

**CONVENTION ON
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DIVERSITY**

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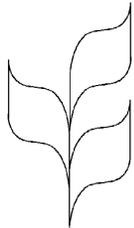
WORKSHOP ON THE STRATEGIC PLAN OF THE
CONVENTION ON BIOLOGICAL DIVERSITY
Port Glaud, Seychelles, 28-30 May 2001
Item 3 of the provisional agenda*

**PREPARATION OF THE STRATEGIC PLAN OF THE CONVENTION ON BIOLOGICAL
DIVERSITY**

Note by the Executive Secretary

The Executive Secretary is pleased to circulate herewith, for participants in the Workshop on the Strategic Plan of the Convention on Biological Diversity, his note on the Strategic Plan dated 13 March 2001. This note was previously distributed at the workshop on the Plan organized during the sixth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice. It has also been sent to all national focal points and formed the basis of many of the views expressed by Governments and international organizations that are reproduced in document UNEP/CBD/WS-StratPlan/2.

* UNEP/CBD/WS-StratPlan/1.



CONVENTION ON BIOLOGICAL DIVERSITY

13 March 2001

STRATEGIC PLAN FOR THE CONVENTION ON BIOLOGICAL DIVERSITY

Note by the Executive Secretary

I. INTRODUCTION

1. The Conference of the Parties has taken over 100 decisions and launched programmes of work to address five biome-based themes and thirteen cross-cutting issues. As a result, policy has been and/or is being developed to address most of the issues raised by the Convention, although that policy is at various levels of implementation. The process has therefore proven itself as a viable policy-making forum, in itself an essential and significant achievement.
2. The challenge for the Convention now is to demonstrate, through action and deed, that it is an effective vehicle for implementing this policy. In response to this challenge, the Conference of the Parties at its fifth meeting decided to initiate a process to develop a Strategic Plan for the Convention that would provide an important mechanism for the implementation of this policy.
3. The basic purpose of the present note is twofold. First, to outline the process for developing a Strategic Plan for the Convention to ensure transparency and broad participation. Second, to promote a consideration of the overall goals of the plan. As is stressed several times in the note, it is imperative for the successful development of the Plan that Parties reflect on these overall goals before they consider the detailed elements.
4. This note begins with a description of the process for developing the Strategic Plan in section II. Section III considers the overall purpose of the Plan. An important first step is a review of the situation in which the Convention operates and the Strategic Plan will be implemented. Sections IV-VI highlight the important points coming from the numerous reviews of the context. Section IV considers the status of biodiversity. Section V considers the germane institutional and political developments, in particular, the impacts of globalization. Section VI reviews the effectiveness of the Convention during its first ten years of the operation. Based on this analysis the final section proposes a preliminary list of draft elements for a Strategic Plan for the consideration of Parties.

II. THE PROCESS TO DEVELOP THE STRATEGIC PLAN

5. Paragraph 16 of decision V/20 sets out procedural requirements for the development of the Strategic Plan. It requests the Executive Secretary to develop an initial draft of the Strategic Plan and to engage in a participatory process that ensures:

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- (a) Incorporation of the views of Parties and the Bureau of the Conference of the Parties;
- (b) Consideration by the Subsidiary Body on Scientific, Technical and Technological Advice and its Bureau, and other relevant subsidiary bodies of the Convention on matters relevant to their mandates; and
- (c) Input from other interested countries and organizations;

with a view to preparing a full draft Strategic Plan in time for consideration and adoption by the Conference of the Parties at its sixth meeting, to be held in April 2002.

6. In October 2000, Governments, intergovernmental organizations and non-governmental organizations were invited to submit their views on the Strategic Plan. The deadline for submissions was 31 December 2000. Submissions were made by: New Zealand, the Seychelles, Sudan, Nigeria, the United Kingdom, the Arab Organisation for Agricultural Development, and Birdlife International. Verbal submissions were made by: Denmark, Canada, Norway, the President of the Conference of the Parties, the Netherlands, New Zealand, Sweden, India, Brazil and the South Pacific Regional Environment Programme (SPREP) during the first meeting of the Intergovernmental Committee for the Cartagena Protocol on Biosafety (ICCP) in December 2000. The audit report of the Office of Internal Oversight Services (OIOS) also contained a number of observations of relevance.

7. During this period the Secretariat reviewed the available national biodiversity strategies and action plans (NBSAPs). It also reviewed the plans of relevant organizations and companies.

8. The Executive Secretary will hold a workshop during the sixth meeting of SBSTTA (1-2 p.m., Tuesday, 13 March 2001) to introduce this note and allow Parties to provide their preliminary views on its contents. Parties and other stakeholders are requested to provide their written comments by 30 April 2001.

9. It is hoped that the Executive Secretary will then be able to convene a workshop in late May to consider the views and develop further the elements of a strategic plan for the Convention.

10. A revised strategic plan will then be made available for consideration by all bureaux and other subsidiary bodies in June 2001. This will allow the following subsidiary bodies to consider this revised plan:

- (a) ICCP at its second meeting (1-5 October 2001)
- (b) Working Group on Access and Benefit Sharing (starting 22 October 2001)
- (c) SBSTTA at its seventh meeting (starting 7 November 2001)
- (d) Working Group on Article 8(j) (starting 4 February 2002), and
- (e) Other meetings as appropriate (regional preparatory meetings).

11. In light of the comments made during this process a paper will be prepared for the meeting on the Strategic Plan, national reports and the implementation of the convention (MSP) by 17 September 2001. The report of MSP is expected to be the basis for the consideration of the Plan by the Conference of the Parties. If additional information or material is required then it will be provided in the relevant pre-session document for the sixth meeting of the Conference of the Parties.

12. The overall aim of this process is to develop the Strategic Plan in a way that is as transparent as possible, involves the greatest possible number of stakeholders, familiarizes all stakeholders with the logical framework (i.e. target-orientated planning) and arrives at the widest possible consensus.

13. Even though agreement on a Strategic Plan by the Conference of the Parties at its sixth meeting may seem challenging, it is possible to meet this challenge with focused and realistic ambitions. Moreover, it is important to bear in mind that the process will not end at the sixth meeting of the Conference of the Parties. To be successful, the planning process must be iterative. Any effective strategic plan is an organic living document: a working tool, subject to regular review and adjustment in light of events. Therefore, it should be understood at the outset that this proposal will be reviewed at subsequent meetings of the Conference of the Parties and adjusted in light of changing circumstances and evolving needs.

III. THE OBJECTIVE/GOALS OF THE STRATEGIC PLAN

14. Decision V/20 provides the following guidance with respects to the strategic plan:

“11. *Decides* that the Strategic Plan shall be based on the longer-term programmes of work of the Conference of the Parties and of the Subsidiary Body on Scientific, Technical and Technological Advice, and that the Strategic Plan shall provide strategic and operational guidance for the implementation of these programmes of work;

12. *Decides* that the Strategic Plan will initially cover the period 2002-2010;

13. *Decides* that the Strategic Plan shall contain a set of operational goals that the Conference of the Parties has decided that it wishes to be achieved in the period covered by the Strategic Plan, and that these operational goals shall relate to the following three main areas of work:

- (a) The thematic programmes;
- (b) Cross-cutting issues and initiatives; and
- (c) The implementation of the provisions of the Convention;

14. *Decides* that these operational goals shall reflect levels of elaboration, progress of development, stages of implementation, state of knowledge and capacities, and degrees of cooperation, with respect to the three main areas of work;

15. *Decides* that within each of these goals, the Strategic Plan shall identify, as far as possible, the following parameters:

- (a) Planned activities;
- (b) The expected products;
- (c) The timing of each of these activities and products;
- (d) The actors carrying out these activities and cooperation with relevant organizations;

(e) The mechanisms used to realize and/or support the goals and activities, or to generate the expected products; and

(f) Financial, human-resource and other capacity requirements;”

15. In their submissions, Parties have provided the following additional information regarding the overall purpose of a plan:

(a) The main purpose of the Strategic Plan is to support and facilitate implementation of the Convention by Parties, primarily through their national biodiversity strategies and action plans;

(b) The Strategic Plan must be based on those areas identified in the first national reports that are in most need of coordination, support and collective endeavour;

(c) The Strategic Plan is not intended to be a detailed prescriptive document. It should provide a framework within which Parties can act collectively, for example, through the Conference of the Parties. Themes are identified with a view to a menu of options being developed on these topics so that Parties have the necessary flexibility in light of their circumstances;

(d) If successful the Plan will, over time, gradually result in the convergence of Convention and Party activity around agreed more detailed collective objectives;

(e) It is important that the Strategic Plan draws on the experience of the Convention process so far and use the existing activities and initiatives as its starting point;

(f) The goals of the Strategic Plan should be realistic. It is critical given the scale of the challenges that the Strategic Plan should focus on activities and products that Convention can effectively undertake. In this vein, it needs to be recognized at the outset that the Convention is a political process with limited resources, therefore its priorities and focus for the next decade should be understood in this light. For those areas identified as requiring international action careful consideration needs to be given as to whether it is the Convention on Biological Diversity or some other process that undertakes this work;

(g) Implementation of its elements and goals must be monitored.

16. Strategic planning is making choices among limitless possibilities: what objectives to pursue, what outputs to attain? The choices need to be based on stated rationales that explain why specific priorities and activities have been chosen and others have not. A crucial element of the Strategic Plan will therefore be the overall objectives and how to reach them: what is the Convention’s vision for 2010 and what route(s) should be taken to implement and achieve this vision? what is to be achieved in ten years time, especially in relation to biodiversity and how will this be assessed. It has been stressed that it is vital that the process for developing the Strategic Plan provide an opportunity to debate these and other fundamental questions about the nature of the Convention and its programmes before considering the specific elements of a plan. Even so whilst it may be possible to resolve some of the fundamental criteria and assumptions used to develop the objectives, it must be recognized at the outset that many of these issues will not be resolved due the diversity of the relevant stakeholders’ perspectives and needs. Nevertheless, this diversity is one of the strengths of the Convention. The more logic that is demanded and applied the less flexible, responsive and supportive the Plan will be. As flexibility will be essential for an effective meaningful plan a careful balance between the competing aims of logic and flexibility will need to be found.

IV. THE STATUS OF BIODIVERSITY

17. The elements of a plan must be framed with reference to the current situation in which the Convention operates and the Strategic Plan will be implemented. Indeed, this is specifically required by paragraph 14 of decision V/20. Sections IV-VI highlight the key issues from relevant reviews and assessments of biodiversity, the international arena and the operations of the Convention. The present Section considers the status of biodiversity.

18. Since the Convention entered into force there have been many assessments of biodiversity or aspects of biodiversity. Notable assessments or source of information include: the GBA, the FAO State of the World's Plant Genetic Resources for Food Agriculture, the Forest Assessment 2000, the preliminary work of the Millennium Ecosystem Assessment, GEO 2000, PAGE, World Watch Report, Living Planet Index, Interlinkages Report of UNEP, World Bank and NASA, WRI Report for 2001-2002, GB2K, UNEP/WCMC databases, satellite information from the National Oceanographic and Atmospheric Administration (NOAA) and the new UNEP Internet site.

19. These assessments and the general understanding of the science of biodiversity highlight a number of important points for the purposes of this note.

20. The most important point is that the rate of biodiversity loss is increasing at unprecedented rate. Moreover, this rate of loss is threatening the very existence of life as we know it and, in turn, global security.

21. There is an increasing understanding and recognition of the interconnected nature of the biodiversity and the importance of global biological cycles and systems. This has a number of key consequences for the Convention. One is that it is becoming increasingly evident that all biodiversity is important. Therefore, when it comes to managing biodiversity, focusing on one biome, ecosystem or thematic area alone will not achieve the aims of the Convention. In other words, an important ecosystem that the Convention must take into consideration is the global biosphere. It also reinforces the importance of implementing the existing thematic programmes of work without further delay, even where other processes are addressing aspects of these biomes. This also means that universal membership of the Convention is not only an important political requirement, but it is a scientific one as well. It also points to the need to consider those biomes that have not been considered so far (i.e. polar ecosystems). Finally, it re-emphasizes the importance of the attempts to consider the links between the biomes (i.e. development of the ecosystem approach).

22. Methodologies, criteria and data for identifying important species and biomes have developed to a stage where it is for the first time it is feasible to begin to consider identifying priority components of biological diversity important for its conservation and sustainable use at regional and global levels. This in turn could provide a basis for supporting the implementation of Article 7 and scientifically identified priorities for thematic programmes of work.

23. More needs to be known about biodiversity in order to make rational decisions about its management. This has a number of particular consequences for the Strategic Plan: some well known other less so. With probably less than 10% of species identified, not enough is known about biodiversity itself for the purposes of the Convention. There is therefore a need to provide better access to existing taxonomic information and skills and more taxonomists need to be trained in developing country Parties. Such a state of affairs underlines the continuing importance of the Global Taxonomy Initiative. Another critical need is the development of a better understanding of global systems or cycles of importance to biodiversity (i.e. baselines, what causes biodiversity and the resilience of ecosystems). As a result it is

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difficult to predict thresholds for biodiversity and, in turn, the magnitude of the threat to any particular ecosystem. Recent technological developments, however, hold the promise of enormous improvements in this knowledge base: remote sensing, bioinformatics, geographic information system and modelling tools are rapidly developing. These developments mean that for the first time it is possible to envisage developing proper global, regional and national baselines to provide a sound basis for rational scientific based global policies. These technological developments are by and large taking place outside the Convention. Taking advantage of their potential will therefore require resources and a strong political commitment to their use and application.

V. INSTITUTIONAL AND SOCIAL CONTEXT: THE IMPACTS OF GLOBALIZATION

24. Addressing the major threats to biodiversity such as habitat loss, alien invasive species, over harvesting or overuse, poverty, climate change and pollution, will require fundamental changes in the way resources are used and the benefits of this use is distributed. Achieving this adjustment will require broad based action among a wide range of actors well beyond the immediate scope of the Convention process.

25. Cooperating with biodiversity-related conventions has been the focus of attempts to broaden the scope of actors involved in implementing the Convention. These partnerships will remain central to enlisting the involvement of other actors. A partnership within this rubric that contains many synergies is the relationship with the UNESCO Man and the Biosphere Programme. The programme emphasis on the ecosystem approach and sustainable use of the landscape fits well the aims of the Convention. The programme also provides an opportunity for the Convention to have a structured series of practical case studies with real impacts on the ground. Finally, developing stronger links with this programme is timely in light of the fact that protected areas are a priority issue for the Seventh meeting of the Conference of the Parties.

26. The increasing realization of the values of biodiversity, as well as the added impetus of the adoption of the Biosafety Protocol have given a significant boost to the international prominence of the Convention. This increased recognition provides new opportunities for partnerships. Globalization, growing disparities in wealth and its distribution, increasingly powerful technology, changing financial and political support for international institutions are developments shaping the political, institutional and social landscape confronting the Convention. These developments pose new challenges and opportunities with respect to developing partnerships to implement the Convention.

27. The rapidly evolving biotechnology sector provides many opportunities for the Convention. The way this technology is applied and the type of regulatory measures placed on its use is already a major policy issue and will remain so for the foreseeable future. Moreover, the biotechnology sector, being a knowledge-intensive as opposed to a capital-intensive industry, provides excellent opportunities for a developing country to rapidly establish an internationally competitive industry and gain market share in this expanding business. Accordingly, in the coming decade the issue will receive increasing levels of attention, resources and political will for change action. As an important vehicle for developing policy on this issue the Convention has an opportunity to use this widespread interest to promote implementation of its policy through cooperation with the many other organizations active in this sector.

28. Two other issues that offer important opportunities for the Convention to promote implementation through partnership are: a) the international efforts to address climate change, in particular the process under the United Nations framework Convention on Climatic Change (UNFCCC), and b) the revision of the WTO Agreement on Agriculture. In both of these areas important

developments are expected during the period of the Strategic Plan with respect to important threats to biodiversity. As far as the work of the UNFCCC is concerned there may be an important role for the Convention to assist with the elaboration of criteria for the definition of forests within the UNFCCC process. With respects to the renegotiation of the Agreement on Agriculture there may be an opportunity for the Convention to contribute to clarifying the “green box” exceptions. Effective interaction and cooperation with these processes will therefore present opportunities for the Convention to amplify the impact of its resources through complementary activities.

29. In preparation for the tenth anniversary of UNCED in 2002 ways and means of improving international governance is receiving wide spread attention. Streamlining of national obligations, especially reporting mechanisms, streamlining administrative procedures and expenses, improving cooperation in decision-making at international and national levels, especially with respects to topic being considered in multiple fora such as forests, will be considered by this meeting of the General Assembly. Participating in these deliberations and considering the General Assembly’s conclusions on these issues will be an important goal of the Plan.

VI. THE EFFECTIVENESS OF THE CONVENTION

30. The experience and achievements of the Convention as well as the constraints to its implementation needs to be considered in order to identify gaps, core competencies and provide a context for the purpose, role and overall objectives of a plan.

31. The Convention process has been engaged in a detailed and comprehensive system of self-evaluation since the text of the Convention was adopted in May 1992. The UNEP biodiversity country studies, enabling activities, resolution 2 of the Nairobi Final Act, reports of the panels of experts, the medium-term programme of work (and the INC papers which lead to this), the review of the operations of the Convention for the fourth meeting of the Conference of the Parties, the document prepared for UNGASS by the ES, the ISOC/2 document, the documents prepared for the review of operations for the fifth meeting of the Conference of the Parties (including the scientific assessments INF/1 doc), the review of the effectiveness of the financial mechanism, recommendation 1 of ISOC, COP decisions III/19, IV/16, V/20, the submission of the Executive Secretary to the fifty-fifth session of the General Assembly, as well as many of the decisions of the Conference of the Parties have all reviewed various aspects of the Convention’s operations or made assessments and judgments about the Convention’s effectiveness. There is also a wealth of externally produced literature on the topic as well.

Achievements

32. As a result of this constant evaluation it has been widely acknowledged that the Convention has already brought about a number of important achievements. Building on these achievements provides an important reference point for future of the process and hence important elements for the Strategic Plan.

33. More than 100 Parties have begun to implement their obligation to develop a national biodiversity strategy and action plan. The significance of this step cannot be overestimated; especially given that it is the first time that such a comprehensive and wide ranging planning initiative has been undertaken with respect to management of natural resources. An important consequence of this significant achievement is that there is now the basis in terms of information and policy to properly consider underlying trends and to identify priorities with respect to biodiversity. Nevertheless, this is only the beginning of the planning process. Transforming these documents into action and deeds is the critical step that must now be taken. The Conventions role in this will need to focus on providing support. Mobilising the necessary international financial support to implement these NBSAPs will be an important task of the financial

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mechanism. Periodic reviews and feedback, through the reporting process of the Convention and some review mechanism will also assist implementation.

34. The financial mechanism has been able to mobilize an unprecedented level of resources for the implementation of the Convention. The Convention and the relationship it has with the Global Environment Facility (GEF) is the leading example of effective cooperation at the international level. Even so there remain important challenges with the relationship. These can be addressed in the periodic review process established pursuant to Article 21.3. Mobilizing resources from other sources remains a key challenge. An important step in this regard will be promoting the aims of the Convention in the operations of the official-development-assistance (ODA) community through the reporting system with the OECD-DAC currently under discussion. An important area for mobilising resources not yet thoroughly explored is the private sector.

35. The Convention has proven to be an effective vehicle for developing policy. In particular, it has established the basic institutional framework and a *modus operandi* that has begun the process of considering most of the areas or topics raised by the Convention. There remain however a number of key provisions that have not been considered by the Conference of the Parties. These include: -

- (a) Article 8(f) and rehabilitation of ecosystems and recovery of threatened species;
- (b) Article 9 and the role of *ex situ* collections;
- (c) Article 12 and research and training;
- (d) Article 18 and technical and scientific cooperation; and
- (e) Polar and urban ecosystems.

36. If development and implementation of the Convention is to proceed in a holistic fashion then these represent policy gaps that require the attention of the Conference of the Parties.

37. The Articles of the Convention are laid out in a logical order, with the provisions dealing with planning and identification preceding those dealing with the first objective, conservation, which in turn are followed by those addressing the second objective etc. Following this logic the focus for implementation has been Article 6 and the development of NBSAPs. This logical framework indicates that the next focus for implementation should therefore be Article 7. This focus would have the added benefit of capitalizing on the opportunities arising from the developments in remote sensing and GIS mentioned before.

38. The current longer-term programme of work (LTPW) has proven to be an effective mechanism for internal planning and coordination. Its clarity has also promoted cooperation with other organisations. Paragraph 11 of decision V/20 provides that the plan should be based on the current LTPW. The means incorporating the products of the sixth meeting of the Conference of the Parties into the Plan as well as anticipating likely outcomes of the seventh meeting of the Conference of the Parties. Given the success of the LTPW it maybe worth considering retaining this mechanism in order to provide clear outline of the agenda of the the Conference of the Parties. In any event, the experience of the LTPW indicates that the plan need not contain explicit guidance regarding the role of subsidiary bodies, but can concentrate on the agenda for meetings of the Conference of the Parties and thereby allow the subsidiary bodies the flexibility to organise their own programmes of work.

39. A notably important achievement is the adoption of the Protocol on Biosafety. This instrument represents a significant achievement of the international community in many respects. Its procedures, for example, represent one of the most detailed elaborations of the precautionary principle in international law. The Protocol will also establish a series of mechanisms that have the potential to make a significant contribution to technology transfer, in particular biotechnology. In short, the Protocol provides an opportunity for many developing countries to gain access to information and technology for one of the most important industries for the coming century. This opportunity will, however, only materialize if the Protocol enters into force and its institutions are effectively established and operated.

Constraints/challenges

40. The NBSAPs and evaluations mentioned before have identified a number of areas that require further attention.

41. Although the Convention has established many of the necessary institutions, many Parties still lack the capacity to fully, or in some cases adequately, participate in the process. For example, many Parties have not nominated various focal points, or experts for the rosters, nor established national commissions to consider policy at the national level. In some cases these limitations affect whole regions. Ensuring that all Parties have established the basic institutional structure to participate in the Convention process is vitally important for the legitimacy of the Convention.

42. The Convention has significantly contributed to the extent that the public is aware of biological diversity and the goods and services it provides, as well as threats that human activities pose to its long-term viability. Even so it is widely recognised that much more needs to be done in this regard if the aims of the Convention are to be realised. A key need in this regard is increasing stakeholder involvement in implementation of the activities of the Convention at the international and national levels. In particular more attention need to be paid to the extent that women and the poor are included in developing and implementing the NBSAPs. Another particular need in this regard is to strengthen the role of national focal points and the extent that all Parties are able to fully participate in the processes of the Convention.

43. Another aspect of this need to promote public involvement is promoting greater clarity regarding the overall aims of the Convention. This remains unclear, inchoate or incomprehensible to many stakeholders. As a result an important goal of the Strategic Plan should be to clearly identify the purpose and basic goals of the Convention. To this end it maybe useful to consider adopting a clear mission statement and key targets which are readily understandable and achievable in order to convey the basic purpose of the Convention.

44. Many have felt that the urgency and consequences of the increasing rate of biodiversity loss has not been adequately conveyed to the public. This will be important to create the momentum for change needed to achieve the aims of the Convention. For instance, it is a well known phenomenon that natural disasters create the environment for action, with the development of many pollution regimes being cases in point. The importance of such instances is that they highlight the significance and consequences of the loss of biodiversity in an immediate and tangible manner for all sectors of society. They demonstrate that the biosphere is not impervious and limitless. The scale and frequency of crop failures, forest fires, large scale flooding and impacts of alien species are all predicted to increase. Loss of biodiversity is a significant factor in this increase and hampers efforts to recover from such events. Yet such events are often explained in terms of climate change. Correcting this will be important in terms of creating the momentum for change and advancing implementation of the Convention. It also provides a focus for the

need for further awareness raising identified earlier. Other issues that need further attention in this regard include the links between biodiversity and poverty eradication, food security and medical developments.

45. A key strategy for achieving the aims of the Convention relies upon integrating the issues and concerns raised by the Convention into the plans and activities of a wide range of sectors or mainstreaming biodiversity policy. A manifestation of the importance of mainstreaming is that it is one of the unqualified commitments in the Convention. Implementing this provision has, however, proven difficult. For example, even though many Parties have established multi-departmental committees to mainstream, due to the comparative departmental weakness of the chair, these committees have had little or no impact on overall government policies. Mainstreaming can be promoted through several other mechanisms. One such tool is environmental impact assessments, which ultimately ensures that projects or policies take biodiversity factors into consideration. To a significant extent developing effective environmental impact assessments (EIAs) is a procedural matter, which focuses on making sure that decisions are taken in a transparent manner and on the basis of all relevant facts. Development of procedures for effective EIAs is dependent upon the application of reliable and credible indicators and consequently this is a key link between the scientific work of the SBSTTA and the implementation work of the process. The core principles for developing the ecosystem approach also have many similarities to the EIAs, which also points to another critical link between the scientific work and the implementation work. Many economic tools also support integration through ensuring that activities incorporate the costs to biodiversity. Two important mechanisms for this are certification schemes and developing methods for valuing biodiversity in national accounting systems.

46. Implementing the third objective of the Convention has proven to be difficult. For example, the CHM has not yet provided a platform for scientific and technical cooperation. Developing policy or guidelines to implement access and benefit sharing arrangements and the provisions on traditional knowledge have proven to be challenging as well. Finally, the Convention has achieved little of practical benefit with respect to transfer of technology. The Conference of the Parties has established initiatives to address many of these points. For example, it has established working groups for access and benefit sharing and article 8(j). Also the review of the Clearing House Mechanism by the Conference of the Parties produced a strategic plan that is intended to promote technical and scientific cooperation. Implementing the results of this work will be an important activity for the period of the plan. An important provision in implementing the third objective that has not been specifically considered by the Conference of the Parties is Article 12, on research and development. As noted before, as a knowledge intensive industry biotechnology offers significant opportunities for developing countries. This will only materialize if both developing and developed country Parties work together. Developing country Parties need to provide the necessary political commitment to research and development, particularly to education. Developed country parties need to provide the necessary support to education. In this regard there are many interesting and innovative mechanism that the Convention could use to promote the transfer of technology for research and development.

47. Further promoting the role of science in the development of policies has been consistently emphasized as a critical need. To this end improvements recently adopted include the launching of a number of pilot assessments, the use of ad technical expert groups, liaison groups, rosters of experts and peer reviewing. As discussed above, developments in remote sensing and GIS modelling provide an important opportunity to develop global and regional baselines, understanding of global cycles and critical thresholds and promote the role of science in more substantive and concrete manner than the improvements taken to date. Even though Article 7 and Annex I to the Convention provide the legal framework for applying these technologies in the work of the Convention there actual use and require sustained and high-level (strategic) commitment.

48. Most Parties have emphasized the importance of protected areas in maintaining biodiversity. Most countries now have, on paper at least, protected area networks that hold a significant proportion of the country's biodiversity. However, each country will need to evaluate whether its protected area network is representative of the full range of its biological diversity. There are still major gaps in the protected area network in many parts of the world and filling these gaps is important. In many countries, the effectiveness of protected area networks in maintaining biodiversity is often seriously compromised by a chronic shortage of human and financial resources. Remedying this situation is undoubtedly one of the most immediate priorities in many countries, and requires technical and financial cooperation. However protected areas should not be seen as biodiversity sanctuaries removed from the wider economic and social context. Within national biodiversity strategies, protected areas should form an integral part of coordinated measures for conservation and sustainable use of biodiversity, with attention given to socially and environmentally appropriate activities within protected areas and in buffer zones, to the establishment of biological corridors, and to eco-regional planning. Protected areas should be part of broader land-use planning systems that are based on the ecosystem approach, and that maintain and enhance landscape diversity.

49. Regional preparatory meetings have provided an important opportunity for Parties to prepare for meetings of the Conference of the Parties. Their contribution and the role they play could however be improved. Other conventions use regional initiatives primarily for the implementation of the instrument and decisions of the governing bodies. The Ramsar Convention, the Basel Convention and the Convention on Desertification rely heavily on regional networks for implementation. Regional networks, based on centres of excellence or regional partners could play an important role for the Convention on Biological Diversity.

VII. PRINCIPAL GOALS OF THE STRATEGIC PLAN

50. It will be recalled that the Conference of the Parties has requested that the Strategic Plan developed by the Executive Secretary contain "a set of operational goals". And that for each of these goals the Strategic Plan identifies, as far as possible, the following parameters:

- (a) Planned activities;
- (b) The expected products;
- (c) The timing of each of these activities and products;
- (d) The actors carrying out these activities and cooperation with relevant organizations;
- (e) The mechanisms used to realize and/or support the goals and activities, or to generate the expected products; and
- (f) Financial, human-resource and other capacity requirements.

51. As mentioned previously an essential stage in the process of developing a Strategic Plan is developing a clear consensus as to the overall objectives of the plan. What is the Convention's vision for 2010 and what route(s) should be taken to implement and achieve this vision. What is to be achieved in ten years time, especially in relation to biodiversity and how will this be assessed. Parties have stressed that it is vital that the process for developing the Strategic Plan provide an opportunity to debate these fundamental questions about the nature of the Convention and its programmes before considering specific elements of a plan.

52. Developing the overall objectives as well as identifying the operational goals depends on analysing the status of biodiversity, the threats to biodiversity, the experience of the Convention and the context in which it operates.

53. The foregoing analysis therefore provides a basis for identifying the overall objectives for the Strategic Plan and from this its operational goals. The overall objectives coming from the foregoing analysis might be described as:

- (a) Slowing the rate of biodiversity loss;
- (b) Ensuring entry into force of the Biosafety Protocol and establishment of its institutions as soon as possible;
- (c) Universal membership of the Convention and participation in the process;
- (d) Ensuring equitable sharing of the benefits of biodiversity;
- (e) Implementing national biodiversity strategies and action plans in all Parties.

54. The operational goals flowing from these overall objectives and raised in the foregoing analysis (presented roughly in the order of the Articles of the Convention that they most closely relate to) are:

- (a) Adopt mission statement for the Convention and key targets for the Plan;
- (b) Cooperate with key processes:
 - (i) Biodiversity-related conventions and processes;
 - (ii) Organizations working on biotechnology;
 - (iii) UNFCCC;
 - (iv) WTO Agreement on Agriculture;
 - (v) General Assembly and Rio + 10;
 - (vi) Develop regional action and networks;
- (c) Review and implement NBSAPs and biosafety frameworks through:
 - (i) Periodic review of national reports;
 - (ii) Mobilize resources for implementation of action plans;
- (d) Mainstream biodiversity policy by:
 - (i) Establishing effective interdepartmental committees;
 - (ii) Developing EIA procedures and indicators;
 - (iii) Developing economic instrument (certification schemes and national accounting systems);
- (e) Address the taxonomic impediment by implementing the GTI by:

- (i) Promoting awareness of GTI activities;
 - (ii) Establishing integrated multi-sector networks;
 - (iii) Promoting agreements on information sharing;
 - (iv) Developing systems for access to taxonomic data;
- (f) Develop Annex I (baselines, thresholds and cycles);
- (g) Adopt concrete measures to implement the third objective of the Convention:
- (i) Implement Article 8(j);
 - (ii) Establish and implement access and benefit sharing arrangements;
 - (iii) Develop mechanisms to promote research and development ;
- (h) Promote public education and awareness, by publishing material on:
- (i) Natural disasters;
 - (ii) Poverty and biodiversity;
 - (iii) Food security and biodiversity;
 - (iv) Medicinal developments;
- (i) Develop scientific and technical cooperation role of the Clearing House Mechanism (CHM) by implementing the strategic plan for the CHM;
- (j) Achieve entry into force of the Biosafety Protocol and establish its institutions;
- (k) Mobilize resources through:
- (i) Development of DAC reporting requirements;
 - (ii) Increased private sector support ;
- (l) Completion of detailed consideration of the provisions of the Convention by the Conference of the Parties:
- (i) Article 8 (f) and rehabilitation of ecosystems and recovery of threatened species;
 - (ii) Article 9 and the role of *ex situ* collections;
 - (iii) Article 12 and research and training;
 - (iv) Article 18 and technical and scientific cooperation; and
 - (v) Polar and urban ecosystems;
- (m) Promote scientific inputs through:
- (i) Development of pilot assessments and mechanism for further required assessments;
 - (ii) Development of rosters;

- (n) Implement the ecosystem approach;
- (o) Achieve universal membership of the Convention;
- (p) Ensure adequate participation of Parties in the process.

55. By way of example only, the annex to this note provides for each of the above goals the operational objective, activities, products, a timetable and actors as requested by the Conference of the Parties. It is provided simply to give some indication of the content of the goals and what they might mean in terms of specific elements or actions. Detailed elaboration of the nature requested in decision V/20 can only be developed when there is a degree of certainty regarding the set of overall objectives and operational goals.

56. The proposed operational objectives in the annex are based on suggested goals (e.g. those listed above). They are presented in the order of the articles of the Convention on the basis that this should be the logical framework of the plan. This is not only because the articles ultimately provide the basis for implementation, but so as to promote cohesion and harmony in the separate thematic and cross-cutting initiatives. This last point is important because whilst approaching policy development through initiating programmes of work on a thematic or cross-cutting basis has allowed progress, it poses the danger that it will lead to fragmented or piecemeal policy. Were this to happen then a key innovation of the Convention, namely the holistic approach to the management of biodiversity would be lost. Careful attention therefore needs to be paid as to how these various efforts can contribute to the holistic development of policy and implementation of the Convention. At this stage in the development of the Plan, it is neither feasible nor desirable that the plan be used as a top-down means to impose discipline or order on the existing approach. Parties have noted that the plan should bring about coordination through harmony and gradually over time bring about convergence of actions around agreed goals and collective objectives. Nevertheless, the plan can begin to contribute to this by using the provisions of the Convention as the framework to identify the elements required by decision V/20 (i.e. products and timetable).

57. The activities identifies in a broad manner the nature of the steps required to achieve the product.

58. As the Convention is a legal instrument the possible products includes: -

- (a) Manuals of best practice;
- (b) Guidelines;
- (c) Codes of conduct;
- (d) Criteria;
- (e) Indicators;
- (f) Standards/labelling; and
- (g) Protocols.

59. Clearly producing these types of products will not of themselves achieve the overall goal of slowing the rate of biodiversity loss. Assessing the effectiveness of the plan will therefore require not only assessing whether the Conference of the Parties generates products, but more importantly also

considering the extent that Parties have implemented the products. In some instances this will be a relatively straightforward matter (e.g. number of Parties having ratified the Biosafety Protocol, or submitted a national report). More usually though, considering implementation will be a much more complex process, dependant on the national reporting process and some mechanism for considering these reports. Consequently, Parties will need to carefully consider the nature of such a mechanism if the plan is to be properly monitored.

*Annex***Draft Elements of the Strategic Plan**

Mission statement

To ensure the conservation of biodiversity, sustainable use of its components and the equitable sharing of its benefits

Key Targets

- Slow rate of biodiversity loss by 2015
- Entry into force of the Biosafety Protocol as soon as possible
- Universal membership of the Convention by 2004
- Implement national biodiversity strategies and action plans in all Parties by 2008

| Theme and Provision | Operational Objective | Activities | Products | Timeframe | Actors |
|------------------------------|---------------------------------|-------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|--------|
| Agriculture and Article 5 | Cooperate with WTO | Observer status in the Agreement on Agriculture | Recognized role in green box exceptions to the Agreement on Agriculture WTO | Conclusion of re-negotiation | COP |
| Climate change and Article 5 | Cooperate with UNFCCC | | Recognized role in developing criteria on the biodiversity requirements for sinks under the Kyoto Mechanisms and commitments | Adoption of procedures for the Kyoto Mechanism (COP 6) | COP |
| Article 5 | Cooperate with General Assembly | Rio + 10: consider results of | | 2004 | COP |
| Article 6(a) | Review and implement NBSAPs | Parties to finish development phase | Adopted NBSAPs for all countries | 2004 | |

| Theme and Provision | Operational Objective | Activities | Products | Timeframe | Actors |
|---------------------------------------|-----------------------------------------------------|-----------------------------------------------------------------------------------------------------------|--------------------------------------------------------------|----------------------|------------------------------------------|
| | | Periodic review of NBSAPs (every four years – after national report) | Mechanism for providing support for implementation of NBSAPs | 2002, 2006, and 2010 | Parties, inter-sessional meeting and COP |
| | | Mobilize resources for implementation of action plans | Donor meetings on NBSAPs Resources for NBSAPs | ongoing | |
| Article 6(b) | Mainstream biodiversity policy | Establish multi-departmental biodiversity commissions | Active commission in all parties | 2008 | |
| | | Develop commitments on Environmental assessments (see Article 14.1) | Guidance on Environmental assessments | 2010 | |
| Article 7(a) | Address taxonomic impediment | Implementation of the GTI Strategic Plan | GTI | Ongoing | |
| Article 7 | Develop Annex I (base lines, thresholds and cycles) | Development of the criteria of Annex 1 | Amendment of Annex I | 2008 | |
| Article 7(c) | | Agreement on a preliminary list of processes that have significant impacts | Amendment of Annex I | 2008 | |
| Protected Areas & Articles 8(a) – (c) | Promote and develop systems of protected areas | Undertake assessment of representativity | SBSTTA report on representativity | 2003 | |
| | | Development of network | Agreement with MAB | 2004 | |
| | | Transboundary cooperation agreements concluded within the CBD framework | Agreements between Parties | Ongoing | |
| AIS & Article 8(f) | Alien invasive species | Identification and monitoring of alien invasive species and populations and development of incident lists | Incidents list | 2003 | |
| TK & Article 8(j) | Protection of traditional knowledge | Develop inventories of knowledge | Inventory of traditional knowledge | | |

| Theme and Provision | Operational Objective | Activities | Products | Timeframe | Actors |
|-------------------------|--------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|-----------|--------|
| | | Review need for sui generis systems | Guidelines on sui generis systems | | |
| | | Review policies towards land tenure | Declaration on land tenure | | |
| Incentives & Article 11 | Development of economic instruments | | Certification schemes Criteria for national accounting systems | | |
| Article 12 | Promote R&D | Promote mechanism for supporting R&D (i.e. Darwin initiatives) | Political statement on the importance of R&D | | |
| | | Establish mechanisms for undertaking R&D on global issues, case studies | Mechanism for supporting R&D (i.e. Darwin initiatives) Reports on global issues | | |
| Article 13 | Further raise public awareness | Prepare material and media strategy on: natural disasters, poverty and biodiversity, food security and biodiversity and medicinal developments | Reports, guides, brochures etc. | | |
| Article 14.1 | Implement policy on environmental assessments in support of Article 6(b) | Support implementation of mainstreaming through development of binding commitments on 14.1 | Guidelines/Protocol on environmental assessments | 2010 | |
| Article 18 | Promotion of scientific and technical cooperation | Implementation of specific CHM strategic plan | CHM | 2002-2004 | |
| Article 15 | Implement access and benefit-sharing arrangements | | NFP for all countries appointed | | |
| | | | Publications for information requirement | | |

| Theme and Provision | Operational Objective | Activities | Products | Timeframe | Actors |
|---------------------|-----------------------------------------|---------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------|---------------|--------|
| | | | Programme to meet identified capacity building needs | | |
| | | | Guidelines adopted | | |
| | | | Working Group begun reviewing Parties legislation | | |
| Article 19.3 | Entry into force Biosafety Protocol | Ratification by 50 Parties | Legally binding instrument | 2002 | |
| | Universal membership Biosafety Protocol | Ratification by 100 Parties | 100 Parties | 2008 | |
| | Biosafety Protocol | Implementation of built in agenda and ICCP programme of work | Biosafety Clearing-House | | |
| | | Implementation of built in agenda and ICCP programme of work | Guidance on Article 18 | | |
| Article 20 | Increase financial resources | Review of ODA practices and reporting on regular basis to the COP through the SCBD establish ODA targets for NBSAPs | Database on official development assistance and other types of financial support for the Convention | | |
| Article 21 | Financial mechanism | Review requirements for financial mechanism | The COP communicates its requirements to the financial mechanism pursuant to the MOU | 2002, 2006 .. | |

| Theme and Provision | Operational Objective | Activities | Products | Timeframe | Actors |
|---------------------------------------------|-------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------|-----------|--------------------|
| Article 25 | Promote scientific inputs | Consider results of pilot assessments, Millennium Ecosystem Assessment and other assessments, mechanism for further required assessments | Assessments for the Convention | | |
| | | Development of rosters; all Parties have considered nominating experts for the rosters | Rosters of experts | 2004 | |
| Article 25 | Promotion of national reporting mechanism | Support reporting process and consider national reports on a periodic basis | See above | | |
| All thematic programmes, ecosystem approach | Implement the ecosystem approach | Adoption of guidelines on ecosystem management | COP adopts guidelines on ecosystem management All parties have implemented the guidelines on ecosystem management | 2008 | COP Parties |
| | | | | 2010 | |
| | Achieve universal membership | Ratification | All members of the United Nations Party to the Convention | 2004 | Parties |
| | | Effective participation of Parties | All Parties have nominated focal points for the Convention, SBSTTA, CHM etc | 2004 | Parties |
