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## FURTHER GUIDELINES FOR THE PREPARATION OF NATIONAL REPORTS

*Draft for discussion and comment*

### I. INTRODUCTION

1. Contracting Parties are in the process of preparing national reports for submission to the Secretariat at the beginning of January, prior to the forthcoming Conference of the Parties (COP) in Bratislava, Slovakia. A number of Contracting Parties have expressed the need for clearer guidance on the form and content of national reports, and it is recognised that, if the reporting objectives of the Convention are to be achieved, these reports will need to be accurate, comparable and useful.
2. Development of more detailed guidelines for use by Contracting Parties will certainly help achieve greater clarity and utility, and will also assist Contracting Parties by giving them a clearer outline to follow. Guidelines will also contribute to the process of harmonisation of reporting with other Conventions. Recognising this, the Commonwealth Secretariat has contracted the World Conservation Monitoring Centre to compile guidelines for national reporting which draw together and build on existing advice and decision.
3. *Guidelines for National Reporting* are therefore being compiled which aim to assist Contracting Parties by providing a framework which:
  - relates directly to the text of the Convention
  - is based on information required by COP Decision
  - takes account of related SBSTTA discussion
  - takes account of other guidelines recommended by COP Decision
  - is based on information that would be required by Contracting Parties anyway in monitoring their own performance
  - recognises the need for international assessment and comparison

### II. CONTEXT FOR NATIONAL REPORTING

4. Article 26 of the Convention states that "*Each Contracting Party shall, at intervals to be determined by the Conference of the Parties, present to the Conference of the Parties reports on measures which it has taken for the implementation of the provisions of this Convention and their effectiveness in meeting the objectives of this Convention*". Provisions of the Convention which define national responsibilities are summarised in Annex 1.
5. Decision II/17 of the COP concerning the *Form and interval of national reports by Parties*,

specifies that the first national reports will be due at the fourth meeting of the COP and that they "*will focus .... on the measures taken for the implementation of Article 6 of the Convention, as well as the information available in national country studies*". Suggested guidelines are annexed to the Decision.

6. Decision III/9 of the COP concerning the *Implementation of Articles 6 and 8 of the Convention* specifies that the first national reports referred to in decision II/17 should be submitted no later than 1 January 1998, taking into account Decision III/25 of the COP that the next meeting would take place in Bratislava, Slovakia, in May 1998.

7. Other COP decisions also have explicit implications for national reporting (COP Decisions which define national responsibilities are summarised in Annex 2).

7.1 Decision II/8 which encourages parties to "*identify priority issues specifically related to those components of biological diversity under threat*" within their national reports.

7.2 Decision III/6 which urges developed country Parties to submit information on *their financial support for the objectives of the Convention* in their national reports.

7.3 Decision III/11 requesting Parties to "*identify issues and priorities [concerning conservation and sustainable use of agricultural biological diversity] that need to be addressed at the national level and to report back to the Conference of the Parties*".

7.4 Decision III/14, which urges Parties to "*supply information about the implementation of Article 8 (j) and related articles ... and to include such information in national reports*".

8. The report of the second meeting of the Subsidiary Body on Scientific, Technical and Technological Advice (UNEP/CBD/COP/3/3) also raised a number of significant issues, including *inter alia* the need for:
  - development and refinement of guidelines for national reporting
  - a core set of measurable and policy-relevant indicators for national reporting
  - harmonisation in approach to allow comparison and facilitate development of overviews
  - flexibility in approach to allow for widely varying conditions and national capacities
  - coordination with related international conventions and processes

### III. NATIONAL REPORTING AND BIODIVERSITY INFORMATION MANAGEMENT

9. In implementing the Convention, all Contracting Parties should be seeking to improve the ways in which they manage biodiversity information, and the ways in which they use that information in their decision-making processes.
10. Mechanisms for doing this are described in the *Guide to Information Management in the context of the Convention on Biological Diversity* compiled by WCMC in collaboration with UNEP. WCMC earlier collaborated with UNEP in the development of *Guidelines for Country Studies on Biological Diversity*, which aimed to assist countries in assessing the status and value of their biodiversity as a precursor to the development of national strategies and action plans.
11. National reports should as far as possible be based on information that Contracting Parties *would require anyway* in order to monitor their own actions, and to ensure that they are complying with their obligations. National reporting guidelines therefore need to be developed in the context of biodiversity information management *within the country*, and address two separate but related questions.
  - What are the status and trends in biodiversity and the factors which affect biodiversity

- conservation and use?
- What is the status of implementation of the articles of the Convention and the COP decisions that apply to contracting parties?

#### IV. COMPARISON AND SUMMARY

12. Decision II/17 requests the Executive Secretary to *prepare a report based on the synthesis of information contained in national reports*. In order to produce a useful and meaningful summary report, the national reports on which the summary report is largely (but not exclusively) based must be reasonably consistent in format, and must include information that is comparable across reports.

#### V. TARGETS AND INDICATORS

13. The establishment of targets, and the use of indicators in assessing the degree to which the targets are being met is an essential part of assessing progress in implementation of the Convention. Decision III/9 concerning implementation of Articles 6 and 8 encourages all Contracting Parties to *set measurable targets in order to achieve biological diversity and sustainable use objectives*, and Decision III/10 concerning implementation of Article 7 urges Contracting Parties to *identify indicators of biological diversity*.
14. SBSTTA Recommendation II/1 recognised the importance of developing a *core set of indicators for national reports* and proposed a *listing of current approaches to indicator development to be tabled at the next meeting of the SBSTTA and recommendations for a preliminary core set of indicators of biological diversity, particularly those related to threats*. SBSTTA established a liaison group on biological diversity indicators which is reporting at this meeting.
  - UNEP/CBD/SBSTTA/3/9 *Recommendations for a Core Set of Indicators on Biological Diversity*
  - UNEP/CBD/SBSTTA/3/Inf. 11 *Implementation of Article 7: Report of the Meeting of a Liaison Group on Biological Diversity Indicators*
  - UNEP/CBD/SBSTTA/3/Inf. 13 *Recommendations on a Core Set of Indicators of Biological Diversity: background document prepared by the liaison group*
15. The Global Biodiversity Forum meeting *Dialogue on Biodiversity Indicators and Implementation Targets* (UN Headquarters, April 1997) was organized to discuss and exchange information on the wide range of national-level biodiversity indicators and targets that Contracting Parties could use as tools for setting goals and measuring progress. The report of this meeting is available as:
  - UNEP/CBD/SBSTTA/3/Inf. 14 *Exploring Biodiversity Indicators and Targets under the CBD*
16. Following the GBF meeting, four of the organizers have worked further on identifying more specifically how Contracting Parties could use indicators and targets in reviewing implementation of Article 6 of the Convention in particular. This paper is intended to aid Contracting Parties in preparation of the first set of national reports.
  - UNEP/CBD/SBSTTA/3/Inf. 15 *Strengthening the First Set of National Reports under the Convention on Biological Diversity: a discussion paper on indicators, targets and other types of information*

#### VI. GLOBAL BIODIVERSITY OUTLOOK

17. Decision II/1 endorses SBSTTA Recommendation I/6 on the preparation of a *Global Biodiversity Outlook* (GBO). It is anticipated that the GBO, which would be compiled by the Secretariat, would be instrumental in dissemination of information and the results of scientific

and technical research *relevant to the conservation and the sustainable use of biological diversity*.

18. Given the potential size of the task implied, the Secretariat has decided that the most efficient approach is to produce thematic editions of the GBO on a periodic basis to coincide with meetings of the COP.
19. One of the primary sources of information for each GBO will be the material contained in the national reports. It therefore seems appropriate that Contracting Parties should be informed *in advance* of the proposed coverage of forthcoming GBOs, and asked to include appropriate information in their national reports.

## VII. IMPLEMENTATION OF ARTICLE 6

20. Decision II/17 of the COP concerning the *form and interval of national reports by Parties*, specifies that the first national reports "*will focus .... on the measures taken for the implementation of Article 6 of the Convention*". Decision II/7 of the COP encourages Contracting Parties in implementing Article 6 of the Convention to "*take into account existing guidelines such as 'National Biodiversity Planning' published by*" UNEP, WRI and IUCN.
21. According to *National Biodiversity Planning* the following are essential elements to be included in a monitoring and evaluation programme (and hence form the basis for reporting at national and international levels):
  - status and trends of the nation's biodiversity, use of biodiversity resources and functions, and threats to these resources and services
  - shifts in selected social, political and economic factors
  - shifts in human, institutional, facility and funding capacity
  - changes in the policy and legal framework for natural resources
  - changes in the use of biological resources and their sustainability
  - trends in the monetary and non-monetary values of biodiversity and current expenditure and investments
  - impacts of implementing activities and policies of the biodiversity plan(s) vis-a vis conservation, sustainability, and equity.

## VIII. GUIDING PRINCIPLES IN DRAFTING NATIONAL REPORTS

22. Given that Contracting Parties vary considerably in size, biodiversity, capacity and capability, it is difficult to provide a precise definition of exactly what each Contracting Party should provide in its national report. The following ten *Guiding Principles* are intended to assist Contracting Parties in interpreting the guidelines that are provided in the following sections.
  - a) Base the report on information that is required already by the national focal point to ensure that the country is meeting the commitments made in acceding to the Convention.
  - b) Ensure that the report covers the priority areas identified by the COP in its decisions, and as interpreted by SBSTTA and the Secretariat.
  - c) Cover what is relevant to implementation of the Convention, not just what is being done because the Convention has been acceded to.
  - d) Emphasise progress in development and implementation of the *National Biodiversity Strategy* and/or *National Biodiversity Action Plan*.
  - e) Summarise the current status and trends in biodiversity, biodiversity "services", use and

threats, and progress in development of programmes to evaluate and monitor these.

f) Avoid repeating information from national biodiversity strategies and action plans, or national country studies and state of environment reports (they can be appended).

g) Concentrate on measurable progress since the last report, and identify the progress that is expected before the next report is due.

h) Use indicators to show progress in achieving targets set in the *National Biodiversity Strategy* and/or *National Biodiversity Action Plan*, and in previous reports.

i) Emphasise information that will help other Contracting Parties in their implementation of the Convention, in particular both good practice and bad experience.

j) Design reports that are useful for multiple purposes with minimal modification, for example as material for journalists, or education.

## IX. CURRENT EXPERIENCE IN DRAFTING NATIONAL REPORTS

23. Guidelines for national reporting on the implementation of Article 6 already exist as an annex to Decision II/17 of the COP. Attempts to use these guidelines by national focal points in several countries have highlighted various difficulties, including:
- how long the report should be, and how much depth it should go into
  - the period of time the first report should cover
  - apparent duplication between sections
  - unnecessary duplication between the report and other *existing* documents
  - provision of meaningful budget figures
  - whether the report should only cover activities which are a direct *result* of CBD adherence, or also cover other relevant activities
  - how to report on implementation of COP decisions
  - what to report on sustainable use, and on fair and equitable sharing of resources

## X. REVISION OF STRUCTURE AND CONTENT OF NATIONAL REPORTS PROPOSED IN DECISION II/17

24. Given that the COP have already provided *suggested guidelines for national reporting* (Annex to Decision II/17), and given that a number of Contracting Parties will already be developing national reports based on these guidelines, a sensible approach to providing revised guidelines is to adjust the existing guidelines based on experience to date and the guiding principles identified above.

### *a) Executive Summary*

- Identify the key elements of the national report that are going to be of interest to the Secretariat and to other Contracting Parties
- SUBSEQUENT REPORTS WOULD HIGHLIGHT SIGNIFICANT CHANGE

### *b) Goals and Objectives*

- Summarise national goals and objectives in conservation and sustainable use of biological diversity, and relate these to the objective of the Convention (Article 1)
- Relate this to other international agreements and programmes which the nation participates in

### *c) Background*

- Assessment of the status and trends in biodiversity, including agricultural biological

diversity

- Assessment of the value of biodiversity, in terms of both conservation and sustainable use
  - Assessment of the legal and policy framework for biodiversity conservation and use, and the extent to which biodiversity concerns are addressed in national planning
  - Assessment of institutional responsibilities and capacity
  - Assessment of threats to biodiversity and its management, both direct and indirect
  - Annex copies of relevant country studies, state of environment reports, etc.
- SUBSEQUENT REPORTS WOULD CONCENTRATE ON CHANGES IN STATUS, THE FIRST REPORT PROVIDING A BENCHMARK AGAINST WHICH SUCH CHANGE CAN BE ASSESSED

**d) Strategy**

- Status of development and implementation of the national biodiversity strategy and other relevant strategies, and details of how they relate
- Constraints anticipated and encountered in implementation of the strategy, and experience in dealing with these
- Annex copies of relevant strategy documents

**e) Action Plan** [combined with previous section if this is more appropriate]

- Status of development and implementation of the national biodiversity action plan and other relevant action plans and programmes, and details of how they relate
- Constraints anticipated and encountered in implementation of plans, and experience in dealing with these
- Annex copy of relevant action plans

**f) Collaboration and Partnership**

- Report on progress in ensuring the involvement and acceptance of all sectors in the implementation of biodiversity objectives into national planning and development
- Report on the levels of involvement of different organizations in implementation of the Convention at the national level
- Report of the degree of collaboration with international organizations, and national organizations from other countries
- Report on progress in raising public awareness of the benefits and importance of biological diversity

**g) Resource availability**

- Summary analysis of the budget required for implementation of the strategies and action plans discussed, and the available funds for achieving implementation
- Summary analysis of the manpower and skills required for implementation of the strategies and action plans, compared with the available resources
- Summary analysis of international technical and financial cooperation given and/or received relevant to implementation of the strategies and action plans

**h) Schedule**

- Assess the extent to which the timetables specified by the action plan and by COP Decision are being met, and the reasons for any difference.

**i) Monitoring and Evaluation**

- Assess the status of national efforts to monitor and evaluate status and trends in the nations biodiversity (including the services it provides), and in use of and threats to that biodiversity
- Identify key targets and indicators used in assessing status, performance and need
- Outline methods used in tracking implementation of the national action plan, and the effectiveness of the action in achieving its objectives

*j) Sharing national experience*

- Status of national implementation of the *Clearing House Mechanism*, including thematic contributions, and access to national metadatabases
- Case studies on national experience (both bad and good) in implementation of the Convention, concentrating on experiences of potential value to other Contracting Parties

## XI. ADDITIONAL CONTENT FOR FUTURE REPORTS

25. At present the national report concentrates on the *conservation of biological diversity*, and begins to look at *sustainable use of its components*. There is no real attempt in the current approach to report on the third objective of the Convention, the *fair and equitable sharing of the benefits arising from utilization of genetic resources*.
26. It has been recommended (UNEP/CBD/SBSTTA/3/Inf. 15) that reporting on these issues is approached through the development of a text and tables of targets and indicators responding to the following two questions:
- What are the most important measures contained in national biodiversity strategies and action plans to stimulate and promote sustainable uses of biological resources?
  - What are the most important specific measures contained in national biodiversity strategies and action plans to stimulate and promote the equitable sharing of benefits of biodiversity use?
27. At present the national reports concentrate on development and implementation of national biodiversity strategies and action plans. Future reports will need to cover action taken to implement all articles of the Convention and the decisions taken by the Conferences of the Parties. The implications for Contracting Parties of the:
- articles of the Convention are identified in *Annex 1*
  - decisions taken by the COP are identified in *Annex 2*

## XII. OTHER RELATED INTERNATIONAL REPORTING REQUIREMENTS

28. *Convention on International Trade in Endangered Species of Wild Fauna and Flora*: Article VIII, paragraph 7 of the Convention obliges each Party to prepare periodic reports on its implementation of the Convention and to transmit to the Secretariat an annual report containing a summary of trade in specimens of species included in Appendices I, II and III to the Convention; and a biennial report on legislative, regulatory and administrative measures taken to enforce the provisions of the present Convention. The Secretariat produces *Guidelines for the Preparation and Submission of CITES Annual Reports* which can be amended with the concurrence of the Standing Committee. No summary or overview report is compiled.
29. *Convention on the Conservation of Migratory Species of Wild Animals*: Article VI, paragraph 3 of the Convention calls upon parties that are range states of listed species to inform the Conference of the Parties on their implementation of the Convention, and Resolution 4.1 provides an agreed format for those reports (there are in fact *two* formats, one for an *initial comprehensive report*, and one for *updating reports*). Not all countries report, and there is currently no summary or overview report based on the national reports. The reporting system of the Convention and its related agreements is currently under review.
30. *Convention Concerning the Protection of World Cultural and Natural Heritage*: There is no periodic reporting requirement placed on States Party, although there is an expectation that the World Heritage Committee and Secretariat will be kept informed on a number of issues (Convention text and Operational Guidelines).

31. *Convention on Wetlands of International Importance Especially as Waterfowl Habitat*: There are no specific provisions for submission of national reports in the text of the Convention. Recommendation 2.1 of the Conference of the Parties gave authority to the common practice established by the Bureau of submission of national reports prior to the Conference of the Parties. Prior to each Conference of the Parties, the Bureau officially requests submission of a report, and provides an *outline for national reports* to be followed. Summary reports are prepared for the Conference based on the national reports.
32. WCMC is currently working on a feasibility study on the *harmonisation of reporting and information requirements* for the five major international biodiversity-related treaties, with the support of the five treaty secretariats and UNEP.

### XIII. SOURCES OF SUPPORT

33. Currently every Contracting Party should be preparing a national report for submission to the Secretariat by the end of the year. There is therefore clear potential for Contracting Parties to discuss amongst themselves difficulties they are having in completing reports, and to share experience. The SBSTTA meeting is an obvious opportunity for doing this, and it may be profitable to convene a workshop at COP IV to share experience.
34. The Secretariat has the broadest possible overview of the Convention and the progress being made by Contracting Parties in developing strategies, action plans and national reports. The Secretariat is currently not fully staffed, but must be in the best place to provide advice on the form and content of national reports.
35. The Global Environment Facility, through its three implementing agencies the World Bank, UNEP and UNDP is currently supporting the development of national strategies and action plans in a substantial number of countries. There is potential for sharing of experience on development of national reports within the context of this programme.
36. There are a number of other international organizations with experience of the Convention on Biological Diversity and its implementation. Several of these are closely involved with issues directly relevant to the first round of national reports, including development of strategies and action plans (IUCN, WRI), development and use of indicators (BIONET, Worldwatch Institute, WCMC, WRI), and information collection, management and use (WCMC).

### XV. QUESTIONS TO BE ADDRESSED

37. Resources are available to develop revised guidelines for national reporting based on advice received from Contracting Parties and others attending the SBSTTA meeting. In order to facilitate development of these revised guidelines, discussion on the following questions would be valuable:
  - a) Are the "guiding principles" useful in directing those responsible for the drafting and compilation of national reports (Section VIII).
  - b) What other lessons can be learnt from those who have already been involved in the process of drafting national reports (Section IX).
  - c) Is the proposed structure and content a useful revision of the originally recommended format, and what further revisions are required (Section X).
  - d) How should national reports tackle the second and third objectives of the Convention, and also reporting on specific Convention Articles and COP Decisions relating to national



responsibilities (Section XI)?

e) How should targets and indicators be built into national reports, taking account of the various papers available at the SBSTTA meeting?

f) How do we ensure that Contracting Parties are able to provide the necessary information within national reports without repeating what is available in other documents (and hence potentially duplicating effort)?

g) What further information and guidance do Contracting Parties need now and in the future to assist them in the process on national reporting in a consistent and meaningful manner?

This paper has been compiled by Jeremy Harrison of the World Conservation Monitoring Centre as a basis for discussion at the third meeting of SBSTTA. Support in writing it has been provided by the Commonwealth Secretariat, with the aim of providing improved guidelines for national governments in drafting their national reports.

Jeremy Harrison  
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11 August 1997  
[JH] /projects/cbd\_rpt/guide\_1.wps



## ANNEX 1 - NATIONAL RESPONSIBILITIES - CONVENTION ARTICLES

The following is an edited version of what Contracting Parties have agreed to do themselves, as a consequence of acceding to the Convention. Refer to the Convention text for details.

### *Article 6. General Measures for Conservation and Sustainable Use*

- Develop or adapt national strategies, plans or programmes for the conservation and sustainable use of biological diversity
- Integrate the conservation and sustainable use of biological diversity into relevant sectoral or cross-sectoral plans, programmes and policies

### *Article 7. Identification and Monitoring*

- Identify components of biological diversity important for its conservation and sustainable use
- Monitor components of biological diversity, paying particular attention to those requiring urgent conservation measures or which offer the greatest potential for sustainable use
- Identify processes and categories of activities which have adverse impacts on the conservation and sustainable use of biological diversity, and monitor their effects
- Maintain and organise data derived from identification and monitoring activities

### *Article 8. In-situ Conservation*

- Establish a system of protected areas or areas where special measures need to be taken
- Develop guidelines for the selection, establishment and management of these areas
- Regulate or manage biological resources important for the conservation of biological diversity with a view to ensuring their conservation and sustainable use
- Promote the protection of ecosystems, natural habitats and the maintenance of viable populations of species in natural surroundings
- Promote environmentally sound and sustainable development in areas adjacent to protected areas with a view to furthering protection of these areas
- Rehabilitate and restore degraded ecosystems and promote the recovery of threatened species
- Establish or maintain means to regulate, manage or control the risks associated with the use and release of living modified organisms resulting from biotechnology
- Prevent the introduction of, control or eradicate those alien species which threaten ecosystems, habitats or species
- Endeavour to provide the conditions needed for compatibility between present uses and the conservation of biological diversity and the sustainable use of its components
- Respect, maintain and promote appropriately knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity
- Develop or maintain necessary legislation and/or other regulatory provisions for the protection of threatened species and populations
- Where a significant adverse effect on biological diversity has been determined, regulate or manage the relevant processes and categories of activities
- Cooperate in providing financial and other support for in-situ conservation, particularly to developing countries

### *Article 9. Ex-situ Conservation*

- Adopt measures for the ex-situ conservation of components of biological diversity, preferably in the country of origin of such components
- Establish and maintain facilities for ex-situ conservation of and research on plants, animals and micro-organisms, preferably in the country of origin of genetic resources
- Adopt measures for the recovery and rehabilitation of threatened species and for their reintroduction into their natural habitats under appropriate conditions
- Regulate and manage collections of biological resources from natural habitats for ex-situ conservation purposes so as not to threaten ecosystems and in-situ populations of species

- Cooperate in providing financial and other support for ex-situ conservation, and in the establishment and maintenance of ex-situ conservation facilities in developing countries.

*Article 10. Sustainable Use of Components of Biological Diversity*

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

*Article 11. Incentive Measures*

- Adopt economically and socially sound measures that act as incentives for the conservation and sustainable use of components of biological diversity.

*Article 12. Research and Training*

- Establish and maintain programmes for scientific and technical education and training in measures for the identification, conservation and sustainable use of biological diversity and provide support for such education and training for the specific needs of developing countries
- Promote and encourage research which contributes to the conservation and sustainable use of biological diversity, particularly in developing countries
- Promote and cooperate in the use of scientific advances in biological diversity research in developing methods for conservation and sustainable use of biological resources.

*Article 13. Public Education and Awareness*

- Promote understanding of the importance of, and the measures required for, the conservation of biological diversity, in particular through the media and educational programmes
- Cooperate with other States and international organizations in developing educational and public awareness programmes, with respect to conservation and sustainable use of biological diversity.

*Article 14. Impact Assessment and Minimising Adverse Impacts*

- Ensure environmental impact assessment of proposed projects that are likely to have significant adverse effects on biological diversity with a view to avoiding or minimising such effects
- Ensure that the environmental consequences of programmes and policies that are likely to have significant adverse impacts on biological diversity are duly taken into account
- Promote notification, exchange of information and consultation on activities which are likely to significantly affect the biological diversity of areas beyond the limits of national jurisdiction
- In the case of imminent or grave danger or damage to biological diversity within areas beyond the limits of national jurisdiction, notify immediately the potentially affected States of such danger or damage, as well as initiate action to prevent or minimise such danger or damage
- Promote national arrangements for emergency responses to activities or events which present a grave and imminent danger to biological diversity and encourage international cooperation to supplement such national efforts and establish joint contingency plans

*Article 15. Access to Genetic Resources*

- Endeavour to facilitate access to genetic resources for environmentally sound uses by other Contracting Parties, avoiding restrictions that run counter to the objectives of this Convention
- Endeavour to carry out scientific research based on genetic resources provided by other Contracting Parties with the full participation of, and where possible in, such Contracting Parties
- Take legislative, administrative or policy measures with the aim of sharing in a fair and equitable

way the results of research and development and the benefits arising from the commercial and other utilization of genetic resources with the Contracting Party providing such resources

*Article 16. Access to and Transfer of Technology*

- Provide and/or facilitate access for and transfer to other Contracting Parties of technologies that are relevant to the conservation and sustainable use of biological diversity or make use of genetic resources and do not cause significant damage to the environment
- Take legislative, administrative or policy measures with the aim that Contracting Parties which provide genetic resources are provided access to and transfer of technology which makes use of those resources
- Take legislative, administrative or policy measures with the aim that the private sector facilitates access to, joint development and transfer of technology for the benefit of both governmental institutions and the private sector of developing countries

*Article 17. Exchange of Information*

- Facilitate the exchange of information, from all publicly available sources, relevant to the conservation and sustainable use of biological diversity, taking into account the special needs of developing countries.

*Article 18. Technical and Scientific Cooperation*

- Promote international technical and scientific cooperation in the field of conservation and sustainable use of biological diversity through the appropriate international and national institutions
- Promote technical and scientific cooperation with other Contracting Parties, in particular developing countries
- Encourage and develop methods of cooperation for the development and use of technologies, including indigenous and traditional technologies
- Promote the establishment of joint research programmes and joint ventures for the development of technologies

*Article 19. Handling of Biotechnology and Distribution of its Benefits*

- Take legislative, administrative or policy measures to provide for the effective participation in biotechnological research activities by those Contracting Parties which provide the genetic resources for such research
- Take 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
- Provide any available information about the use and safety regulations required by other Contracting Parties in handling living modified organisms resulting from biotechnology, as well as any available information on the potential adverse impact of the specific organisms concerned

*Article 20. Financial Resources*

- Provide financial support and incentives in respect of those national activities which are intended to achieve the objectives of this Convention, in accordance with its national plans, priorities and programmes
- Developed country Parties shall provide new and additional financial resources to enable developing country Parties to meet the agreed full incremental costs to them of implementing measures which fulfil the obligations of this Convention and to benefit from its provisions
- Take full account of the specific needs and special situation of least developed countries in their actions with regard to funding and transfer of technology.
- Take into consideration the special conditions resulting from the dependence on, distribution and location of, biological diversity within developing country Parties, in particular small island States.
- Consider special situation of developing countries, including those that are most environmentally

vulnerable, such as those with arid and semi- arid zones, coastal and mountainous areas.

*Article 26. Reports*

- Each contracting party shall present reports on measures which it has taken for the implementation of the Convention, and their effectiveness in meeting the objectives of this Convention.

## ANNEX 2 - NATIONAL RESPONSIBILITIES - COP DECISIONS

The following is an edited version of what Contracting Parties have agreed to do themselves, as a consequence of decisions taken by the Conference of the Parties. Refer to the Conference Reports for details.

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

- Requests Governments to provide funding for capacity building related to the implementation of the clearing-house mechanism
- Requests Governments to facilitate regional workshops to obtain a clear view of country and regional-level scientific and technological needs and priorities identified and modalities to deliver information and evaluate national capacities for the implementation of the Convention

### *Decision III/6. Additional financial resources*

- Urges all funding institutions, including bilateral donors, to strive to make their activities more supportive of the Convention
- Urges developed country Parties to cooperate in the development of standardised information on their financial support for the objectives of the Convention, and submit this information in their national reports

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

- Provide information on experiences gained through activities funded by the financial mechanism (from the annex)

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

- Stresses the need for Parties to ensure the cross-border coordination of their respective strategies, on a bilateral as well as on a regional basis
- Urges Parties to include in their national plans or strategies and legislation measures for the conservation of biological diversity (both in situ and ex situ), integration of biological diversity objectives in relevant sectoral policies, and equitable sharing of benefits arising out of the use of genetic resources
- Urges Parties to submit their first national reports on time, with the date of submission being set at 1 January 1998
- Encourages all Parties to set measurable targets in order to achieve biological diversity conservation and sustainable use objectives
- Requests Parties to take action to achieve the restoration of habitats, including their biological diversity components

### *Decision III/10. Identification, monitoring and assessment*

- Urges Parties to identify indicators of biological diversity and to develop innovative methods of implementing Article 7 as a high priority, with particular reference to the value of rapid biological diversity assessment approaches and the role of remote sensing as a tool for monitoring
- Recommends that Parties consider a step-by-step approach to the implementation of Article 7, paying attention to the indicative list of categories of important components of biological diversity set out in Annex I of the Convention, beginning with identification of important components of biological diversity and the processes and categories of activities which have or are likely to have significant adverse impacts on biological diversity
- Calls on Parties to cooperate on a voluntary pilot project to demonstrate the use of successful assessment and indicator methodologies
- Calls on Parties to prepare reports on experiences on the application of assessment methodologies and results from assessments and to disseminate these reports by appropriate mechanisms such as the clearing-house mechanism
- Recommends to Parties that they explore ways to make taxonomic information housed in

collections world-wide readily available, in particular to countries of origin

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

- Requests Parties to identify and assess relevant ongoing activities and existing instruments at the national level and to report back to the Conference of the Parties
- Requests Parties to identify issues and priorities that need to be addressed at the national level and to report back to the Conference of the Parties
- Encourages the Parties to use and/or study and develop methods and indicators to monitor the impacts of agricultural development projects, including the intensification and extensification of production systems, on biological diversity and to promote their application
- Invites countries to share experiences addressing the conservation and sustainable use of agricultural biological diversity
- Encourages interested Parties to conduct case studies on the two initial issues identified by SBSTTA, pollinators and soil micro-organisms in agriculture
- Recommends that Parties establish or enhance mechanisms for increasing public awareness and understanding of the importance of the sustainable use of agrobiodiversity components
- Encourages Parties to develop national strategies, programmes and plans which ensure the development and successful implementation of policies and actions that lead to sustainable use of agrobiodiversity components
- Encourages Parties to promote transformation of unsustainable agricultural practices into sustainable production practices adapted to local biotic and abiotic conditions, in conformity with the ecosystem or integrated land use approach
- Encourages parties to promote the use of farming practices that not only increase productivity, but also arrest degradation as well as reclaim, rehabilitate, restore and enhance biological diversity
- Encourages parties to promote mobilisation of farming communities for the development, maintenance and use of their knowledge and practices in the conservation and sustainable use of biological diversity
- Draws the attention of Parties to their responsibilities for providing financial support and incentives for the conservation and sustainable use of biological diversity important to agriculture

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

- Requests Parties that have not yet done so to develop national legislation and corresponding strategies for the implementation of Article 8(j)
- Urges Parties to supply information about the implementation of Article 8(j) and related articles, and to include such information in national reports
- Invites Governments to submit case studies to the Executive Secretary on measures taken to develop and implement the Convention's provisions relating the indigenous and local communities
- Calls upon Parties to make additional voluntary contributions to help fund a workshop on implementation of Article 8(j)

*Decision III/15. Access to genetic resources*

- Urges Governments to send to the Secretariat, five months before the fourth meeting of the Conference of the Parties, information on relevant legislative, administrative and policy measures, participatory processes, and research programmes
- Urges Governments to implement human and institutional 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
- Invites Governments to analyse experiences of legislative, administrative and policy measures and guidelines on access, including regional efforts and initiatives, and to disseminate these widely to those involved in developing and implementing measures and guidelines on access
- Encourages Governments to explore and develop, in collaboration with relevant stakeholders, guidelines and practices to ensure mutual benefits to providers and users of access measures and



- to implement them effectively at all appropriate levels
- Encourages Governments to identify and communicate to the Secretariat competent national authorities responsible for granting access to genetic resources and/or competent national authorities to provide information on the granting of access to genetic resources
- Urges Governments to bring to a rapid conclusion the negotiation for the adaptation of the International Undertaking on Plant Genetic Resources for Food and Agriculture

*Decision III/17. Intellectual property rights*

- Encourages Governments to conduct and communicate to the Executive Secretary case studies of the impacts of intellectual property rights on the achievement of the Convention's objectives

*Decision III/18. Incentive measures*

- Encourages Parties to review their existing legislation and economic policies, to identify and promote incentive for the conservation and sustainable use of components of biological diversity
- Encourages Parties to ensure adequate incorporation of the market and non-market values of biological diversity into plans, policies and programmes and other relevant areas
- Encourages Parties to develop training and capacity-building programmes to implement incentive measures and promote private-sector initiatives in this regard
- Encourages Parties to incorporate biological diversity considerations into impact assessments as a step in the design and implementation of incentive measures
- Invites Parties to share experiences on incentive measures and make relevant case studies available to the Secretariat

*Decision III/21. Relationship of the Convention with the Commission on Sustainable Development and biodiversity-related conventions, other international agreements, institutions and processes of relevance*

- Urges the Parties to ensure that the conservation and sustainable use of wetlands, and of migratory species and their habitats, are fully incorporated into national strategies, plan and programmes to preserve biological diversity
- Calls upon the national focal points of the CBD, and the competent authorities of the Ramsar Convention, Bonn Convention and CITES to cooperate in the implementation of these conventions at the national level to avoid duplication
- Invites contracting parties to relevant biological diversity-related conventions to explore opportunities for accessing funding through the Global Environment Facility for relevant projects

*Decision III/22. Medium-term programme of work for 1996-1997*

- Invites Parties to submit by 31 March 1997 their views to the Executive Secretary on the operations of the Conference of the Parties, the programme of work for 1995-1997, and longer-term work programmes

*Decision III/24. Budget of the Trust Fund for the Convention on Biological Diversity*

- Urges all parties to pay promptly their contributions to the Trust Fund
- Decides that all Parties should be invited to contribute to two special trust funds established to receive additional voluntary contributions, and to support participation of Parties in the Convention process

*Decision II/1. Report of the first meeting of SBSTTA*

- Calls upon the international community to make contributions for the preparation and publication of the first global biodiversity outlook, to be issued in 1997

*Decision II/3. Clearing House Mechanism*

- Invites Contracting Parties to offer their cooperation as active partners in the operation of the Clearing House Mechanism
- Requests active partners to focus on developing national capabilities through exchanging and disseminating information on experiences and lessons learned in implementing the Convention,

- facilitating access to and dissemination of information, and facilitating transfer of technology
- Calls upon all Contracting Parties to designate their national focal point for the Clearing House Mechanism

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

- Urges all Parties and Governments and other interested stakeholders to exchange relevant information and share experience on measures taken for the implementation of Articles 6 and 8
- Stresses the importance of regional and international cooperation for the implementation of Articles 6 and 8
- Encourages Parties, in preparing and implementing their national strategies and action plans, to collaborate with relevant organizations and to take into consideration existing guidelines such as *National Biodiversity Planning* published by UNEP, WRI and IUCN

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

- Encourages Parties within their national reports to identify priority issues specifically related to those components of biological diversity under threat

*Decision II/9. Forests and biological diversity*

- Invites all Parties to contribute to the preparation of the documents on forests and biological diversity to be prepared by the Executive Secretary for the International Panel on Forests
- Invites all Parties to include expertise on forest biodiversity in their delegations to the International Panel on Forests

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

- Encourages Parties to establish/strengthen institutional, administrative and legislative arrangements for the development of integrated management of marine and coastal ecosystems, plans and strategies for marine and coastal areas, and their integration within national development plans
- Anticipates input from Parties to the Executive Secretary for formulating advice and future options concerning the conservation and sustainable use of marine and coastal biological diversity
- Parties are encouraged to undertake and exchange information on demonstration projects as practical examples of integrated marine and coastal area management (from the Annex)
- Parties should enhance and improve knowledge on the genetic structure of local populations of marine species subjected to stock enhancement and sea-ranching activities (from the Annex)

*Decision II/11. Access to genetic resources*

- Urges Governments to send information on national measures to the Secretariat at their earliest convenience

*Decision II/17. Form and intervals of national reports by parties*

- Decides that the first national reports by Parties will focus on the measures taken for the implementation of Article 6 of the Convention, as well as the information available in national country studies on biological diversity, and provides suggested guidelines
- Decides that Parties shall submit their national reports in one of the working languages of the Conference of the Parties and, for the benefit of others, encourages Parties to also make available their reports electronically and, where possible, on the Internet
- Urges all Parties to submit their first national reports to the Secretariat no later than 30 June 1997

*Decision II/20. Financing of and budget for the Convention*

- Urges all the Parties to pay promptly their contributions to the Trust Fund

*Decision I/6. Financing of and budget for the Convention*

- Urges all the Parties to pay their contributions to the Trust Fund promptly

*Decision I/9. Medium-term programme of work of the Conference of the Parties*

- Calls upon developed countries to contribute voluntary funds to assist the ad hoc group of experts considering development of a protocol on safe transfer, handling and use of any living modified organism resulting from biotechnology

*Decision I/11. Preparation for the second meeting of the Conference of the Parties*

- Invites developed countries to make voluntary contributions to fund regional and sub-regional meetings to prepare for the COP, and to facilitate the participation of the developing countries in such meetings as well as in the meetings convened under the Convention

