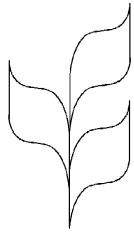




UNEP

CBD



CONVENTION ON BIOLOGICAL DIVERSITY

Distr.
GENERAL

UNEP/CBD/COP/5/13/Add.2
31 March 2000

ORIGINAL: ENGLISH

CONFERENCE OF THE PARTIES TO THE
CONVENTION ON BIOLOGICAL DIVERSITY

Fifth meeting

Nairobi, 15-26 May 2000

Item 18.7 of the provisional agenda*

PROGRESS REPORT ON THE MECHANISMS FOR IMPLEMENTATION

Note by the Executive Secretary

Addendum

NATIONAL REPORTING (ARTICLE 26)

1. At its fifth meeting, the Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA) requested the Executive Secretary, for the consideration of the Conference of the Parties at its fifth meeting, to:

(a) Revise the matrix contained in annex I to his note on the establishment of guidelines for future national reports (document UNEP/CBD/SBSTTA/5/14), taking into account the views expressed at the fifth meeting of SBSTTA; and

(b) Propose a format for thematic reports by Parties on items for in-depth consideration at meetings of the Conference of the Parties, in accordance with its programme of work.

2. Accordingly, the present addendum contains:

(a) In annex I, the revised matrix requested by SBSTTA for use by Parties when preparing the national reports referred to in paragraph 2 of its recommendation V/13. (This recommendation is contained in Annex I to document UNEP/CBD/COP/5/3.);

(b) In annexes II to IV, suggested formats for detailed thematic reports on each of the three items for in-depth consideration by the sixth meeting of the Conference of the Parties, in accordance with decision IV/16. These are forest ecosystems, alien species, and benefit-sharing. The detailed thematic reports are referred to in paragraph 3 of recommendation V/13.

* UNEP/CBD/COP/5/1

/...

For reasons of economy, this document is printed in a limited number. Delegates are kindly requested to bring their copies to meetings and not to request additional copies

Matrix for use in the preparation of full national reports (annex I)

3. The matrix contained in annex I to this addendum takes into account the views expressed at the fifth meeting of SBSTTA. Particular attention has been given to offering Parties an opportunity to comment on their national priorities and on the domestic availability of resources for undertaking action in respect of each relevant article of the Convention or decision of the Conference of the Parties.

4. The opportunity to describe priorities and resources available for implementation of the four thematic programmes of work is contained in questions 1 to 8 and also at the start of each of the subsequent sets of questions. Such information will facilitate the identification of overall priorities, common constraints to implementation, and common resource requirements among Parties.

5. At the fifth meeting of SBSTTA, some Parties expressed the view that national reports should include information on the status of biological diversity and, specifically, the use of indicators. When considering these views, the Conference of the Parties may wish to recall that Article 26 of the Convention stipulates that national reports should provide information on measures taken for implementation of the Convention, and the effectiveness of these measures, and also that, although work on indicators is currently under way, there is as yet no agreement on a common set of indicators or on their use.

Format for thematic reports on forest ecosystems (annex II)

3. SBSTTA has recommended the establishment of, and the terms of reference for, an ad hoc technical expert group on forest biological diversity (recommendations V/7 and V/14) and that the work of this expert group be completed by the seventh meeting of SBSTTA.

4. SBSTTA also recommended that the Conference of the Parties request Parties, countries, international organizations and other relevant bodies 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.

5. The format proposed in annex II for a detailed thematic report on forest ecosystems is designed to assist the work of the expert group and SBSTTA in preparing advice to assist consideration of this item by the Conference of the Parties at its sixth meeting.

6. The information sought in the proposed format derives from the elements of the work programme on forest biological diversity contained in decision IV/7. The suggested deadline for submission (15 May 2001) has been set on the assumption that there will be a meeting of the proposed ad hoc technical expert group in the second half of 2001, to be followed by the seventh meeting of SBSTTA in early 2002.

Format for thematic reports on alien species (annex III)

7. The proposed matrix for the main national report (paragraph 2 (a) above and annex I below) contains a series of questions on national action for the implementation of the relevant provisions of Article 8(h) and decision IV/1 on

alien species. It is proposed that the main national report be submitted in May 2001 for consideration by the sixth meeting of the Conference of the Parties. However, as SBSTTA has proposed that alien invasive species be the priority issue for consideration at its sixth meeting, which is expected to take place in early 2001, SBSTTA will be assisted in its work if this information is available prior to its sixth meeting.

8. Accordingly it is proposed that the detailed thematic reports on alien species be submitted by 30 September 2000 in order that a synthesis of the information they contain can be prepared for consideration by SBSTTA at its sixth meeting. Parties submitting a thematic report on alien species by this date will be able to include the same information in the full report to be submitted by May 2001, or to update this information as appropriate.

9. The detailed thematic report also provides an opportunity to build upon the call for case-studies contained in recommendation V/4 and to further explore transboundary issues raised during the fifth meeting of SBSTTA. The proposed format is contained in annex III below.

Format for thematic reports on benefit-sharing (annex IV)

10. Part V of the note by the Executive Secretary on access to genetic resources (UNEP/CBD/COP/5/21) invites the Conference of the Parties to consider elements of a draft decision concerning further work and actions on access to genetic resources and benefit-sharing. It notes that the Panel of Experts on Access and Benefit-sharing was not able to come to any conclusions about the role of intellectual property rights on the implementation of access and benefit-sharing arrangements and that the Panel developed a list of specific issues that require further study. These issues are identified in paragraphs 127-138 of the report of the Panel (UNEP/CBD/COP/5/8).

11. The note recommends that the Conference of the Parties request Parties to submit information on these issues to the Executive Secretary by 30 December 2000 in order that such information be made available to an inter-sessional meeting of the Panel to be held in 2001.

12. Accordingly the proposed format for a detailed thematic report on benefit-sharing contained in annex IV below is based upon the issues identified in paragraphs 130 and 133 of the report of the Panel.

13. In addition, it is proposed that Parties be encouraged to include in such thematic reports case-studies on benefit-sharing arrangements in accordance with the guidelines also contained in annex III below.

Recommendation

14. The Conference of the Parties is invited to approve recommendation V/13 of SBSTTA on guidelines for national reports, on the basis of the formats contained in annexes I to IV below, including the respective deadlines for submission.

/...

Annex I

GUIDELINES FOR NATIONAL REPORTS

The following format for preparation of the national report specified in Article 26 of the Convention is a series of questions based on the Articles of the Convention and on those elements of decisions of the Conference of the Parties which are addressed to Contracting Parties. Responses to these questions will help Contracting Parties to review the extent to which they are successfully implementing the provisions of the Convention and will assist the Conference of the Parties to assess the overall status of implementation of the Convention. The wording of questions follows the wording of the Articles and Decisions as closely as possible. 1/

The questions are simple in nature in order to facilitate completion of the review. In most cases they require only a tick in one or more boxes.2/ Following each set of questions there is a box for further comments. Contracting Parties are invited to provide a more detailed response to the preceding questions at this point.3/ This is an opportunity to identify particular successes or constraints. In particular this box could be used to identify cases where the reporting of no action or of a partial fulfillment of the obligation is the result of inadequate resources or a need for assistance, rather than a decision not to take action on a particular obligation.

The information provided by Contracting Parties will not be used to rank performance or to otherwise compare implementation between individual Contracting Parties.

In order to assist with the review and synthesis of the information in the reports, respondents are asked to ensure that the further information provided in this box is closely related to the preceding questions and is as succinct as possible. There is no set limit on length, but it is anticipated that Parties will be able to provide adequate and useful information in a maximum of a page or two at each of these points.

There is an opportunity at the end of the document to communicate any issues relevant to implementation of the Convention that have not been addressed by the questions below. The Executive Secretary would also welcome any comments on the adequacy of the questions, and difficulties in completing the questions, and any further recommendations on how these reporting guidelines could be improved.

It is recommended that Contracting Parties involve a wide range of stakeholders in the compilation of information that is presented in the report, in order to ensure a participatory and transparent approach to its

1/ Please note that obligations implied or specified by some decisions have been omitted where they are duplications of obligations already in the Articles or in other decisions, or where the deadline for compliance is now passed and information on the action undertaken is no longer relevant.

2/ If you feel that, in order to properly reflect the circumstances, it is necessary to tick more than one box, please do so. In this case, you are encouraged to provide further information in the box at the end of the set of questions.

3/ Please feel free to append to the report further information on any of the questions.

development. A box is provided in which to identify those groups who have been involved in these processes.

Contracting Parties are requested to submit their second national report in this format to the Executive Secretary by 15 May 2001. Parties are requested to submit an original signed copy by post and an electronic copy on diskette or by electronic mail. An electronic version of this document will be sent to all national focal points and this will also be available from the Convention's website at:

<http://www.biodiv.org>.

Completed national reports and any comments should be sent to:

The Executive Secretary
Secretariat of the Convention on Biological Diversity
World Trade Centre
393 St. Jacques Street West, suite 300
Montreal, Quebec
H2Y 1N9 Canada

Fax: (+1 514) 288 6588
e-mail: secretariat@biodiv.org

/...

Please provide to following details on the origin of this report

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

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

The COP has established programmes of work that respond to a number of Articles. Please identify the relative priority accorded to each theme and the adequacy of resources. This will allow subsequent information on implementation of each Article to be put into context. There are other questions on implementation of the programmes of work at the end of these guidelines.

Inland water ecosystems

1. What is the relative priority for implementation of this work programme in your country?	
a) High	
b) Medium	
c) Low	
c) Not relevant	
2. To what extent are the resources available adequate for meeting the obligations and recommendations made?	
a) Good	
b) Adequate	
c) Limiting	
c) Severely limiting	

Marine and coastal biological diversity

3. What is the relative priority for implementation of this work programme in your country?	
a) High	
b) Medium	
c) Low	
c) Not relevant	
4. To what extent are the resources available adequate for meeting the obligations and recommendations made?	
a) Good	
b) Adequate	
c) Limiting	
c) Severely limiting	

Agricultural biological diversity

5. What is the relative priority for implementation of this work programme in your country?	
a) High	
b) Medium	
c) Low	
c) Not relevant	
6. To what extent are the resources available adequate for meeting the obligations and recommendations made?	

a) Good	
b) Adequate	
c) Limiting	
c) Severely limiting	

Forest biological diversity

7. What is the relative priority for implementation of this work programme in your country?

a) High	
b) Medium	
c) Low	
c) Not relevant	

8. To what extent are the resources available adequate for meeting the obligations and recommendations made?

a) Good	
b) Adequate	
c) Limiting	
c) Severely limiting	

Further comments on work programmes and priorities

--

Article 5 Cooperation

9. What is the relative priority afforded to implementation of this Article and the associated decisions by your country?				
a) High		b) Medium		c) Low
10. To what extent are the resources available adequate for meeting the obligations and recommendations made?				
a) Good		b) Adequate		c) Limiting
d) Severely limiting				

11. Is your country actively cooperating with other Parties in respect of areas beyond national jurisdiction for the conservation and sustainable use of biological diversity?				
a) bilateral cooperation (please give details below)				
b) international programmes (please give details below)				
c) international agreements (please give details below)				

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

12. Has your country developed effective cooperation for the sustainable management of transboundary watersheds, catchments, river basins and migratory species through bilateral and multilateral agreements?				
a) no				
b) yes - limited extent (please give details below)				
c) yes - significant extent (please give details below)				
d) not applicable				

Decision IV/15. The relationship of the CBD with the CSD and biodiversity-related conventions, other international agreements, institutions and processes or relevance

13. Has your country developed management practices for transboundary protected areas?				
a) no				
b) yes - limited extent (please give details below)				
c) yes - significant extent (please give details below)				
d) not relevant				

Further comments on implementation of this Article

--

Article 6 General measures for conservation and sustainable use

14. What is the relative priority afforded to implementation of this Article and the associated decisions by your country?					
a) High		b) Medium		c) Low	
15. To what extent are the resources available adequate for meeting the obligations and recommendations made?					
a) Good		b) Adequate		c) Limiting	d) Severely limiting
16. What is the status of your national biodiversity strategy (6a)?					
a) none					
b) early stages of development					
c) advanced stages of development					
d) completed ²					
e) completed and adopted ²					
f) reports on implementation available					
17. What is the status of your national biodiversity action plan (6a)?					
a) none					
b) early stages of development					
c) advanced stages of development					
d) completed ²					
e) completed and adopted ²					
f) reports on implementation available					
18. Do your national strategies and action plans cover all articles of the Convention (6a)?					
a) some articles only					
b) most articles					
b) all articles					
19. Do your national strategies and action plans cover integration of other sectoral activities (6b)?					
a) no					
b) some sectors					
c) all major sectors					
d) all sectors					

Decision II/7 and Decision III/9 Consideration of Articles 6 and 8

20. Is action being taken to exchange information and share experience on the national action planning process with other Contracting Parties?					
a) little or no action					

2/ Please provide information requested at the end of these guidelines.

/...

b) sharing of strategies, plans and/or case-studies	
c) regional meetings	
21. Do all of your country's strategies and action plans include an international cooperation component?	
a) no	
b) yes	
22. Are your country's strategies and action plans coordinated with those of neighbouring countries?	
a) no	
b) bilateral/multilateral discussions under way	
c) coordinated in some areas/themes	
d) fully coordinated	
e) not applicable	
23. Has your country set measurable targets within its strategies and action plans?	
a) no	
b) early stages of development	
c) advanced stages of development	
d) programme in place	
e) reports on implementation available	
<i>If a developing country Party or a Party with economy in transition -</i>	
24. Has your country received support from the financial mechanism for the preparation of its national strategy and action plan?	
a) no	
b) yes	
If yes, which was the Implementing Agency (UNDP/UNEP/World Bank)?	

Decisions III/21. Relationship of the Convention with the CSD and biodiversity-related conventions

25. Are the national focal points for the CBD and the competent authorities of the Ramsar Convention, Bonn Convention and CITES cooperating in the implementation of these conventions to avoid duplication?	
a) no	
b) yes - limited extent	
c) yes - significant extent	

Further comments on implementation of this Article

--

Article 7 Identification and monitoring

26. What is the relative priority afforded to implementation of this Article and the associated decisions by your country?

a) High		b) Medium		c) Low	
---------	--	-----------	--	--------	--

27. To what extent are the resources available adequate for meeting the obligations and recommendations made?

a) Good		b) Adequate		c) Limiting		d) Severely limiting	
---------	--	-------------	--	-------------	--	----------------------	--

28. Does your country have an ongoing inventory programme at species level (7a)?

a) minimal activity	
b) for key groups (such as threatened or endemic species) or indicators	
c) for a range of major groups	
d) for a comprehensive range of species	

29. Does your country have an ongoing inventory programme at ecosystem level (7a)?

a) minimal activity	
b) for ecosystems of particular interest only	
c) for major ecosystems	
d) for a comprehensive range of ecosystems	

30. Does your country have an ongoing inventory programme at genetic level (7a)?

a) minimal activity	
b) minor programme in some sectors	
c) major programme in some sectors	
d) major programme in all relevant sectors	

31. Does your country have ongoing monitoring programmes at species level (7a)?

a) minimal activity	
b) for key groups (such as threatened or endemic species) or indicators	
c) for a range of major groups	
d) for a comprehensive range of species	

32. Does your country have ongoing monitoring programmes at ecosystem level (7b)?

a) minimal activity	
b) for ecosystems of particular interest only	
c) for major ecosystems	
d) for a comprehensive range of ecosystems	

33. Does your country have ongoing monitoring programmes at genetic level (7b)?

a) minimal activity	
b) minor programme in some sectors	
c) major programme in some sectors	

d) major programme in all relevant sectors	
34. Has your country identified activities with adverse affects on biodiversity (7c)?	
a) limited understanding	
b) threats well known in some areas, not in others	
c) most threats known, some gaps in knowledge	
d) comprehensive understanding	
e) reports available	
35. Is your country monitoring these activities and their effects (7c)?	
a) no	
b) early stages of programme development	
c) advanced stages of programme development	
d) programme in place	
e) reports on implementation available	
36. Does your country coordinate information collection and management at the national level (7d)?	
a) no	
b) early stages of programme development	
c) advanced stages of programme development	
d) programme in place	
e) reports on implementation available	

Decision III/10 Identification, monitoring and assessment

37. Has your country identified national indicators of biodiversity?	
a) no	
b) assessment of potential indicators underway	
c) indicators identified (if so, please describe below)	
38. Is your country using rapid assessment and remote sensing techniques?	
a) no	
b) assessing opportunities	
c) yes, to a limited extent	
d) yes, to a major extent	
e) reports on implementation available	
39. Has your country adopted a "step-by-step" approach to implementing Article 7 with initial emphasis on identification of biodiversity components (7a) and activities having adverse effects on them (7c)?	
a) no	
b) not appropriate to national circumstances	
c) yes	

40. Is your country cooperating with other Contracting Parties on pilot projects to demonstrate the use of assessment and indicator methodologies?	
a) no	
b) yes (if so give details below)	
41. Has your country prepared any reports of experience with application of assessment methodologies and made these available to other Contracting Parties?	
a) no	
b) yes	
42. Is your country seeking to make taxonomic information held in its collections more widely available?	
a) no relevant collections	
b) no action	
c) yes (if so, please give details below)	

Decision IV/1 Report and recommendations of the third meeting of SBSTTA [part]

43. Has your country carried out a national taxonomic needs assessment, and/or held workshops to determine national taxonomic priorities?	
a) no	
b) early stages of assessment	
c) advanced stages of assessment	
d) assessment completed	
44. Has your country developed a national taxonomic action plan?	
a) no	
b) early stages of development	
c) advanced stages of development	
d) action plan in place	
e) reports on implementation available	
45. Is your country making available appropriate resources to enhance the availability of taxonomic information?	
a) no	
b) yes, but this does not cover all known needs adequately	
c) yes, covering all known needs	
46. Is your country encouraging bilateral and multilateral training and employment opportunities for taxonomists, particularly those dealing with poorly known organisms?	
a) no	
b) some opportunities	
c) significant opportunities	
47. Is your country investing on a long-term basis in the development of appropriate infrastructure for your national taxonomic collections?	
a) no	
b) some investment	

c) significant investment	
48. Is your country encouraging partnerships between taxonomic institutions in developed and developing countries?	
a) no	
b) yes - stated policy	
c) yes - systematic national programme	
49. Has your country adopted any international agreed levels of collection housing?	
a) no	
b) under review	
c) being implemented by some collections	
d) being implemented by all major collections	
50. Has your country provided training programmes in taxonomy?	
a) no	
b) some	
c) many	
51. Has your country reported 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?	
a) no	
b) yes - in the previous national report	
c) yes - via the clearing-house mechanism	
d) yes - other means (please give details below)	
52. Has your country taken steps to ensure that institutions responsible for biological diversity inventories and taxonomic activities are financially and administratively stable?	
a) no	
b) under review	
c) yes for some institutions	
d) yes for all major institutions	
53. Has your country assisted taxonomic institutions to establish consortia to conduct regional projects?	
a) no	
b) under review	
c) yes - limited extent	
c) yes - significant extent	
54. Has your country given special attention to international funding of fellowships for specialist training abroad or for attracting international experts to national or regional courses?	
a) no	
b) under review	
c) yes - limited extent	

c) yes - significant extent	
55. Has your country provided programmes for re-training of qualified professionals moving into taxonomy-related fields?	
a) no	
b) some	
c) many	

Further comments on implementation of this Article

/ ...

Article 8 In situ conservation [excluding Articles 8h and 8j]

56. What is the relative priority afforded to implementation of this Article and the associated decisions by your country?

a) High		b) Medium		c) Low	
---------	--	-----------	--	--------	--

57. To what extent are the resources available adequate for meeting the obligations and recommendations made?

a) Good		b) Adequate		c) Limiting		d) Severely limiting	
---------	--	-------------	--	-------------	--	----------------------	--

58. Has your country established a system of protected areas which aims to conserve biological diversity (8a)?

a) system under development	
b) national review of protected areas coverage available	
c) national protected area systems plan in place	
d) relatively complete system in place	

59. Are there nationally adopted guidelines for the selection, establishment and management of protected areas (8b)?

a) no	
b) no, under development	
c) yes	
d) yes, undergoing review and extension	

60. Does your country regulate or manage biological resources important for the conservation of biological diversity with a view to ensuring their conservation and sustainable use (8c)?

a) no	
b) early stages of development	
c) advanced stages of development	
d) programme or policy in place	
e) reports on implementation available	

61. Has your country undertaken measures that promote the protection of ecosystems, natural habitats and the maintenance of viable populations of species in natural surroundings (8d)?

a) no measures	
b) some measures in place	
c) potential measures under review	
d) reasonably comprehensive measures in place	

62. Has your country undertaken measures that promote environmentally sound and sustainable development in areas adjacent to protected areas (8e)?

a) no measures	
b) some measures in place	
c) potential measures under review	
d) reasonably comprehensive measures in place	

63. Has your country undertaken measures to rehabilitate and restore degraded ecosystems (8f)?	
a) no measures	
b) some measures in place	
c) potential measures under review	
d) comprehensive measures in place	
64. Has your country undertaken measures to promote the recovery of threatened species (8f)?	
a) no measures	
b) some measures in place	
c) potential measures under review	
d) comprehensive measures in place	
65. Has your country undertaken measures to regulate, manage or control the risks associated with the use and release of living modified organisms resulting from biotechnology (8g)?	
a) no measures	
b) some measures in place	
c) potential measures under review	
d) comprehensive measures in place	
66. Has your country made attempts to provide the conditions needed for compatibility between present uses and the conservation of biological diversity and sustainable use of its components (8i)?	
a) no	
b) early stages of development	
c) advanced stages of development	
d) programme or policy in place	
e) reports on implementation available	
67. Has your country developed and maintained the necessary legislation and/or other regulatory provisions for the protection of threatened species and populations (8k)?	
a) no	
b) early stages of development	
c) advanced stages of development	
d) legislation or other measures in place	
68. Does your country regulate or manage processes and categories of activities identified under Article 7 as having significant adverse effects on biological diversity (8l)?	
a) no	
b) under review	
c) yes, to a limited extent	
d) yes, to a significant extent	

If a developed country Party -

69. Does your country cooperate in providing financial and other support for *in-situ* conservation particularly to developing countries (8m)?

If a developing country Party or Party with economy in transition -

70. Does your country receive financial and other support for *in-situ* conservation (8m)?

a) no	
b) yes (if so, please give details below)	

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

71. Is action being taken to share information and experience on implementation of this Article with other Contracting Parties?

a) little or no action	
b) sharing of written materials and/or case-studies	
c) regional meetings	

Further comments on implementation of this Article

--

Article 8h Alien species

72. What is the relative priority afforded to implementation of this Article and the associated decisions by your country?

a) High		b) Medium		c) Low	
---------	--	-----------	--	--------	--

73. To what extent are the resources available adequate for meeting the obligations and recommendations made?

a) Good		b) Adequate		c) Limiting		d) Severely limiting	
---------	--	-------------	--	-------------	--	----------------------	--

74. Has your country identified alien species introduced?

a) no	
b) only major species of concern	
c) only new or recent introductions	
d) a comprehensive system tracks new introductions	
e) a comprehensive system tracks all known introductions	

75. Has your country assessed the risks posed to ecosystems, habitats or species by the introduction of these alien species?

a) no	
b) only some alien species of concern have been assessed	
c) most alien species have been assessed	

76. Has your country undertaken measures to prevent the introduction of, control or eradicate those alien species which threaten ecosystems, habitats or species?

a) no measures	
b) some measures in place	
c) potential measures under review	
d) comprehensive measures in place	

Decision IV/1 Report and recommendations of the third meeting of SBSTTA

77. Is your country collaborating in the development of projects at national, regional, sub-regional and international levels to address the issue of alien species?

a) little or no action	
b) discussion on potential projects under way	
c) active development of new projects	

78. Does your national strategy and action plan address the issue of alien species?

a) no	
b) yes - limited extent	
c) yes - significant extent	

Further comments on implementation of this Article

--

Article 8j Traditional knowledge and related provisions

79. What is the relative priority afforded to implementation of this Article and the associated decisions by your country?

a) High		b) Medium		c) Low	
---------	--	-----------	--	--------	--

80. To what extent are the resources available adequate for meeting the obligations and recommendations made?

a) Good		b) Adequate		c) Limiting		d) Severely limiting	
---------	--	-------------	--	-------------	--	----------------------	--

81. Has your country undertaken measures to ensure that the knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity are respected, preserved and maintained?

a) no measures	
b) some measures in place	
c) potential measures under review	
d) comprehensive measures in place	

82. Is your country working to encourage the equitable sharing of benefits arising from the utilization of such knowledge, innovations and practices?

a) no	
b) early stages of development	
c) advanced stages of development	
d) programme or policy in place	

Decision III/4 and Decision IV/9. Implementation of Article 8(j)

83. Has your country developed national legislation and corresponding strategies for the implementation of Article 8(j)?

a) no	
b) early stages of development	
c) advanced stages of development	
d) legislation or other measures in place	

84. Has your country supplied information on the implementation of Article 8(j) to other Contracting Parties through media such as the national report?

a) no	
b) yes - previous national report	
c) yes - CHM	
d) yes - other means (please give details below)	

85. Has your country submitted case-studies to the Executive Secretary on measures taken to develop and implement the Convention's provisions relating to indigenous and local communities?

a) no	
b) yes	

86. Is your country participating in appropriate working groups and meetings?

a) none	
---------	--

b) some	
c) all	
87. Is your country facilitating the active participation of representatives of indigenous and local communities in these working groups and meetings?	
a) no	
b) yes	

Further comments on implementation of this Article

--

/...

Article 9 Ex situ conservation

88. What is the relative priority afforded to implementation of this Article and the associated decisions by your country?

a) High		b) Medium		c) Low	
---------	--	-----------	--	--------	--

89. To what extent are the resources available adequate for meeting the obligations and recommendations made?

a) Good		b) Adequate		c) Limiting		d) Severely limiting	
---------	--	-------------	--	-------------	--	----------------------	--

90. Has your country adopted measures for the ex situ conservation of components of biological diversity *native* to your country (9a)?

a) no measures	
b) some measures in place	
c) potential measures under review	
d) comprehensive measures in place	

91. Has your country adopted measures for the ex situ conservation of components of biological diversity *originating outside* your country (9a)?

a) no measures	
b) some measures in place	
c) potential measures under review	
d) comprehensive measures in place	

92. If the answer to the previous question was yes, is this being done in active collaboration with organizations in the other countries (9a)?

a) no	
b) yes	

93. Has your country established and maintained facilities for the ex situ conservation of and research on plants, animals and micro-organisms that represent genetic resources *native* to your country (9b)?

a) no	
b) yes - limited extent	
c) yes - significant extent	

94. Has your country established and maintained facilities for the ex situ conservation of and research on plants, animals and micro-organisms that represent genetic resources *originating elsewhere* (9b)?

a) no	
b) yes - limited extent	
c) yes - significant extent	

95. If the answer to the previous question was yes, is this being done in active collaboration with organizations in the other countries (9a)?

a) no	
b) yes	

96. Has your country adopted measures for the reintroduction of threatened species into their natural habitats under appropriate conditions (9c)?

a) no measures	
----------------	--

b) some measures in place	
c) potential measures under review	
d) comprehensive measures in place	
97. Has your country taken measures to regulate and manage the collection of biological resources from natural habitats for <u>ex situ</u> conservation purposes so as not to threaten ecosystems and <u>in situ</u> populations of species (9d)?	
a) no measures	
b) some measures in place	
c) potential measures under review	
d) comprehensive measures in place	
<i>If a developed country Party -</i>	
98. Has your country cooperated in providing financial and other support for <u>ex situ</u> conservation and in the establishment and maintenance of <u>ex situ</u> conservation facilities in developing countries (9e)?	
<i>If a developing country Party or Party with economy in transition -</i>	
99. Has your country received financial and other support for ex situ conservation and in the establishment and maintenance of ex situ conservation facilities (9e)?	
a) no	
b) yes	

Further comments on implementation of this Article

/ ...

Article 10 Sustainable use of components of biological diversity

100. What is the relative priority afforded to implementation of this Article and the associated decisions by your country?				
a) High		b) Medium		c) Low
101. To what extent are the resources available adequate for meeting the obligations and recommendations made?				
a) Good		b) Adequate		c) Limiting
d) Severely limiting				
102. Has your country integrated consideration of the conservation and sustainable use of biological resources into national decision making (10a)?				
a) no				
b) early stages of development				
c) advanced stages of development				
d) programme or policy in place				
e) review of implementation available				
103. Has your country adopted measures relating to the use of biological resources that avoid or minimize adverse impacts on biological diversity (10b)?				
a) no measures				
b) some measures in place				
c) potential measures under review				
d) comprehensive measures in place				
104. Has your country put in place measures that protect and encourage customary use of biological resources that is compatible with conservation or sustainable use requirements (10c)?				
a) no measures				
b) some measures in place				
c) potential measures under review				
d) comprehensive measures in place				
105. Has your country put in place measures that help local populations develop and implement remedial action in degraded areas where biological diversity has been reduced (10d)?				
a) no measures				
b) some measures in place				
c) potential measures under review				
d) comprehensive measures in place				
106. Does your country actively encourage cooperation between government authorities and the private sector in developing methods for sustainable use of biological diversity (10e)?				
a) no				
b) early stages of development				
c) advanced stages of development				
d) programme or policy in place				
e) review of implementation available				

Decisions IV/15. Relationship of the Convention with the Commission on Sustainable Development and biodiversity-related conventions

107. Has your country submitted to the Secretariat information on tourism and its impacts on biological diversity, and efforts to effectively plan and manage tourism?

a) no	
b) yes - previous national report	
c) yes - case-studies	
d) yes - other means (please give details below)	

108. Has your country submitted to the Secretariat information on biodiversity-related activities of the CSD (such as SIDS, oceans, seas and freshwater resources, consumption and production patterns)?

a) no	
b) yes - previous national report	
c) yes - correspondence	
d) yes - other means (please give details below)	

Further comments on implementation of this Article

--

Article 11 Incentive measures

109. What is the relative priority afforded to implementation of this Article and the associated decisions by your country?					
a) High		b) Medium		c) Low	
110. To what extent are the resources available adequate for meeting the obligations and recommendations made?					
a) Good		b) Adequate		c) Limiting	d) Severely limiting

111. Are programmes in place to identify and ensure the adoption of economically and socially sound measures that act as incentives for the conservation and sustainable use of components of biological diversity?					
a) no					
b) early stages of development					
c) advanced stages of development					
d) programmes in place					
e) review of implementation available					

Decision III/18. Incentive measures

112. Has your country reviewed legislation and economic policies to identify and promote incentives for the conservation and sustainable use of components of biological diversity?					
a) no					
b) reviews in progress					
c) some reviews complete					
d) as far as practically possible					
113. Has your country ensured the development of mechanisms or approaches to ensure adequate incorporation of both market and non-market values of biological diversity into plans, policies and programmes and other relevant areas, <i>inter alia</i> , national accounting systems and investment strategies?					
a) no					
b) early stages of identifying mechanisms					
c) advanced stages of identifying mechanisms					
d) mechanisms in place					
e) review of impact of mechanisms available					
114. Has your country developed training and capacity building programmes to implement incentive measures and promote private-sector initiatives?					
a) no					
b) planned					
c) some					
d) many					
115. Has your country incorporated biological diversity considerations into impact assessments as a step in the design and implementation of incentive measures?					
a) no					

b) yes	
116. Has your country shared experience on incentive measures with other Contracting Parties, including making relevant case-studies available to the Secretariat?	
a) no	
b) yes - previous national report	
c) yes - case-studies	
d) yes - other means (please give details below)	

Decision IV/10. Measures for implementing the Convention [part]

117. Is your country actively designing and implementing incentive measures?	
a) no	
b) early stages of development	
c) advanced stages of development	
d) measures in place	
e) review of implementation available	
118. Has your country identified threats to biological diversity and underlying causes of biodiversity loss, including the relevant actors, as a stage in designing incentive measures?	
a) no	
b) partially reviewed	
c) thoroughly reviewed	
d) measures designed based on the reviews	
e) review of implementation available	
119. Do the existing incentive measures take account of economic, social, cultural and ethical valuation of biological diversity?	
a) no	
b) yes - limited extent	
c) yes - significant extent	
120. Has your country developed legal and policy frameworks for the design and implementation of incentive measures?	
a) no	
b) early stages of development	
c) advanced stages of development	
d) frameworks in place	
e) review of implementation available	
121. Does your country carry out consultative processes to define clear target-oriented incentive measures to address the underlying causes of biodiversity loss?	
a) no	
b) processes being identified	

c) processes identified but not implemented	
d) processes in place	
122. Has your country identified and considered neutralizing perverse incentives?	
a) no	
b) identification programme under way	
c) identified but not all neutralized	
d) identified and neutralized	

Further comments on implementation of this Article

Article 12 Research and training

123. What is the relative priority afforded to implementation of this Article and the associated decisions by your country?

a) High		b) Medium		c) Low	
---------	--	-----------	--	--------	--

124. To what extent are the resources available adequate for meeting the obligations and recommendations made?

a) Good		b) Adequate		c) Limiting		d) Severely limiting	
---------	--	-------------	--	-------------	--	----------------------	--

125. Has your country established programmes for scientific and technical education and training in measures for the identification, conservation and sustainable use of biological diversity and its components (12a)?

a) no	
b) early stages of development	
c) advanced stages of development	
d) programmes in place	

126. Has your country provided support to other Parties for education and training in measures for the identification, conservation and sustainable use of biological diversity and its components (12a)?

a) no	
b) yes	

127. Does your country promote and encourage research which contributes to the conservation and sustainable use of biological diversity (12b)?

a) no	
b) yes - limited extent	
c) yes - significant extent	

128. Does your country promote and cooperate in the use of scientific advances in biological diversity research in developing methods for conservation and sustainable use of biological resources (12c)?

a) no	
b) yes - limited extent	
c) yes - significant extent	

If a developed country Party -

129. Does your country's implementation of the above activities take into account the special needs of developing countries?

a) no	
b) yes, where relevant	

Further comments on implementation of this Article

--

Article 13 Public education and awareness

130. What is the relative priority afforded to implementation of this Article and the associated decisions by your country?

a) High		b) Medium		c) Low	
---------	--	-----------	--	--------	--

131. To what extent are the resources available adequate for meeting the obligations and recommendations made?

a) Good		b) Adequate		c) Limiting		d) Severely limiting	
---------	--	-------------	--	-------------	--	----------------------	--

132. Does your country promote and encourage understanding of the importance of, and the measures required for, the conservation of biodiversity (13a) through media?

a) no	
b) yes - limited extent	
c) yes - significant extent	

133. Does your country promote and encourage understanding of the importance of, and the measures required for, the conservation of biodiversity (13a) through the inclusion of this topic in education programmes?

a) no	
b) yes - limited extent	
c) yes - significant extent	

134. Does your country cooperate with other States and international organizations in developing relevant educational and public awareness programmes (13b)?

a) no	
b) yes - limited extent	
c) yes - significant extent	

Decision IV/10. Measures for implementing the Convention [part]

135. Are public education and awareness needs covered in the national strategy and action plan?

a) no	
b) yes - limited extent	
c) yes - significant extent	

136. Has your country allocated appropriate resources for the strategic use of education and communication instruments at each phase of policy formulation, implementation and evaluation?

a) limited resources	
b) significant but not adequate resources	
c) adequate resources	

137. Does your country support initiatives by major groups that foster stakeholder participation and that integrate biological diversity conservation matters in their practice and education programmes?

a) no	
b) yes	

138. Has your country integrated biodiversity concerns into education strategies?

a) no	
b) early stages of development	
c) advanced stages of development	
d) yes	
139. Has your country made available any case-studies on public education and awareness and public participation, or otherwise sought to share experiences?	
a) no	
b) yes	
140. Has your country illustrated and translated the provisions of the Convention into any local languages to promote public education and awareness raising of relevant sectors?	
a) not relevant	
b) still to be done	
c) under development	
d) yes	
141. Is your country supporting local, national, sub-regional and regional education and awareness programmes?	
a) no	
b) yes - limited extent	
c) yes - significant extent	
<i>If a developing country Party or Party with economy in transition -</i>	
142. When requesting assistance through the GEF, has your country proposed projects that promote measures for implementing Article 13 of the Convention?	
a) no	
b) yes	

Further comments on implementation of this Article

/ ...

Article 14 Impact assessment and minimizing adverse impacts

143. What is the relative priority afforded to implementation of this Article and the associated decisions by your country?

a) High		b) Medium		c) Low	
---------	--	-----------	--	--------	--

144. To what extent are the resources available adequate for meeting the obligations and recommendations made?

a) Good		b) Adequate		c) Limiting		d) Severely limiting	
---------	--	-------------	--	-------------	--	----------------------	--

145. Is legislation in place requiring an environmental impact assessment of proposed projects likely to have adverse effects on biological diversity (14 (1a))?

a) no	
b) early stages of development	
c) advanced stages of development	
d) legislation in place	
e) review of implementation available	

146. Do such environmental impact assessment procedures allow for public participation (14(1a))?

a) no	
b) yes - limited extent	
c) yes - significant extent	

147. Does your country have mechanisms in place to ensure that the environmental consequences of national programmes and policies that are likely to have significant adverse impacts on biological diversity are duly taken into account (14(1b))?

a) no	
b) early stages of development	
c) advanced stages of development	
d) fully compliant with current scientific knowledge	

148. Is your country involved in bilateral, regional and/or multilateral discussion on activities likely to significantly affect biological diversity outside your country's jurisdiction (14(1c))?

a) no	
b) yes - limited extent	
c) yes - significant extent	

149. Is your country implementing bilateral, regional and/or multilateral agreements on activities likely to significantly affect biological diversity outside your country's jurisdiction (14(1c))?

a) no	
b) no, assessment of options in progress	
c) some completed, others in progress	
b) yes	

150. Has your country mechanisms in place to notify other States of cases of imminent or grave danger or damage to biological diversity originating in your country and potentially affecting those States (14(1d))?

a) no	
-------	--

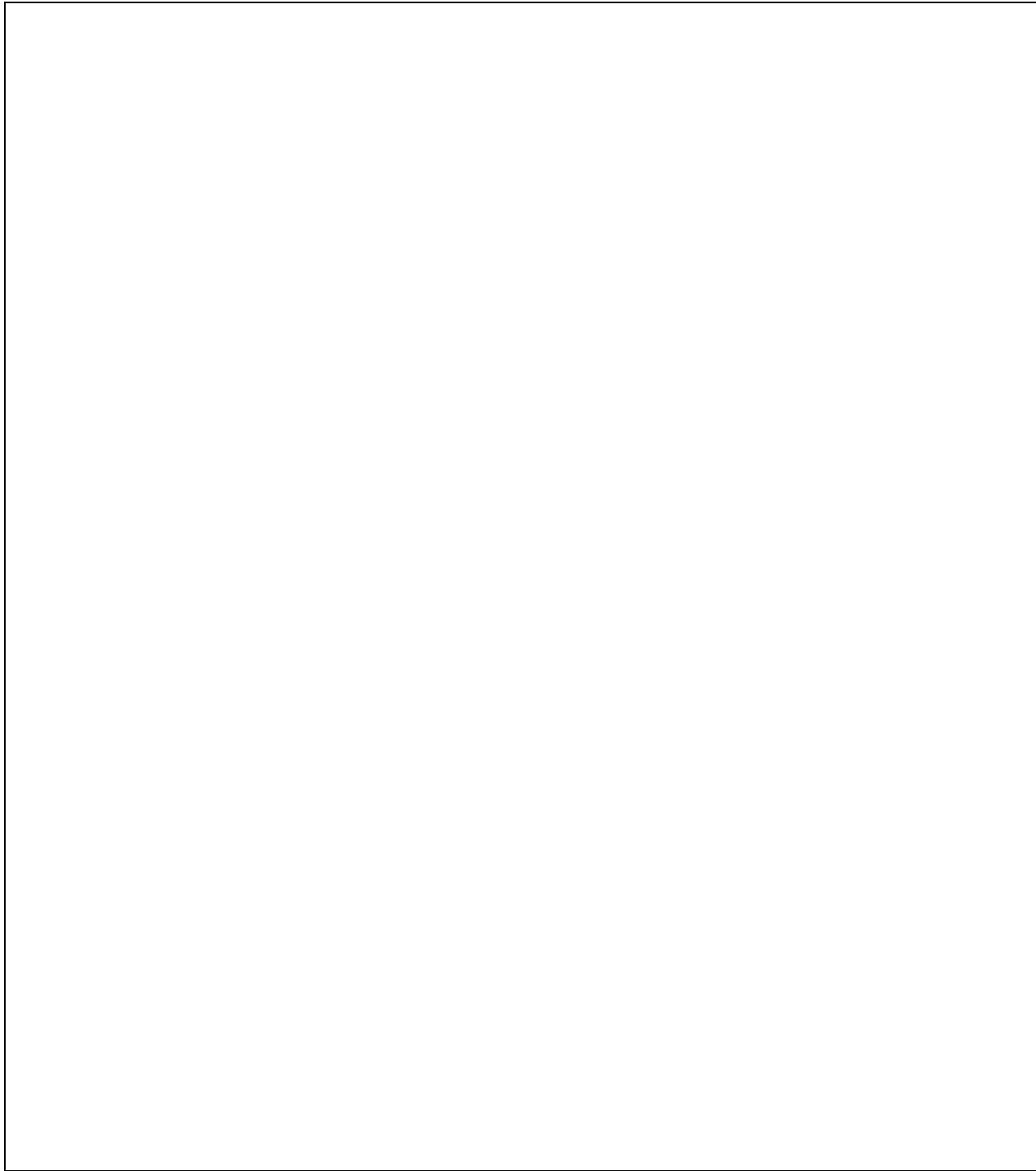
b) early stages of development	
c) advanced stages of development	
d) mechanisms in place	
e) no need identified	
151. Has your country mechanisms in place to prevent or minimize danger or damage originating in your State to biological diversity in other States or in areas beyond the limits of national jurisdiction (14(1d))?	
a) no	
b) early stages of development	
c) advanced stages of development	
d) fully compliant with current scientific knowledge	
e) no need identified	
152. Has your country national mechanisms in place for emergency response to activities or events which present a grave and imminent danger to biological diversity (14(1e))?	
a) no	
b) early stages of development	
c) advanced stages of development	
d) mechanisms in place	
153. Has your country encouraged international cooperation to establish joint contingency plans for emergency responses to activities or events which present a grave and imminent danger to biological diversity (14(1e))?	
a) no	
b) yes	
c) no need identified	

Decision IV/10. Measures for implementing the Convention [part]

154. Has your country exchanged with other Contracting Parties information and experience relating to environmental impact assessment and resulting mitigating measures and incentive schemes?	
a) no	
b) information provided to the Secretariat	
c) information provided to other Parties	
d) information provided on the national CHM	
155. Has your country exchanged with other Contracting Parties information on measures and agreements on liability and redress applicable to damage to biological diversity?	
a) no	
b) information provided to the Secretariat	
c) information provided to other Parties	
d) information provided on the national CHM	

Further comments on implementation of this Article

/...



Article 15 Access to genetic resources

156. What is the relative priority afforded to implementation of this Article and the associated decisions by your country?

a) High		b) Medium		c) Low	
---------	--	-----------	--	--------	--

157. To what extent are the resources available adequate for meeting the obligations and recommendations made?

a) Good		b) Adequate		c) Limiting		d) Severely limiting	
---------	--	-------------	--	-------------	--	----------------------	--

158. Has your country endeavoured to create conditions to facilitate access to genetic resources for environmentally sound uses by other Contracting Parties (15(2))?

a) no	
b) yes - limited extent	
c) yes - significant extent	

159. Is there any mutual understanding or agreement in place between different interest groups and the State on access to genetic resources (15(4))?

a) no	
b) yes - limited extent	
c) yes - significant extent	

160. Has your country an open participation planning process, or any other process in place, to ensure that access to resources is subject to prior informed consent (15(5))?

a) no	
b) early stages of development	
c) advanced stages of development	
d) processes in place	

161. Has your country taken measures to ensure that any scientific research based on genetic resources provided by other Contracting Parties is developed and carried out with the full participation of such Contracting Parties (15(6))?

a) no measures	
b) some measures in place	
c) potential measures under review	
d) comprehensive measures in place	

162. Has your country taken measures to ensure the fair and equitable sharing of the results of research and development and the benefits arising from the commercial and other use of genetic resources with any Contracting Party providing such resources (15(7))?

a) no measures	
b) some measures in place	
c) potential measures under review	
d) comprehensive measures in place	

If so, are these measures

a) Legislation	
b) Statutory policy or subsidiary legislation	
c) Policy and administrative measures	

163. Has your country provided the secretariat with information on relevant legislation, administrative and policy measures, participatory processes and research programmes?	
a) no	
b) yes, within the previous national report	
c) yes, through case-studies	
d) yes, through other means (please give details below)	
164. Has your country implemented capacity-building programmes to promote successful development and implementation of legislative, administrative and policy measures and guidelines on access, including scientific, technical, business, legal and management skills and capacities?	
a) no	
b) some programmes covering some needs	
c) many programmes covering some needs	
d) programmes cover all perceived needs	
e) no perceived need	
165. Has your country analysed experiences of legislative, administrative and policy measures and guidelines on access, including regional efforts and initiatives, for use in further development and implementation of measures and guidelines?	
a) no	
b) analysis in progress	
c) analysis completed	
166. Is your country collaborating with all relevant stakeholders to explore, develop and implement guidelines and practices that ensure mutual benefits to providers and users of access measures?	
a) no	
b) yes - limited extent	
c) yes - significant extent	
167. Has your country identified national authorities responsible for granting access to genetic resources?	
a) no	
b) yes	
168. Is your country taking an active role in negotiations associated with the adaptation of the International Undertaking on Plant Genetic Resources for Food and Agriculture?	
a) no	
b) yes	

Further comments on implementation of this Article

--

Article 16 Access to and transfer of technology

169. What is the relative priority afforded to implementation of this Article and the associated decisions by your country?

a) High		b) Medium		c) Low	
---------	--	-----------	--	--------	--

170. To what extent are the resources available adequate for meeting the obligations and recommendations made?

a) Good		b) Adequate		c) Limiting		d) Severely limiting	
---------	--	-------------	--	-------------	--	----------------------	--

171. Has your country taken measures to provide 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 (16(1))?

a) no measures	
b) some measures in place	
c) potential measures under review	
d) comprehensive measures in place	

172. Is your country aware of any initiatives under which relevant technology is transferred to your country on concessional or preferential terms (16(2))?

a) no	
b) yes (please give brief details below)	

173. Has your country taken measures so that Contracting Parties which provide genetic resources are provided access to and transfer of technology which make use of those resources, on mutually agreed terms (16(3))?

a) not relevant	
b) relevant, but no measures	
c) some measures in place	
d) potential measures under review	
e) comprehensive measures in place	

If so, are these measures

a) Legislation	
b) Statutory policy or subsidiary legislation	
c) Policy and administrative arrangements	

174. Has your country taken measures so that the private sector facilitates access to joint development and transfer of relevant technology for the benefit of government institutions and the private sector of developing countries (16(4))?

a) no measures	
b) some measures in place	
c) potential measures under review	
d) comprehensive measures in place	

If so, are these measures

a) Legislation?	
b) Statutory policy and subsidiary legislation?	

c) Policy and administrative arrangements?	
175. Does your country have a national system for intellectual property right protection (16(5))?	
a) no	
b) yes	
176. If yes, does it cover biological resources (for example, plant species) in any way?	
a) no	
b) yes - limited extent	
c) yes - significant extent	

Decision III/17. Intellectual property rights

177. Has your country conducted and provided to the secretariat case-studies of the impacts of intellectual property rights on the achievement of the Conventions objectives?	
a) no	
b) some	
c) many	

Further comments on implementation of this Article

--

Article 17 Exchange of information

178. What is the relative priority afforded to implementation of this Article and the associated decisions by your country?

a) High		b) Medium		c) Low	
---------	--	-----------	--	--------	--

179. To what extent are the resources available adequate for meeting the obligations and recommendations made?

a) Good		b) Adequate		c) Limiting		d) Severely limiting	
---------	--	-------------	--	-------------	--	----------------------	--

180. Has your country taken measures to facilitate the exchange of information from publicly available sources (17(1))?

a) no measures	
b) restricted by lack of resources	
c) some measures in place	
d) potential measures under review	
e) comprehensive measures in place	

If a developed country Party -

181. Do these measures take into account the special needs of developing countries (17(1))?

a) no	
b) yes - limited extent	
c) yes - significant extent	

182. If so, do these measures include all the categories of information listed in Article 17(2), including technical, scientific and socio-economic research, training and surveying programmes, specialized knowledge, repatriation of information and so on?

a) no	
b) yes - limited extent	
c) yes - significant extent	

Article 18 Technical and scientific cooperation

183. What is the relative priority afforded to implementation of this Article and the associated decisions by your country?

a) High		b) Medium		c) Low	
---------	--	-----------	--	--------	--

184. To what extent are the resources available adequate for meeting the obligations and recommendations made?

a) Good		b) Adequate		c) Limiting		d) Severely limiting	
---------	--	-------------	--	-------------	--	----------------------	--

185. Has your country taken measures to promote international technical and scientific cooperation in the field of conservation and sustainable use of biological diversity (18(1))?

a) no measures	
b) some measures in place	
c) potential measures under review	

d) comprehensive measures in place	
186. Do the measures taken to promote cooperation with other Contracting Parties in the implementation of the Convention pay special attention to the development and strengthening of national capabilities by means of human resources development and institution building (18(2))?	
a) no	
b) yes - limited extent	
c) yes - significant extent	
187. Has your country encouraged and developed methods of cooperation for the development and use of technologies, including indigenous and traditional technologies, in pursuance of the objectives of this Convention (18(4))?	
a) no	
b) early stages of development	
c) advanced stages of development	
d) methods in place	
188. Does such cooperation include the training of personnel and exchange of experts (18(4))?	
a) no	
b) yes - limited extent	
c) yes - significant extent	
189. Has your country promoted the establishment of joint research programmes and joint ventures for the development of technologies relevant to the objectives of the Convention (18(5))?	
a) no	
b) yes - limited extent	
c) yes - significant extent	

Decision II/3, Decision III/4 and Decision IV/2. Clearing House Mechanism

190. Is your country cooperating in the development and operation of the Clearing House Mechanism?	
a) no	
b) yes	
191. Is your country helping to develop national capabilities through exchanging and disseminating information on experiences and lessons learned in implementing the Convention?	
a) no	
b) yes - limited extent	
c) yes - significant extent	
192. Has your country designated a national focal point for the Clearing-House Mechanism?	
a) no	
b) yes	
193. Is your country providing resources for the development and implementation of the Clearing-House Mechanism?	

a) no	
b) yes, at the national level	
c) yes, at national and international levels	
194. Is your country facilitating and participating in workshops and other expert meetings to further the development of the CHM at international levels?	
a) no	
b) participation only	
c) supporting some meetings and participating	
195. Is your CHM operational	
a) no	
b) under development	
c) yes (please give details below)	
196. Is your CHM linked to the Internet	
a) no	
b) yes	
197. Has your country established a multi-sectoral and multi-disciplinary CHM steering committee or working group at the national level?	
a) no	
b) yes	

Further comments on implementation of this Article

/ ...

Article 19 Handling of biotechnology and distribution of its benefits

198. What is the relative priority afforded to implementation of this Article and the associated decisions by your country?

a) High		b) Medium		c) Low	
---------	--	-----------	--	--------	--

199. To what extent are the resources available adequate for meeting the obligations and recommendations made?

a) Good		b) Adequate		c) Limiting		d) Severely limiting	
---------	--	-------------	--	-------------	--	----------------------	--

200. Has your country taken measures to provide for the effective participation in biotechnological research activities by those Contracting Parties which provide the genetic resources for such research (19(1))?

a) no measures	
b) some measures in place	
c) potential measures under review	
d) comprehensive measures in place	

If so, are these measures:

a) Legislation	
b) Statutory policy and subsidiary legislation	
c) Policy and administrative measures	

201. Has your country taken all practicable measures to promote and advance priority access on a fair and equitable basis by Contracting Parties to the results and benefits arising from biotechnologies based upon genetic resources provided by those Contracting Parties (19(2))?

a) no measures	
b) some measures in place	
c) potential measures under review	
d) comprehensive measures in place	

Decision IV/3. Issues related to biosafety

202. Is your country a Contracting Party to the Cartagena Protocol on Biosafety?

a) not a signatory	
b) signed, ratification in progress	
b) instrument of ratification deposited	

Further comments on implementation of this Article

--

Article 20 Financial resources

203. What is the relative priority afforded to implementation of this Article and the associated decisions by your country?

a) High		b) Medium		c) Low	
---------	--	-----------	--	--------	--

204. To what extent are the resources available adequate for meeting the obligations and recommendations made?

a) Good		b) Adequate		c) Limiting		d) Severely limiting	
---------	--	-------------	--	-------------	--	----------------------	--

205. Has your country provided financial support and incentives in respect of those national activities which are intended to achieve the objectives of the Convention (20(1))?

a) no	
b) yes - incentives only	
c) yes - financial support only	
d) yes - financial support and incentives	

If a developed country Party -

206. Has your country provided new and additional financial resources to enable developing country Parties to meet the agreed incremental costs to them of implementing measures which fulfil the obligations of the Convention, as agreed between you and the interim financial mechanism (20(2))?

a) no	
b) yes	

If a developing country Party or Party with economy in transition -

207. Has your country received new and additional financial resources to enable you to meet the agreed full incremental costs of implementing measures which fulfil the obligations of the Convention (20(2))?

a) no	
b) yes	

If a developed country Party -

208. Has your country provided financial resources related to implementation of the Convention through bilateral, regional and other multilateral channels (20(3))?

If a developing country Party or Party with economy in transition -

209. Has your country used financial resources related to implementation of the Convention from bilateral, regional and other multilateral channels (20(3))?

a) no	
b) yes	

Decision III/6. Additional financial resources

210. Is your country working to ensure that all funding institutions (including bilateral assistance agencies) are striving to make their activities more supportive of the Convention?

a) no	
b) yes - limited extent	
c) yes - significant extent	

211. Is your country cooperating in any efforts to develop standardized information on financial support for the objectives of the Convention?

a) no	
b) yes (please attach information)	

Further comments on implementation of this Article

Article 21 Financial mechanism

212. What is the relative priority afforded to implementation of this Article and the associated decisions by your country?

a) High		b) Medium		c) Low	
---------	--	-----------	--	--------	--

213. To what extent are the resources available adequate for meeting the obligations and recommendations made?

a) Good		b) Adequate		c) Limiting		d) Severely limiting	
---------	--	-------------	--	-------------	--	----------------------	--

214. Has your country worked to strengthen existing financial institutions to provide financial resources for the conservation and sustainable use of biological diversity?

a) no	
b) yes	

Decision III/7. Guidelines for the review of the effectiveness of the financial mechanism

215. Has your country provided information on experiences gained through activities funded by the financial mechanism?

a) no activities	
b) no, although there are activities	
c) yes, within the previous national report	
d) yes, through case-studies	
e) yes, through other means (please give details below)	

Further comments on implementation of this Article

--

Article 23 Conference of the Parties

216. How may people from your country participated in each of the meetings of the Conference of the Parties?

a) COP 1 (Nassau)	
b) COP 2 (Jakarta)	
b) COP 3 (Buenos Aires)	
b) COP 4 (Bratislava)	
b) COP 5 (Nairobi)	

Decision I/6, Decision II/10, Decision III/24 and Decision IV/17. Finance and budget

217. Has your country paid all of its contributions to the Trust Fund?

a) no	
b) yes	

Decision IV/16 (part) Preparation for meetings of the Conference of the Parties

218. Has your country participated in regional meetings focused on discussing implementation of the Convention before any meetings of the Conference of the Parties?

a) no	
b) yes (please specify which)	

If a developed country Party -

219. Has your country funded regional and sub-regional meetings to prepare for the COP, and facilitated the participation of developing countries in such meetings?

a) no	
b) yes (please provide details below)	

Further comments on implementation of this Article

--

Article 24 Secretariat

220. Has your country provided direct support to the Secretariat in terms of seconded staff, financial contribution for Secretariat activities, etc?

a) no	
b) yes	

Further comments on implementation of this Article

Article 25 Subsidiary body on scientific, technical and technological advice

221. How many people from your country participated in each of the meetings of SBSTTA?

a) SBSTTA I (Paris)	
b) SBSTTA II (Montreal)	
b) SBSTTA III (Montreal)	
b) SBSTTA IV (Montreal)	
b) SBSTTA V (Montreal)	

Further comments on implementation of this Article

Article 26 Reports

222. What is the status of your first national report?	
a) Not submitted	
b) Summary	
c) Interim/draft	
d) Final	
If b), c) or d), was your report submitted:	
by the original deadline of 1.1.98 (Decision III/9)?	
by the extended deadline of 31.12.98 (Decision IV/14)?	
Later	

Decision IV/14 National reports

223. Did all relevant stakeholders participate in the preparation of this national report, or in the compilation of information used in the report?	
a) no	
b) yes	
224. Has your country taken steps to ensure that its first and/or second national report(s) is/are available for use by relevant stakeholders?	
a) no	
b) yes	
If yes, was this by:	
a) informal distribution?	
b) publishing the report?	
c) making the report available on request?	
d) posting the report on the Internet?	

Further comments on implementation of this Article

--

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

225. Has your country included information on biological diversity in wetlands when providing information and reports to the CSD, and considered including inland water biological diversity issues at meetings to further the recommendations of the CSD?

a) no	
b) yes	

226. Has your country included inland water biological diversity considerations in its work with organizations, institutions and conventions affecting or working with inland water?

a) no	
b) yes	

If a developing country Party or Party with economy in transition -

227. When requesting support for projects relating to inland water ecosystems from the GEF, has your country given priority to identifying important areas for conservation, preparing and implementing integrated watershed, catchment and river basin management plans, and investigating processes contributing to biodiversity loss?

a) no	
b) yes	

228. Has your country reviewed the programme of work specified in annex 1 to the decision, and identified priorities for national action in implementing the programme?

a) no	
b) under review	
c) yes	

Decision III/21. Relationship of the Convention with the CSD and biodiversity-related conventions

229. Is the conservation and sustainable use of wetlands, and of migratory species and their habitats, fully incorporated into your national strategies, plans and programmes for conserving biological diversity?

a) no	
b) yes	

Further comments on implementation of these Decisions and the associated programme of work

--

Decision II/10 and Decision IV/5. Conservation and sustainable use of marine and coastal biological diversity

230. Does your national strategy and action plan promote the conservation and sustainable use of marine and coastal biological diversity?	
a) no	
b) yes - limited extent	
c) yes - significant extent	
231. Has your country established and/or strengthened institutional, administrative and legislative arrangements for the development of integrated management of marine and coastal ecosystems?	
a) no	
b) early stages of development	
c) advanced stages of development	
d) arrangements in place	
232. Has your country provided the Executive Secretary with advice and information on future options concerning the conservation and sustainable use of marine and coastal biological diversity?	
a) no	
b) yes	
233. Has your country undertaken and/or exchanged information on demonstration projects as practical examples of integrated marine and coastal area management?	
a) no	
b) yes - previous national report	
c) yes - case-studies	
d) yes - other means (please give details below)	
234. Has your country programmes in place to enhance and improve knowledge on the genetic structure of local populations of marine species subjected to stock enhancement and/or sea-ranching activities?	
a) no	
b) programmes are being developed	
c) programmes are being implemented for some species	
d) programmes are being implemented for many species	
e) not a perceived problem	
235. Has your country reviewed the programme of work specified in an annex to the decision, and identified priorities for national action in implementing the programme?	
a) no	
b) under review	
c) yes	

Further comments on implementation of these Decisions and the associated programme of work

--

Decision III/11 and Decision IV/6. Conservation and sustainable use of agricultural biological diversity

236. Has your country identified and assessed relevant ongoing activities and existing instruments at the national level?	
a) no	
b) early stages of review and assessment	
c) advanced stages of review and assessment	
d) assessment completed	
237. Has your country identified issues and priorities that need to be addressed at the national level?	
a) no	
b) in progress	
c) yes	
238. Is your country using any methods and indicators to monitor the impacts of agricultural development projects, including the intensification and extensification of production systems, on biological diversity?	
a) no	
b) early stages of development	
c) advanced stages of development	
d) mechanisms in place	
239. Is your country taking steps to share experiences addressing the conservation and sustainable use of agricultural biological diversity?	
a) no	
b) yes - case-studies	
c) yes - other mechanisms (please specify)	
240. Has your country conducted case-studies on the issues identified by SBSTTA: i) pollinators, ii) soil biota, and iii) integrated landscape management and farming systems?	
a) no	
b) yes - pollinators	
c) yes - soil biota	
d) yes - integrated landscape management and farming systems	
241. Is your country establishing or enhancing mechanisms for increasing public awareness and understanding of the importance of the sustainable use of agrobiodiversity components?	
a) no	
b) early stages of development	
c) advanced stages of development	
d) mechanisms in place	

/...

242. Does your country have national strategies, programmes and plans which ensure the development and successful implementation of policies and actions that lead to sustainable use of agrobiodiversity components?	
a) no	
b) early stages of development	
c) advanced stages of development	
d) mechanisms in place	
243. Is your country promoting the transformation of unsustainable agricultural practices into sustainable production practices adapted to local biotic and abiotic conditions?	
a) no	
b) yes - limited extent	
c) yes - significant extent	
244. Is your country promoting the use of farming practices that not only increase productivity, but also arrest degradation as well as reclaim, rehabilitate, restore and enhance biological diversity?	
a) no	
b) yes - limited extent	
c) yes - significant extent	
245. Is your country promoting mobilization of farming communities for the development, maintenance and use of their knowledge and practices in the conservation and sustainable use of biological diversity?	
a) no	
b) yes - limited extent	
c) yes - significant extent	
246. Is your country helping to implement the Global Plan of Action for the Conservation and Sustainable Utilization of Plant Genetic Resources?	
a) no	
b) yes	
247. Is your country collaborating with other Contracting Parties to identify and promote sustainable agricultural practices and integrated landscape management?	
a) no	
b) yes	

Further comments on implementation of these Decisions and the associated programme of work

--

Decision II/9 and Decision IV/7. Forest biological diversity

248. Has your country included expertise on forest biodiversity in its delegations to the Intergovernmental Panel on Forests?

a) no	
b) yes	
c) not relevant	

249. Has your country reviewed the programme of work annexed to the decision and identified how you can collaborate in its implementation?

a) no	
b) under review	
c) yes	

250. Has your country integrated forest biological diversity considerations in its participation and collaboration with organizations, institutions and conventions affecting or working with forest biological diversity?

a) no	
b) yes - limited extent	
c) yes - significant extent	

251. Does your country give high priority to allocation of resources to activities that advance the objectives of the Convention in respect of forest biological diversity?

a) no	
b) yes	

For developing country Parties and Parties with economies in transition -

252. When requesting assistance through the GEF, Is your country proposing projects which promote the implementation of the programme of work?

a) no	
b) yes	

Further comments on implementation of these Decisions and the associated programme of work

--

Please use this box to identify what specific activities your country has carried out as a DIRECT RESULT of becoming a Contracting Party to the Convention, referring back to previous questions as appropriate:

Please use this box to identify joint initiatives with other Parties, referring back to previous questions as appropriate:

Please use this box to provide any further comments on matters related to national implementation of the Convention or on these guidelines:

If your country has completed its national biodiversity strategy and action plan (NBSAP), please give the following information:

Date of completion:	
If the NBSAP has been adopted by the Government	
By which authority?	
On what date?	
If the NBSAP has been published please give	
Title:	
Name and address of publisher:	
ISBN:	
Price (if applicable):	
Other information on ordering:	
If the NBSAP has not been published	
Please give full details of how copies can be obtained:	
If the NBSAP has been posted on a national website	
Please give full URL:	
If the NBSAP has been lodged with an Implementing Agency of the GEF	
Please indicate which agency:	

Please provide similar details if you have completed a Biodiversity Country Study or another report or action plan relevant to the objectives of this Convention

Please provide details of any national body (e.g. national audit office) that has or will review the implementation of the Convention in your country

Annex II

GUIDELINES FOR DETAILED THEMATIC REPORTS ON FOREST ECOSYSTEMS

The following format for preparation of a thematic report on forest ecosystems is a series of questions based on those elements of decision IV/7 of the Conference of the Parties that are addressed to Contracting Parties. Responses to these questions will help Contracting Parties to review the extent to which they are successfully implementing the provisions of the Convention and will assist the Conference of the Parties to assess the overall status of implementation of the Convention. The wording of questions follows the wording of the decision as closely as possible.

The questions are simple in nature in order to facilitate completion of the review. In most cases they require only a tick in one or more boxes. 1/ Following the questions there is a box for further comments. Contracting Parties are invited to provide a more detailed response to the preceding questions at this point. 2/ This is an opportunity to identify particular successes or constraints. In particular this box could be used to identify cases where the reporting of no action or of a partial fulfillment of the obligation is the result of inadequate resources or a need for assistance, rather than a decision not to take action on a particular obligation.

The information provided by Contracting Parties will not be used to rank performance or to otherwise compare implementation between individual Contracting Parties.

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

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

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

Contracting Parties are requested to submit their thematic report on forest ecosystems in this format to the Executive Secretary by 15 May 2001. Parties are requested to submit an original signed copy by post and an electronic copy on diskette or by electronic mail. An electronic version of this document will be sent to all national focal points and this will also be available from the Convention's website at:

<http://www.biodiv.org>.

Completed national reports and any comments should be sent to:

1/ If you feel that, in order to properly reflect the circumstances, it is necessary to tick more than one box, please do so. In this case, you are encouraged to provide further information in the box at the end of the set of questions.

2/ Please feel free to append to the report further information on any of the questions.

The Executive Secretary
Secretariat of the Convention on Biological Diversity
World Trade Centre
393 St. Jacques Street West, suite 300
Montreal, Quebec
H2Y 1N9 Canada

Fax: (+1 514) 288 6588
e-mail: secretariat@biodiv.org

/...

Please provide to following details on the origin of this report

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

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

Decision IV/7 on Forest biological Diversity

1. What is the relative priority afforded to implementation of this decision by your country?					
a) High		b) Medium		c) Low	
2. To what extent are the resources available adequate for meeting the obligations and recommendations made?					
a) Good		b) Adequate		c) Limiting	d) Severely limiting

3. Has your country assessed the status and trends of its forest biological diversity and identified options for its conservation and sustainable use? (Decision IV/7, paragraph 12)					
a) no					
b) assessment underway (please give details below)					
c) assessment completed (please give details below)					
d) not relevant					

If a developing country Party or a Party with economy in transition -

4. Has your country requested assistance through the financial mechanism for projects that promote the implementation of the focused work programme on forest biological diversity? (Decision IV/7, paragraph 7)					
a) no					
b) yes (please give details below)					

Programme element 1: 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

5. Has your country identified methodologies for enhancing the integration of forest biological diversity conservation and sustainable use into an holistic approach to sustainable forest management at the national level? (Work Programme, paragraph 13)					
a) no					
b) yes - limited extent (please give details below)					
c) yes - significant extent (please give details below)					
d) not applicable					
6. Has your country developed methodologies to advance the integration of traditional forest-related knowledge into sustainable forest management, in accordance with Article 8(j)? (Work Programme, paragraph 14)					
a) no					
b) yes - limited extent (please give details below)					
c) yes - significant extent (please give details below)					
d) not applicable					
7. Has your country promoted cooperation on the conservation and sustainable use of forest biological resources at all levels in accordance with Articles 5 and 16 of the Convention? (Work Programme, paragraph 15)					

a) no	
b) yes - limited extent (please give details below)	
c) yes - significant extent (please give details below)	
d) not applicable	
8. Has your country promoted the sharing of relevant technical and scientific information on networks at all levels of protected forest areas and networking modalities in all types of forest ecosystems? (Work Programme, paragraph 17)	
a) no	
b) yes - limited extent (please give details below)	
c) yes - significant extent (please give details below)	
d) not applicable	

Programme element 2: 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

9. Has your country promoted activities for an enhanced understanding of positive and negative human influences on forest ecosystems by land-use managers, policy makers, scientists and other relevant stakeholders) (Work Programme, paragraph 29)	
a) minimal activity	
b) yes - limited extent (please give details below)	
c) yes - significant extent (please give details below)	
d) not relevant	
10. Has your country promoted activities to assemble management experiences and scientific, indigenous and local information at the national and local levels to provide for the sharing of approaches and tools that lead to improved forest practices with regard to forest biological diversity? (Work Programme, paragraph 30)	
a) minimal activity	
b) yes - limited extent (please give details below)	
c) yes - significant extent (please give details below)	
d) not relevant	
11. Has your country promoted activities with the aim of providing options to minimize or mitigate negative and to promote positive human influences on forest biological diversity? (Work Programme, paragraph 31)	
a) minimal activity	
b) yes - limited extent (please give details below)	
c) yes - significant extent (please give details below)	
d) not relevant	

12. Has your country promoted activities to minimize the impact of harmful alien species on forest biological diversity? (Work Programme, paragraph 32)	
a) minimal activity	
b) yes - limited extent (please give details below)	
c) yes - significant extent (please give details below)	
d) not relevant	
13. Has your country identified means and mechanisms to improve the identification and prioritisation of research activities related to influences of human activities, in particular forest management practices, on forest biological diversity? (Work Programme, paragraph 33)	
a) minimal activity	
b) yes - limited extent (please give details below)	
c) yes - significant extent (please give details below)	
d) not relevant	
14. Does your country hold research results and syntheses of reports of relevant scientific and traditional knowledge on key forest biological diversity issues and, if so, have these been disseminated as widely as possible? (Work Programme, paragraph 34)	
a) not relevant	
b) some relevant material, but not widely disseminated	
c) significant material that could be more widely disseminated (please give details below)	
d) yes - already widely disseminated (please give details below)	
15. Has your country prepared case-studies on assessing impacts of fires and alien species on forest biological diversity and their influences on the management of forest ecosystems and savannahs? (Work Programme, paragraph 35)	
a) no - please indicate below whether this is due to a lack of available case-studies or for other reasons	
b) yes - please give below any views you may have on the usefulness of the preparation of case-studies for developing a better biological understanding of the problem and/or better management responses.	

Programme element 3: Methodologies necessary to advance the elaboration and implementation of criteria and indicators for forest biological diversity

16. Has your country assessed experiences gained in national and regional processes, identifying common elements and gaps in existing initiatives and improving indicators for forest biological diversity? (Work Programme, paragraph 43)	
a) minimal activity	
b) yes - limited assessment made (please give details below)	
c) yes - significant assessment made (please give details below)	
d) not relevant	

17. Has your country carried out taxonomic studies and inventories at the national level which provide for a basic assessment of forest biological diversity? (Work Programme, paragraph 43)

a) minimal activity	
b) yes - limited assessment made (please give details below)	
c) yes - significant assessment made (please give details below)	
d) not relevant	

If you have ticked any of the boxes in questions 5 to 17 above which invite you to provide further details, please do so here.

(Information can include descriptions of methodologies and of activities undertaken, reasons for success or failure, outcomes and lessons learned)

Annex III

GUIDELINES FOR DETAILED THEMATIC REPORTS ON ALIEN SPECIES

The following format for preparation of a thematic report on alien species is a series of relatively simple questions based on those elements of article 8(h) of the Convention, decision IV/1 of the Conference of the Parties and Recommendations IV/4 and V/4 of SBSTTA which are addressed to Contracting Parties. Responses to these questions will help Contracting Parties to review the extent to which they are successfully implementing the provisions of the Convention and will assist the Conference of the Parties to assess the overall status of implementation of the Convention. The wording of questions follows the wording of the Articles and decisions as closely as possible.

The questions are simple in nature in order to facilitate completion of the review. In most cases they require only a tick in one or more boxes. 1/ Following the questions there is a box for further comments. Contracting Parties are invited to provide a more detailed response to the preceding questions at this point. 2/ This is an opportunity to identify particular successes or constraints. In particular this box could be used to identify cases where the reporting of no action or of a partial fulfillment of the obligation is the result of inadequate resources or a need for assistance, rather than a decision not to take action on a particular obligation.

The information provided by Contracting Parties will not be used to rank performance or to otherwise compare implementation between individual Contracting Parties.

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

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

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

Contracting Parties are requested to submit their thematic report on alien species in this format to the Executive Secretary by 30 September 2000. Parties are requested to submit an original signed copy by post and an electronic copy on diskette or by electronic mail. An electronic version of this document will be sent to all national focal points and this will also be available from the Convention's website at:

<http://www.biodiv.org>.

Completed national reports and any comments should be sent to:

1/ If you feel that, in order to properly reflect the circumstances, it is necessary to tick more than one box, please do so. In this case, you are encouraged to provide further information in the box at the end of the set of questions.

2/ Please feel free to append to the report further information on any of the questions.

The Executive Secretary
Secretariat of the Convention on Biological Diversity
World Trade Centre
393 St. Jacques Street West, suite 300
Montreal, Quebec
H2Y 1N9 Canada

Fax: (+1 514) 288 6588
e-mail: secretariat@biodiv.org

/...

Please provide to following details on the origin of this report

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

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

Article 8h Alien species

1. What is the relative priority afforded to implementation of this Article and the associated decisions by your country?					
a) High		b) Medium		c) Low	
2. To what extent are the resources available adequate for meeting the obligations and recommendations made?					
a) Good		b) Adequate		c) Limiting	d) Severely limiting
3. Has your country identified alien species introduced?					
a) no					
b) only major species of concern					
c) a comprehensive system tracks introductions					
4. Has your country developed national policies for addressing issues related to alien invasive species?					
a) no					
b) yes - as part of a national biodiversity strategy (please give details below)					
c) yes - as a separate strategy (please give details below)					
5. Has your country assessed the risks posed to ecosystems, habitats or species by the introduction of these alien species?					
a) no					
b) only some alien species of concern have been assessed					
c) most alien species have been assessed					
6. Has your country undertaken measures to prevent the introduction of, control or eradicate those alien species which threaten ecosystems, habitats or species?					
a) no measures					
b) some measures in place					
c) potential measures under review					
d) comprehensive measures in place					

Decision IV/1 Report and recommendations of the third meeting of SBSTTA

7. Is your country collaborating in the development of projects at national, regional, sub-regional and international levels to address the issue of alien species?					
a) little or no action					
b) discussion on potential projects under way					
c) active development of new projects					

8. Does your national strategy and action plan address the issue of alien species?	
a) no	
b) yes - limited extent	
c) yes - significant extent	

Case-studies

9. Has your country submitted case-studies on the prevention of introduction, control, and eradication of alien species that threaten ecosystems, habitats or species, in response to the call by the fourth meeting of SBSTTA?	
a) no - please indicate below whether this is due to a lack of available case-studies or for other reasons	
b) yes - please give below any views you may have on the usefulness of the preparation of case-studies for developing a better biological understanding of the problem and/or better management responses.	
10. How many case-studies are available that could be used to gain a better understanding of the issues surrounding alien species in your country?	
a) none	
b) 1-2 - limited understanding	
c) >2 - significant information available	

Transboundary issues

11. Are known alien invasive species in your country also a problem in neighbouring or biogeographically-similar countries?	
a) not known	
b) none	
c) a few - but in general alien invasive species problems are specific	
c) more than a few - in general we share common problems with other countries	
12. Is your country collaborating in the development of policies and programmes at regional, sub-regional or international levels to harmonise measures for prevention and control of alien invasive species?	
a) little or no action	
b) discussion on potential collaboration underway	
c) development of collaborative approaches for a limited number of species	
d) consistent approach and strategy used for all common problems	

Further comments

--

Annex IV

GUIDELINES FOR DETAILED THEMATIC REPORTS ON BENEFIT-SHARING

The following format for preparation of a thematic report on benefit-sharing is derived from a series of matters identified by the Panel of Experts on Access and Benefit-sharing as requiring further study. In addition, Contracting Parties are invited to submit succinct case-studies in accordance with the indicative outline below.

Such information will help Contracting Parties to review the extent to which they are successfully implementing the provisions of the Convention and will assist the Conference of the Parties to provide further guidance on ways and means to implement this objective of the Convention.

In order to assist with the review and synthesis of the information in the reports, respondents are asked to ensure that the information provided is closely related to the preceding questions and is as succinct as possible. There is no set limit on length, but it is anticipated that Parties will be able to provide adequate and useful information in a few pages. An indicative length for case-studies is contained in the outline.

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

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

Contracting Parties are requested to submit their thematic report on benefit-sharing in this format to the Executive Secretary by 30 December 2000. Parties are requested to submit an original signed copy by post and an electronic copy on diskette or by electronic mail. An electronic version of this document will be sent to all national focal points and this will also be available from the Convention's website at:

<http://www.biodev.org>.

/...

Completed national reports and any comments should be sent to:

The Executive Secretary
Secretariat of the Convention on Biological Diversity
World Trade Centre
393 St. Jacques Street West, suite 300
Montreal, Quebec
H2Y 1N9 Canada

Fax: (+1 514) 288 6588
e-mail: secretariat@biodiv.org

/...

Please provide to following details on the origin of this report

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

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

I. Please provide the views of your country on the following issues:

Intellectual property and traditional knowledge related to genetic resources

- (a) How to define relevant terms including subject matter of traditional knowledge and scope of existing rights;
- (b) Whether existing intellectual property rights regimes can be used to protect traditional knowledge;
- (c) Options for the development of *sui generis* protection of traditional knowledge rights.
- (d) The relationship between customary laws governing custodianship, use and transmission of traditional knowledge, on the one hand, and the formal intellectual property system, on the other;
- (e) Means by which holders of traditional knowledge, including indigenous peoples, may test means of protection of traditional knowledge based on existing intellectual property rights, *sui generis* possibilities, and customary laws;
- (f) How to ensure that granting intellectual property rights does not preclude continued customary use of genetic resources and related knowledge;

Intellectual property rights and access and benefit-sharing agreements

- (g) Ways to regulate the use of resources in order to take into account ethical concerns;
- (h) Ways to ensure the continued customary use of genetic resources and related knowledge;
- (i) How to make provision for the exploitation and use of intellectual property rights to include joint research, obligation to work any right on inventions obtained or provide licenses;
- (j) How to take into account the possibility of joint ownership of intellectual property rights.

/...

Indicative Outline for Case-studies on Benefit Sharing Arrangements

To the extent possible case-studies should be short, succinct summaries of experiences of 15-20 pages (5 to 10 000 words). A case-study should focus on the planned/actual benefit-sharing arrangements and their outcomes, the reasons for the outcome and the lessons learned. Footnotes are welcome, if they provide useful sources for further information.

Case-studies should follow, to the extent possible, the proposed structure outlined below. However, as there will be structural differences between those case-studies related to policy and law and those describing concrete activities, such as the bio-prospecting arrangements with local or indigenous communities or the specific management of a protected area for those arrangements, not all sections of the questionnaire will be applicable to every case-study. The outline is therefore meant to be an indicative one. If an author of a case-study feels it is useful to include facts or conclusions not covered by the outline, the outline may be adjusted accordingly.

1. Overview (1 - 3 pages)

Summary of the case-study including

(a) Main actors involved: A short description of the different stakeholders, i.e. who was/is involved in the arrangements leading to benefit sharing (both providers and beneficiaries):

- Governments - national level and/or regional/local authorities;
- universities and research/training institutes;
- private company/entrepreneurs;
- non profit making associations/NGOs;
- local and/or indigenous communities/individuals;

(b) The ecosystem, species and genetic resources concerned:

(c) The type of benefit-sharing arrangements and the expected results: What kind of arrangements/partnership/relationship is the basis for action. This can be, for instance:

- a short term or long term arrangement;
- consist in a written and/or verbal contract/ agreement/ understanding (including umbrella agreements as well as specific arrangements);
- they might be individual, communal, or public agreements;
- it could also consist in the national, regional or local legislation or policy for genetic resource use.

(d) The time-frame addressed:

(e) Its relevance to the Convention (e.g. which objective(s) or Article(s)), and to the decisions of the COP and/or to the recommendations of SBSTTA.

2. Description of the context (1 - 3 pages)

Description of the status of the ecosystem, the species and the genetic diversity relevant to the activities and benefit-sharing arrangements presented in the case-study. This should include a brief description of the situation regarding:

- (a) The biological resources in question, including threats, pressures and trends as well as underlying causes, use and management;
- (b) The physical environment in which the biological resources are located, including the factors mentioned under (a);
- (c) The institutional and organisational structure of local communities and concerned institutions including their decision-making processes (as far as those communities or institutions are not stakeholders of the benefit-sharing arrangement);
- (d) Where a legal or policy measure is the subject of the case-study, the relevant regional, national and/or local framework should be described.

3. Purpose/Objectives of the Benefit-sharing Arrangements (1 - 2 pages)

A description of the reasons and objectives for the different actors to have entered into the benefit-sharing arrangements or to have set up the legal and policy measures. This section should include, inter alia:

- (a) The primary motivations/objective, for instance:
 - Financial and/or employment;
 - Access to genetic resources (including systems of protection and property rights);
 - Access to knowledge, innovations and practices (including information exchange);
 - Improved understanding and awareness);
 - Access to research and training (acquisition of knowledge and skills);
 - Scientific and technical cooperation;
 - Commercialization/ trade;
 - Environmental protection;
- (b) Whether the arrangements contribute to more general long term objectives such as social and economic development, livelihood security and well being, food security, trade, environmental protection;
- (c) Where possible, the identification of whether the underlying motivation can be attributed to one or more of the objectives of the Convention (conservation, sustainable use and/or equity) and/or to specific obligations of the Convention i.e. decisions and recommendations.

4. Process for Establishing the Arrangements (1-2 pages)

A brief description of how the arrangements were established and negotiated:

/...

(a) To what extent did the different stakeholders participate in the negotiations regarding the benefits;

(b) What enforcement/compliance measures, if any, were included;

(c) To what extent did the different partners have the necessary skills for negotiating and bargaining (knowledge, information, access, bargaining skills).

5. Content and implementation of the arrangements (4-6 pages)

Description of the activities relevant to the implementation of the benefit sharing arrangements, inter alia:

(a) The different inputs, contributions, actions and responsibilities, rights and obligations of each stakeholder/actor (the providers and the beneficiaries). The contributions could include, for example:

- Research assistance;
- Samples/accessions of plant/animal/microbial genetic resources;
- Information and/or knowledge, i.e. Of the ecosystem/genetic resources;
- Health care, welfare;
- Money, capital, markets, employment;
- Food supply;
- Environmental protection.

(b) the different benefits that each stakeholder derived from the arrangements. Include how these benefits were identified and assessed (indicators and process). The identified benefits arising out of the arrangements in relation to the objectives of the Convention could include:

- Direct/indirect;
- Short term/long term;
- Monetary/non-monetary;
- Individual/public (cross-reference where appropriate with section 4).

(c) The mechanisms for sharing benefits. Describe the modalities and mechanisms for transferring/sharing-out the benefits including:

- Directly or indirectly (for instance through a trust fund); time specific or over time;
- How do they reach the different partners, i.e. Mechanism of distribution in the community or in the nation state;
- How are they utilised to further benefit the stakeholders.

(d) Where the case-study relates to measures in policy and legislation:

- How will compliance with the new regulations be ensured?
- Which institutions will be responsible for the control or administration of the measures?

/...

6. Policy, legislative and administrative context (2 pages)

(a) How does the legislation and policy environment of the country influence the results and findings of the case-study, including application of national and community laws?

(b) Which specific regulations and/or policies were helpful and why?

(c) What specific policy, social, economic, cultural and environmental constraints have been identified and which need to be addressed at different levels. The assessment should consider, inter alia, the following areas:

- Access legislation, education, information, land tenure, intellectual property rights, traditional resource rights, administrative procedure, taxation, trade, investment, policies.

(d) Where the case-study is itself an example of policy or legal measures, this section could include reference to other relevant policies or legal or administrative issues that may influence the impact of the described case-study.

7. Impact on conservation (1-2 pages)

This section should include:

(a) What kind of impact does the activity have (actual and or potential) on the conservation of biological diversity:

- On genetic and species diversity;
- On the ecosystem in general;
- On most important (e.g., keystone, indicator, economic or cultural) species;

(b) How was the impact identified and assessed (indicators, process)?

8. Policy relevant conclusions: lessons learned and replicability (2 pages)

This section should analyse:

(a) Lessons learned

- How would you assess the case-study with regard to the actual/potential effectiveness of the benefit-sharing arrangements?
- Identify both negative and positive aspects which determine its success or failure.
- Do you consider that the benefits were shared in a fair and equitable way? On what evaluation are you basing your assessment?
- Identify the most important constraints to and opportunities for the identification and adoption of economically, socially and culturally sound benefit-sharing arrangements to promote the conservation and sustainable use of biological diversity

(b) Transferability of the experience:

- Assess whether the case-study could be considered representative and could be replicated . If so, what would you propose should be done differently now if there were the opportunity to replicate

the experience: with the same/other actors; in the same environment/elsewhere; with the same/different genetic resources;

- In addition specify what information is available and what further research may be needed to improve the case-study and to develop proposals for further replication;
 - What are the minimum institutional, ecological and socio-economic/market requirements that would have to be met to allow the experience to be replicated?
- (c) Possible policy advice for implementation:
- Outline what policy conclusions and recommendations can be drawn from the case-study.
