP 4 addressed the equitable sharing of benefits arising out of the utilization of genetic resources, for the first time as a separate agenda item [*decision IV/8*]. In addition to further information gathering, the COP requested an inter-sessional open-ended meeting to explore options for access and benefit-sharing mechanisms, and also established an experts panel to draw upon all relevant sources, including legislative, policy and administrative measures, best practices and case-studies on access to genetic resources and benefit-sharing arising from the use of those genetic resources, including the whole range of biotechnology, in the development of a common understanding of basic concepts and to explore all options for access and benefit-sharing on

mutually agreed terms including guiding principles, guidelines, and codes of best practice for access and benefit-sharing arrangements. COP 4 also adopted a programme of work for COP5 to COP 7, under which access to genetic resources will be addressed at COP 5, and benefit sharing at COP 6 [decision IV/16].

In decision V/26 on access to genetic resources, the COP addressed three issues: access and benefit-sharing arrangements, 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, *ex-situ* collections acquired prior to the entry into force of the Convention and not addressed by the Commission on Genetic Resources for Food and Agriculture. It decided to reconvene the Expert Panel to conduct further work on outstanding issues from its first meeting, and also established an Ad Hoc Open-ended Working Group on Access and Benefit Sharing to develop guidelines and other approaches, and to assist in addressing the following elements relevant to access and benefit sharing: terms for prior informed consent and mutually agreed terms; roles, responsibilities and participation of stakeholders; relevant aspects relating to *in situ* and *ex situ* conservation and sustainable use; mechanisms for benefit-sharing, for example through technology transfer and joint research and development; and means to ensure the respect, preservation and maintenance of knowledge, innovations and practices of indigenous and local communities.

COP VI adopted the Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of the Benefit Arising out of their Utilization, and decided to reconvene the Ad Hoc Open-ended Working Group on access and Benefit-sharing to provide further advice. The COP also other approaches and adopted an action plan for capacity building for access to genetic resources and benefit-sharing. In addition, the COP considered the role of intellectual property rights in the implementation of access and benefit-sharing arrangements, as well as other issues relating to access and benefit-sharing [decision VI/24].

Funding needs

The COP has identified capacity building and other measures related to access and benefit sharing for financial support by funding agencies/organizations:

Decision II/11. Access to genetic resources

“3. Urges Governments to send information on national measures to the Secretariat at their earliest convenience”

Decision III/15. Access to genetic resources

“3. Urges Governments, regional economic integration organizations, the interim financial mechanism, and competent international, regional and national organizations to support and implement human and institutional capacity-building programmes for Governments, non-governmental organizations and local and indigenous communities, as appropriate, to promote the successful development and implementation of legislative, administrative and policy measures and guidelines on access, including scientific, technical, business, legal and management skills and capacities;

4. Invites Governments, regional economic integration organizations and competent international, regional and national organizations to conduct analyses of ongoing experiences of legislative, administrative and policy measures and guidelines on access, including regional efforts and

initiatives, and to disseminate these widely to assist Parties and stakeholders involved in developing and implementing measures and guidelines on access;

5. Encourages Governments and regional economic integration organizations to explore and develop, in collaboration with relevant stakeholders, guidelines and practices to ensure mutual benefits to providers and users of access measures and to implement them effectively at the national, regional or international level, as appropriate;

6. Encourages Governments and regional economic integration organizations to identify and communicate to the Secretariat competent national authorities responsible for granting access to genetic resources and/or competent national authorities to provide information on the granting of access to genetic resources;

7. Urges Governments and regional economic integration organizations to bring to a rapid conclusion the negotiation for the adaptation of the International Undertaking on Plant Genetic Resources for Food and Agriculture, in harmony with the Convention on Biological Diversity, in particular, providing solutions to access to ex situ collections not acquired in accordance with the Convention.”

Decision IV/8. Access and benefit-sharing

Decision V/26. Access to genetic resources

A. Access and benefit-sharing arrangements

“1. Requests Parties to designate a national focal point and one or more competent national authorities, as appropriate, to be responsible for access and benefit-sharing arrangements or to provide information on such arrangements within its jurisdiction;

2. Requests Parties to notify the Executive Secretary of the names and addresses of its focal points and competent authorities;

3. Urges Parties to ensure that national biodiversity strategies as well as legislative, administrative or policy measures on access and benefit-sharing contribute to conservation and sustainable-use objectives;

4. Recognizing the importance for Parties to promote trust-building and transparency in order to facilitate the exchange of genetic resources, particularly with regard to the implementation of Article 15 of the Convention:

- (a) Urges Parties to pay particular attention to their obligations under Articles 15, 16 and 19 of the Convention, and requests them to report to the Conference of the Parties on the measures they have taken to this effect;
- (b) Notes that legislative, administrative or policy measures for access and benefit-sharing need to promote flexibility, while recognizing the need for sufficient regulation of access to genetic resources to promote the objectives of the Convention;
- (c) Notes that all countries are providers and recipients of genetic resources, and urges recipient countries to adopt, appropriate to national circumstances, legislative, administrative or policy measures consistent with the objectives of the Convention that are supportive of efforts made by provider countries to ensure that access to their genetic resources for scientific, commercial and other uses, and associated knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity, as

- appropriate, is subject to Articles 15, 16 and 19 of the Convention, unless otherwise determined by that provider country;
- (d) Recognizing the complexity of this issue, with particular consideration of the multiplicity of prior informed consent considerations, invites Parties to cooperate further to find practical and equitable solutions to this issue ...

6. Notes that, in the absence of comprehensive legislation and national strategies for access and benefit-sharing, voluntary measures, including guidelines, may help ensure realization of the objectives of the Convention, and to that end invites the Parties to consider promotion of their use;

7. Stresses that it is important that, in developing national legislation on access, Parties take into account and allow for the development of a multilateral system to facilitate access and benefit-sharing in the context of the International Undertaking on Plant Genetic Resources, which is currently being revised”

C. Ex situ collections acquired prior to the entry into force of the Convention and not addressed by the Commission on Genetic Resources for Food and Agriculture

“4. Invites Parties, Governments and other organizations to provide capacity-building and technology development and transfer for the maintenance and utilization of ex situ collections”

Decision VI/24. Access and benefit-sharing as related to genetic resources

A. Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of the Benefits Arising out of their Utilization

“4. Invites Parties and Governments to use the Guidelines when developing and drafting legislative, administrative or policy measures on access and benefit-sharing, and contracts and other arrangements under mutually agreed terms for access and benefit-sharing”

B. Other approaches, including the development of an action plan for capacity-building

“3. Invites Parties and indigenous and local communities to provide to the Executive-Secretary information regarding capacity-building needs, priorities and existing initiatives for capacity-building for access to genetic resources and benefit-sharing ...

9. Urges Parties, other Governments and relevant bodies when nominating their experts for inclusion in the roster to consider gender balance, involvement of representatives of indigenous and local communities, and a range of relevant disciplines and expertise.”

D. Other issues relating to access and benefit-sharing

“6. Requests Parties and relevant organizations, as appropriate, to make available to the Executive Secretary:

- (a) Detailed information on the measures adopted to implement access and benefit-sharing, including the text of any legislation or other measures developed to regulate access and benefit-sharing
- (b) Case-studies on the implementation of access and benefit-sharing arrangements;
- (c) Other information, such as that listed in decision V/26, paragraph 12.”

Useful documents

Access to genetic resources and benefit-sharing: Legislation, administrative and policy information (UNEP/CBD/COP/2/13)
Review of national, regional and sectoral measures and guidelines for the implementation of Article 15 (UNEP/CBDCOP/4/23)
Recent developments on access and benefit-sharing (UNEP/CBD/COP/6/19/ADD1)
Synthesis of case studies on benefit-sharing (UNEP/CBD/COP/4/Inf.7)

Chapter 14. Incentive Measures

“The programme priorities are ... [i]nnovative measures, including in the field of economic incentives, aiming at conservation of biological diversity and/or sustainable use of its components, including those which assist developing countries to address situations where opportunity costs are incurred by local communities and to identify ways and means by which these can be compensated, in accordance with article 11 of the Convention” [*decision I/2, paragraph 4 (i)*]

“The Conference of the Parties... [r]econfirms the importance of the Global Environment Facility’s support for incentive measures, guidance for which was contained in annex I to decision I/2, paragraph 4, taking note of decision III/18” [*decision III/5, paragraph 3*]

“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;

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” [*decision IV/10, A, paragraphs 3 and 4*]

“The Global Environment Facility should... [p]rovide 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” [*decision IV/13, paragraph 7*]

“The Global Environment Facility should provide support ... [f]or projects that incorporate incentive measures that promote the development and implementation of social, economic and legal incentive measures for the conservation and sustainable use of biological diversity, in accordance with decision V/15” [*decision V/13, paragraph 2(h)*]

“Requests Parties, Governments, international and other relevant organizations to provide financial support for the programme of work on incentive measures, taking into consideration the specific circumstances of countries, in particular small island developing States and countries with economies in transition” [*decision VI/15, paragraph 8*]

“The Global Environment Facility should provide support ... [F]or projects that assist with the implementation of the programme of work on incentive measures, taking into consideration the specific circumstances of countries, in particular, least developed countries and small island developing States” [*decision VI/17, Paragraph 10(j)*]

Issues and Mandate

Article 11 of the Convention states:

“Each Contracting Party shall, as far as possible and as appropriate, adopt economically and socially sound measures that act as incentives for the conservation and sustainable use of components of biological diversity.”

Incentives are the opportunities and constraints that influence the behavior of individuals and organizations in a society. Incentives for biodiversity conservation or sustainable use are derived from a complex interaction of a society’s laws, policies, property rights, social conventions and cultural norms. The decisions of individuals and organizations with regard to biological diversity and its components are the outcome of the multi-faceted and unique environment of each society. Hence, overall incentives derive from a wide range of societal factors.

An *incentive measure* is a specific inducement designed and implemented to influence societal actors (that is, from government bodies, business, non-governmental organizations to local people) to conserve biological diversity or to use its components in a sustainable manner. Importantly, such an inducement does not rely on an outright prescription or prohibition of specific activities. Incentive measures usually take the form of a new policy, law, or economic or social programme. However, a single incentive measure functions within the broader set of incentives governing human behaviour, and its effectiveness depends upon support from the existing social and economic environment.

Biodiversity has characteristics of public and private goods attached to it. While many of the benefits of biological diversity accrue to the public as a whole in the form of cultural, social and economic benefits, a number of the components of biodiversity have privately appropriable values. The role of incentives is to improve decision-making related to both the public and private aspects of biodiversity. In some cases this might result in pure conservation, while in others incentive measures may aim to promote the sustainable use of biological diversity and its components by bridging the profitability gap between sustainable activities and unsustainable alternatives.

A range of incentive (and disincentive) measures is available to encourage the conservation or sustainable use of biological diversity.

A *positive incentive* is an economic, legal or institutional measure designed to encourage beneficial activities. Positive incentives include, *inter alia*, incentive payments for organic farming, agricultural land set-aside schemes as well as public or grant-aided land purchases or conservation easements.

Negative incentives or *disincentives* are mechanisms designed to discourage harmful or unsustainable activities. Disincentives might include, *inter alia*, user fees, environmental liability schemes, performance bonds, habitat mitigation schemes or marine pollution liability.

Indirect incentives seek to change the relative costs and benefits of specific activities in an indirect way. Trading mechanisms and other institutional arrangements create or improve markets for biological resources, thus encouraging the conservation and sustainable use of biological diversity. Examples include, *inter alia*, individual transferable fishing quotas, property right mechanisms, species commercialization, biodiversity prospecting, emissions trading schemes or certification and eco-labeling initiatives.

Perverse incentives induce unsustainable behavior that reduces biodiversity, often as unanticipated side effects of policies designed to attain other objectives. They can include government subsidies or other measures, which fail to take into account the existence of environmental externalities, as well as laws or customary practice governing resource use. In consequence, the abandonment of perverse incentives or the mitigation of their negative impacts through appropriate means is needed to ensure the conservation of biodiversity and the sustainable use of its components.

Background and Status

As part of its medium-term programme of work, COP 1 decided to consider options for implementing Article 11 at its third meeting [*decision I/9*].

At its second meeting, the COP specified that it would consider the compilation of information and experiences shared on the implementation of Article 11 at its third meeting [*decision II/18*].

In decision III/18, the COP affirmed that the implementation of incentive measures, in a broad social, cultural and economic context, is of central importance to the realization of the three objectives of the Convention, and resolved that incentive measures should be integrated into the sectoral and thematic items of its work programme. It also decided to consider providing guidance on the design and implementation of incentive measures.

COP 4 was of the view that incentive measures should be designed using an ecosystem approach and with the targeted resource management audience in mind, and economic valuation of biodiversity and biological resources is an important tool for well-targeted and calibrated economic incentive measures [*decision IV/10, A*]. It requested further exchange of information on the design and implementation of incentive measures.

At COP 5, a programme of work on incentive measures was established in order to support Parties in developing practical policies and projects and to develop practical guidelines to the financial mechanisms for effective support and prioritization of these policies and projects. [*decision V/15*]. The programme of work is to result in:

- (a) The assessment of representative existing incentive measures, review of case studies, identification of new opportunities for incentive measures, and dissemination of information through the CHM and other means;
- (b) The development of methods to promote information on biodiversity in consumer decisions;
- (c) The assessment, as appropriate, of the values of biodiversity;
- (d) A consideration of biodiversity concerns in liability schemes;
- (e) The creation of incentives for integration of biodiversity concerns in all sectors.

By decision VI/15, COP 6 endorsed the proposals for the design and implementation of incentive measures, and the recommendations for future cooperation on incentive measures. In its decision, the COP recognizes that further work has to be undertaken on positive incentives and their performance, as well as on perverse incentives and ways and means for their removal or mitigation.

Funding needs

The COP has called upon funding agencies/organizations to provide financial support for the design and implementation of incentive measures:

Decision III/18. Incentive measures

“3. Encourages Parties to review their existing legislation and economic policies, to identify and promote incentive for the conservation and sustainable use of components of biological diversity, stressing the importance of taking appropriate action on incentives that threaten biological diversity;

4. Encourages Parties to ensure adequate incorporation of the market and non-market values of biological diversity into plans, policies and programmes and other relevant areas, inter alia, national accounting systems and investment strategies;

5. Encourages Parties to develop training and capacity-building programmes to implement incentive measures and promote private-sector initiatives in this regard;

6. Encourages Parties to incorporate biological diversity considerations into impact assessments, consistent with Article 14 of the Convention, as a step in the design and implementation of incentive measures;

7. Invites Parties to share experiences on incentive measures and make relevant case studies available to the Secretariat, and requests the Executive Secretary to facilitate the exchange of information on incentive measures, including case studies, amongst Parties, through appropriate means such as the clearing-house mechanism and regional workshops.”

Decision IV/10 A. Incentive measures: Consideration of measures for the implementation of Article 11

“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) As a first step towards formulating incentive measures, to identify threats to biological diversity and underlying causes of reduction or loss of biological diversity and relevant actors;

(c) To take into account economic, social, cultural and ethical valuation in the development of relevant incentive measures;

(d) To develop supportive legal and policy frameworks for the design and implementation of incentive measures;

(e) To carry out participatory consultative processes at the relevant level to define the clear and target-oriented incentive measures to address the identified underlying causes of biodiversity reduction or loss and unsustainable use;

(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) To prepare case-studies on incentive measures in the thematic focus of the fifth meeting of the Conference of the Parties, utilizing the indicative outline prepared by the Executive Secretary as far as possible, and to make them available to the Executive Secretary.

(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;

2. Requests Parties to include information on the design and implementation of incentive measures in their second national reports”

Decision V/15. Incentive measures

“6. Urges Parties and other Governments to explore possible ways and means by which incentive measures promoted through the Kyoto Protocol under the United Nations Framework Convention on Climate Change can support the objectives of the Convention on Biological Diversity”

Decision VI/15. Incentive measures

“2. Endorses the proposals for the design and implementation of incentive measures and the recommendations for further cooperation on incentive measures, contained respectively in annexes I and II to the present decision, as far as they are consistent with Parties' national policies and legislation as well as their international obligations;

3. Invites Parties to take these proposals into consideration when designing and implementing incentive measures for conservation and sustainable use of biological diversity ...

5. Encourages Parties and relevant organizations to submit case-studies, lessons learned and other relevant information on incentive measures, especially on positive and perverse incentives, to the Executive Secretary”

Useful documents

Sharing of experiences on incentive measures for conservation and sustainable use (UNEP/CBD/COP/3/24)

Further analysis of the design and implementation of incentive measures (UNEP/CBD/COP/5/15)

Synthesis report on case-studies and best practices on incentive measures as well as information on perverse incentives received from Parties and relevant organizations (UNEP/CBD/COP/6/12/ADD3)

Economic valuation of biological diversity (UNEP/CBD/SBSTTA/2/13)

Chapter 15. Sustainable Use and Tourism

“Invites Parties, Governments and relevant organizations to undertake appropriate actions to assist other Parties, especially developing countries and countries with economies in transition, to increase their capacity to implement sustainable-use practices, programmes and policies at regional, national and local levels, especially in pursuit of poverty alleviation. Appropriate actions may include: (a) Workshops; (b) Assistance to Parties in the identification of sectors where priority action is required; (c) Assistance to Parties in the development of appropriate action plans; (d) Information dissemination and appropriate technology transfer under mutually agreed terms” [decision V/24, paragraph 5]

“Invites Parties, other Governments and relevant international organizations to provide appropriate financial support for the organization of the fourth workshop on the sustainable use of biological diversity, with a view to ensuring broad-based participation in the fourth open-ended workshop on the sustainable use of biodiversity” [decision VI/13, paragraph 5]

Mandate

Sustainable use is one of the three objectives of the Convention, that is, “the sustainable use of its components”.

Article 10 (Sustainable use) of the Convention states:

“Each Contracting Party shall, as far as possible and as appropriate:

- (a) Integrate consideration of the conservation and sustainable use of biological resources into national decision-making;
- (b) Adopt measures relating to the use of biological resources to avoid or minimise adverse impacts on biological diversity;
- (c) Protect and encourage customary use of biological resources in accordance with traditional cultural practices that are compatible with conservation or sustainable use requirements;
- (d) Support local populations to develop and implement remedial action in degraded areas where biological diversity has been reduced; and
- (e) Encourage co-operation between its governmental authorities and its private sector in developing methods for sustainable use of biological resources.”

Background and Status

In accordance with the framework of the programme of work contained in decision IV/16, sustainable use, including tourism, is one of items for in-depth consideration at COP-5.

At its fifth meeting, the COP requested further information gathering, including assembling practical principles, operational guidelines and associated instruments, and guidance specific to sectors and biomes, and recommended the process being used to develop the ecosystem approach for

immediately initiating a process for relevant work on sustainable use [*decision V/24*]. COP 5 also decided to participate in the international work programme on sustainable tourism development under the Commission on Sustainable Development process with regard to biological diversity, in particular, with a view to contributing to international guidelines for activities related to sustainable tourism development in vulnerable terrestrial, marine and coastal ecosystems and habitats of major importance for biological diversity and protected areas, including fragile riparian and mountain ecosystems [*decision V/25*].

In decision VI/13, the COP recognized that the challenge of sustainable use of biodiversity is to balance the need to maximize human livelihoods against the necessity of conserving the underlying natural resource base, and the need to further investigate the relationship and balance between conservation and sustainable use of biological diversity, and in particular the role and contribution of sustainable use to the conservation of biological diversity. It decided to develop a set of practical principles and operational guidelines for the sustainable use of biological diversity. With respect to biological diversity and tourism, the COP noted the development of the guidelines for activities related to sustainable tourism development and biological diversity in vulnerable terrestrial, marine and mountain ecosystems, and requested case-studies on the implementation of the guidelines [*decision VI/14*].

Funding needs

The COP has recommended the following action to be undertaken at national level, for which financial support might be required:

Decision V/24. Sustainable use as a cross-cutting issue

“4 Invites Parties and Governments to identify indicators and incentive measures for sectors relevant to the conservation and sustainable use of biodiversity;

5. Invites Parties, Governments and relevant organizations to undertake appropriate actions to assist other Parties, especially developing countries and countries with economies in transition, to increase their capacity to implement sustainable-use practices, programmes and policies at regional, national and local levels, especially in pursuit of poverty alleviation. Appropriate actions may include:

- (a) Workshops;
- (b) Assistance to Parties in the identification of sectors where priority action is required;
- (c) Assistance to Parties in the development of appropriate action plans;
- (d) Information dissemination and appropriate technology transfer under mutually agreed terms;

6. Urges Parties, Governments and organizations to develop or explore mechanisms to involve the private sector and indigenous and local communities in initiatives on the sustainable use of biological diversity, and in mechanisms to ensure that indigenous and local communities benefit from such sustainable use;

7. Recognizes that sustainable use can be an effective tool in imbuing value to biodiversity, and invites Parties to identify areas for conservation that would benefit through the sustainable use of biological diversity, and to communicate this information to the Executive Secretary”

Decision V/25. Biological diversity and tourism

“4. Recommends to Parties, Governments, the tourism industry and relevant international organizations, in particular the World Tourism Organization, to consider this assessment as a basis for their policies, programmes and activities in the field of sustainable tourism, and encourages them to pay particular attention to:

(a) The unique role of ecotourism -- that is, tourism that relies on the existence and maintenance of biological diversity and habitats - and the need to develop clear strategies to develop sustainable ecotourism sectors which provides for full and effective participation and viable income-generating opportunities for indigenous and local communities;

(b) The need to develop, with all the potential stakeholders, strategies and plans, based on the ecosystem approach and aiming at a balance between economic, social, cultural and environmental concerns, while maximizing opportunities for the conservation and sustainable use of biological diversity, the equitable sharing of benefits and the recognition of traditional knowledge, in accordance with Article 8(j) of the Convention, and seeking to minimize risks to biological diversity;

(c) The need for long-term monitoring and assessment, including the development and use of indicators to measure impacts of tourism on biological diversity and consequently to improve strategies and plans for tourism activities;

(d) Tangible benefits to the local economies, such as job creation and the sharing of benefits arising from the sustainable use of biological diversity for tourism purposes. In this regard, small and medium-sized enterprises can play a major role;

(e) The need to develop sustainable tourism which is an important mechanism for the conservation and sustainable use of biological diversity, and to meet the expectations of all stakeholders, while encouraging responsible behaviour on the part of tourists and the tourist industry, tourism enterprises and the local population;

(f) Awareness-raising, information-sharing, education and training of tourism operators and their staff and sensitization of tourists on biological diversity issues and technical and capacity-building at the local level, which enhance the goal of the respect and the conservation of biological diversity and its sustainable use;

(g) The fact that in order to contribute to the sustainable use of biological diversity through tourism, there is a need to implement a flexible mix of instruments, such as integrated planning, multi-stakeholder dialogue that includes indigenous peoples, zoning in land-use planning, environmental impact assessment, strategic environmental assessment, standards, industry performance-recognition programmes, recognized accreditation bodies, ecolabelling, codes of good practice, environmental management and audit systems, economic instruments, indicators and limits regarding the carrying capacity of the natural areas;

(h) The importance of the involvement and the need for the participation of indigenous and local communities and their interface with other sectors in the development and management of tourism, as well as their monitoring and assessment, including of cultural and spiritual impacts;

(i) The importance of the understanding of the values and knowledge of use of biological diversity held by the indigenous and local communities and the opportunities these offer for sustainable tourism and the support of local tourism ...

7. Encourages Parties, Governments, the tourism industry and relevant organizations to undertake activities including local capacity-building, that would be supportive of the preparations for both the International Year of Ecotourism and the International Year of Mountains, as well as activities of the International Coral Reef Initiative, and, in particular:

(a) Urges the tourism industry to work in partnership with all stakeholders and to commit to work within principles and guidelines for sustainable tourism development;

(b) Encourages Parties and Governments to complement voluntary efforts by establishing enabling policies and legal frameworks for the effective implementation of sustainable tourism.”

Decision VI/13. Sustainable use

“6. Reiterates its invitation to Parties, other Governments, international organizations and other relevant organizations to submit case-studies on the sustainable use of biological diversity”

Decision VI/14. Biological diversity and tourism

Useful documents

Sustainable Use of the Components of Biological Diversity (UNEP/CBD/SBSTTA/7/INF/9)

Sustainable Use of the Components of Biological Diversity (UNEP/CBD/SBSTTA/5/13)

Development of Approaches and Practices for the Sustainable Use of Biological Resources, including Tourism (UNEP/CBD/SBSTTA/4/14)

Sustainable Use Including Tourism (UNEP/CBD/COP/5/20)

Part IV Mechanisms for Implementation

The work of the Convention on Biological Diversity has been conveniently organized around three topical fields: thematic areas, crosscutting issues and mechanisms for implementation. The scope of mechanisms for implementation is yet to be defined. However, the Conference of the Parties has already considered biodiversity strategies and action plans, clearing-house mechanism, communication, education and public awareness, financial resources and mechanism, national reporting as well as the role of the Secretariat. Most of these issues have been treated as standing items on the agenda of the Conference of the Parties.

Chapter 16. Biodiversity Strategies and Action Plans

“The programme priorities are ... [p]rojects and programmes that have national priority status and that fulfil the obligations of the Convention;

development of integrated national strategies, plans or programmes for the conservation of biological diversity and sustainable use of its components in accordance with article 6 of the Convention;

capacity-building, including human resources development and institutional development and/or strengthening, to facilitate the preparation and/or implementation of national strategies, plans for priority programmes and activities for conservation of biological diversity and sustainable use of its components;

strengthening conservation, management and sustainable use of ecosystems and habitats identified by national Governments in accordance with article 7 of the Convention” [*decision I/2, annex I, paragraphs 4(a), 4(b), 4(e) and 4(i)*]

“The Conference of the Parties... [r]equests the interim institutional structure operating the financial mechanism to facilitate urgent implementation of Article 6 of the Convention by availing to developing country Parties financial resources for projects in a flexible and expeditious manner;

to implement the relevant provisions of the following decisions: II/7 on consideration of Articles 6 and 8 of the Convention, II/8 on preliminary consideration of components of biological diversity particularly under threat and action which could be taken under the Convention ...” [*decision II/6, paragraphs 5 and 11*]

“Emphasizes the importance of capacity-building as well as the availability of adequate financial resources to assist Parties in the implementation of Articles 6 and 8 of the Convention, and in this context requests the interim financial mechanism under the Convention to facilitate urgent implementation of Articles 6 and 8 of the Convention by availing to developing country Parties financial resources for projects in a flexible and expeditious manner” [*decision II/7, paragraph 6*]

“Requests the interim financial mechanism under the Convention to make available to developing country Parties resources to enable them to facilitate urgent implementation of paragraphs 2 and 3 above” [*decision III/9, paragraph 4*]

“The Global Environment Facility should provide support ... [A]s a priority, for the elaboration, development, and revision as necessary, of national biodiversity strategies and action plans, and for activities which assist their implementation consistent with guidance to the Global Environment Facility from the Conference of the Parties” [*decision VI/17, paragraph 10(a)*]

“Calls upon multilateral, regional, bilateral and private donors and institutions able to support implementation of national and regional biodiversity strategies and action plans, in particular priority actions, to target such priority actions in an effective and coordinated manner within the framework of the Strategic Plan of the Convention;

Encourages private foundations and other donors that provide funding in support of sustainable - development activities to support implementation of nationally-identified priority actions in national biodiversity strategies and action plans;

Requests donor institutions and agencies to simplify, to the extent possible, their administrative procedures in order to expedite access by eligible countries to the financial resources needed to assist the implementation of the national biodiversity strategies and action plans ...

Transmits to the Council of the Global Environment Facility its view that a strategic approach to capacity-building for the global environment at the national level is urgently needed and that promoting cross-convention synergies, national policy integration, national institutional development and cooperation among stakeholders in capacity-building activities is a priority in order to promote efficiency and quality, and notes the contribution of the preliminary results of the Capacity Development Initiative ...

Welcomes the contribution to the implementation of national biodiversity strategies and action plans provided by the Biodiversity Planning Support Programme established by the United Nations Environment Programme and the United Nations Development Programme with core financial support from the Global Environment Facility and requests the agencies and partners involved to consider how regional support for biodiversity planning and capacity-building can be enhanced through core financial support by the Implementing Agencies” [decision VI/27, A, paragraphs 4, 5, 6, 8 and 10]

“Invites all donors and institutions in a position to do so to support the work of existing regional coordination mechanisms and the development of regional and subregional networks or processes, as appropriate...

Invites those countries in a position to do so, individually or collectively, on a bilateral or multilateral basis, to consider providing financial resources and technically qualified person(s) recruited from either government or the private sector to collaborate in the preparation of the assessment in the candidate regions” [decision VI/27, B, paragraphs 11.c and 12]

Mandate

Article 6 (General measures for conservation and sustainable use) of the Convention states:

“Each Contracting Party shall, in accordance with its particular conditions and capabilities:

(a) Develop national strategies, plans or programmes for the conservation and sustainable use of biological diversity or adapt for this purpose existing strategies, plans or programmes which shall reflect, *inter alia*, the measures set out in this Convention relevant to the Contracting Party concerned; and

(b) Integrate, as far as possible and as appropriate, the conservation and sustainable use of biological diversity into relevant sectoral or cross-sectoral plans, programmes and policies.”

Background and Status

As part of its medium-term programme of work, the COP decided to consider general measures for conservation and sustainable use at its second meeting [decision I/9].

COP 2 stressed the importance of regional and international cooperation for the implementation of Articles 6 and 8 of the Convention, and urged exchange of information and sharing of experiences on implementation of Article 6 and 8 [*decision II/7*]. The COP also highlighted the importance of capacity-building.

In decision III/9 on Implementation of Articles 6 and 8 of the Convention, the COP decided to explore ways of enhancing the collection and dissemination of information on the implementation of Articles 6 and 8, and recommended the development of a thematic approach in this, emphasising methodologies to evaluate and mitigate threats to biological diversity, alien species and protected areas, as well as suppression or mitigation of perverse incentives.

At its fifth meeting, the COP requested an open-ended inter-sessional meeting to consider and develop means to support implementation of the Convention, in particular, implementation of priority actions in national biodiversity strategies and action plans, and decided to enhance further the functions of subregional and regional processes in preparing for meetings under the Convention and in promoting the implementation of the Convention at the regional, subregional and national levels [*decisions V/20*]

COP 6 adopted the Strategic Plan for the Convention on Biological Diversity, and decided to consider future evaluation of progress in the implementation of the Convention and the Strategic Plan [*decision VI/26*]. COP 6 also stressed that the development and implementation of national biodiversity strategies and action plans constitute the cornerstone of national implementation of the Convention, and encouraged their implementation and periodical revision. In addition, it acknowledged the important role that regional and subregional mechanisms and networks play in promoting the implementation of the Convention [*decision VI/27*].

Funding needs

Possible funding needs might be derived from the following requests from the COP:

Decision II/7. Consideration of Articles 6 and 8 of the Convention

“1. Urges all Parties and Governments and other interested stakeholders to exchange relevant information and share experience on measures taken for the implementation of Articles 6 and 8 ...

5. Encourages Parties, in preparing and implementing their national strategies and action plans, to collaborate with relevant organizations and, if so desired, to take into consideration existing guidelines such as “National Biodiversity Planning” published by the United Nations Environment Programme, the World Resources Institute and the World Conservation Union (IUCN)”

Decision III/9. Implementation of Articles 6 and 8 of the Convention

“1. Stresses the need for Parties to ensure the cross-border coordination of their respective strategies, on a bilateral as well as on a regional basis;

2. Urges Parties to include in their national plans or strategies and legislation measures for:
(a) The conservation of biological diversity both in situ and ex situ;

- (b) The integration of biological diversity objectives in relevant sectoral policies in order to achieve conservation and sustainable use of biological diversity;
- (c) The equitable sharing of benefits arising out of the use of genetic resources;

3. Further urges Parties to submit their first national reports on time ...

5. Encourages all Parties to set measurable targets in order to achieve biological diversity conservation and sustainable use objectives;

6. Requests Parties to take action to achieve the restoration of habitats, including their biological diversity components”

Decision V/20. Operations of the Convention

V. Implementation

“41. Requests the Executive Secretary to provide an overview of existing mechanisms and processes for review of national implementation of environmental instruments, and invites Parties to undertake, on a voluntary basis, a review of national programmes and needs related to the implementation of the Convention and, if appropriate, to inform the Executive Secretary accordingly”

Decision VI/26. Strategic Plan for the Convention on Biological Diversity

“3. Urges Parties, States, intergovernmental organizations and other organizations to review their activities, especially their national biodiversity strategies and action plans, where appropriate, in the light of the Strategic Plan for the Convention on Biological Diversity”

Decision VI/27. Operations of the Convention

A. Implementation of the Convention, in particular, implementation of priority actions in national biodiversity strategies and action plans

“2. Urges Parties to the Convention on Biological Diversity:

- (a) To develop and adopt national biodiversity strategies and action plans, where they have not yet done so;
- (b) To give priority to the integration of the conservation and sustainable use of biological diversity, as well as benefit-sharing, into relevant sectoral or cross-sectoral plans, programmes and policies, in accordance with Article 6 of the Convention;
- (c) To identify priority actions in national biodiversity strategies and action plans and other relevant national strategies;
- (d) To implement national biodiversity strategies and action plans; and to periodically revise them in the light of the experience of implementation;
- (e) To establish national mechanisms or consultative processes, with particular regard, where appropriate, to the special needs of indigenous and local communities, for coordinating, implementing, monitoring, evaluating and periodically revising national biodiversity strategies and action plans;
- (f) To identify constraints and impediments to implementation of national biodiversity strategies and action plans, and to reflect them in the national reports;
- (g) To make their national biodiversity strategies and action plans, including periodic revisions, available through their national clearing-house mechanism and the Convention website;

3. Encourages Parties to develop regional, subregional or bioregional mechanisms and networks to support implementation of the Convention including, as appropriate, through the development of regional or subregional biodiversity strategies and action plans, the identification of common constraints and impediments to implementation; and promotion of joint measures for addressing these ...

9. Encourages Parties to avail themselves of the assistance available through the financial mechanism for preparation of a national capacity self-assessment ...

11. Welcomes the Biodiversity Service for the implementation of national biodiversity strategies and action plans in Central and Eastern Europe, established by the United Nations Environment Programme, IUCN, the European Centre for Nature Conservation and the Regional Environmental Centre and financially supported by a number of donors, and invites Parties and intergovernmental and other organizations to review the operation of the Biodiversity Service and to benefit from its experience with a view to considering the establishment of regional capacity-building mechanisms to support the implementation of priority actions in national biodiversity strategies and action plans in other regions

12. Commends the assessments of implementation carried out by Parties in the Central and Eastern Europe and Central American regions to the attention of Parties in other regions, and encourages Parties in other regions to undertake similar assessments”

B. Operations of the Convention

Regional and subregional mechanisms for implementation of the Convention

“11. Acknowledging the important role that regional and subregional mechanisms and networks such as the Pan-European Biological and Landscape Diversity Strategy, the Strategic Plan on Biodiversity for Tropical Andean Countries, the Central American Commission of Environment and Development and the South Pacific Regional Environment Programme play in promoting the implementation of the Convention, which, *inter alia*, provide forums for the preparation of regional inputs to meetings of the Convention and for translating decisions of the Conference of the Parties into regional actions ...

b. Encourages Parties to strengthen regional and subregional cooperation, enhance the integration and promote synergies with relevant regional and subregional processes ...

d. Invites Parties, Governments, and relevant organizations to strengthen their existing regional and subregional mechanisms and initiatives for capacity-building and to contribute inputs regarding their experiences into the wider assessment process.”

Useful documents

Consideration of Articles 6 and 8 of the Convention (UNEP/CBD/COP/2/12)

Implementation of Articles 6 and 8 (UNEP/CBD/COP/3/11)

Draft strategic plan for the Convention on Biological Diversity: Planned activities, expected products, the timing of activities and products, actors, implementation mechanisms, and financial, human-resource and other capacity requirements (UNEP/CBD/COP/6/5/ADD1)

Report of the open-ended inter-sessional meeting on the strategic plan, national reports and implementation of the Convention on Biological Diversity (UNEP/CBD/COP/6/5)

Chapter 17. Clearing-House Mechanism

“The programme priorities are ... [a]ctivities that provide access to other international, national and/or private sector funds and scientific and technical cooperation” [decision I/2, annex I, paragraph 4 (h)]

“Calls also upon the international community to make additional voluntary contributions for the implementation of the pilot phase ...

Requests the Global Environment Facility to explore the modalities of providing support through the financial mechanism to developing country Parties for capacity-building in relation to the operation of the clearing-house mechanism ...” [decision II/3, paragraphs 6(b) and 9]

“Requests the interim institutional structure to implement the relevant provisions of the following decisions: II/3 on clearing-house mechanism ...” [decision II/6, paragraph 11]

“Requests the Global Environment Facility to support the activities referred to in paragraphs (d) and (e) above as critical components in the implementation of the clearing-house mechanism at the national, subregional and regional levels, including in the pilot phase;

Further requests the interim financial mechanism to implement its revised operational criteria for enabling activities in relation to the clearing-house mechanism to give effect, as quickly as possible, to the recommendations contained in paragraph 2 above;

Also requests Governments and other bilateral and multilateral funding institutions, as far as possible and as appropriate, to provide funding for capacity-building related to the implementation of the clearing-house mechanism;

Requests Governments and relevant financial, scientific and technical institutions to facilitate, including through the provision of voluntary contributions, regional workshops with a view to attaining a clear definition of country and regional-level scientific and technical information needs and priorities identified and modalities to deliver information and evaluate national capacities for the implementation of the Convention. Such workshops should also review experience in scientific and technical cooperation in support of the objectives of the Convention, in order to identify ways by which the clearing-house mechanism can best facilitate such cooperation” [decision III/4, paragraphs 2, 3, 4 and 5]

“The Global Environment Facility shall provide financial resources ... [f]or supporting the following activities as critical components in the implementation of the clearing-house mechanism at the national, subregional and regional levels, including in the pilot phase, to which critical components the Global Environment Facility shall give effect by implementing its revised operational criteria for enabling activities in relation to the clearing-house mechanism as quickly as possible: (i) Capacity-building for the purpose of the clearing-house mechanism, including training in information systems technologies that will allow developing countries to take advantage of the recent developments in electronic communication, including the Internet; (ii) Country-driven pilot projects, focused on priority areas identified by the Conference of the Parties which would enable developing countries to begin to implement the main features of the pilot-phase of the clearing-house mechanism” [decision III/5, paragraph 2(d)]

“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 ...

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) To 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 Executive Secretary prior to the next meeting of the Subsidiary Body on Scientific, Technical and Technological Advice” [decision IV/2, paragraphs 1 and 9]

“The Global Environment Facility should... [I]n 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” [decision IV/13, paragraph 5]

“The Global Environment Facility should provide support ... [F]or participation in the clearing-house mechanism of the Convention, in accordance with decision V/14” [decision V/13, paragraph 2(f)]

Issues and Mandate

Article 18 (Technical and scientific cooperation), paragraph 3, of the Convention states:

“The Conference of the Parties, at its first meeting, shall determine how to establish a clearing-house mechanism to promote and facilitate technical and scientific cooperation.”

Background and Status

At its first meeting, the COP decided to implement the provisions of Article 18, paragraph 3 on the establishment of a clearing-house mechanism operating under the authority of the Conference of the Parties, and decided that the activities of the clearing-house mechanism to promote and facilitate technical and scientific cooperation should be funded from the regular budget of the Secretariat as well as from voluntary contributions [*decision I/3*]. As part of its medium-term programme of work, the COP decided to consider assessment and review of the operation of the clearing-house mechanism as one of standing items on its agenda [*decision I/9*].

COP 2 decided to establish a pilot phase of the clearing-house mechanism for 1996-1997, and decided that the Secretariat should act as a focal point [*decision II/3*]. It emphasized close cooperation with relevant international organizations and entities to maximize the existing experience and expertise, and enhanced networking between existing national, regional, subregional and international centers of relevant expertise, as well as governmental and non-governmental institutions and the private sector.

In decision III/4, the COP decided to extend the pilot phase for a further year until December 1998. It emphasized that the key characteristics of the clearing-house mechanism are, *inter alia*, that it should be compatible with national capacities, needs-driven and decentralized in nature, should provide access to meta-data, should provide support to the decision-making process, and should to the extent possible involve the private sector. COP 3 also noted the need for capacity building for the purposes of the clearing-house mechanism in developing countries, including training on information systems technologies that will allow developing countries to take advantage of the recent developments in electronic communication, including the Internet.

COP 4 was focused on building up the content of information in the clearing-house mechanism, and support for national as well as regional and subregional clearing-house mechanism activities [*decision IV/2*]. The COP determined the use of the clearing-house mechanism logo, and decided to undertake an independent review of the pilot phase of the clearing-house mechanism.

In decision V/14, the COP supported the implementation of the strategic plan for the clearing-house mechanism, and endorsed the longer-term programme of work for the clearing-house mechanism. COP 4 adopted a list of twelve measures to be undertaken by Parties and Governments, and a list of eleven activities to be undertaken by the Executive Secretary.

The longer-term programme of work of the clearing-house mechanism covers three areas:

- I. Scientific and technical cooperation: to track best practices, needs and priorities for collaboration, use funding to promote country involvement, partnering and progress in priority areas, provide a collaboration promotion mechanism for institutions and experts, and service and technology providers;
- II. Information exchange: to ensure compatibility through standardization, track information needs, priorities and best practices, prioritize and promote expansion, and provide open, world-wide access to existing biodiversity information;
- III. Network development and organizational efficiency: to provide start-up assistance and ongoing capacity building, address obstacles to growth, continue to maintain local ownership of

information, rely on partnerships, and focus on facilitation, concentrate on value-added, promote use of the clearing-house mechanism, develop funding strategies for all focal points.

At its sixth meeting, the COP requested a review to assess the current and potential role of the clearing-house mechanism in promoting technical and scientific cooperation, including its role in facilitating the transfer of technology and know-how and capacity-building to support implementation of the Convention at the national level [Decision VI/18]. It urged additional capacity-building workshops at the national, subregional and regional levels for clearing-house activities and training in support of national capacities to implement the Convention.

Funding needs

Decision I/3. Clearing-house mechanism for technical and scientific cooperation

Decision II/3. Clearing-house mechanism

Decision III/4. Clearing-house mechanism to promote and facilitate technical and scientific cooperation

“15. Requests all Parties to designate their clearing-house mechanism national focal points and make them operational as soon as possible;

16. Requests those Parties with access to the Internet to connect their national clearing-house mechanism homepage to the Secretariat’s clearing-house mechanism homepage on the Internet, where possible, and further requests the Executive Secretary and partners to collaborate on the provision of advice to Parties and others on, inter alia, the necessary layout and system specifications.”

Decision IV/2. Review of the operations of the clearing-house mechanism

“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 ...

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.”

Decision V/14. Scientific and technical cooperation and the clearing-house mechanism (Article 18)

“6. Recommends that Parties and Governments, subject to availability of resources and relevance, undertake as priorities for the biennium 2001- 2002 the measures identified in annex I to the present decision ...

Annex I. Measures To Be Undertaken By Parties And Governments In The Biennium 2001-2002, Subject To Availability Of Resources And Relevance

- (a) Establish national directories of scientific institutions and experts working on specific thematic areas of the Convention on Biological Diversity and make these available through the clearing-house mechanism.
- (b) Conduct surveys to establish a national baseline of existing scientific and technical cooperation initiatives relevant to the implementation of the provisions of the Convention on Biological Diversity.
- (c) Establish or strengthen clearing-house mechanism national focal points.
- (d) Establish, through the national clearing-house mechanism focal points, links to non-governmental organizations and other institutions holding important relevant databases or undertaking significant work on biological diversity.
- (e) Establish regional or subregional clearing-house mechanism focal points.
- (f) Establish national, regional and subregional clearing-house mechanism thematic focal points.
- (g) Further develop the clearing-house mechanism to assist developing country Parties and Parties with economies in transition to gain access to information in the field of scientific and technical cooperation, in particular on:
 - (i) Funding opportunities; (ii) Access to and transfer of technologies; (iii) Research cooperation facilities; (iv) Repatriation of information; (v) Training opportunities; and (vi) Promoting and facilitating contact with relevant institutions, organizations, and the private sector, providing such services.
- (h) Consider information providers as primary partners as a way of ensuring that a critical mass of scientific and technical information is made available.
- (i) Consider the general public, the private sector, non-government organizations and all levels of government as important target audiences for the clearing-house mechanism.
- (j) Develop initiatives to make information available through the clearing-house mechanism more useful for researchers and decision makers.
- (k) Develop, provide and share services and tools for the purposes of enhancing and facilitating the implementation of the clearing-house mechanism and further improving synergies among the biodiversity-related and the Rio conventions.
- (l) Undertake an analysis of the cost-effectiveness of the implementation of the clearing-house mechanism, taking into account investments in institutional, human, financial, technological and informational resources.”

Decision VI/18. Scientific and technical cooperation and the clearing-house mechanism

“1. Invites Parties to use effectively the central portal of the clearing-house mechanism and to establish or strengthen national, subregional or regional focal points for the clearing-house mechanism, if they have not done so already.”

Useful documents

“Informal Meeting on Formats, Protocols and Standards for Improved Exchange of Biodiversity-related Information (Montreal, Canada, 19-20 February 2002)” (UNEP/CBD/COP/6/INF/18)

“Scientific and technical cooperation and the Clearing-house Mechanism - Strategic Plan of the Clearing-house Mechanism” (UNEP/CBD/COP/5/INF/3)

“Scientific and technical cooperation and the Clearing-house Mechanism - Report of the independent review of the pilot phase of the Clearing-house Mechanism” (UNEP/CBD/COP/5/INF/2)

“Report on the International Expert Meetings on ‘Building the Clearing-house’” (UNEP/CBD/SBSTTA/3/Inf.12)

Chapter 18. Communication, Education and Public Awareness

“The Conference of the Parties... [r]equests the Global Environment Facility, in preparing projects..., to include in such projects... project components addressing ... [p]romotion of the understanding of the importance of, and measures required for, the conservation and sustainable use of biological diversity” [*decision III/5, paragraph 6 (b)*]

“Urges Parties, relevant organizations and donor agencies to support local, national, subregional and regional public education and awareness initiatives” [*decision IV/10, paragraph 8*]

“The Global Environment Facility should provide support ... [F]or capacity development for education, public awareness and communication in biological diversity at the national and regional levels, in accordance with decision V/17” [*decision V/13, paragraph 2(l)*]

“The Global Environment Facility should provide support ... [F]or capacity development and country-driven projects prioritized in the Global Initiative on Communication, Education and Public Awareness” [*decision VI/17, paragraph 10(o)*]

“Invites the Global Environment Facility to include expertise relating to communication, education and public awareness when evaluating projects for funding approval and to strengthen its involvement in and support of the national implementation of the Global Initiative;

Invites the private sector to become an active player in the Global Initiative and encourages the private sector to mobilize resources for this Initiative ...

Invites other agencies such as the United Nations Development Programme, the World Bank, and development banks:

(a) To reflect in their funding policies the Global Initiative on Communication, Education and Public Awareness according to the conditions established in the annex to the present decision;

(b) To include expertise on communication, education and public awareness when evaluating projects for funding approval.” [*decision VI/19, paragraphs 5, 6 and 9*]

Mandate

Article 13 (Public education and awareness) of the Convention states:

“The Contracting Parties shall:

(a) Promote and encourage understanding of the importance of, and the measures required for, the conservation of biological diversity, as well as its propagation through media, and the inclusion of these topics in educational programmes; and

(b) Cooperate, as appropriate, with other States and international organizations in developing educational and public awareness programmes, with respect to conservation and sustainable use of biological diversity.”

Background and Status

As part of its medium-term programme of work, the COP decided to consider measures for implementing the Convention -- to provide information and share experiences on the implementation of Article 13 at its fourth meeting [*decision I/9*]

At its fourth meeting, the COP recognized 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 recognized the need for capacity-building in this area. It also recognized 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. It decided 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, and decided to consider a global initiative on biological diversity education, training and public awareness [*decision IV/10, B*].

In decision V/17, the COP established a consultative working group of experts to further advance and to identify priority activities for the proposed global initiative on biological diversity education and public awareness.

COP 6 noted that key actors in the implementation of the Convention need effective instruments on communication, education and public awareness to engage major stakeholders and to convey the appropriate messages to mainstream biodiversity, and adopted the programme of work for a Global Initiative on Communication, Education and Public Awareness [*decision VI/19*]. It also requested the Executive Secretary to develop a communication strategy for the Secretariat

The programme of work for the global initiative on communication, education and public awareness (CEPA) contains three programmatic elements:

Programme element 1 "Towards a global communication, education and public awareness network": to establish, stimulate and coordinate networks composed of new information technologies and traditional communication mechanisms;

Programme element 2 "Exchange of knowledge and expertise": to exchange knowledge and expertise among professionals, enhancing development and innovation on CEPA;

Programme element 3 "Capacity building for communication, education and public awareness": to develop capacity of the Parties to market biodiversity to other sectors, and mainstream biodiversity into the work of other sectors.

Funding needs

Decision IV/10, B. Public education and awareness: consideration of measures for the implementation of Article 13

"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 ...

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”

Decision V/17. Public Education and Awareness

“6. Invites Parties, Governments, organizations and institutions to support capacity-building for education and communication in biological diversity as part of their national biodiversity strategies and action plans, taking into account the global initiative”

Decision VI/19. Communication, education and public awareness

“2. Invites Parties to strongly and effectively promote biodiversity-related issues through the press, the various media, and public relations and communications networks at national levels;

3. Requests the Parties to the Convention and other Governments:

(a) To support the national, regional and international activities prioritized by the Global Initiative on Education and Public Awareness;

(b) To develop adequate capacity to deliver initiatives on communication, education and public awareness, taking into account special needs of developing countries, in particular, the least developed countries and Small Island developing States ...

11. Invites Parties to facilitate the increase in the number of biodiversity-related publications in their national libraries in order to facilitate further dissemination of knowledge on biodiversity issues among the general public”

Useful documents

Public education and awareness: implementation of Article 13 (UNEP/CBD/COP/4/19)

Report of the CBD-UNESCO Consultative Group of Experts on Biological Diversity Public Education and Awareness on the Work of its First Meeting (UNEP/CBD/GEEPA/1/1)

Report of the CBD-UNESCO Consultative Group of Experts on Biological Diversity Public Education and Awareness on the Work of its Second Meeting (UNEP/CBD/GEEPA/2/3)

CBD-UNESCO Consultative Working Group of Experts on Biological Diversity Education and Public Awareness (UNEP/CBD/GEEPA/3/3)

Chapter 19. Financial Resources and Mechanism

“Only developing countries that are Parties to the Convention are eligible to receive funding upon the entry into force of the Convention for them. In accordance with the provisions of the Convention, projects that seek to meet the objectives of conservation of biological diversity and sustainable use of its components are eligible for financial support from the institutional structure” [*decision I/2, Annex I, section II*]

“Urges all funding institutions, including bilateral and multilateral donors as well as regional funding institutions and non-governmental organizations, to strive to make their activities more supportive of the Convention, taking into account, inter alia, relevant elements contained in document UNEP/CBD/COP/3/7 ...

Invites other funding institutions, including bilateral and multilateral donors as well as regional funding institutions and non-governmental organizations, to compile information on their financial support for the Convention and to provide the Secretariat with such information” [*decision III/6, paragraphs 1 and 5*]

“Invites, inter alia, funding institutions, United Nations bodies, intergovernmental organizations and non-governmental organizations to designate focal points, to develop a reporting relationship with the Convention, and to provide information to the Executive Secretary on their activities in support of the objectives of the Convention ...

Invites the United Nations Environment Programme, through its financial-sector initiatives, the World Bank and other financial institutions, to promote consideration of biological diversity by the financial sector” [*decision V/11, paragraphs 5 and 15*]

“Requests the Global Environment Facility to explore opportunities to further develop, enhance and strengthen its catalytic role in identifying and promoting co-financing resources, and, also, to take definitive actions to explore and examine innovative and creative financing modalities to leverage increased funds from the private sector and non-traditional sources of funding” [*decision VI/16, paragraph 9*]

Mandate

Article 20 (Financial resources) of the Convention states:

“1. Each Contracting Party undertakes to provide, in accordance with its capabilities, financial support and incentives in respect of those national activities which are intended to achieve the objectives of this Convention, in accordance with its national plans, priorities and programmes.

2. The developed country Parties shall provide new and additional financial resources to enable developing country Parties to meet the agreed full incremental costs to them of implementing measures which fulfil the obligations of this Convention and to benefit from its provisions and which costs are agreed between a developing country Party and the institutional structure referred to in Article 21, in accordance with policy, strategy, programme priorities and eligibility criteria and an indicative list of incremental costs established by the Conference of the Parties. Other Parties, including countries undergoing the process of transition to a market economy, may

voluntarily assume the obligations of the developed country Parties. For the purpose of this Article, the Conference of the Parties, shall at its first meeting establish a list of developed country Parties and other Parties which voluntarily assume the obligations of the developed country Parties. The Conference of the Parties shall periodically review and if necessary amend the list. Contributions from other countries and sources on a voluntary basis would also be encouraged. The implementation of these commitments shall take into account the need for adequacy, predictability and timely flow of funds and the importance of burden-sharing among the contributing Parties included in the list.

3. The developed country Parties may also provide, and developing country Parties avail themselves of, financial resources related to the implementation of this Convention through bilateral, regional and other multilateral channels.

4. The extent to which developing country Parties will effectively implement their commitments under this Convention will depend on the effective implementation by developed country Parties of their commitments under this Convention related to financial resources and transfer of technology and will take fully into account the fact that economic and social development and eradication of poverty are the first and overriding priorities of the developing country Parties.

5. The Parties shall take full account of the specific needs and special situation of least developed countries in their actions with regard to funding and transfer of technology.

6. The Contracting Parties shall also take into consideration the special conditions resulting from the dependence on, distribution and location of, biological diversity within developing country Parties, in particular small island States.

7. Consideration shall also be given to the special situation of developing countries, including those that are most environmentally vulnerable, such as those with arid and semi-arid zones, coastal and mountainous areas.”

Article 21 (Financial mechanism) of the Convention states:

“1. There shall be a mechanism for the provision of financial resources to developing country Parties for purposes of this Convention on a grant or concessional basis the essential elements of which are described in this Article. The mechanism shall function under the authority and guidance of, and be accountable to, the Conference of the Parties for purposes of this Convention. The operations of the mechanism shall be carried out by such institutional structure as may be decided upon by the Conference of the Parties at its first meeting. For purposes of this Convention, the Conference of the Parties shall determine the policy, strategy, programme priorities and eligibility criteria relating to the access to and utilization of such resources. The contributions shall be such as to take into account the need for predictability, adequacy and timely flow of funds referred to in Article 20 in accordance with the amount of resources needed to be decided periodically by the Conference of the Parties and the importance of burden-sharing among the contributing Parties included in the list referred to in Article 20, paragraph 2. Voluntary contributions may also be made by the developed country Parties and by other countries and sources. The mechanism shall operate within a democratic and transparent system of governance.

2. Pursuant to the objectives of this Convention, the Conference of the Parties shall at its first meeting determine the policy, strategy and programme priorities, as well as detailed criteria and guidelines for eligibility for access to and utilization of the financial resources including

monitoring and evaluation on a regular basis of such utilization. The Conference of the Parties shall decide on the arrangements to give effect to paragraph 1 above after consultation with the institutional structure entrusted with the operation of the financial mechanism.

3. The Conference of the Parties shall review the effectiveness of the mechanism established under this Article, including the criteria and guidelines referred to in paragraph 2 above, not less than two years after the entry into force of this Convention and thereafter on a regular basis. Based on such review, it shall take appropriate action to improve the effectiveness of the mechanism if necessary.

4. The Contracting Parties shall consider strengthening existing financial institutions to provide financial resources for the conservation and sustainable use of biological diversity.”

Background and Status

As part of its medium-term programme of work, COP 1 decided to consider the financial mechanism and resources as one of standing items on its agenda [*decision I/9*]. COP 1 also adopted the policy, strategy, programme priorities and eligibility criteria for access to and utilization of financial resources, and decided that the restructured Global Environment Facility (GEF) shall continue to serve as the institutional structure to operate the financial mechanism under the Convention on an interim basis. The COP decided to consider a memorandum of understanding between the COP and the GEF Council. In addition, the COP requested a study on the availability of financial resources additional to those provided through the GEF and on the ways and means for mobilizing and channeling these resources in support of the objectives of the Convention [*decision I/2*].

In decision II/6, the COP agreed on several aspects of the relationship between the Convention and the GEF, and decided to undertake the first review of the effectiveness of the financial mechanism at its fourth meeting and a review every three years. COP 2 also decided to continue the work to identify additional financial resources to support the objectives of the Convention, and to study characteristics specific to biodiversity activities in order to develop suggestions to funding institutions on how to make their activities in the area of biodiversity more supportive of the Convention.

COP 3 successfully adopted the guidelines for the review of the effectiveness of the financial mechanism [*decision III/7*], memorandum of understanding between the COP and the GEF Council [*decision III/8*], as well as a list of additional guidance to the financial mechanism [*decision III/5*]. The COP recognized that the financial mechanism shall function under the authority and guidance of and be accountable to the Conference of the Parties for the purposes of the Convention and that GEF will operate the financial mechanism of the Convention on an interim basis in accordance with Article 39 of the Convention. The memorandum of understanding covers: guidance from the Conference of the Parties, reporting from the GEF Council, monitoring and evaluation, determination of funding requirements, reciprocal representation and inter-secretariat cooperation, etc..

In decision III/6, the COP recognized the importance of identifying alternative sources of funding in support of the Convention, and decided to compile information on financial support for the Convention. The COP also decided to explore ways of collaboration with funding institutions and to explore further possibilities for encouraging the involvement of the private sector in supporting the Convention's objectives.

At its fourth meeting, the COP conducted the first review of the effectiveness of the financial mechanism, and adopted eleven pieces of action to improve the effectiveness. The COP provided a list of additional guidance to the financial mechanism and further requested advice on matters relating to further guidance to the financial mechanism [*decisions IV/11 and IV/13*]. In decision IV/12, the COP noted concerns over the downward trend of development assistance in the past few years, and also noted the lack of comprehensive information about trends in development assistance with respect to biological diversity. In addition, COP 4 requested proposals to advance the work on financial resources.

COP 5 made progress on several fronts: to promote coordination and collaboration with funding institutions through the development of a funding database and the organization of a workshop on financing for biodiversity; to monitor financial resources; to improve relationship with funding institutions as well as to promote the involvement of the private sector [*decision V/11*]. It required Parties to establish a process to monitor financial support to biodiversity, and invited funding institutions to develop a reporting relationship with the Convention. It also resolved that the involvement of the private sector shall be included on the agenda of the COP at its regular meetings and be integrated into the sectoral and thematic items under its programme of work. In addition, the COP adopted the terms of reference for the second review of the financial mechanism and a list of further guidance to the financial mechanism [*decisions V/12 and V/13*]

In decision VI/16, the COP emphasized the need for a substantial increase of international financial support to the implementation of the Convention and the easier flow of such assistance, and noted the efforts to develop partnership aiming at promoting financial investments in biodiversity and the initiation of the Convention Finance Alliance. It invited further sharing of information and experience and agreed to review national budgets and monetary policies, including the effectiveness of official development assistance allocated to biological diversity, with a view to promoting the conservation and sustainable use of biological diversity. COP 6 also initiated efforts to develop a global initiative on banking, business and biodiversity and to consider the impacts of external debts on the conservation and sustainable use of biodiversity. In decision VI/17 (financial mechanism under the Convention), the COP provided a list of additional guidance to the financial mechanism, and adopted several measures to improve the effectiveness of the financial mechanism.

Required action by Parties and Governments

Parties have been expected to undertake the following action:

Decision I/2. Financial resources and mechanism

Decision II/6. Financial resources and mechanism

Decision III/5. Additional guidance to the financial mechanism

Decision III/6. Additional financial resources

“4. Urges developed country Parties to cooperate in the development, where possible, of standardized information on their financial support for the objectives of the Convention on Biological Diversity. Where possible, these Parties should submit this information to the Secretariat of the Convention on Biological Diversity in their national reports”

Decision III/7. Guidelines for the review of the effectiveness of the financial mechanism

Decision III/8. Memorandum of understanding between the Conference of the Parties to the Convention on Biological Diversity and the Council of the Global Environment Facility

Decision IV/11. Review of the effectiveness of the financial mechanism

Decision IV/12. Additional financial resources

Decision IV/13. Additional guidance to the financial mechanism

Decision V/11. Additional financial resources

“4. Urges developed country Parties and encourages developing country Parties to establish a process to monitor financial support to biodiversity, and to provide further information in their national reports on financial support to biodiversity to the Conference of the Parties at its sixth meeting ...

9. Urges developed country Parties to promote support for the implementation of the objectives of the Convention on Biological Diversity in the funding policy of their bilateral funding institutions and those of regional and multilateral funding institutions;

10. Urges developing country Parties to incorporate ways and means to support implementation of the objectives of the Convention on Biological Diversity into their dialogue with funding institutions ...

14. Invites Parties to include in their second national reports information on the involvement of the private sector;

16. Urges Parties, subject to their national legislation, to promote the consideration of tax exemptions in national taxation systems for biodiversity-related donations, and requests the Executive Secretary to encourage charitable institutions to support activities that promote the implementation of the Convention.”

Decision V/12. Second review of the financial mechanism

Decision V/13. Further guidance to the financial mechanism

Decision VI/16. Additional financial resources

“5. Urges donor countries to substantially replenish the Global Environment Facility to levels higher than the current for supporting developing countries, in particular the least developed and the small island developing States, and countries with economies in transition, to implement the Convention on Biological Diversity;

6. Invites Parties and Governments, funding institutions and development agencies, as well as other donors to communicate to the Executive Secretary their funding procedures, eligibility criteria and programme priorities in relation to biological diversity as well as their experience in mainstreaming biodiversity into funding operations;

7. Invites Parties and Governments to:

(a) Share, through the clearing-house mechanism, their experiences on developing and implementing financial measures for supporting national biodiversity strategies and action plans, such as biodiversity trust funds and promotion of the private sector in supporting biological diversity;

(b) Review national budgets and monetary policies, including the effectiveness of official development assistance allocated to biological diversity, with a view to promoting the conservation and sustainable use of biological diversity, paying particular attention to positive incentives and their performance as well as perverse incentives and ways and means for their removal or mitigation;

8. Urges Parties and Governments, the World Bank, the International Monetary Fund, the United Nations Development Programme and other relevant institutions to take concrete action to review and further integrate biodiversity considerations in the development and implementation of major international development initiatives, such as the Highly Indebted Poor Countries (HIPC) Initiative, Poverty Reduction Strategies (PRSs), and Comprehensive Development Frameworks (CDF), as well as in national sustainable development plans and relevant sectoral policies and plans”

Decision VI/17. Financial mechanism under the Convention

Useful documents

Study on the availability of the additional financial resources, prepared by the Secretariat (UNEP/CBD/COP/2/10)

Characteristics specific to biological diversity and suggestions to funding institutions on how to make their activities more supportive of the Convention: a preliminary consideration, note by the Executive Secretary (UNEP/CBD/COP/3/7)

Additional financial resources, note by the Executive Secretary (UNEP/CBD/COP/5/14)

Additional financial resources, note by the Executive Secretary (UNEP/CBD/COP/6/14)

Chapter 20. National Reporting

“Requests the interim institutional structure to implement the relevant provisions of the following decisions: ... and II/17 on form and intervals of national reports by Parties” [*decision II/6, paragraph 11*]

“The Conference of the Parties... [u]rges the financial mechanism to make available financial resources to developing country Parties to assist in the preparation of their national reports” [*decision II/17, paragraph 12*]

“The Global Environment Facility should... [c]ontinue 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” [*decision IV/13, paragraph 6*]

“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” [*decision IV/14, paragraph 5*]

“The Global Environment Facility should provide support ... [f]or the consultative processes referred to in paragraph 6 of decision V/19, which are aimed at assisting with the preparation of second national reports, taking into account the fact that the Conference of the Parties may develop guidelines for subsequent national reports” [*decision V/13, paragraph 2(e)*]

“Requests the Global Environment Facility, as the institutional structure operating the financial mechanism, to continue to provide, in a timely manner, support to eligible countries for the preparation of national reports ...

Takes note of the difficulty experienced by some developing countries and countries with economies in transition in accessing funding for preparing their second national reports, and requests the Secretariat of the Convention and the Global Environmental Facility to explore innovative funding modalities for facilitating the preparation of future national reports and thematic reports” [*decision VI/25, paragraphs 5 and 9*]

“The Global Environment Facility should provide support ... [I]n a timely manner, to eligible Parties for the preparation of national reports” [*decision VI/17, paragraph (l)*]

Mandate

Article 26 (Reports) of the Convention states:

“Each Contracting Party shall, at intervals to be determined by the Conference of the Parties, present to the Conference of the Parties, reports on measures which it has taken for the implementation of the provisions of this Convention and their effectiveness in meeting the objectives of this Convention.”

Background and Status

As part of its medium-term programme of work, COP 1 decided to consider reports by Parties to provide the form for reporting and to decide on intervals for reporting [*decision I/9*].

At its second meeting, the COP decided that the first national reports will focus on the measures taken for the implementation of Article 6 as well as the information available in national country studies, and the reports would be due at the fourth meeting of the COP. The national reports should be submitted in one of the working languages of the COP, and the Secretariat should prepare a report based on the synthesis of information contained in national reports and other relevant information and containing also suggested next steps. All national reports would be made available through the clearing-house mechanism for technical and scientific cooperation [*decision II/17*].

COP 3 reiterated its request for submission of national reports for the fourth meeting of the COP [*decision III/9*].

In decision IV/14, the COP noted 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. It requested a revised version of the synthesis report on the basis of the national reports received and other relevant information.

At its fifth meeting, the COP endorsed a format on national reporting as the recommended format for further national reports, and decided to keep the format under review. COP 5 recommended that national reports be prepared through a consultative process involving all relevant stakeholders or by drawing upon information developed through other consultative processes. The COP also requested detailed thematic reports on forest ecosystems, alien species and benefit-sharing [*decision V/19*].

COP 6 approved the formats for thematic reports on mountain ecosystems, protected areas or areas where special measures need to be taken to conserve biological diversity, and transfer of technology and technology cooperation, and invited thematic reports accordingly. The COP decided to consider a draft format for the third national reports at its seventh meeting. In addition, the COP welcomed the publication of the Global Biodiversity Outlook and decided upon the publication of its second edition [*decision VI/25*].

Required action by Parties and Governments

Decision II/17. Form and intervals of national reports by Parties

“11. Urges all Parties to submit their first national reports to the Secretariat no later than 30 June 1997 to allow consideration of this item by the Conference of the Parties at its fourth meeting”

Decision IV/14. National reports by Parties

“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”

Decision V/19. National reporting

“5. Requests Parties to submit their next national report:

- (a) By 15 May 2001;

- (b) In an official language of the Conference of the Parties;
- (c) In both hard copy and electronic format; and thereafter for consideration at alternate ordinary meetings of the Conference of the Parties, and include them in their clearing-house mechanism national focal point where feasible;

6. Recommends that Parties prepare their national reports through a consultative process involving all relevant stakeholders, as appropriate, or by drawing upon information developed through other consultative processes;

7. Also invites Parties to prepare detailed thematic reports on one or more of the items for in-depth consideration at its ordinary meetings, thereby providing national contributions to the work of the Conference of Parties and its subsidiary bodies;

8. Accordingly, invites Parties to submit to the Executive Secretary, reports on forest ecosystems, alien species and benefit-sharing for consideration at its sixth meeting:

- (a) In accordance with the formats contained, respectively, in annexes II, III and IV of the note by the Executive Secretary on national reporting;
- (b) By, respectively, 15 May 2001, 30 September 2000, and 30 December 2000;
- (c) In an official language of the Conference of the Parties;
- (d) In both hard copy and electronic format”

Decision VI/25. National reports

“2. Urges Parties that have not submitted a second national report to do so without further delay...

4. Invites Parties to submit thematic reports on mountain ecosystems, protected areas or areas where special measures need to be taken to conserve biological diversity, and transfer of technology and technology cooperation in accordance with the formats prepared by the Executive Secretary, which should identify priorities in national biodiversity strategies and action plans, impediments to implementation, and existing and potential areas of cooperation and capacity-building, and aim to support the work of the Subsidiary Body on Scientific, Technical and Technological Advice”

Useful documents

Form and Intervals of National Reports by Parties (UNEP/CBD/COP/2/14)

Synthesis of Information Contained in National Reports on the Implementation of the Convention (UNEP/CBD/COP/4/11)

Assessment of the information contained in the second national reports concerning cross-cutting issues under the convention (UNEP/CBD/COP/6/INF/10)

Assessment of the information contained in the second national reports concerning thematic programmes of work under the Convention (UNEP/CBD/COP/6/INF/11)

Chapter 21. Trust Funds of the Convention

“Requests the Parties and States not Parties to the Convention, as well as governmental, intergovernmental and non-governmental organizations and other sources, to contribute to the Trust Fund” [*decision I/6, Part I, paragraph 6*]

“Requests the Parties and States not Parties to the Convention, as well as governmental, intergovernmental and non-governmental organizations and other sources, to contribute to the Trust Fund” [*decision II/20, paragraph 4*]

“Requests the Parties and States not Parties to the Convention, as well as governmental, intergovernmental and non-governmental organizations and other sources, to contribute to the Trust Fund” [*decision III/24, paragraph 4*]

“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” [*decision IV/17, paragraph 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 trust funds (BY, BE, BZ) of the Convention” [*decision V/22, paragraph 15*]

“Urges all Parties and States not party to the Convention, as well as governmental, intergovernmental and non-governmental organizations and other sources, to contribute to the trust funds (BY, BE, BZ) of the Convention” [*decision VI/29*]

Mandate

Article 23 (Conference of the Parties), paragraph 3, of the Convention states:

“3. The Conference of the Parties shall by consensus agree upon and adopt rules of procedure for itself and for any subsidiary body it may establish, as well as financial rules governing the funding of the Secretariat. At each ordinary meeting, it shall adopt a budget for the financial period until the next ordinary meeting.”

Article 24 (Secretariat) of the Convention states:

- “1. A secretariat is hereby established. Its functions shall be:
- (a) To arrange for and service meetings of the Conference of the Parties provided for in Article 23;
 - (b) To perform the functions assigned to it by any protocol;
 - (c) To prepare reports on the execution of its functions under this Convention and present them to the Conference of the Parties
 - (d) To coordinate with other relevant international bodies and, in particular to enter into such administrative and contractual arrangements as may be required for the effective discharge of its functions; and
 - (e) To perform such other functions as may be determined by the Conference of the Parties.

2. At its first ordinary meeting, the Conference of the Parties shall designate the secretariat from amongst those existing competent international organizations which have signified their willingness to carry out the secretariat functions under this Convention.”

Background and Status

At its first meeting, the COP designated the United Nations Environment Programme to carry out the functions of the Secretariat while ensuring its autonomy to discharge the functions referred to in Article 24 [*decision I/4*]. The COP also welcomed the willingness demonstrated by international organisation to support and cooperate with the Secretariat, and requested coordination with those organisations with a view to entering into arrangements to make effective such offers [*decision I/5*]. In addition, the COP decided to consider the location of the Secretariat at its second meeting, and decided upon a procedure for taking the decision on this issue [*decision I/10*].

In decision I/6, the COP adopted the Financial Rules for the Administration of the Trust Fund for the Convention on Biological Diversity to apply in conjunction with the general procedures governing the operations of the Fund of UNEP and the Financial Regulations and Rules of the United Nations. It designated UNEP as the Trustee of the Trust Fund for the Convention, and decided that the Trust Fund shall be established for an initial period of two years, beginning on 1 January 1995 and ending on 31 December 1996, with a budget of US\$4.787 million for the year 1995 and an indicative budget of US\$5.425 million for the year 1996. The COP adopted for the year 1995 the scale for contributions to the budget based on the United Nations scale of assessments for the apportionment of the expenses of the United Nations adjusted to provide that no one contribution shall exceed 25 per cent of the total and that no contribution from a least developed country Party shall exceed 0.01 per cent of the total.

In accordance with the Financial Rules, the Trust Fund shall be financed from:

- (a) Contributions made by Parties to the Convention based on the scale set forth in the Appendix to the budget;
- (b) Additional contributions made by such Parties;
- (c) Contributions from States not Parties to the Convention, as well as governmental, intergovernmental and non-governmental organizations, and other sources.

Contributions referred to in (b) and (c) above shall be used in accordance with any terms and conditions agreed between the Executive Secretary and the Respective contributor.

COP 2 decided to accept the offer of the Government of Canada to host the Secretariat in Montreal and requested the Executive Director of the UNEP to negotiate and finalize the headquarters agreement with the Government of Canada [*decision II/19 paragraph 2*]. In decision II/20, the COP decided that the Trust Fund shall be extended for a period of one year, beginning 1 January 1997 and ending on 31 December 1997 and adopted the budget of US\$6.896 million for the year 1996, and an indicative budget of US\$7.376 million for the year 1997. COP 2 also decided to transmit paragraphs 4 and 16 of the Financial Rules contained text, which remained in square brackets, to the third meeting of the COP.

At its third meeting, the COP expressed appreciation to the Executive Director of the UNEP for finalizing negotiations for the headquarters agreement between the Permanent Secretariat of the Convention and the Government of Canada, and invited the Executive Director of the UNEP and the Executive Secretary of the Convention to develop procedures with respect to the functioning of the Permanent Secretariat of the Convention to clarify and make more effective their respective roles and responsibilities [*decision III/23*]. COP 3 decided that two special trust funds shall be established: (i) a special voluntary trust for additional voluntary contributions to the core budget for approved activities under the Convention (annex, part B), and (ii) a special voluntary trust fund for facilitating participation of Parties in the Convention process (annex, part C). The COP approved a core budget of US\$6.561 million and US\$6.765 million for the year 1997 and the year 1998 respectively, and a budget of US\$ 0.744 for the year 1997 and US\$0.759 for the year 1998 for additional voluntary contributions to the core budget for approved activities [*decision III/24*]. COP 3 also considered paragraph 4 and 16 of the Financial Rules, and made certain amendment to paragraph 4 of the Financial Rules [*decision III/1*]. However, elements of paragraphs 4 and 16 remain in square brackets.

COP 4 endorsed the administrative arrangements between UNEP and the Secretariat, and approved the programme budget (BY) of US\$8.303 million for the year 1999 and of US\$8.998 million for the year 2000 [*decision IV/17*]. The administrative arrangements between the UNEP and the CBD Secretariat covers personnel arrangements, financial arrangements, contributions and funds, treasury, budget, accounting and reporting, procurement of goods and services, reimbursement for services provided to the Secretariat, conference and other services, etc. The COP took note of the funding estimates for the Special Voluntary Trust Fund (BE) for Additional Voluntary Contributions in Support of Approved Activities, i.e., US\$2.928 million for the year 1999 and US\$2.391 million for the year 2000. It also took note of the funding estimates for the Special Voluntary Trust Fund (BZ) for Facilitating Participation of Parties in the Convention Process, i.e., US\$2.691 million for the year 1999 and US\$2.985 million for the year 2000.

In decision V/22, COP approved a programme budget of US\$8.594 million for the year 2001 and of US\$10.05 million for the year 2002. It also took note of the funding estimates for the Special Voluntary Trust Fund (BE) for Additional Voluntary Contributions in Support of Approved Activities at US\$2.548 million for the year 2001 and US\$ 2.129 million for the year 2002, as well as the funding estimates for the special voluntary Trust Fund (BZ) for facilitating participation of developing country Parties, in particular the least developed and the small island developing States amongst them, and other Parties with economies in transition, at US\$2.012 million for the year 2001 and US\$2.989 million for the year 2002.

COP 5 noted with concern that a number of Parties have not paid their contributions to the core budget (BY Trust Fund) for previous years, which are due on 1 January of each year in accordance with paragraph 4 of the financial rules, and the late payment of contributions to the core budget by Parties during each calendar year of a biennium, which have contributed to the significant carry-over from one biennium to the next, and requested proposals for promoting full and timely payment of contributions by Parties. Meanwhile, the COP decided, with regard to contributions due from 1 January 2001 onwards, that Parties whose contributions are in arrears for two or more years will be allowed to attend the meetings of the Convention's bodies with a maximum of two delegates until their arrears have been cleared, and Parties that are not least developed countries or small island developing States whose contributions are in arrears for two or more years, will not receive funding from the Secretariat to attend meetings of the Convention's bodies until their arrears have been cleared.

COP 5 also noted that there is wide support for the implementation of the Convention's work programme among Governments, international organizations, non-governmental organizations, and the private sector, through the provision of expertise, information and human and financial resources, and instructed the Executive Secretary, in an effort to improve the efficiency of the Secretariat and to attract highly qualified staff to the Secretariat, to enter into direct administrative and contractual arrangements with Parties and organizations - in response to offers of human resources and other support to the Secretariat - as may be necessary for the effective discharge of the functions of the Secretariat.

In addition, COP 5 decided to fund from the core budget (BY) the participation of members of the bureaux of the Conference of the Parties, Subsidiary Body on Scientific Technical and Technological Advice and the Intergovernmental Committee on the Cartagena Protocol on Biosafety at the inter-sessional meetings of the respective bureaux.

At its sixth meeting, the COP decided to upgrade the post of the Executive Secretary of the Convention from D-2 to Assistant Secretary-General (ASG), and approved a core budget (BY Trust Fund) of US\$10.753 million for the year 2003 and of US\$11.214 million for the year 2004. It also took note of the funding estimates for the Special Voluntary Trust Fund (BE) for Additional Voluntary Contributions in Support of Approved Activities at US\$4.187 million for the year 2001 and US\$ 2.367 million for the year 2002, as well as the funding estimates for the special voluntary Trust Fund (BZ) for facilitating participation of developing country Parties, in particular the least developed and the small island developing States amongst them, and other Parties with economies in transition, at US\$3.148 million for the year 2003 and US\$2.391 million for the year 2004 [*decision VI/29*].

Required action by Parties

Decision I/4. Selection of a competent international organization to carry out the functions of the Secretariat of the Convention

Decision I/5. Support to the Secretariat by international organizations

Decision I/6. Financing of and budget for the Convention

Decision I/10. Location of the Secretariat

"5. Urges all the Parties to pay promptly their contributions to the Trust Fund, based on the scale set forth in the appendix to the budget;

6. Requests the Parties and States not Parties to the Convention, as well as governmental, intergovernmental and non-governmental organizations and other sources, to contribute to the Trust Fund"

Decision II/19. Location of the Secretariat

Decision II/20. Financing of and budget for the Convention

"3. Urges all the Parties to pay promptly their contributions to the Trust Fund, based on the scale set forth in Appendix II to the budget (annex I);

4. Requests the Parties and States not Parties to the Convention, as well as governmental, intergovernmental and non-governmental organizations and other sources, to contribute to the Trust Fund”

Decision III/23. Administrative matters

Decision III/24. Budget of the Trust Fund for the Convention on Biological Diversity

“3. Urges all the Parties to pay promptly their contributions to the Trust Fund, based on the indicative scale set forth in the appendix to the budget (annex, part A) and in accordance with the terms of paragraph 10 of its decisionII/20;

4. Requests the Parties and States not Parties to the Convention, as well as governmental, intergovernmental and non-governmental organizations and other sources, to contribute to the Trust Fund”

Decision IV/17. Programme budget for the biennium 1999-2000

“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 ...

12. Takes note of the funding estimates for the Special Voluntary Trust Fund (BE) for Additional Voluntary Contributions in Support of Approved Activities for the Biennium 1999-2000 specified by the Executive Secretary and included in Table 3 below, and invites Parties to make contributions to this fund;

13. Takes note of the funding estimates for the Special Voluntary Trust Fund (BZ) for Facilitating Participation of Parties in the Convention Process for the Biennium 1999-2000 specified by the Executive Secretary and included in table 4 below, and invites Parties to make contributions to this fund”

Decision V/22. Budget for the programme of work for the biennium 2001-2002

“7. Urges Parties that have still not paid their contributions to the core budget (BY Trust Fund) to do so without delay, and requests the Executive Secretary to publish and regularly update information on the status of contributions of Parties to the Convention’s trust funds (BY, BE, BZ) ...

14. Invites all Parties to the Convention to note that contributions to the core budget (BY) are due on 1 January of the year in which the these contributions have been budgeted for, and to pay them promptly, and urges Parties, in a position to do so, to pay by 1 October 2000 for the calendar year 2001 and by 1 October 2001 for the calendar year 2002 the contributions required to finance

expenditures approved under paragraph 1 above, as offset by the amount in paragraph 4, and, in this regard, requests that Parties be notified of the amount of their contributions by 1 August of the year preceding the year in which the contributions are due;

15. 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 trust funds (BY, BE, BZ) of the Convention;

16. Takes note of the funding estimates for the Special Voluntary Trust Fund (BE) for Additional Voluntary Contributions in Support of Approved Activities for the Biennium 2001-2002 specified by the Executive Secretary and included in table 3 below, and urges Parties to make contributions to this Fund;

17. Takes note of the funding estimates for the special voluntary Trust Fund (BZ) for facilitating participation of developing country Parties, in particular the least developed and the small island developing States amongst them, and other Parties with economies in transition, for the biennium 2001-2002, as specified by the Executive Secretary and included in table 4 below, and urges Parties to make contributions to this Fund”

Decision VI/29. Administration of the Convention and the budget for the programme of work for the biennium 2003-2004

“11. Urges Parties that have still not paid their contributions to the core budget (BY Trust Fund) to do so without delay, and requests the Executive Secretary to publish and regularly update information on the status of contributions of Parties to the Convention’s trust funds (BY, BE, BZ) ...

18. Invites all Parties to the Convention to note that contributions to the core budget (BY) are due on 1 January of the year in which these contributions have been budgeted for, and to pay them promptly, and urges Parties, in a position to do so, to pay by 1 October 2002 for the calendar year 2003 and by 1 October 2003 for the calendar year 2004 the contributions required to finance expenditures approved under paragraph 2 above, as offset by the amount in paragraph 4, and, in this regard, requests that Parties be notified of the amount of their contributions by 1 August of the year preceding the year in which the contributions are due;

19. Urges all Parties and States not party to the Convention, as well as governmental, intergovernmental and non-governmental organizations and other sources, to contribute to the trust funds (BY, BE, BZ) of the Convention;

20. Takes note of the funding estimates for the Special Voluntary Trust Fund (BE) for Additional Voluntary Contributions in Support of Approved Activities for the Biennium 2003-2004 specified by the Executive Secretary and included in table 3 below, and urges Parties to make contributions to this Fund;

21. Takes note also of the funding estimates for the special voluntary Trust Fund (BZ) for facilitating participation of developing country Parties, in particular the least developed and the small island developing States among them, and Parties with economies in transition, for the biennium 2003-2004, as specified by the Executive Secretary and included in table 4 below, and urges Parties to make contributions to this Fund”

Useful documents

Draft Financial Rules Governing the Funding of the Secretariat of the Convention on Biological Diversity (UNEP/CBD/COP/1/10)

Administration of the Convention on Biological Diversity (UNEP/CBD/COP/4/24)

Programme and subprogramme activities and resources required (UNEP/CBD/COP/6/16/ADD1)

Part V Cartagena Protocol on Biosafety

Chapter 22. Biosafety

“Endorses ... [T]he requests to the interim institutional structure operating the financial mechanism to provide financial resources to developing country Parties for capacity-building in biosafety, in accordance with paragraph 3 of recommendation II/5, as set out in paragraph 2 (a) of decision III/5” [decision III/20, paragraph 2(c)]

“The Global Environment Facility shall provide financial resources ... [f]or capacity-building in biosafety, including for the implementation by developing countries of the UNEP International Technical Guidelines on Safety in Biotechnology” [decision III/5, paragraph 2 (a)]

“The Global Environment Facility shall provide financial resources ... [F]or national capacity-building in biosafety, in particular for enabling effective participation in the Biosafety Clearing-House and in the implementation of the Action Plan for Building Capacities for the Effective Implementation of the Cartagena Protocol on Biosafety proposed by the Intergovernmental Committee on Cartagena Protocol at its second meeting, and for other needs identified in the recommendations of the Intergovernmental Committee at its second meeting for assisting developing countries to prepare for the entry into force of the Protocol” [decision VI/17, paragraph 10(b)]

Mandate

Article 8 (*In-situ* Conservation), paragraph (g), of the Convention states:

“Each Contracting Party shall, as far as possible and as appropriate:

(g) Establish or maintain means to regulate, manage or control the risks associated with the use and release of living modified organisms resulting from biotechnology which are likely to have adverse environmental impacts that could affect the conservation and sustainable use of biological diversity, taking also into account the risks to human health”

Article 19 (Handling of biotechnology and distribution of its benefits), paragraphs 3 and 4, of the Convention states:

“3. The Parties shall consider the need for and modalities of a protocol setting out appropriate procedures, including, in particular, advance informed agreement, in the field of the safe transfer, handling and use of any living modified organism resulting from biotechnology that may have adverse effect on the conservation and sustainable use of biological diversity.

4. Each Contracting Party shall, directly or by requiring any natural or legal person under its jurisdiction providing the organisms referred to in paragraph 3 above, provide any available information about the use and safety regulations required by that Contracting Party in handling such organisms, as well as any available information on the potential adverse impact of the

specific organisms concerned to the Contracting Party into which those organisms are to be introduced.”

Background and Status

At its first meeting, the COP decided to establish an open-ended ad hoc group of government-nominated experts to consider the need for and modalities of a protocol under Article 19(3) setting out appropriate procedures, including, in particular, advance informed agreement, in the field of the safe transfer, handling and use of any living modified organism resulting from biotechnology that may have adverse effect on the conservation and sustainable use of biological diversity [*decision I/9*].

COP 2 recognized that modern biotechnology has great potential for human well-being if developed and used with adequate safety measures for the environment and human health, and that, although considerable knowledge has accumulated, significant gaps in knowledge have been identified, specifically in the field of interaction between living modified organisms (LMOs) resulting from modern biotechnology and the environment, taking into account the relatively short period of experience with releases of such organisms, the relatively small number of species and traits used, and the lack of experience in the range of environments, specifically those in centres of origin and genetic diversity [*decision II/5*]. It noted that guidelines on biosafety, including the proposed United Nations Environment Programme International Technical Guidelines on Safety in Biotechnology, may be used as an interim mechanism during the development of the protocol and to complement it after its completion, for the purposes of facilitating the development of national capacities to assess and manage risks, establish adequate information systems and develop expert human resources in biotechnology. The COP decided to establish an Open-ended Ad Hoc Working Group (BSWG) to develop a protocol on biosafety.

In decision III/20, the COP reviewed the report and recommendations of the first meeting of the Open-ended Ad Hoc Working Group (BSWG), and instructed that it shall endeavour to complete its work in 1998. As part of a two-track approach, the COP also endorsed the realization of activities to promote the application of the UNEP International Technical Guidelines for Safety in Biotechnology.

COP 4 considered the report of the fourth meeting of BSWG, and accepted the recommendation in the report that BSWG should hold two further meetings to complete its work, and that the final meeting should be convened not later than February 1999 [*decision IV/3*]. It also decided that an extraordinary meeting of the COP would be held in February 1999 to address all matters relating to the adoption of the protocol on biosafety and preparation for the first meeting of the parties to the protocol [*decision IV/3*].

The first extraordinary meeting of the Conference of the Parties was held from 22 to 23 February 1999 in Cartagena, Colombia, immediately after the sixth meeting of the BSWG. Since a number of issues remained unresolved before the adoption of the protocol, the COP decided that its extraordinary meeting should be suspended, and that it should be resumed as soon as practicable, and in any event, no later than COP 5. The COP decided that the protocol shall be called the Cartagena Protocol on Biosafety to the Convention on Biological Diversity [*decision EM-1/1*]. The resumed session of the extraordinary meeting of the COP was held in Montreal from 24 to 28 January 2000 and the Cartagena Protocol on Biosafety was adopted on 29 January 1999. [*decision EM-3/1*]. The extraordinary session also decided to establish an open-ended ad hoc Intergovernmental Committee for the Cartagena Protocol on Biosafety (ICCP) to undertake the preparations necessary for the first meeting of the Parties to the Protocol. The COP also

established a regionally balanced roster of experts nominated by Governments, in fields relevant to risk assessment and risk management related to the Protocol, to provide advice and other support, as appropriate and upon request, to developing country Parties and Parties with economies in transition, to conduct risk assessment, make informed decisions, develop national human resources and promote institutional strengthening, associated with the transboundary movements of living modified organisms.

In decision V/1, the COP endorsed the work plan for the Intergovernmental Committee for the Cartagena Protocol on Biosafety, and emphasized the priority of launching the Biosafety Clearing-House no later than the entry into force of the Protocol, and also the need to engage in capacity-building as soon as possible.

COP 6 considered the reports of the two meetings of the Intergovernmental Committee for the Cartagena Protocol on Biosafety, and decided to convene a third meeting of the ICCP. The COP decided on the necessary preparations for the first meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol, and made provisions for possible further meetings of the ICCP.

Required action by Parties

Decision I/9. Medium term programme of work of the Conference of the Parties

Decision II/5. Consideration of the need for and modalities of a protocol for the safe transfer, handling and use of living modified organisms

Decision III/20. Issues related to biosafety

Decision IV/3. Issues related to biosafety

Decision EM-1/1. Decision on the continuation of the first extraordinary meeting of the Conference of the Parties to the Convention on Biological Diversity

Decision EM-1/3. Adoption of the Cartagena Protocol and interim arrangements

Decision V/1. Work plan of the Intergovernmental Committee for the Cartagena Protocol on Biosafety

Decision VI/1. Intergovernmental Committee for the Cartagena Protocol on Biosafety

“5. Invites Parties and States to make contributions for the supplementary budget for biosafety to the Special Voluntary Trust Fund (BE) for Additional Voluntary Contributions in support of any inter-sessional activities and the meetings of the Intergovernmental Committee for the Cartagena Protocol on Biosafety referred to in paragraph 4 above;

6. Urges Parties to renew efforts to facilitate agreement on paragraph 1 of rule 40 of the rules of procedure for meetings of the Conference of the Parties to the Convention, in light of potential implications for the effective operation of the Conference of the Parties serving as the meeting of the Parties to the Protocol;

7. Urges Parties to designate national focal points and competent national authorities pursuant to the provisions of paragraph 2 of Article 19 of the Cartagena Protocol on Biosafety.”

Useful documents

Report of the First Meeting of the Open-Ended Working Group on Biosafety (UNEP/CBD/BSWG/1/4)

Background Document on Existing International Agreements Related to Biosafety (UNEP/CBD/BSWG/2/3)

Potential Socio-Economic Effects of Biotechnology: a Bibliography (UNEP/CBD/BSWG/2/4)

Overview and Annotated Draft Negotiating Text of the Protocol on Biosafety (UNEP/CBD/BSWG/6/8)