

13 June 2000

Dear Sir/Madam,

Please note that at the fifth meeting of the Conference of the Parties to the Convention on Biological Diversity (COP V), held in Nairobi, Kenya from 15 to 26 May 2000, the importance of preparing case studies for the main thematic areas and cross-cutting issues of the Convention, and their disseminating thereof was again stressed. I refer to decisions V/3, V/5, V/6, V/7, V/8, V/15, V/18, V/24, which I attach for your information.

The compilation and analysis of such case studies is a central feature of several work programmes under the Convention. However, to date, very few have been supplied to the Secretariat. Therefore, the Secretariat wishes to make a renewed request for any available case studies in order to disseminate this information through its Clearing-House Mechanism to Parties who urgently need to benefit from the experience of others in order to implement the decisions of the Convention. We would like to receive this information **on or before 6 October, 2000**.

An outline for case studies on Alien Species (from UNEP/CBD/COP/5/3) and an indicative outline on agricultural biological diversity (from UNEP/CBD/COP/5/INF/10) are attached for guidance. These checklists could easily be adapted for the other thematic areas and cross-cutting issues of the Convention.

I would like to take this opportunity to thank you for your continued cooperation and support towards the work of the Convention.

Yours sincerely

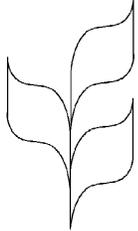
Hamdallah Zedan
Executive Secretary

To all National Focal Points to the Convention on Biological Diversity

Attachments: - COP-5 decisions
- the Indicative Outline for Case Studies
- Outline for Case Studies

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08 June 2000



CONVENTION ON BIOLOGICAL DIVERSITY

DECISIONS PERTINENT TO CASE STUDIES AS ADOPTED BY THE FIFTH CONFERENCE OF THE PARTIES TO THE CBD

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

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

IV. ALIEN SPECIES AND GENOTYPES

14. Requests the Executive Secretary to make use of existing information, expertise and best practices on alien species in the marine environment in the implementation of the work programme on alien species under decision IV/1 C;

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

Activities

2.1. Carry out a series of case-studies, in a range of environments and production systems, and in each region:

(a) To identify key goods and services provided by agricultural biodiversity, needs for the conservation and sustainable use of components of this biological diversity in agricultural ecosystems, and threats to such diversity;

(b) To identify best management practices; and

(c) To monitor and assess the actual and potential impacts of existing and new agricultural technologies.

This activity would address the multiple goods and services provided by the different levels and functions of agricultural biodiversity and the interaction between its various components, as set out in the appendix hereto with a focus on certain specific and cross-cutting issues, such as:

(a) The role and potential of wild, under-utilized and neglected species, varieties and breeds, and products;

(b) The role of genetic diversity in providing resilience, reducing vulnerability, and enhancing adaptability of production systems to changing environments and needs;

(c) The synergies and interactions between different components of agricultural biodiversity;

(d) The role of pollinators, with particular reference to their economic benefits, and the effects of introduced species on indigenous pollinators and other aspects of biological diversity;

(e) The role of soil and other below-ground biodiversity in supporting agricultural production systems, especially in nutrient cycling;

(f) Pest and disease control mechanisms, including the role of natural enemies and other organisms at field and landscape levels, host plant resistance, and implications for agro-ecosystem management;

(g) The wider ecosystem services provided by agricultural biodiversity;

(h) The role of different temporal and spatial patterns in mosaics of land use, including complexes of different habitats;

(i) Possibilities of integrated landscape management as a means for the conservation and sustainable use of biodiversity.

V/6. Ecosystem approach

4. Requests the Executive Secretary to collect, analyse and compare the case-studies referred to in paragraph 3 above, and prepare a synthesis of case-studies and lessons learned for presentation to the Subsidiary Body on Scientific, Technical and Technological Advice prior to the seventh meeting of the Conference of the Parties;

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

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

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

2. Endorses the outline for case-studies contained in the annex to the present decision;

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

4. Requests the Convention's clearing-house mechanism to disseminate and compile these case-studies;

V/15. Incentive measures

2. Decides that the activities of the programme of work should result in the following:

(a) The assessment of representative existing incentive measures, review of case-studies, identification of new opportunities for incentive measures, and dissemination of information, through the clearing-house mechanism and other means, as appropriate;

V/18. Impact assessment, liability and redress

5. Requests also the Executive Secretary:

(a) To disseminate case-studies received;

(b) To renew the call for further case-studies, including case-studies on negative impacts and, in particular, on impact assessments that take the ecosystem approach into account;

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

1. Requests the Executive Secretary to invite organizations involved in sustainable use initiatives, and other relevant organizations, to gather, compile and disseminate through the clearing-

house mechanism and other means, case-studies on best practices and lessons learned from the use of biological diversity under the thematic areas of the Convention, drawing on the experience of Parties, Governments, relevant organizations, the private sector and indigenous and local communities;

Extract from the Report of the fifth meeting of the Subsidiary Body on
Scientific, Technical and Technological Advice

Annex II

OUTLINE FOR CASE-STUDIES ON ALIEN SPECIES

To the extent possible, case-studies should be short and succinct summaries of experience on alien species at the country and regional levels. A case-study should focus on the prevention of introduction, control, and eradication of alien species that threaten ecosystems, habitats or species.

Case-studies should include the following sections (a summary of the information may be provided under each heading, and a more detailed paper may be attached; if the information were not available, this should be indicated in the appropriate section):

1. Description of the problem

- (a) Location of the case-study
- (b) History (origin, pathway and dates, including time-period between initial entry/first detection of alien species and development of impacts) of introduction(s)
- (c) Description of the alien species concerned: biology of the alien species (the scientific name of species should be indicated if possible) and ecology of the invasion(s) (type of and potential or actual impacts on biological diversity and ecosystem(s) invaded or threatened, and stakeholders involved)
- (d) Vector(s) of invasion(s) (e.g. of deliberate importation, contamination of imported goods, ballast water, hull-fouling and spread from adjacent area. It should be specified, if known, whether entry was deliberate and legal, deliberate and illegal, accidental, or natural)
- (e) Assessment and monitoring activities conducted and methods applied, including difficulties encountered (e.g. uncertainties due to missing taxonomic knowledge)

2. Options considered to address the problem

- (a) Description of the decision-making process (stakeholders involved, consultation processes used, etc.)
- (b) Type of measures (research and monitoring; training of specialists; prevention, early detection, eradication, control/containment measures, habitat and/or natural community restoration; legal provisions; public education and awareness)
- (c) Options selected, time-frame and reasons for selecting the options
- (d) Institutions responsible for decisions and actions

3. Implementation of measures, including assessment of effectiveness

- (a) Ways and means set in place for implementation

- (b) Achievements (specify whether the action was fully successful, partially successful, or unsuccessful), including any adverse effects of the actions taken on the conservation and sustainable use of biodiversity
- (c) Costs of action

4. Lessons learned from the operation and other conclusions

- (a) Further measures needed, including transboundary, regional and multilateral cooperation
- (b) Replicability for other regions, ecosystems or groups of organisms
- (c) Information compilation and dissemination needed

IV: INDICATIVE OUTLINE FOR CASE STUDIES ON
AGRICULTURAL BIOLOGICAL DIVERSITY.

Background

Within the programme of work on agricultural biodiversity, the Conference of Parties has called for case studies on soil biota, pollinators, and landscape and farming systems (Decisions III/11 and IV/6). The draft programme of work as elaborated by SBSTTA (Recommendation V/10) makes provision for case studies on various topics to identify management practices, technologies and policies that promote the positive and mitigate the negative impacts of agriculture on biodiversity, and enhance productivity and the capacity to sustain livelihoods, and more specifically:

- (a) to identify key goods and services provided by agricultural biodiversity; needs for the conservation and sustainable use of components of this biological diversity in agricultural ecosystems; and threats to such diversity;
- (b) to identify best management practices; and
- (c) to monitor and assess the actual and potential impacts of existing and new agricultural technologies.

Additionally, SBSTTA recommendations V/11 and V/12 call for case studies on the application of the ecosystem approach and on best practices for the sustainable use of biological diversity, including studies within the context of the thematic areas of the Convention.

The use of a common framework is suggested to facilitate synthesis of lessons learnt from the case studies and integration of the ecosystem approach and considerations of sustainable use. The following indicative outline will be further developed and refined in the light of the decisions of COP-5 and other feedback received.

Indicative Outline

Overview: In one page, please provide a summary of the case study using bullet points to highlight: the context/problem to be solved; the objectives; the approach; application of the ecosystem approach; and lessons learnt.

I. Background/Problem statement: Please describe the context or situation of the case study, and identify problem that is addressed by the activities of the case. Consideration of threats to biological diversity, the goods and services derived from it, and the distribution of benefits among stakeholders may be included, and, if known, the underlying causes of such threats may be described.

II. Objectives/Purpose of the Activities: Please provide, in one or few sentences the main objective(s) of the activities proposed and/or carried out.

III. Details of the case study and the approach taken: Please describe the activities, the approach taken, and the main actors involved

IV. Analysis: Please analyse the case study in the framework of the various programmes of the Convention, using, as appropriate the checklist in Appendix 1. (Note, this should be used as an aide memoir. It is not necessarily appropriate to address each and every part in the appendix). This section might be presented in tabular form, and should complement section III.

V. Conclusions.

A. Outcome of the activities. Please provide a brief note of the results, or expected results, of the case study, and the extent to which the objectives were met.

B. Lessons Learnt. Please highlight any critical factors that led to the success or failure of any of the activities carried out. It would be useful to note any practical conclusions that would assist others in carrying out similar activities, as well any policy-relevant lessons.

Appendix: Checklist for the analysis of the case study (section IV)

A. Application of the Ecosystem Approach.

1. Describe how the case study illustrates any of the 12 principles of the ecosystem approach under the Convention (see SBSTTA recommendation V/10), and identify any constraints in applying these principles.
2. For the case study:
 - (a) Identify the goods and services provided by biodiversity in the area of case study (and additional ones that could be provided with improved management);
 - (b) Identify the beneficiaries of these goods and services, who should as well as additional groups be beneficiaries, their participation and barriers in the benefits;
 - (c) Describe approaches to adaptive management noting, what works and what does not;
 - (d) Describe scale(s) of management, used, additional scale(s) of management needed to address the problem, and any barriers to exercising management at the appropriate scales.
 - (e) Identify sectors involved, and those that should be involved, and identify changes required to provide an enabling policy environment.

B. Relevance to the operational objectives of the Programme of Work on Agricultural Biological Diversity

3. Indicate whether and how the case study contributes to:

- (a) An assessment of status and trends of the world's agricultural biodiversity and of their underlying causes;
- (b) The identification of management practices, technologies and policies that promote the positive and mitigate the negative impacts of agriculture on biodiversity, and enhance productivity and the capacity to sustain livelihoods;
- (c) Strengthening of the capacities of farmers, their communities, and organizations and other stakeholders, including agro-enterprises, to manage agricultural biodiversity, and the promotion increased awareness and responsible action;
- (d) The development of national plans or strategies for the conservation and sustainable use of agricultural biodiversity and their mainstreaming and integration in sectoral and cross-sectoral plans and programmes.

C. Relevance to the thematic work programmes of the Convention

4. Indicate whether or not the case study is relevant to the following thematic areas, and if possible how they are relevant:

- (a) Forest biological diversity
- (b) Marine and Coastal biological diversity
- (c) Biological diversity of inland waters
- (d) Biological diversity of dry and sub-humid lands (including Mediterranean, Savannah and Grasslands)
- (e) Biological diversity of mountain areas

D. Relevance to the cross-cutting workprogrammes of the Convention

5. Indicate whether or not the case study is relevant to the identification, control or mitigation of the effects of invasive alien species.

6. Indicate whether or not the case study employs indicators of biological diversity, or of impacts on biological diversity.

7. Indicate whether the case study employs the use of incentive measures, or identifies perverse incentives.

8. Indicate whether the case study employs impact assessments (environmental, socio economic) or indicates the need for impact assessments.

9. Indicate whether the case study employs the use of benefit-sharing measures.

10. Indicate whether the case study draws upon the knowledge, innovations and practices of indigenous and local communities and whether it contributes to the protection and wider application of such knowledge, innovations and practices.

11. Indicate any other measures taken to promote the sustainable use of biological diversity.

12. Indicate if the case study is part of, or contributes to, a National Biodiversity Strategy and Action Plan.