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Item 9 of the provisional agenda*

OPTIONS TO ENHANCE PLANNING, REPORTING, AND REVIEW MECHANISMS WITH A VIEW TO STRENGTHENING THE IMPLEMENTATION OF THE CONVENTION

I. INTRODUCTION

1. At its fourteenth meeting, the Conference of the Parties requested the Executive Secretary to further develop, for consideration by the Subsidiary Body on Implementation at its third meeting, options to enhance review mechanisms, with a view to strengthening the implementation of the Convention. The options should build on the elements of the multidimensional review approach described in the notes by the Executive Secretary on this matter¹ and include an analysis of strengths and weaknesses and an indication of possible costs, benefits and burdens for Parties, other stakeholders and the Secretariat, also taking into account best practices and lessons learned in other processes and comments received at the second meeting of the Subsidiary Body (decision [14/29](#), para. 4(a)).

2. The Conference of the Parties also requested the Executive Secretary to prepare for, and organize, the testing of a Party-led review process through an open-ended forum at the third meeting of the Subsidiary Body on Implementation, including by developing guidance for the voluntary delivery of review reports at the open-ended forum (decision [14/29](#), para. 4(b)). Further, the Conference of the Parties requested the Executive Secretary to further consult Parties, stakeholders and the Open-ended Working Group on the Post-2020 Global Biodiversity Framework, on modalities for enhancing the review of implementation and to report on progress to the Subsidiary Body at its third meeting (decision [14/29](#), para. 4(d)).

3. In paragraph 18 of decision [14/34](#), the Conference of the Parties requested the Subsidiary Body on Implementation, at its third meeting, to contribute to the development of the post-2020 global biodiversity framework by complementing it with elements related to means to support and review implementation. Likewise, it stated in annex B (para. 9) that the post-2020 process would build on ongoing work under the Convention and the two Protocols to strengthen implementation support mechanisms and the review of implementation.

4. In response to the requests above, the present document provides considerations for a possible approach for strengthening the global review of the implementation of the Convention on Biological Diversity and the post-2020 global biodiversity framework on the basis of national reporting and review processes as well as relevant global reporting and monitoring. Further, given the interlinked nature of national and global planning processes with reporting and review mechanisms, the document also takes into account the feedback loop between global and national planning processes and review. Section II of the present document provides an overview of the existing elements of the multidimensional review approach

* CBD/SBI/3/1.

¹ As described in [UNEP/CBD/SBI/1/10/Add.3](#) and [UNEP/CBD/SBI/2/11](#).

under the Convention and elements of review under other relevant processes. Section III summarizes considerations for national planning, national reporting, and review of implementation. Section IV presents a proposal and options for an enhanced planning, reporting and review mechanism. Section V presents implications of the proposal presented. Section VI presents draft recommendations for the consideration of the Subsidiary Body on Implementation at its third meeting. The document is complemented by two addendums² and an information document.³

5. The present document takes into account the outcomes of the two meetings of the Open-ended Working Group on the Post-2020 Global Biodiversity Framework. In particular, it draws upon Section G of the annex to the first report of the Open-ended Working Group, which lists possible issues relating to transparent implementation, reporting, monitoring and review to reflect in the zero draft of the framework.⁴ The outcome of the second meeting of the Working Group further elaborates issues for inclusion, including on responsibility and transparency, and is contained in the recommendation of the Co-Chairs.⁵

6. The present document also takes into account the outcomes of the five regional consultations⁶ for the development of the post-2020 global biodiversity framework, and the Thematic Consultation on Transparent Implementation, Monitoring, Reporting and Review,⁷ as well as written submissions to the post-2020 process.⁸ Annex I provides a summary of the views presented through these processes.

7. The present document builds upon previous overviews of review mechanisms under other conventions, processes and forums, as contained in document [UNEP/CBD/SBI/1/10/Add.3](#), and updated in document [UNEP/CBD/SBI/2/11](#). A further update of this information is presented in annex III, and a more detailed explanation of each is available in CBD/SBI/3/11/Add.2.

8. The present document and its addendums should be considered in connection with the information prepared for agenda items 3 (review of progress in the implementation of the Convention and the Strategic Plan for Biodiversity 2011-2020) and 5 (post-2020 global biodiversity framework) of the agenda for the third meeting of the Subsidiary Body on Implementation. Further, the documentation prepared for agenda item 3 of the twenty-fourth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice (post-2020 global biodiversity framework) is also linked to this agenda item for the third meeting of the Subsidiary Body on Implementation, and Parties may wish to consider the outcomes of the twenty-fourth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice during their discussions.

II. EXISTING REVIEW PROCESSES UNDER THE CONVENTION ON BIOLOGICAL DIVERSITY AND ITS PROTOCOLS

9. The Convention on Biological Diversity has a multidimensional review approach, acknowledged in decision 14/29. The importance of effective review processes has been noted previously by the Conference of the Parties and its subsidiary bodies, as well as in other assessments, including the *Global Assessment Report on Biodiversity and Ecosystem Services* prepared by the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES) and in the fifth edition of the *Global Biodiversity Outlook*.

² “National reporting under the Convention and its Protocols” (CBD/SBI/3/11/Add.1) and “Proposed actions to enhance synergies in reporting to biodiversity-related conventions and the Rio Conventions” (CBD/SBI/3/11/Add.2).

³ “Updated Analysis of experience under the Convention and other processes and considerations for the enhancement of a multidimensional review mechanism” (CBD/SBI/3/INF/11).

⁴ [Report of the Open-ended Working Group on the Post-2020 Global Biodiversity Framework on its first meeting \(CBD/WG2020/1/5\)](#).

⁵ [Draft recommendation submitted by the Co-Chairs \(preparation of the post-2020 global biodiversity framework\)](#)

⁶ [Reports of the regional consultations](#).

⁷ [Report of the Thematic Consultation on Transparent Implementation, Monitoring, Reporting and Review](#).

⁸ The submissions received in response to several invitations for comments related to the development of the post-2020 global biodiversity framework are accessible from <https://www.cbd.int/conferences/post2020/submissions>.

10. The primary global planning instruments under the Convention have been the global biodiversity frameworks adopted by the Conference of the Parties.⁹ The Convention's programmes of work and decisions of the Conference of the Parties have also played a global planning role. At the national level, national biodiversity strategies and action plans (NBSAPs) have been the main planning tool for national implementation of the global frameworks adopted under the Convention. As discussed in document CBD/SBI/3/2 and its addendums, NBSAPs take various forms, and their scope and focus vary with national circumstances and priorities, as does the degree to which they are aligned with global frameworks.

11. At the global level, reviews of implementation of the Convention and its frameworks are undertaken by the Conference of the Parties and its subsidiary bodies primarily on the basis of assessments prepared by the Secretariat and its partners. Examples of these reviews include the pre-session documents prepared for relevant meetings as well as broader assessments, such as the *Global Biodiversity Outlook*. In addition, a number of global assessments processes, including the assessments undertaken by IPBES and the assessments undertaken by the Food and Agriculture Organization of the United Nations, are also used by the Convention to monitor implementation globally. Further, the Convention's decision tracking tool also plays a role in reviewing implementation.

12. At the national level, the main mechanism for reviewing and reporting on implementation of the Convention has been the national reports to the Convention and its Protocols. The information from the national reports often provides the basis for the global assessments and reviews noted in the paragraph above. The voluntary peer review process is another source of information on national implementation.

13. Annex II provides an overview of the review mechanisms under the Convention and its Protocols, complemented with a reflection on the strengths and weaknesses of each element. More detail on existing planning, reporting and review mechanisms, including the strengths and weaknesses of these mechanisms are included in information document CBD/SBI/3/INF/11. Additional information on the elements of the multidimensional review approach under the Convention and the Protocols is contained in sections I, III and annex I of document [UNEP/CBD/SBI/1/10/Add.3](#) and in section III of document [UNEP/CBD/SBI/2/11](#).

III. CONSIDERATIONS FOR AN ENHANCED PLANNING, REPORTING AND REVIEW MECHANISM

14. This section presents a summary of general considerations for the development of an enhanced planning, reporting and review mechanism under the Convention. The primary consideration for developing an enhanced reporting and review mechanism is the need to build upon the strengths and to address weaknesses of the review mechanisms of the Strategic Plan for Biodiversity 2011-2020. Annex I provides a summary of the discussions of the Thematic Consultation on Transparent Implementation, Monitoring, Reporting and Review for the Post-2020 Global Biodiversity Framework, held in Rome in February 2020, and annex II provides a summary of strengths and weaknesses based on the thematic consultation and the background consultations. In general, the consultation noted the need to strengthen transparency and responsibility at the national and global levels, including the ability to conduct high quality, timely global analysis, tracking and assessment, the importance of inclusive, ambitious, whole-of-government planning, the value of harmonized national reporting and the need to promote experience sharing.

15. More specific considerations include:

(a) The main objective of exploring the enhancement of review mechanisms under the Convention is to catalyse enhanced efforts by Parties (decision 14/29), and ultimately to increase and enhance implementation. However, it cannot replace increased commitment and action by Parties and other actors;

(b) An enhanced planning, reporting and review mechanism under the Convention "should be technically sound, objective, transparent, collaborative and constructive" (decision 14/29). It should also be non-punitive;

⁹ These include the Strategic Plan for Biodiversity 2011-2020, the 2010 Aichi Biodiversity Targets, and other global strategies and frameworks, such as the Global Strategy for Plan Conservation 2011-2020 and the 2015-2020 Gender Plan of Action.

(c) Planning, reporting, and review are processes which must occur at all levels (national, regional and global). National level processes are crucial and should be prioritized, maintained, nurtured and enhanced in parallel to the enhancement of the global mechanisms;

(d) The need for SMART Targets which are scalable and translatable to different levels and which can be effectively monitored, including through the use of an indicator-based monitoring framework for the post-2020 global biodiversity framework to allow for a more effective and consistent review of implementation;

(e) The need to build on and learn lessons from the current implementation of the Strategic Plan for Biodiversity 2011-2020 in order to build upon existing momentum and ensure a smooth transition to the post-2020 global biodiversity framework;

(f) The need to promote mutual learning and exchange of experiences;

(g) A functional, effective and efficient implementation and review mechanism will need to be built and improved over time. The planning, reporting and review mechanism itself should be reviewed periodically to ensure that it is serving its purpose well, and to provide for adaptations when necessary;

(h) In order to maximize the impact of the enhanced review mechanism, the linkages between biodiversity planning, monitoring, reporting and review at the national level and other national planning processes, including those relating to the 2030 Agenda for Sustainable Development and other relevant global and regional agreements, should be promoted;

(i) A range of government entities, subnational and local governments, representatives of indigenous peoples and local communities and of women and youth, civil society as well the academic and research sector and the private sector should all be involved in the planning, implementation, reporting and review processes at all scales;

(j) An effective and efficient implementation and review mechanism requires appropriate resources.

16. In addition to these general considerations, it is important to keep in mind that national planning forms the foundation for implementation of the Convention. Additionally, national reports form a dual purpose of contributing to global review of the Convention and the Protocols while, at the same time, aiming to feed back into national planning processes. National reports also serve as an important communication tool in many countries.

IV. PROPOSAL AND OPTIONS FOR AN ENHANCED PLANNING, REPORTING AND REVIEW MECHANISM

17. As per Article 23 of the Convention, one of the main functions of the Conference of the Parties is to keep implementation of the Convention under review. At each meeting of the Conference of the Parties, progress in implementation should be considered. The enhanced planning, reporting and review mechanism described in this section would facilitate this responsibility.

18. Based on the information and processes noted above, this section of the document provides a proposal, composed of a package of elements, for enhancing the multidimensional review approach of the Convention. The overarching objective of the proposed planning, reporting and review mechanism is to provide an improved pathway for stimulating and supporting commitments and action from Parties and other stakeholders in order to implement the post-2020 global biodiversity framework and achieve the goals and targets set out therein. The proposed mechanism aims to do this by:

(a) Providing enhanced transparency and responsibility for implementation;

(b) Providing a means for identifying and addressing gaps in both commitments and implementation;

(c) Strengthening and enhancing the capacity and information-sharing throughout the implementation process.

19. The process should also minimize the reporting burden and allow for action. It should provide an opportunity for increased engagement of subnational and non-State actors and enhance linkages with other processes, including the Sustainable Development Goals.

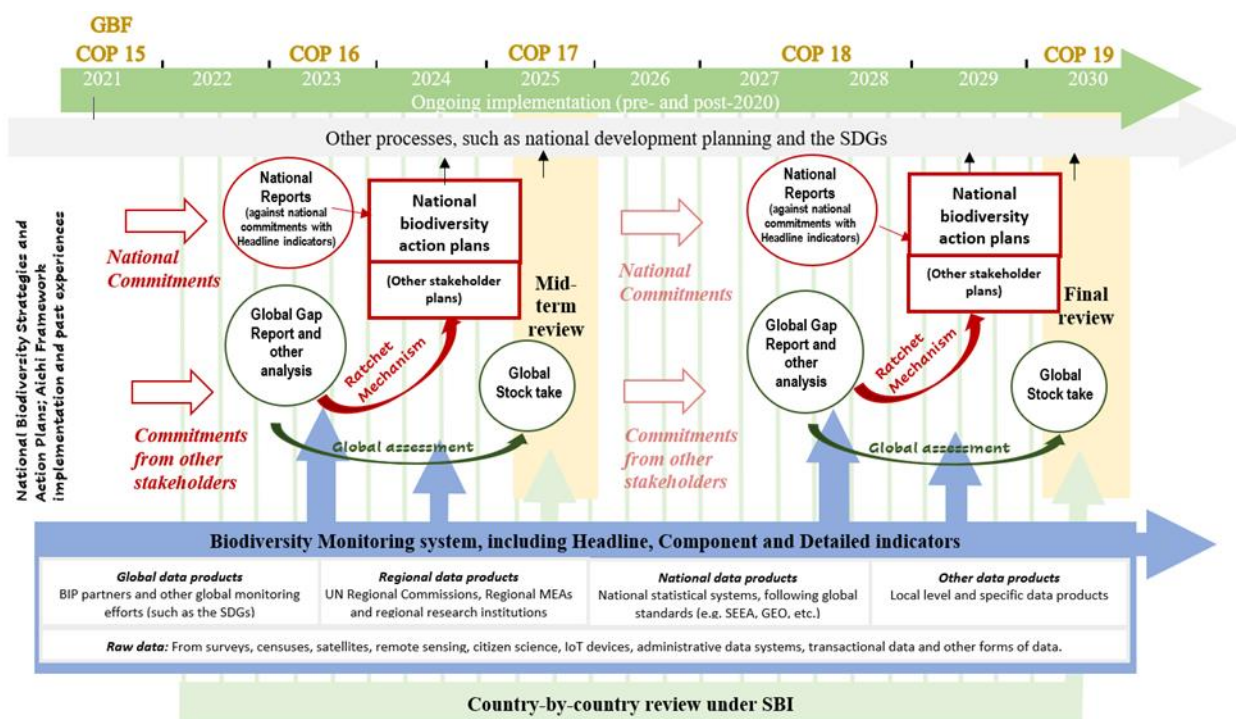
20. The proposal is composed of the following elements:

- (a) National commitments and commitments of non-State actors, indigenous peoples and local communities and stakeholders;
- (b) National reporting;
- (c) A country-by-country review process under the Subsidiary Body on Implementation;
- (d) Global analytical review.

21. National planning processes are closely linked to this review mechanism.

22. Most of these elements are reflected in the Convention’s multidimensional review process already to a certain extent. As such this proposal should be viewed as an evolution of existing processes rather than as an entirely new process or mechanism. Figure 1 below provides an overview of the proposed timeline and how the elements of an enhanced reporting and review mechanism could relate to one another. A proposal for the functioning of each element is further described below.

Figure
Elements of the proposed reporting and review mechanism, including links with planning and implementation



A. National commitments and commitments of non-State actors, indigenous peoples and local communities and stakeholders

23. Following the adoption of the post-2020 global biodiversity framework, all Parties would be required to submit national commitments as national contributions towards the global goals and targets. These

commitments should state each Party's contribution to the attainment of the global goals and targets and be coupled with effective national biodiversity planning processes for implementing the commitments. Commitments will be due within one year of the adoption of the post-2020 global biodiversity framework. Commitments may be updated in the light of a "gap report" (see below) in 2023 and following the mid-term review of the post-2020 global biodiversity framework in 2025. The strength of this arrangement is that it requires swift political commitment by Parties immediately following the adoption of the post-2020 global biodiversity framework, while providing flexibility in the timetable and structure of national planning, including the updating of NBSAPs.

24. National commitments would be submitted to the clearing-house mechanism of the Convention on Biological Diversity using a standardized form. This standard form would require that national commitments be directly linked with the goals and targets of the post-2020 global biodiversity framework. National commitments should comprise commitments on the full spectrum of issues under the post-2020 global biodiversity framework and be tailored to national circumstances and priorities. National focal point ministries should aim to coordinate with national entities responsible for other biodiversity components of the Rio conventions and the Sustainable Development Goals, as well as relevant stakeholder groups, when developing national commitments.

25. Commitments of non-State actors, indigenous peoples and local communities, and stakeholders would continue to be submitted on a voluntary basis using a standardized procedure. A standardized format for commitments will continue to be developed, building upon the Sharm El-Sheikh to Kunming Action Agenda for Nature and People, in order to ensure the aggregability of submissions. A registry of commitments of non-State actors, indigenous peoples and local communities and stakeholders will continue to be maintained. The commitments of non-State actors, indigenous peoples and local communities and stakeholders could also be reflected in Parties' national commitments, at the discretion of each Party.

B. National planning

26. While not directly part of the process for reviewing implementation of the post-2020 global biodiversity framework, national biodiversity planning process, such as NBSAPs, are an important part of the policy cycle. Reporting processes at both the global and national levels need to be connected to national planning processes so that they can take into account new information and lessons learned.

27. NBSAPs are the main vehicle for national biodiversity planning and implementation. NBSAPs should continue to aim to provide a whole-of-government approach to the implementation of the Convention. They should help to increase commitment and political support for implementation, including those related to national development plans and the 2030 Agenda for Sustainable Development. Further, in order to maximize the effectiveness and relevance of national biodiversity planning processes, a broad range of national stakeholders, including representation from a range of government entities, local level government, indigenous peoples and local communities, women and youth, and the private sector, should be involved.

28. NBSAPs should be reviewed periodically and aim to provide the maximum opportunity for uptake in national planning processes. The national planning processes will also be useful for increasing engagement towards national commitments and stimulating additional commitments from subnational and non-State actors. The periodicity and content of NBSAPs should be driven by national priorities, needs and contexts. While Parties may wish to align the national cycle of revising and updating NBSAPs with the global cycle, they do not necessarily need to be revised following the adoption of the post-2020 global biodiversity framework if they remain effective instruments to implement national commitments and priorities, other than to reflect the national commitments to the new global biodiversity framework. In addition, given national processes and circumstances, and not to delay the implementation of the post-2020 global biodiversity framework, Parties may wish to consider using a condensed revision or update process to reflect the national commitments in relation to the post-2020 global biodiversity framework as opposed to developing a new NBSAP. Additionally, Parties may consider ways to mainstream biodiversity into other national planning processes, rather than focusing on the NBSAP as such.

29. The planning process for revising and updating the NBSAPs should engage a broad range of stakeholders, include a national assessment of biodiversity, provide a mechanism for monitoring national progress and include concrete implementation plans for the achievement of the national biodiversity targets. The voluntary national review process provides a valuable means for evaluating and improving national implementation.

C. National reporting

30. National reports will continue to be the main reporting and review mechanism under the Convention and the Protocols. The national reports will be used to gather and assess national information on the implementation of the post-2020 global biodiversity framework, associated national commitments and the implementation of the Convention more generally, in a standardized way. Global assessments of progress in implementation would be based on the information contained in the national reports, including information related to globally agreed indicators and other relevant tools and approaches.

31. According to decision 14/27, the seventh national report will be due in 2023. It would be the first national report cycle synchronized with the reports to the two Protocols. However, due to the delay in holding the fifteenth meeting of the Conference of the Parties and the adoption of the post-2020 global biodiversity framework, and in the light of the timetable for meetings of the Conference of the Parties assumed in the present document, the Conference of the Parties may wish to adjust this timetable such that the reports are due in 2024 to inform the mid-term review in 2025. The eighth national report would be expected to provide further substantive information on the progress made in implementation. The specific deadlines for the reports would continue to be agreed by the Conference of the Parties at appropriate meetings.

32. If the Conference of the Parties decides to shift the due date for the seventh national reports under the Convention to 2024, the respective meetings of the Parties to the Cartagena and Nagoya Protocols may wish to consider postponing the submission deadline for the fifth national reports under the Cartagena Protocol and the first national reports under the Nagoya Protocol, respectively, to 2024, to maintain a synchronized reporting cycle as foreseen in decisions [CP-9/5](#) and [NP-3/4](#). Based on the outcomes from the Subsidiary Body on Implementation, further information on the implications for processes under the Protocols (e.g. assessment and review, compliance) of national reports coming due in 2023 versus 2024 can be provided to the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol at its tenth meeting and to the Conference of the Parties serving as the meeting of the Parties to the Nagoya Protocol at its fourth meeting to facilitate this discussion.

33. Reporting templates for the seventh national report and subsequent reports will have standardized sections relating to the monitoring framework for the post-2020 global biodiversity framework which will allow for a global aggregation of progress. The use of a set of agreed headline indicators is proposed as a mandatory component of national reports. The reporting templates will also be simplified to the extent possible and, where feasible, pre-filled with information drawn from existing databases to be amended or validated by Parties. This pre-filling could include data from national disaggregation of globally available data sets as well as national data which is publicly available and produced by national statistical offices. It could also include information previously submitted to the Secretariat. A draft template and guideline for the seventh national report will be developed by the Secretariat, and initial considerations and content for the seventh national report presented in CBD/SBI/3/11/Add.1.

34. The online reporting tool for the sixth national reports will be updated to reflect the format of the seventh national reports and further enhanced to reduce the reporting burden on Parties, improve comparability and facilitate the sharing of data to and from national clearing-house mechanisms, and reporting to other conventions and multilateral environmental agreements.

35. Non-State actors, indigenous peoples and local communities, civil society and the private sector would also be encouraged report on the actions taken to implement the framework, the successes achieved, and the challenges encountered. Where possible, these actors should be encouraged to contribute inputs to national reports submitted by Parties.

D. Country-by country Party-led peer review process under the Subsidiary Body on Implementation

36. As part of the Convention's multidimensional review approach, there would be opportunities to undertake in-depth consideration of the success of each country in implementing the Convention as well of the challenges they have encountered. This would enable the sharing of experiences and lessons learned among countries. These country-by-country reviews could take several forms.

37. An open-ended forum to pilot a Party-led review process was held as part of the special virtual session of the third meeting of the Subsidiary Body on Implementation in September 2020. To collect further views on the open-ended forum on implementation, a survey was distributed to all participants in the forum. Parties may wish to consider formally incorporating this process as part of an enhanced planning, reporting and review mechanism in order to allow Parties to share their experiences with implementation directly. Such a forum could be held on one or more occasions each year in an online format to allow all Parties to be reviewed every 5 or 10 years. A summary of the open-ended forum sessions would then be prepared to summarize the successes and challenges identified by Parties. This summary would then be considered by the Subsidiary Body on Implementation and, on this basis, the Subsidiary Body would prepare recommendations to address issues delaying or hindering implementation for the further consideration of the Conference of the Parties. Such an approach would provide an opportunity for dialogue among Parties on their implementation successes and challenges during the open-ended forum, while ensuring that the results of the forum feed into deliberations at meetings of the Subsidiary Body on Implementation and of the Conference of the Parties and, as appropriate, meetings of the Parties to the Protocols. In this way, an explicit link from country-by-country review to means of implementation would be established. In this light, the Subsidiary Body on Implementation at its third meeting may wish to request the Executive Secretary to further develop the terms of reference and modalities for the open-ended forum for the further consideration by the Conference of the Parties at its fifteenth meeting. The terms of reference should take into account the experiences of the pilot phase, the results of the survey noted above and the views expressed during the third meeting of the Subsidiary Body on Implementation.

38. Another part of the Convention's multi-dimensional review approach is the voluntary peer review mechanism. Adopted by the Conference of the Parties through decision 14/29 after the development and testing of the methodology, this is currently the only country-by-country review under the Convention. It is a peer-to-peer process whereby a team of Party-nominated experts undertake an in-depth review of implementation, including a desk study, country visit and interviews with key stakeholders. It is proposed that the voluntary peer review be available to those Parties which wish to avail themselves of the opportunity that this mechanism provides.

E. Global analytical review

39. To further facilitate the work of the Conference of the Parties in reviewing progress globally, there is a need for high-quality, near-real-time information and actionable analysis. This analysis should draw on the information generated through the processes above but also take into account information provided through other forums. The specific timing, format, scope and modalities for these analyses would need to be determined in parallel to discussions on the work programmes of the future meetings of the Conference of the Parties.¹⁰ The following types analysis are proposed as part of the global review process:

(a) The development of a biodiversity monitoring information system which function as a near-real-time, dynamic monitoring platform for continuously keeping biodiversity under review. It would leverage geospatial and indicator data in a visual, explorable system which is aligned with the indicators agreed as part of the monitoring framework for the post-2020 global biodiversity framework. It would also facilitate tracking of national commitments, national reports and scientific and knowledge management products;

¹⁰ Parties may wish to consider this in the context of item 5, which addresses the periodicity of meetings of the Conference of the Parties, among other things.

(b) An analysis of national commitments in relation to the aspirations set out in the post-2020 global biodiversity framework. Such a gap analysis would utilize data, scientific information and predictive models and scenarios to assess the cumulative impact of national commitments against the ambition of the global goals and targets in order to identify and recommend action to facilitate the achievement of the post-2020 global biodiversity framework. The gap analysis would compile all the national commitments and use modelling techniques to compare the predicted impact of commitments to the goals of the post-2020 framework to assess whether the level of ambition is commensurate with the ambition of the framework. This would facilitate the provisioning of recommendations for ratcheting up commitments where needed;

(c) A global stocktake of implementation as an evolution of the *Global Biodiversity Outlook*. The global stocktake would review:

- (i) National and other commitments;
- (ii) National reports;
- (iii) Information in the biodiversity monitoring information system, including scientific assessments and scenarios;
- (iv) Linkages and recommendations related to broader processes and information, including those related to sustainable development and the other biodiversity-related and Rio conventions;
- (v) Progress on the enhancement of means of implementation (capacity-building, technical and scientific cooperation, and resource mobilization);
- (vi) Implementation of decisions of the Conference of the Parties based on analysis of data provided in the decision tracking tool.

40. The Conference of the Parties, as part of its mandate to keep under review the implementation of the Convention, would undertake specific tasks at each of its meetings in the decade 2021-2030 as follows:

(a) At its sixteenth meeting [in 2023], the Conference of the Parties would review the cumulative impact of national contributions towards each of the goals and targets of the post-2020 global biodiversity framework, on the basis of national contributions submitted through the clearing-house mechanism and synthesized and analysed in the *Global Gap Report*, with a view to identifying any commitment gaps and, as necessary, providing further advice to close these gaps;

(b) At its seventeenth meeting [in 2025], the Conference of the Parties would undertake a global stocktake of progress towards each of the goals and targets of the post-2020 global biodiversity framework, on the basis of the seventh national reports, updated national contributions, lessons arising from the country-by-country reviews and the sixth edition of the *Global Biodiversity Outlook*, with a view to identifying any gaps in implementation and the related provision of the resources, and, as necessary, providing further advice to close these gaps;

(c) At its eighteenth meeting [in 2027/8], the Conference of the Parties would undertake an updated review of progress towards each of the goals and targets of the post-2020 global biodiversity framework, on the basis of updated information provided by Parties and lessons arising from the country-by-country reviews, and update the analysis in *Global Gap Report* and the *Global Biodiversity Outlook*, with a view to identifying any further measures that may be needed to ensure full achievement, by 2030, of the post-2020 global biodiversity framework;

(d) At its nineteenth meeting [in 2030], the Conference of the Parties would undertake the final review of progress towards each of the goals and targets of the post-2020 global biodiversity framework, on the basis of the eighth national reports, and the seventh edition of the *Global Biodiversity Outlook*.

V. IMPLICATIONS

41. The previous sections outline the proposed enhanced mechanism for planning, reporting and review, the aim of which is to improve accountability, transparency and results; however, this proposal has resource implications for all those involved in implementing and supporting the implementation of the Convention and the post-2020 global biodiversity framework. The proposed mechanism will not be possible without investing in national, regional and global monitoring and review systems.

42. At the national level, resource implications will include strengthening national biodiversity data collection, data sharing and integration, scientific assessment and research. The investment in monitoring and review should be broader than the government entities responsible for implementation of the Convention to include national statistical systems and national research institutions.

43. At the global level, resource implications will include strengthening data collation and curation, modelling, scientific assessment and coordination mechanisms. The Secretariat can work with partners in support of building a biodiversity monitoring system, improving reporting, collation of national reports, promoting scientific assessment and coordination of partners involved in monitoring and reporting. However, an investment in biodiversity data and science would be required at all levels and across many partners. Increased support would also be needed to support the country-level review processes.

44. While the cost implications of the proposal above are likely to be considerably more than what is currently invested on monitoring, reporting and review, they would be relatively small in comparison to the costs of implementing the post-2020 global biodiversity framework. Further, the benefits provided in terms of the support provided to implementation would be significant.

VI. SUGGESTED ELEMENTS OF A RECOMMENDATION

45. The Subsidiary Body on Implementation may wish to consider adopting a recommendation along the following lines:

The Subsidiary Body on Implementation

1. *Welcomes* the analysis and proposals contained in the note by the Executive Secretary,¹¹ and requests the Co-Chairs of the Open-ended Working Group on the Post-2020 Global Biodiversity Framework to take them into account when preparing documentation related to the post-2020 global biodiversity framework;

2. *Welcomes* the trial phase of the open-ended forum on implementation;

3. *Also welcomes* the reports of the voluntary peer review exercises conducted in Sri Lanka and Uganda;

4. *Requests* the Executive Secretary to further develop the modalities and operations of the multidimensional reporting and review approach set out in the note by the Executive Secretary,¹¹ as follows:

(a) To develop guidance and a template for the submission of national commitments in support of the post-2020 global biodiversity framework and to make these available for the consideration of the Open-ended Working Group on the Post-2020 Global Biodiversity Framework and the Conference of the Parties at its fifteenth meeting, as appropriate;

(b) To develop a registry for national commitments in support of the post-2020 global biodiversity framework as part of the clearing-house mechanism of the Convention, taking into consideration experiences and possible linkages with the registry for the Sharm El-Sheikh to Kunming Action Agenda for Nature and People, commitment platforms under other processes and with the online reporting tool for national reports, and the views expressed by Parties at the third meeting of the Subsidiary Body on

¹¹ CBD/SBI/3/11.

Implementation, and to present this registry to the Open-ended Working Group on the Post-2020 Global Biodiversity Framework at its third meeting;

(c) To prepare guidance on the development of national action plans for the implementation of the post-2020 global biodiversity framework and to make it available to Parties in advance of the fifteenth meeting of the Conference of the Parties;

(d) To prepare a template and associated guidance for the seventh national reports, taking into account the views expressed at the third meeting of the Subsidiary Body on Implementation and the outcomes of the third meeting of the Open-ended Working Group on the Post-2020 Global Biodiversity Framework, and to submit them for consideration and adoption at the fifteenth meeting of the Conference of the Parties;

(e) To further develop, taking into account the experience of the trial phase of the open-ended forum on implementation, and the views and suggestions expressed during the third meeting of the Subsidiary Body on Implementation, the modus operandi of the open-ended forum on implementation and to make it available for the consideration of the Open-ended Working Group on the Post-2020 Global Biodiversity Framework at its third meeting;

(f) To further define and develop the scope, timeline, modus operandi, institutional arrangements, resources requirements, and expected results of a global stocktake of national commitments and contributions to the post-2020 global biodiversity framework and submit this for the consideration of the Open-ended Working Group on the Post-2020 Global Biodiversity Framework at its third meeting, considering the views and suggestions expressed at this meeting;

(g) To include in the knowledge management component of the post-2020 global biodiversity framework an approach for the use of tools and platforms that can support national reporting and national planning processes, including possible data management approaches for the headline, component and detailed indicators in the monitoring framework proposed by the Open-ended Working Group on the Post-2020 Global Biodiversity Framework;

5. *Encourages* the Global Environment Facility and other funding agencies to make the necessary preparations to ensure that support is available in a timely and expeditious manner to developing countries, in particular least developed countries and small island developing States as well as Parties with economies in transition, for the development of national commitments and contributions to the goals and targets of the post-2020 global biodiversity framework, the updating or revision of national biodiversity strategies and action plans or other relevant national planning instruments, the development of national monitoring and information management systems, including the development, identification and use of indicators, and the preparation of national reports, so that Parties may begin these processes as soon as possible after the adoption of the post-2020 global biodiversity framework and in accordance with the decisions emanating from the fifteenth meeting of the Conference of the Parties;

6. *Encourages* partner organizations, including those working to develop and support monitoring and indicators for the post-2020 global biodiversity framework, to continue refining data sets, tools and platforms to support national reporting in alignment with the post-2020 global biodiversity framework;

7. *Recommends* that the Conference of the Parties adopt a decision along the following lines:

The Conference of the Parties,

Recalling Articles 6, 23, and 26 of the text of Convention,

Also recalling decisions IX/8, X/10, XI/10, XIII/27, 14/27, 14/29 and 14/34,

Further recalling that the Convention has a multidimensional approach to reviewing progress in implementation,

Emphasizing that planning, monitoring, reporting and reviewing are crucial for the effective implementation of the Convention and the post-2020 global biodiversity framework,

Also emphasizing that national biodiversity strategies and action plans are the main instrument for implementing the Convention at the national level and that national reports are the main instrument for monitoring and reviewing the implementation of the Convention and the post-2020 global biodiversity framework,

Noting the limited progress in implementation of the Strategic Plan for Biodiversity 2011-2020, and *emphasizing* the need to enhance commitments and actions at all levels and by all sectors of society to achieve the goals and targets of the post-2020 global biodiversity framework,

1. *Adopts* an enhanced multidimensional approach to planning, monitoring, reporting and review with a view to enhancing implementation of the Convention on Biological Diversity and the post 2020 global biodiversity framework, comprising, as further elaborated in this decision: (a) the development and reporting of national commitments as contributions to the global goals and targets of the post-2020 global biodiversity framework; (b) national reports on implementation; (c) country-by-country peer reviews of implementation and global stocktakes of national contributions; and (d) global assessments of progress towards the goals and targets of the post-2020 global biodiversity framework;

2. *Decides* to keep the Convention's multidimensional approach to planning, monitoring, reporting and review under review in order to take into account experiences with the approach and to make adjustments as required;

3. *Welcomes* the template for the submission of national commitments as contributions to the post-2020 global biodiversity framework provided in annex X to the present decision;

4. *Adopts* the guidelines provided in annex X to this decision,¹² including the reporting template for the seventh national report, noting that it will be aligned with the post-2020 global biodiversity framework as per paragraph 12(a) of the present decision;

5. *Decides* as follows:

(a) At its sixteenth meeting [in 2023], to review the expected cumulative impact of national commitments towards each of the goals and targets of the post-2020 global biodiversity framework, on the basis of national commitments submitted through the clearing-house mechanism and a global gap report, with a view to identifying any commitment gaps and, as necessary, providing further advice to close these gaps;

(b) At its seventeenth meeting [in 2025], to undertake a global stocktake of progress towards each of the goals and targets of the post-2020 global biodiversity framework, on the basis of the seventh national reports, updated national commitments, lessons arising from the country-by-country reviews and the sixth edition of the *Global Biodiversity Outlook*, with a view to identifying any gaps in implementation and the related provision of the resources, and, as necessary, providing further advice to close these gaps;

(c) At its eighteenth meeting [in 2027/8], to undertake an updated review of progress towards each of the goals and targets of the post-2020 global biodiversity framework, on the basis of updated information provided by Parties and lessons arising from the country-by-country reviews, with a view to identifying any further measures that may be needed to ensure full achievement of the post-2020 global biodiversity framework by 2030;

(d) At its nineteenth meeting [in 2030], to undertake a final review of progress towards each of the goals and targets of the post-2020 global biodiversity framework, on the basis of the eighth national reports, and the seventh edition of the *Global Biodiversity Outlook*;

6. *Requests* Parties to develop national commitments as contributions to the attainment of each of the goals and targets of the post-2020 global biodiversity framework, taking into account

¹² To be developed pursuant to Subsidiary Body recommendation 3/--, paragraph 4.

national circumstances, with a view to contributing to the full achievement of the targets of the framework, and to submit them through the clearing-house mechanism no later than [31 October 2022] [within one year of the adoption of the framework at the fifteenth meeting of the Conference of the Parties], in line with the template provided in annex X;

7. *Also requests* Parties to submit their seventh national report by [30 June 2024], to provide a concise report on national progress towards their national contributions and the goals and targets of the post 2020 global biodiversity framework, using the core set of headline indicators set out in the monitoring framework for the post-2020 global biodiversity framework adopted in decision 15/–, and in line with the format for the seventh national reports provided in annex X;

8. *Invites* Parties to facilitate, as appropriate, the full and effective participation of indigenous peoples and local communities and relevant stakeholders, including focal points for other biodiversity-related conventions and Rio conventions, national statistics institutes and other data holders, non-governmental organizations, women’s groups, youth groups, the business and finance community and representatives of sectors related to or dependent on biodiversity, in the preparation of the seventh national report to ensure that national reports reflect national implementation, and to increase alignment and coordination in reporting to the Convention and its Protocols and to promote synergies in reporting among related conventions;

9. *Encourages* Parties to promote national level coordination and synergies in the preparation of national reports to the biodiversity-related conventions and the Rio conventions as well as national voluntary reviews on the implementation of the Sustainable Development Goals, including through the establishment of coordinating bodies and shared information systems, as appropriate and according to national circumstances;

10. *Also encourages* Parties to develop and or update, as appropriate and according to national needs and circumstances, national biodiversity strategies and action plans, incorporating national contributions to the global goals and targets, through inclusive and participatory processes integrated with other national planning processes and to make them available through the clearing-house mechanism of the Convention;

11. *Further encourages* Parties to participate in the country-by-country review mechanisms of national biodiversity planning and implementation of the post-2020 global biodiversity framework;

12. *Encourages* Parties to increase national coordination and synergies in the preparation of national reports to the biodiversity-related conventions and the Rio conventions as well as national voluntary reviews on the implementation of Sustainable Development Goals, including through the establishment of coordinating bodies, as needed, and shared information systems;

13. *Invites* indigenous peoples and local communities, subnational governments, cities and other local authorities, intergovernmental organizations, non-governmental organizations, women’s groups, youth groups, the business and finance community and representatives of sectors related to or dependent on biodiversity, to develop commitments in support of the post-2020 global biodiversity framework, to register them on the online platform for the Sharm El-Sheikh to Kunming Action Agenda for Nature and People, and to report on their implementation;

14. *Invites* relevant international, regional or subregional organizations to support countries in the updating and revision of national biodiversity strategies and action plans and the preparation of national reports, including through the provision of relevant data and information and capacity-building activities;

15. *Invites* the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services to take into account the post-2020 global biodiversity framework into its rolling

work programme up to 2030, including by undertaking assessments of progress in the implementation of the goals and targets of the post-2020 biodiversity framework;

16. *Invites* relevant organizations, including the United Nations Statistical Commission and the Biodiversity Indicators Partnership, to support monitoring the status and trends of biodiversity, including through data harmonization and data visualization of biodiversity information, and links to socioeconomic issues;

17. *Requests* the Global Environment Facility and *invites* other funding entities to make funds available in a timely and expeditious manner to developing countries, in particular least developed countries and small island developing States as well as Parties with economies in transition to support the development of national commitments as contributions to the goals and targets of the post-2020 global biodiversity framework, the updating or revision of national biodiversity strategies and action plans or other relevant national planning instruments, the development of national monitoring and information management systems, including the development, identification and use of indicators, for the implementation of the global biodiversity framework, and the preparation of national reports, so that Parties may begin these processes as soon as possible after the adoption of the post-2020 global biodiversity framework and in accordance with decisions emanating from the fifteenth meeting of the Conference of the Parties;

18. *Requests* the Executive Secretary:

(a) To update the template for national commitments and the reporting template for the seventh national reports provided in annex X to reflect the post-2020 global biodiversity framework as adopted, and to make them available to Parties through the clearing-house mechanism of the Convention by 31 January 2022;

(b) To further develop the online reporting tool for national reports to allow all Parties to prepare and submit the seventh national reports using the reporting format mentioned above, including linking reporting with a biodiversity monitoring system which would allow for data sharing between Parties and the Secretariat and with other multilateral environmental agreements and biodiversity-related conventions and other partners;

(c) To coordinate a review of national commitments and contributions to each of the targets of the post-2020 global biodiversity framework, including through the preparation of a global gap report assessing the collective ambitions of the national commitments and contributions against the global goals and targets of the post-2020 global biodiversity framework, and to make this report available for consideration by the Subsidiary Body on Implementation at a meeting held prior to the sixteenth meeting of the Conference of the Parties;

(d) To coordinate the preparation of a comprehensive global stocktake of commitments and contributions towards the goals and targets of the post-2020 global biodiversity framework, based on updated national commitments, national reports, the results from the gap report noted above and additional information and prepare the sixth edition of the *Global Biodiversity Outlook* comprising a synthesis and analysis to inform the global stocktake;

(e) To develop, in consultation with the United Nations Statistical Commission, the Biodiversity Indicators Partnership and other partners, a global biodiversity monitoring system, which contains indicators, geospatial data and other information relevant for national, regional and global progress tracking, national reporting and the gap report analysis based on the global biodiversity framework monitoring framework;

(f) To organize, with the guidance of the Chair of Subsidiary Body on Implementation and the Bureau, the country-by-country review under the Subsidiary Body on Implementation;

(g) To support the voluntary enhanced peer-review process for national biodiversity planning processes;

(h) To support, in collaboration with relevant partners and as part of the implementation of the long-term strategy for capacity-building for the implementation of the post-2020 global biodiversity framework, capacity-building for the preparation of national reports, including capacity-building related to the use of headline indicators;

(i) To coordinate the updating of the Action Agenda platform, reviewing and updating its functionalities to foster the engagement of subnational, non-State actors and other stakeholders and reporting against their commitments to the post-2020 global biodiversity framework;

(j) To continue to explore options for synergies in reporting to the biodiversity-related conventions, the Rio conventions and Sustainable Development Goals, including through the Data and Reporting Tool (DaRT), and encourages Parties to strengthen coordination in reporting to related conventions and processes at the national level;

(k) To continue to develop the decision-tracking tool;

(l) To continue to explore options for synergies in reporting to the biodiversity-related conventions, the Rio conventions and the 2030 Agenda for Sustainable Development, including through the Data and Reporting Tool.

Annex I

SYNTHESIS OF VIEWS EXPRESSED IN SUBMISSIONS AND CONSULTATIONS FOR THE DEVELOPMENT OF THE POST-2020 GLOBAL BIODIVERSITY FRAMEWORK

1. The information below summarizes input on implementation and review mechanisms received from the post-2020 regional consultations, the written submissions and the thematic consultation on transparent implementation, monitoring, reporting and review held in Rome in February 2020.

A. National reports

2. It was generally agreed that more effective, robust and transparent national reporting is required. It was suggested that national reports should focus more on impacts of actions, implementation and commitment gaps, and plans to address challenges and obstacles identified. The need for national reporting processes to engage all relevant stakeholders, including indigenous peoples and local communities, and reflect their actions and inputs, was also highlighted. National reports could address specific targets and include case studies on a voluntary basis. The suggestion that national reports include reporting on social, cultural and human rights issues was also put forward. The national reporting process and the format of the report, including the online reporting tool, should be simplified, streamlined and easier to use. The reporting format should also allow for greater comparability in order to allow information to be meaningfully aggregated.

3. Regarding the periodicity of national reports, it was suggested that the current process of submitting two national reports within a ten-year period should be maintained. Other proposals included that intermediary reports could be submitted in between mandatory national reports, or that two or three reporting cycles could be conducted over the decade, allowing for interim revisions based on identification of gaps and new information. It was also suggested that a review of national reports and of NBSAPs could be undertaken to improve their quality and their usability for global stocktaking.

4. It was proposed that synergies among related reporting processes, in terms of both periodicity and content, be enhanced. Particular attention should be given to alignment of reporting to the Convention and its Protocols, and synergies in reporting to the biodiversity-related conventions, Rio Conventions and in relation to the Sustainable Development Goals. To this end, increasing the use of the clearing-house mechanism and tools for online reporting and knowledge management, modular reporting and the use of the Data and Reporting Tool (DaRT) developed by the United Nations Environment Programme (UNEP) could be explored.

5. There was general support for timing national reports so that they feed into a global biodiversity stocktake. They should complement and add value to global assessments and/or stocktaking by helping to identify capacity and implementation gaps, scale up action for implementation and improve accountability. A global biodiversity stocktake could also involve reporting by subnational entities and non-State actors. Several proposals were made in relation to the timing of a global stocktake, including every five years, in 2023 and 2030, in 2025, or starting in 2021 and using assessments published by the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES), the fifth edition of the *Global Biodiversity Outlook* and sixth national reports. It was also suggested that the high-level segment held during meetings of the Conference of the Parties should take advantage of the outcomes of such a process to increase political will and momentum towards implementation.

B. Indicators

6. It was suggested that a core set of headline indicators be developed that all countries could report on, and which could be complemented by additional global or national indicators. Delay in the choice and development of indicators for the post-2020 period should be avoided. It was also noted that the issues of traditional knowledge and customary sustainable use, although globally considered important, are not well reflected in indicators used by Parties in their reporting to date. Indicators related to indirect drivers could be considered. A lead agency could perhaps be identified and tasked with preparing and compiling indicator information, similar to what is done in relation to the Sustainable Development Goals. The possibility of

using indicators from other processes, such as those used for the Sustainable Development Goals and by other multilateral environmental agreements, was also noted.

7. The importance was noted of maintaining continuity in the post-2020 period with established national processes that use national indicators based on national data sets and information to ensure effective long-term monitoring. There was also a need for more consistency in data availability and use.

C. National planning

8. There was general agreement that NBSAPs should continue to be the main national planning instrument in the post-2020 period. Parties, partners and observers have expressed concern during the post-2020 consultation process about the time it could take to revise NBSAPs again, and the implications for implementation momentum. However, the need to align NBSAPs with national reporting and with monitoring at the global level (and an eventual global biodiversity stocktake) was noted. It was suggested that post-2020 NBSAPs and national reports reflect plans and report on activities implemented at the subnational level. In view of the need to align existing NBSAPs with the new global biodiversity framework, new (or updated) guidance, guidelines and standards will have to be developed. It was stressed that any NBSAP revision/updating process should be as short as possible so that the focus can be on implementation. Options were proposed regarding different forms that post-2020 NBSAPs could take. It was noted that the standardization of NBSAPs would enable better review, including for the estimation of potential global ambition gaps; however, the need to retain a certain level of flexibility was also stressed. A number of options were discussed, including: a small number of common elements for NBSAPs; disaggregating the information contained in the NBSAP into separate instruments; or having additional instruments or addendums to existing NBSAPs submitted at regular intervals (national commitments). There was also a suggestion that action plans might be developed as more streamlined and frequent means of reporting on commitments, and that an “adaptive management” approach could be taken to action plans. Action plans could be developed at the national and subnational levels and be used by non-State actors. Depending on the global targets adopted, the possibility for revised/updated NBSAPs to become broader, more cross-cutting instruments, aligned with national processes, was also highlighted.

9. Various proposals were put forward regarding when NBSAPs should be revised/updated, including: by 2021; by the sixteenth meeting of the Conference of the Parties (2022); or by 2025. Another option put forward was to have three action plans in the 10-year period, the first a comprehensive one and the second and third adaptations of the first depending on implementation progress.

10. Noting the Sharm El-Sheikh to Kunming Action Agenda for Nature and People, there was a suggestion of encouraging national commitments from a broad range of stakeholders, including the United Nations system, indigenous peoples and local communities, academia, civil society, international organizations, the business sector, and other stakeholders. Whether the NBSAP is the right tool for this purpose was questioned, however. The importance of submitting national commitments early in the post-2020 period (by the sixteenth meeting of the Conference of the Parties) was noted. It was suggested that national commitments could be framed in a manner similar to the nationally determined contributions under the United Nations Framework Convention on Climate Change (UNFCCC) or the voluntary commitments under the United Nations Convention to Combat Desertification (UNCCD). The process of voluntary national reviews employed by the High-level Political Forum on Sustainable Development could also be considered in this regard. The possibility of aligning the timeframe of NBSAPs (or national commitments) with nationally determined contributions under the UNFCCC (five-year intervals) and with IPBES and IPCC reporting was another issue to consider. It was suggested that procedural obligations might need to be established to ensure the adequacy of commitments.

D. Voluntary peer review

11. The voluntary nature of the voluntary peer review process was discussed, with some suggesting that it should be mandatory or that it should employ a method whereby countries are randomly or systematically selected for review; others suggested that it should remain voluntary. The review should not be punitive. There was also a suggestion for a comprehensive peer review which would review all Parties within a review

period. In view of the small number of Parties volunteering to be reviewed and/or nominating national experts to participate in the review teams, it was suggested that the creation of incentives could assist in this regard. The need for clarification on the criteria for participation and on the objectives of the methodology was noted, as was the need for awareness-raising on the benefits that can be respectively derived by countries under review and countries participating in the review teams.

12. Regarding the possibility of tweaking the existing voluntary peer review methodology in the context of the post-2020 framework, it was suggested that the exercise could be complemented with an open peer review of draft NBSAPs and national reports, and public comments (bottom-up approach). It was also suggested that the review could be more standardized, collect data which would allow for a cross-country comparison, focus on specific topics, be linked to specific outcomes, and advise Parties on the preparation of national reports. Another proposal was that the scope of the voluntary peer review could be expanded, with the UNFCCC process cited in this regard.

E. Monitoring and review

13. It was stressed that a monitoring, reporting and review mechanism to strengthen implementation under the Convention in the post-2020 period should be ambitious, adaptive, transformative and action-oriented and useful in enhancing implementation (and mainstreaming) on the ground. The importance of review processes both at global and national levels was noted. It was suggested that the effectiveness of such a mechanism will largely depend on whether the post-2020 global biodiversity framework is outcome-oriented or process-oriented (the former being more rigorous and more easily measurable), or both. Principles proposed for the mechanism included that it should be non-punitive, facilitative and participatory, highlight best practices, identify ways to fill gaps, not single out Parties and highlight capacity and resource needs, and engage all stakeholder groups. While some felt that the process should focus on identifying cases of low or minimal compliance, others stated that it should focus on determining if the collective efforts of Parties are sufficient to reach the ambitions of the post-2020 global biodiversity framework. Several groups emphasized the need for coherence among the different components of the mechanism (including “cycles of positive feedback” among them).

14. It was also suggested that regional and subregional organizations should be empowered by Parties to address accountability issues. The enhanced mechanism should also allow non-State actors to quantify their contributions and interventions. Citizen science programmes and community-based monitoring could also support monitoring and review processes. Some participants suggested that a coordination mechanism to support the monitoring and review process could be developed and pointed to the successes of the Global Strategy for Plant Conservation in this respect. It was also suggested that such organizations as IPBES or GEO-BON could be tasked with reviewing progress in the post-2020 period. The establishment of a compliance mechanism, to which stakeholder groups, including indigenous peoples and local communities and civil society, could also contribute, was another suggestion put forward. The establishment of an implementation support committee, possibly under the Subsidiary Body on Implementation, which would provide Parties with advice for overcoming obstacles (facilitative) and would be composed of independent experts, Parties and stakeholders, was also suggested, as was a system for filing complaints.

Annex II

EXISTING ELEMENTS OF MONITORING AND REVIEW UNDER THE CONVENTION AND ITS PROTOCOLS

	<i>What is reviewed</i>	<i>Periodicity</i>	<i>Information sources</i>	<i>Review body</i>	<i>Results</i>	<i>Strengths</i>	<i>Weaknesses</i>
COP review of progress in implementation	Aggregate progress towards global targets and measures taken	2 years	National reports, NBSAPs Compiled by Secretariat	SBI/COP	COP decisions requesting increased action, support, etc. COP message on status of implementation sent to the United Nations General Assembly	Global overview taking national submissions into account Gives an update on status of implementation at each meeting of COP	Aggregation of national information is inadequate Based on information available at the time (not all NBSAPs and NRs). No follow-up mechanism
Global Biodiversity Outlook	Aggregate progress towards global targets and measures taken	4 years	National report, scientific literature, indicators. Compiled by the Secretariat	SBSTTA/COP	Publication with key messages	Global overview, strong communication potential	Aggregation of information in national reports is inadequate; no follow-up required
National reports under the Convention	Implementation of NBSAPs and other measures National progress towards national and global biodiversity targets	4-5 years	Mostly national data and information, with some reports using regional and global data sets	None for individual reports SBI/SBSTTA/COP	Information in NRs contributes to review and decision-making processes under the Convention including GBO and relevant documents Information in NRs informs the subsequent NBSAP National communication and stakeholder engagement	Official data and information provided by Parties and (some) with inputs from relevant stakeholders National processes for the collection of data and information, and for the publication and launch of national reports provide an opportunity to bring stakeholders together and to raise awareness of the general public and decision makers.	Variations in content and quality make global aggregation challenging. Delays in submissions cannot provide information in time for reviews
National biodiversity strategies and action plans	National planning exercise	Not determined	Mostly national data and information Review of previous NBSAP	SBI/SBSTTA/COP	National legislation, national plans for implementation. Information in the NBSAP (particularly national targets) are used to assess the level of national	Include national targets and national implementation plan National processes for the collection of information and the establishment of an action plan provide an	Variations in content and quality make global aggregation challenging Many NBSAPs lack basic information necessary for planning and many activities included are not

	<i>What is reviewed</i>	<i>Periodicity</i>	<i>Information sources</i>	<i>Review body</i>	<i>Results</i>	<i>Strengths</i>	<i>Weaknesses</i>
			Global Strategic Plan and global targets adopted by COP		ambition toward the achievement of the Strategic Plan	opportunity to bring stakeholders together, gain commitment of different actors, and raise awareness.	funded prior to their inclusion in the NBSAP. Delays in submission cannot provide information in time for reviews. There is no requirement under the Convention for a periodic review and update of this instrument and therefore no mechanism for increasing national ambition after a global review of implementation.
Voluntary Peer Review	National implementation of NBSAP	Ad hoc	National report, NBSAP, any other information relating to implementation. In-country visit	Review Team convened for specific voluntary peer review exercise	Peer review report with recommendations to Party for enhanced implementation. Country policy response	Collegial and non-punitive tone. Strong capacity development and peer learning elements for both Review Team and Party under review. Information is triangulated with in-country visit. In-depth analysis of country situation.	Demand on Secretariat and on Review Team-members' time. Little integration with global policy process. Few reviews done to date. Challenges in getting countries to volunteer to be reviewed. Parties that have been reviewed are not required to report on implementation of recommendations.
Reviews of thematic programmes and programmes of work	Implementation and effectiveness of the programme	One time	National reports, thematic reports, information provided by relevant organizations and conventions	SBSTTA WG8J COP	Review report and recommendations	Recommendations useful to enhance the implementation of related thematic programmes.	Reviews not integrated in the overall review of implementation of the Convention and the Strategic Plan.
Decision Tracking Tool	Status of implementation of specific decisions by different actors	Ongoing	Secretariat Parties Non-Parties	COP		Ability to keep track of implementation of COP decisions (or lack thereof).	Has not yet been used by COP, Secretariat and others. User friendliness.

	<i>What is reviewed</i>	<i>Periodicity</i>	<i>Information sources</i>	<i>Review body</i>	<i>Results</i>	<i>Strengths</i>	<i>Weaknesses</i>
						Ability to collect evidence of implementation of decisions.	Not yet integrated with review mechanism and global policy process.
Review of compliance with procedural and institutional requirements under the Convention	Credentials Financial contributions	2 years	Secretariat	COP			Limited scope
National reports under the Cartagena Protocol	National implementation of the obligations under the Protocol and national information on indicators in the Strategic Plan for the Protocol	4 years	Online submission of national reports through the BCH	Compliance Committee and CP MOP	National Report, data/information gathered in country. Information from national reports enables follow-up by Compliance Committee.	Reporting format serves as a checklist for Parties on implementation of obligations under the Protocol Reporting format enables statistical analysis through online report analyser tool and allows results to be compared over time.	Quality of information submitted varies from country to country. National reports are often submitted late affecting other processes that rely on information from the national reports.
Compliance Committee - Cartagena Protocol on Biosafety	Compliance by Parties with obligations under the Protocol	Committee meets 1/year	Submissions from Parties National Reports, Information submitted to the BCH	Compliance committee	Offers assistance to Parties concerned; Instructs Secretariat to follow-up/assist Parties concerned; Takes, or recommends that CP MOP take, compliance measures in respect of specific Parties; Makes recommendations to CP MOP on general compliance issues	Existence of a mechanism Facilitative role Parties generally respond well to issues raised by the Compliance Committee	The Committee does not dispose of funds to support Parties that face compliance issues in need of resources to resolve them; The measures the Committee can take or can recommend that CP MOP take are limited
Assessment and review of Cartagena Protocol (Art. 35) and	Effectiveness of implementation of the Protocol The third and fourth assessments and	4 years	National reports, information submitted to the BCH, capacity-building experience,	CP MOP	Decision by CP MOP addressing many issues under the Protocol and the Strategic Plan	Periodic stock taking on progress in implementation allows for identification of areas that require further focus and for informing	Restricted time available for preparation of analysis of data and vastness of the process hinders detailed consideration of findings

	<i>What is reviewed</i>	<i>Periodicity</i>	<i>Information sources</i>	<i>Review body</i>	<i>Results</i>	<i>Strengths</i>	<i>Weaknesses</i>
evaluation of the Strategic Plan	reviews evaluated progress to achieve the objectives of the Strategic Plan for the Protocol		experience from the Compliance Committee, dedicated surveys			decision-taking by CP MOP	Few Cartagena NFPs attend SBI or CP MOP which impacts the depth of discussion on assessment and review at the meetings and the uptake of the findings at the national level
National reports under the Nagoya Protocol¹³	National implementation of the obligations under the Protocol and national information on indicators	4 years at first and after synchronized with the reports under CBD	Online submissions of national reports through the ABS-CH	None for individual reports Compliance Committee and NP MOP globally.	National report, data/information gathered in country, process related outcomes in country.	Data/information gathered in country, process related outcomes in country Serve as a checklist for Parties on implementation of obligations under the Protocol Linking to existing records of the ABS-CH helps to avoid duplication in the submissions of information. Online report analysing tool provides aggregated information, allows comparability of results over time as well as helps Parties and partners to access information on what countries are doing to implement each of the provisions of the Protocol, including challenges and lessons learned.	National reports not reviewed for quality/usability of information
Compliance committee - Nagoya Protocol¹⁴	Submission of national reports for the Nagoya Protocol and compliance with	Committee meets once every 2 years	Submissions by Parties, national reports, and ABS-CH	Compliance committee NP MOP	The Committee may offer advice or assistance to the Party concerned; request to develop a compliance action plan; invite the	Existence of mechanism, facilitative role, allows to monitor and assess compliance (progress made and challenges) and feed	As it is early in implementation of the Protocol, the Committee has not dealt with cases of individual non-compliance

¹³ More information on national reports under the Nagoya Protocol including the national report analyser can be found at: <https://absch.cbd.int/reports>

¹⁴ More information on the cooperative procedures and institutional mechanisms to promote compliance with the Nagoya Protocol and to address cases of non-compliance can be found in decision NP-1/4.

	<i>What is reviewed</i>	<i>Periodicity</i>	<i>Information sources</i>	<i>Review body</i>	<i>Results</i>	<i>Strengths</i>	<i>Weaknesses</i>
	obligations under the Protocol (general and individual)		The Secretariat, based on information related to compliance with Article 12(1) of the Protocol Information provided by a directly affected indigenous or local community		Party to submit progress reports. The Committee can recommend to NP MOP to take decisions, including on facilitating, access to financial and technical assistance; Issue a written caution, statement of concern or a declaration of non-compliance	this information regularly in the decision-making process by NP MOP	
Review of effectiveness of Nagoya Protocol¹⁵	Evaluation of the effectiveness of the Protocol, including in-depth analysis of different elements determined and monitor progress in implementation based on indicators	4 years at first, and then as determined by NP MOPs	Information by Secretariat based on submissions by Parties, non-Parties, indigenous peoples and local communities, and relevant stakeholders, national reports under the Protocol information in ABS-CH, NBSAPs and national reports under the Convention	NP MOP	In-depth analysis of issues related to implementation of the Protocol to inform decision-making by the NP MOP, guidance to the financial mechanisms and actions by Parties, the Secretariat and relevant partners to strengthen implementation of the Protocol	Allows to have periodic stock taking on progress in implementation and identify gaps and areas that require further work, as well as good practices in implementation. Allows for periodic in-depth analysis of selected elements or areas of work Allows NP MOP to take evidence-based corrective or facilitative measures. Allows for periodic review of the effectiveness of procedures, mechanisms and strategies adopted by NP MOP.	For the review process to achieve its objective, Parties and implementing partners need to take into account the results of assessment and review process

¹⁵ More information on the first assessment and review of the effectiveness of the Protocol can be found at: <https://www.cbd.int/abs/assessment.shtml>

Annex III

Review mechanisms that exist in other international forums

<i>Forum</i>	<i>What is under review?</i>	<i>Length of review cycle/ periodicity</i>	<i>Reviewing body</i>	<i>Information sources used</i>	<i>In-country visit</i>	<i>Duration of review session</i>	<i>Outcome</i>	<i>Measures based on/contained in outcome</i>	<i>Stakeholder involvement</i>
Paris Agreement Technical Expert Review	Individual Parties' Biennial Transparency Reports, implementation achievement, support provided, areas for improvement, capacity-building needs	2 years - conducted for each Biennial Transparency Report	Technical expert review team	National inventory report of anthropogenic emissions and other information to track progress in achieving nationally determined contributions	May be conducted as a centralized review, in-country review, desk review or simplified review	Variable	Technical expert review report - identification of areas for improvement		
Paris Agreement Facilitative Multilateral Consideration of Progress	Party's efforts under Article 9 of the Paris Agreement and efforts to implement its Nationally Determined Contribution	2 years - conducted for each Biennial Transparency Report	SBI	Party's Biennial Transparency Report, Party's technical expert review reports, any additional information provided by Party	No		A record of the facilitative, multilateral consideration of progress including: Party's presentation, questions and answers, record of working group session, procedural summary and any additional info on online platform		Open to observation by registered observers and is made publicly accessible through an online live recording
Paris Agreement- Global Stocktake	Collective progress of Parties towards the purpose and long-term goals of the Paris Agreement Means of implementation	5 years (2023, 2028, etc.) Information collection, technical assessment and consideration phases.	COP - with the support of both SBI and SBSTTA	Parties and stakeholders prepare input TEMs input on specific themes Summaries prepared by Secretariat under authority of COP presidencies	No	During COP, two plenary sessions: preparatory phase - one half day; political phase - one full day	Reports and summaries of the discussions inform the preparation of the next round of nationally determined contributions	Parties either submit new contributions or update their existing contributions	Stakeholders and expert institutions encouraged to prepare input to inform dialogues

<i>Forum</i>	<i>What is under review?</i>	<i>Length of review cycle/ periodicity</i>	<i>Reviewing body</i>	<i>Information sources used</i>	<i>In-country visit</i>	<i>Duration of review session</i>	<i>Outcome</i>	<i>Measures based on/contained in outcome</i>	<i>Stakeholder involvement</i>
High-level Political Forum (HLPF)	Collective progress towards the Sustainable Development Goals and individual countries' progress towards the Goals, progress toward specific themes and clusters of Goals, and means of implementation	Annually and quadrennially	High Level Political Forum (Economic and Social Council/- General Assembly)	Secretary-General's Report on Sustainable Development Goal progress; Global Sustainable Development Report; voluntary national reviews prepared by country	No	8 days/2 days	Negotiated ministerial declaration (Economic and Social Council) and negotiated political declaration (General Assembly)		Major groups participate as observers, can attend, access and submit information, intervene, and make recommendations
World Trade Organization - Trade Policy Review Mechanism	Full range of individual Members' trade policies and practices and their impact on the functioning of the multilateral trading system	2-6 years, determined by share of world trade (longer period for least developed countries)	Trade Policy Review Body (TPRB) (plenary body, facilitated by discussant)	A full report by Member State under review Report prepared by the Secretariat	No	2 sessions of half day per State Member reviewed	Secretariat report, Policy statement by member, conclusions of the Chairperson of the TPRB - published on WTO website	Feedback to the reviewed country on its performance in the system.	
United Nations Human Rights Council Universal Periodic Review	Obligations under the Charter of the United Nations, the Universal Declaration of Human Rights, specific instruments the State has ratified, voluntary pledges and commitments,	Four and a half years	Universal Periodic Review Working Group (limited membership body, assisted by three States for each reviewed); Any Member	Information provided by the State; Information contained in reports of independent human rights experts and groups, human rights bodies and other United Nations entities; Information provided by stakeholders including national human rights	No	Three hours 30 minutes per member	Report consisting of a summary of the proceedings of the review process; conclusions and/or recommendations, and the voluntary commitments of the State concerned- to be adopted by plenary of the Council	Recommendations ; funds available to support implementation; State has to report on what it has done to implement recommendations at its next review.	Stakeholders allowed to make "general comments" at the plenary session of the Human Rights Council where review report is presented for adoption.

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	international humanitarian law		State may take part in discussion	institutions and non-governmental organizations					
African Peer Review Mechanism (APRM)	Member countries' democracy and political governance, economic governance and management, corporate governance and sustainable socioeconomic development. Implementation of African Union Agenda 2063 and Sustainable Development Goals and the 2030 Agenda.	Upon becoming a member of APRM; every four years thereafter; and upon request (by member country or APR Forum)	APR Forum Committee of Participating Heads of State and Government (plenary body) Country Review Team	Secretariat prepares a background assessment document based on information from the country. APR Self-Assessment and National Programme of Action (NPoA) prepared by country. Questionnaire filled out by country. Country Review Team prepares report outlining issues to be focused on.	Yes	?	Country Review Report tabled at subregional institutions and made publicly available	NPoA is monitored, progress reports presented annually, Secretariat follows-up holds regional workshops to share experiences and offers technical support.	Stakeholders are consulted during review mission; Inputs are requested from civil society in preparation of National Programme of Action (NPoA)
OECD Environmental Performance Review	Key environmental trends; environmental governance and management; efforts towards green growth; two subject areas chosen by member for in depth review	Eight to ten years	Working Party on Environmental Performance (plenary body)	Prepared by a review team (6-9 members), including Secretariat staff and experts from reviewing countries	Yes	One day	Report, assessment and recommendations endorsed by Working Party	Recommendations	Review mission team meets with all stakeholders; launch of EPR is a public event in which all stakeholders can participate.
Montreal Protocol Implementation Committee	Compliance status of countries - production and consumption of	Ad hoc	Implementation committee (limited	Prepared by Secretariat	No	No fixed time	Recommendation to the Conference of the Parties serving as the meeting of the Parties to the Protocol	Can include advice and/or assistance	Civil society, industry and academia can participate

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	ozone-depleting substances.		membership body)						
Convention on Migratory Species - Review Mechanism	Specific Obligations under the Convention - Articles III.4, III.5, III.7, and VI.2 of the Convention (“implementation matters”)	Based on the triennial review of National Reports by the Secretariat or when an “implementation matter” is raised	Standing Committee (may be assisted by the Scientific Council); Standing committee reports to the Conference of the Parties on the status of current reviews	National reports and any other information deemed relevant by the Standing Committee	No, but may be requested if/when Party has not addressed the matter within a reasonable time frame	No fixed time	Notification to Party concerned and comments on action from Party	Standing Committee may: provide advice, information, capacity building, request further information, provide in-country assistance, issue a written caution or warning, alert other Parties, and/or request an implementation action plan by the Party.	Accredited national non-governmental organizations can bring an implementation matter to the attention of the Secretariat.