

# Convention on Biological Diversity

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## SUBSIDIARY BODY ON IMPLEMENTATION

Third meeting

Venue and dates to be determined

Item 7 of the provisional agenda\*

### PROPOSALS FOR AN INCLUSIVE PROCESS TO REVIEW AND RENEW TECHNICAL AND SCIENTIFIC COOPERATION PROGRAMMES

*Note by the Executive Secretary*

#### I. INTRODUCTION

1. In decision [14/24 B](#), paragraph 9, the Conference of the Parties requested the Executive Secretary to prepare proposals for an inclusive process to review and renew technical and scientific cooperation (TSC) programmes in order to support the post-2020 global biodiversity framework and to submit these proposals for consideration by the Subsidiary Body on Scientific, Technical and Technological Advice and the Subsidiary Body on Implementation at their meetings prior to the fifteenth meeting of the Conference of the Parties.
2. In its recommendation [23/6](#), the Subsidiary Body on Scientific, Technical and Technological Advice took note of the proposals to strengthen technical and scientific cooperation in support of the post-2020 global biodiversity framework contained in annex I to the recommendation. It requested the Executive Secretary, pursuant to decision 14/24 and subject to the availability of resources, to develop proposals for an inclusive process to review and renew technical and scientific cooperation programmes, including the Bio-Bridge Initiative, the Forest Ecosystem Restoration Initiative and the Global Taxonomy Initiative, in order to support the post-2020 global biodiversity framework, and to submit these proposals for consideration by the Subsidiary Body on Implementation at its third meeting.
3. The present document was developed in response to the above requests. The purpose of the review and renewal process is to take stock of progress achieved in relation to technical and scientific cooperation programmes, identify barriers and gaps, and propose a way forward to strengthen those programmes.

#### II. SCOPE OF THE PROPOSED REVIEW PROCESS

4. The proposed review process will evaluate the relevancy and effectiveness of the technical and scientific cooperation programmes within the remit of the Secretariat of the Convention on Biological Diversity. The review will also provide recommendations to enhance the further uptake and application of the technical and scientific cooperation programmes, and to renew them in support of the post-2020 global biodiversity framework, taking into account the proposals to strengthen technical and scientific cooperation ([CBD/SBI/3/7/Add.2](#)).
5. The Secretariat-led programmes and initiatives to be examined will include the Bio-Bridge Initiative (BBI), the Forest Ecosystem Restoration Initiative (FERI), the Global Taxonomy Initiative (GTI), the Peace and Biodiversity Dialogue Initiative (PBDI), and the Sustainable Ocean Initiative (SOI), among others. The review will also examine complementary cooperation initiatives and programmes implemented by and through various partnerships, including the Global Partnership for Plant Conservation, the Collaborative

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\* [CBD/SBI/3/1](#).

Partnership on Sustainable Wildlife Management, and the Inter-agency Liaison Group on Invasive Alien Species, and others.

### III. PROPOSED REVIEW PROCESS

6. The updated zero draft of the post-2020 global biodiversity framework ([CBD/POST2020/PREP/2/1](#)) recognizes that technical and scientific cooperation, technology transfer and innovation will be crucial for the implementation of the framework. Proposed target 18 states that, “By 2030, increase by [X per cent] financial resources from all international and domestic sources, through new, additional and effective financial resources commensurate with the ambition of the goals and targets of the framework and implement the strategy for capacity-building and technology transfer and scientific cooperation to meet the needs for implementing the post-2020 global biodiversity framework.” Achieving this, and other targets, will require TSC programmes that are fit for purpose, adequately funded, and adapted to current and future needs.

7. The review process should, to the extent possible, consider the relevant indicators being developed for goal D, of the post-2020 global biodiversity framework in order to establish a baseline against which later reports can be based. Key performance indicators could include, inter alia:

(a) Number of countries leveraging the above TSC programmes and referencing them in their national reports;

(b) Number of events organized as part of the TSC initiatives and programmes, and number of participants involved;

(c) Number of publications, tools, and training materials made available to Parties and partners through the TSC initiatives and programmes.

8. Decision [14/24 B](#) called for a review process that is inclusive. As such, the proposed process would ensure that the diverse perspectives and views of different stakeholders (including representatives of governments, civil society, the private sector, academia, development partners and others) are reflected. The proposed review process will also integrate a gender perspective by gathering sex/gender disaggregated data, whenever possible; ensuring the full and equitable participation of women in the process; and including specific recommendations for the renewal process aimed at enhancing gender outcomes.

9. The proposed review process would also need to consider and reflect the value and importance of traditional and indigenous knowledge and respect the perspectives of indigenous peoples and local communities. This would be achieved, inter alia, by: ensuring the full and effective participation of indigenous peoples and local communities in the review process; assessing the extent to which TSC is supporting implementation of Article 8(j); and including specific recommendations for the renewal process aimed at supporting the exchange of indigenous and traditional knowledge, innovations and practices with the free, prior and informed consent of the holders of such knowledge. Three options for the review process are proposed below.

#### **Option 1: Independent expert review team**

##### *Mandate*

10. An independent expert review team would be hired to examine multiple sources of information provided by Parties, the Secretariat and relevant stakeholders in order to provide a comprehensive and inclusive review of the TSC initiatives and programmes referred to in section II above, and would present recommendations for the renewal process for consideration by the Conference of the Parties.

##### *Process*

11. An independent expert review team, with expertise in TSC and an understanding of intergovernmental processes and review procedures, would be hired through a transparent process. Its work would be facilitated by the Secretariat. The review process would adhere to the United Nations Evaluation Group (UNEG) Code of Conduct for Evaluation in the United Nations System and the UNEG Ethical Guidelines for Evaluation and would fully consider gender and the rights of indigenous peoples.

12. The proposed review process would consist of the following steps:
- (a) *Step 1*: Examination of the overall intended outputs, current status, and key implementation issues;
  - (b) *Step 2*: Detailed assessment of:
    - (i) The relevancy or appropriateness of the TSC programmes and initiatives – including the extent to which they have contributed to the TSC programme strategy adopted in decision [IX/14](#) and to decisions [XII/2 B](#) and [XIII/23](#), as implemented thus far, and have matched the intended outputs and the TSC needs expressed by Parties and other relevant stakeholders;
    - (ii) The effectiveness and efficiency of the TSC programmes, including their management structures – the achievement of transparency and the effective engagement of key stakeholders, including women and indigenous peoples;
    - (iii) Coherence and collaboration with relevant initiatives – exploration of partnerships and complementarity with other relevant programmes and initiatives;
    - (iv) Adequacy of resources to achieve the stated objective – review of financial and human resources mobilized under the relevant TSC initiatives and programmes and identification of gaps, including with a view to analyzing the resources needed to support the post-2020 global biodiversity framework, and taking into account the revised proposals to strengthen technical and scientific cooperation (CBD/SBI/3/7/Add.2) and the related cost estimates ([CBD/SBI/3/INF/16](#));
  - (c) *Step 3*: Development of key recommendations for the renewal process to further enhance the uptake and application of relevant TSC initiatives and programmes, and to renew and increase donor funding for TSC in support of the post-2020 global biodiversity framework, taking into account the revised proposals to strengthen technical and scientific cooperation.

13. Data sources to be used by the expert review team would include, inter alia: national reports to the Convention; information submitted by Parties on activities currently being undertaken that support, facilitate, regulate or promote technology transfer and scientific and technological cooperation of relevance to the Convention; other information included in the clearing-house mechanism; project reports on capacity-building activities funded by Japan Biodiversity Fund in 2011-2020; proposals submitted to the Bio-Bridge Initiative; stakeholder surveys; and interviews with Parties, partners, Secretariat staff, and representatives of stakeholder groups.

#### *Advantages and disadvantages*

14. An independent expert review team would allow for a detailed, focused, unbiased and relatively quick assessment. However, it may involve relatively higher costs and may only allow for a limited country engagement and have limited integration of local experiences.

15. With regard to costs, an expert review team process could be expected to require up to 120 person-days at an estimated cost of around \$60,000. However, with a team in place, the review could be carried out in less than 3 months from the time of contracting.

16. To mitigate low levels of inclusivity and the limited integration of local experiences, the report of the expert review team could undergo a broad stakeholder review process managed by the Secretariat. Such a process would, however, increase the costs and time required to complete the review process.

## **Option 2: A technical review workshop or series of workshops**

### *Mandate*

17. A technical workshop or series of technical workshops<sup>1</sup> would review and assess the efficiency and effectiveness of relevant technical and scientific cooperation programmes and initiatives, as outlined in section II above, on the basis of inputs prepared by the Secretariat. The technical workshop(s) would also prepare recommendations for the renewal process and the integration of the relevant TSC initiatives and programmes into the post-2020 global biodiversity framework.

### *Process*

18. The workshop agenda would be developed in consultation with the Chairs of the Subsidiary Body on Scientific, Technical and Technological Advice and the Subsidiary Body on Implementation and its approach would be flexible, inclusive, and highly participatory, as well as country-driven. The agenda would allow for discussions on past experiences related to TSC initiatives, programmes and projects; the challenges and needs from the perspectives of Parties and other stakeholders; and opportunities to strengthen support for TSC.

19. Inputs to the technical workshop would include:

- (a) An overview of progress and achievements in implementation of the relevant TSC initiatives, programmes and projects in 2011-2020, prepared by the Secretariat;
- (b) Financial reports from the relevant TSC initiative and programmes;
- (c) Submissions by Parties and other stakeholders on regional, national and local level implementation;
- (d) Presentations from regional and major groups' representatives on their perspectives on the TSC renewal process.

20. Participants would include representatives from Parties and major groups and other stakeholders, including indigenous peoples. Parties and stakeholder groups would be encouraged to nominate highly qualified women. The number of participants would depend on the resources mobilized, but participation could be structured along the lines of the Advisory Board to the Climate Technology Centre and Network (CTCN) under the United Nations Framework Convention on Climate Change (UNFCCC), which performs similar review and recommendation functions. If the CTCN model is adapted to the TSC, the global technical workshop would consist of, at a minimum:

- (a) Six government representatives nominated by Parties, with at least one representative from each regional group;
- (b) The Chairs of the Subsidiary Body on Scientific, Technical and Technological Advice and the Subsidiary Body on Implementation;
- (c) The Executive Secretary of the Convention;
- (d) A representative of the Global Environment Facility (GEF);
- (e) Six representatives, one of each of the major stakeholder groups taking into account balanced geographical representation: United Nations and other intergovernmental organizations, non-governmental organizations and civil society, indigenous peoples' organizations, scientific and technical assessment bodies, industry and the private sector, and children and youth organizations.

21. Depending on the funding available and COVID-19 restrictions in place, the technical workshop(s) could be convened either in person or remotely. If resources are sufficient, a series of regional technical workshops could be convened as input to the global technical workshop. Such regional technical workshops would be informal and would allow for a broadly inclusive process.

22. The global technical workshop would produce, as a deliverable, a report containing a summary of past experiences in implementing TSC, as well as a set of recommendations on enhancing the TSC process.

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<sup>1</sup> A series would include five regional workshops and one global workshop. See below in this section for additional details.

The workshop report would be circulated to Parties and stakeholders for comments and feedback prior to finalization by the Executive Secretary. A proposed timeline of events is presented in figure 1 below.

**Figure 1. Proposed workflow for a global technical workshop or a series of technical workshops**



*Advantages and disadvantages*

23. The technical workshop approach would be a highly participatory and inclusive option and would emphasize a country-driven approach. However, it is a long and potentially very expensive process, especially if in-person workshops are held. To ensure neutrality in the review process, participants to the workshops would have to attend in their personal capacity and not as representatives of their governments or organizations. Costs, which can be estimated at \$50,000 per regional workshop and \$70,000 for the global workshop, could be reduced by holding virtual workshops or by foregoing the regional technical workshops. These cost-saving measures would also reduce the time required to complete the review process.

**Option 3: Review by the Secretariat**

*Mandate*

24. A review by the Secretariat, with support from a consultant, would examine and assess relevant TSC programmes and initiatives, as outlined in section II, and prepare a report on their strengths and weaknesses and also include recommendations for the renewal process for consideration by the Parties, for instance, through an informal advisory group.<sup>2</sup>

*Process*

25. To make the best use of limited Secretariat resources, and in line with United Nations internal audit and assessment practices, the review by the Secretariat would take a risk-based approach in which the greatest attention is paid to the highest risks or challenges facing achievement of the objectives of the technical and scientific cooperation programmes.<sup>3</sup> As such, the review would pay particular attention to: the adequacy of resources, the sustainability of initiatives and programmes, and the need for a systematic monitoring and evaluation framework.

26. To ensure that the review process includes gender perspectives and the perspectives of indigenous peoples, the Secretariat would engage with external technical experts as necessary to ensure adherence to the review's key principles.

*Advantages and disadvantages*

27. An internal review by the Secretariat is the lowest cost option as it would be conducted by the Secretariat with support from a consultant. However, this approach may be limited in the extent to which it engages with Parties and other stakeholders and may not be fully objective.

28. Steps can be put in place to facilitate stakeholder engagement, including an extensive peer review process and requests for submissions by Parties. However, these mitigating measures can be expected to significantly increase the time required to complete the review.

**IV. RENEWAL OF THE PROGRAMMES AND INITIATIVES**

29. The fifth edition of the *Global Biodiversity Outlook* revealed that, at a global level, none of the Aichi Biodiversity Targets were fully achieved, though progress was made with respect to some of the target

<sup>2</sup> See CBD/SBI/3/7 and its annex III.

<sup>3</sup> Including elements of the programme of work on technology transfer and scientific and technological cooperation adopted in decision IX/14.

components, including target 9 (identification of invasive alien species and their pathways), target 11 (percentage of the planet’s land and oceans designated as protected areas), target 17 (development of national biodiversity strategies and actions plans), target 19 (generation and sharing of knowledge and data on biodiversity) and target 20 (international financial flows and official development assistance for biodiversity).

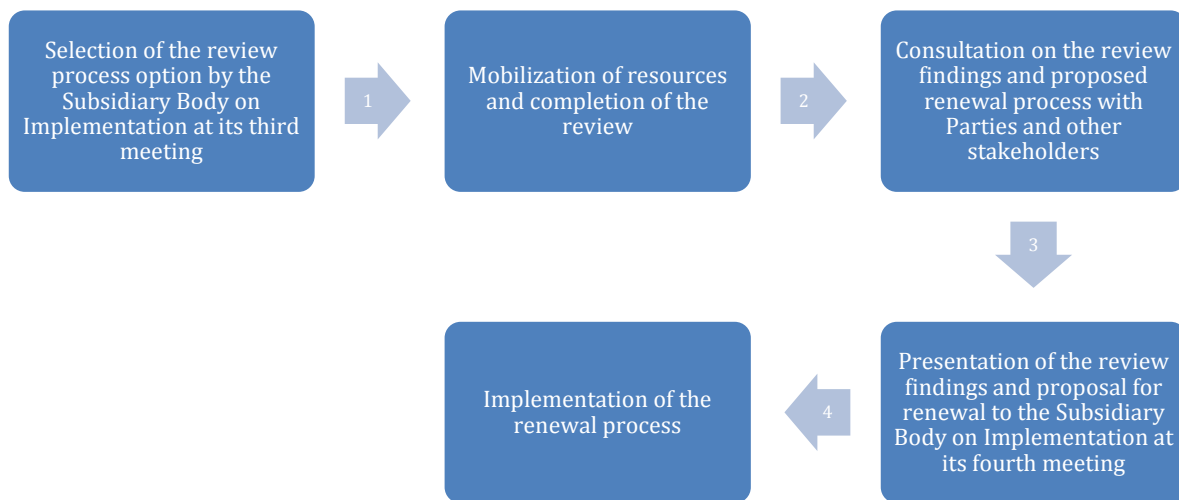
30. A significant increase in action is required if progress is to be made towards safeguarding biodiversity at all levels (genetic, species and ecosystem). The programme of work on TSC is a key tool available to support accelerated action. However, additional efforts and resources are needed to learn from experience and redefine TSC programmes and initiatives in light of the post-2020 global biodiversity framework.

31. The review and renewal of the relevant TSC initiatives and programmes are particularly important when considering the scale and scope of the transformative change required to halt biodiversity loss. As such, the outcome of the process for their review and renewal may include the following elements:

- (a) A summary of the main findings, including the lessons learned drawn from the review;
- (b) Proposals for possible renewal of the programmes and initiatives (including a theory of change aligned with the theory of change for the post-2020 global biodiversity framework), and a description of the renewal process;
- (c) A proposed monitoring, review and reporting framework for the programmes and initiatives, including possible key performance indicators associated with the relevant goals and targets of the post-2020 global biodiversity framework;
- (d) Estimates of resource requirements, and an associated resource mobilization strategy, for the programmes and initiatives.

32. The renewal process may consider scenario planning in which escalating sets of activities, targets and deliverables are proposed depending on the resources committed to implementation. To support a timely and effective review and renewal process, the timeline and series of events shown in figure 2 is proposed.

**Figure 2. Proposed timeline and series of events**



33. Throughout the above process, transparency would be ensured, including through peer review, for instance by an informal advisory group,<sup>4</sup> and periodic status reports to the Chairs of the Subsidiary Body on Scientific, Technical and Technological Advice and the Subsidiary Body on Implementation. The process would also include a gender assessment component to ensure that the proposal for renewal adheres to the Gender Plan of Action under the Convention.

<sup>4</sup> See CBD/SBI/3/7 and its annex III.