



Convention on Biological Diversity

Distr.: General
24 April 2024

English only

Subsidiary Body on Implementation

Fourth meeting

Nairobi, 21–29 May 2024

Item 5 (b) of the provisional agenda*

Capacity-building and development, technical and scientific cooperation, the clearing-house mechanism and knowledge management under the Convention and its Protocols

Information supporting the implementation of the capacity-building and development action plan for the Nagoya Protocol**

Note by the Secretariat

I. Introduction

1. The information supporting the implementation of the capacity-building and development action plan for the Nagoya Protocol presented in this document has been prepared by the Secretariat to capture and additional relevant information elaborated in the context of drafting and revising the action plan for the Protocol as contained in document [CBD/SBI/4/8](#). As such, the present information complements specific elements of the draft action plan and could usefully support its implementation. Upon the adoption of the action plan by the Conference of the Party serving as the meeting of the Parties to the Nagoya Protocol, at its fifth meeting, the Secretariat plans to publish the present information on the Convention's website and update it as appropriate.

2. Section II provides the complementary information of different elements of the draft action plan as contained in document CBD/SBI/4/8.

II. Complementary information of different elements of the draft action plan

3. The information below complements sections II.B, C and F of document CBD/SBI/4/8 as well as its annex.

A. Results chain for the action plan based on the theory of change

4. The results chain (box 1 below) for the action plan illustrates the causal linkages among inputs, activities, outputs, outcomes and impact. It has been developed based on the theory of change as contained in document CBD/SBI/4/8.

* CBD/SBI/4/1.

** The present document is being issued without formal editing.

Box 1: Results chain for the action plan based on the theory of change

<p>Inputs</p> <p>Adequate money, time, staff, materials, information, technology, equipment and partners, enabling a programmatic approach to capacity development for the Nagoya Protocol.</p> <p>Activities</p> <ul style="list-style-type: none"> • Carry out participatory, country-driven and country-owned stakeholder analyses and needs assessments to design capacity-building and development interventions. • Integrate Protocol-related capacity-building and development in the planning, financing and implementation of national biodiversity strategies and action plans. • Design longer-term programmes and projects that foster capacity-building and development at the individual, organizational and enabling environment levels. • Establish or strengthen multi-stakeholder coordination mechanisms at the national and local levels. • Leverage cooperative, synergistic and collaborative action through network and partnership development. <p>Outputs</p> <ul style="list-style-type: none"> • High-quality plans or programmes and targeted interventions implemented to strengthen capacities at all levels for the effective implementation of the Protocol. • Increased number of national biodiversity strategies and action plan with capacity-building and development plans for the Protocol. • Increased engagement of different stakeholders, including national officials from user and provider countries, indigenous peoples and local communities, academia, the research community, the business sector and youth and women's groups, in capacity-building and development. • Strategic partnerships and learning networks established, especially to facilitate technical and scientific cooperation and joint technology development. • Effective coordination and cooperation mechanisms at the subnational, national, sub-regional, regional and international levels. • The relevant national information available is published and kept up to date on the Access and Benefit-sharing Clearing-House. <p>Immediate outcomes</p> <p>There is an increase in capacities (technical, technological and functional in key areas) developed, used, maintained and retained at the individual, organizational and enabling environment levels to implement the Protocol effectively.</p> <p>Intermediate outcome</p> <p>The Protocol is implemented, and benefits generated from the utilization of genetic resources and traditional knowledge associated with genetic resources are shared fairly and equitably, thereby contributing to the conservation and sustainable use of biodiversity.</p> <p>Impact</p> <p>Biodiversity is valued, conserved, restored and wisely used, maintaining ecosystem services, sustaining a healthy planet and delivering benefits essential for all.</p>
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C. Stakeholder cooperation and coordination

5. The action plan is addressed to all actors involved in capacity-building and development to support implementation of the Protocol. Different actors have specific roles to play in supporting capacity-building and development and awareness-raising efforts for the implementation of the Protocol and access and benefit-sharing more generally. An overview of general examples of some of the roles and contributions that different actors can make is provided in box 2 below.

Box 2: Examples of roles and contributions of different actors to support capacity-building and development for the implementation of the Nagoya Protocol

<p>Governments (at national, subnational and local levels, including relevant line ministries)</p> <ul style="list-style-type: none"> • Integrate capacity-building and development plans and programmes as well as awareness raising initiatives relating to the Nagoya Protocol withing national biodiversity strategies and financing plans. • Include capacity-building and development and awareness raising activities in organizational budgets and strategic planning. • Strengthen capacities of competent national authorities and checkpoints. • Support capacity-building and development programmes for implementing the Protocol and ABS provisions by providing funds and human resources for bilateral and multilateral cooperation. • Facilitate exchange of information and cooperation between different ministries and government agencies to enhance mutual implementation of internationally agreed ABS instruments. • Guarantee national budget to support research and development and academic and relevant professional programmes related to access and benefit-sharing. • Integrate access and benefit-sharing in academic education curricula as well as in relevant professional education and training. • Ensure access and benefit-sharing knowledge management and retention/maintenance at the national level. • Organize, convene and participate in strategic conferences, events and opportunities for exchanges on access and benefit-sharing at the national and international levels. • Ensure that the business sector and research community understand and comply with the Protocol and ABS provisions. • Ensure that available mandatory and relevant national information is published and kept up to date on the Access and Benefit-sharing Clearing-House. • Endorse community protocols, procedures and customary laws by integrating them into national legislations. • Promote whole-of government, whole of society and gender responsive approaches. • Facilitate cross-border exchange to promote transboundary cooperation.
<p>Indigenous peoples and local communities</p> <ul style="list-style-type: none"> • Participate in government-led capacity-building and development and strategic planning processes, including capacity needs assessments. • Assist in identifying capacity-development needs and priorities. • Advocate the interests of indigenous peoples and local communities in the design and the implementation of capacity-building and development initiatives. • Raise awareness of the Protocol and create guidance using culturally appropriate communication means. • Develop training for indigenous peoples and local communities and participate in capacity-building and development programmes and projects. • Facilitate the development of biocultural community protocols related to traditional knowledge associated with genetic resources and support their dissemination. • Facilitate different ways of learning and generating knowledge in capacity-building and development with regard to access and benefit-sharing. • Support the development of organizational and management capacities for indigenous peoples and local communities. • Organize, convene, and participate in strategic conferences, events and activities to raise awareness and build capacity on access and benefit-sharing. • Facilitate cross-border exchanges between indigenous peoples and local communities.
<p>Research community (including data managers)</p> <ul style="list-style-type: none"> • Integrate access and benefit-sharing into existing academic curricula and professional education, taking into account intercultural, gender-responsive and intergenerational approaches. • Provide academic courses to prepare the next generation of access and benefit-sharing experts. • Raise awareness of the Protocol in their constituencies and create guidance and requirements to support the broader research community and database managers to comply with access and benefit-sharing measures. • Contribute to building and developing capacity for other researchers through peer learning and exchange of experiences, case studies, lessons learned and good practices. • Facilitate technical and scientific cooperation that fosters equitable research partnerships.

<ul style="list-style-type: none"> • Conduct research that supports the generation of knowledge related to genetic resources in collaboration with local partners. • Promote technology transfer, as appropriate. • Identify access and benefit-sharing topics for research to be conducted by local students addressing locally determined needs and priorities. • Encourage understanding of community protocols and customary laws related to genetic resources and associated traditional knowledge and the relevance to research and academia. • Organize, convene and participate in conferences, events and activities to raise awareness and build capacity on access and benefit-sharing. • Collaborate with Parties to develop capacities on strategic communication on access and benefit-sharing, developing user-friendly communication materials, standardize formats that facilitate understanding on ABS measures and procedures. • Enhance synergies with provider countries sharing experiences and lessons learned and contributing to develop innovative solutions to address ABS challenges. • Compile data and information, prepare case studies and good practices that contribute to the understanding of research practices during policy development processes.
<p>Business sector</p> <ul style="list-style-type: none"> • Raise awareness and develop the capacity of companies to understand access and benefit-sharing rules and procedures and how to implement them, taking into account the specificities of companies of different sizes and in different sectors including their value chains. • For business associations to take an active role in raising awareness and understanding of the Protocol and its provisions among their members. • Develop and share best practices and codes of conduct related to access and benefit-sharing, including with respect to engagement of practices and values of indigenous peoples and local communities. • Develop tools and materials that support capacity-building and development related to the Protocol. • Contribute to a better understanding of business practices and research and development models, value chains and processes by other stakeholder groups and in capacity-building and development processes. • Participate in multistakeholder public-private sector research collaborations which result in the sharing of knowledge, skills and resources relevant to building and developing capacity in research and innovation.
<p>Civil society organizations (e.g. non-governmental organizations, women's and youth groups)</p> <ul style="list-style-type: none"> • Participate in strategic planning at local level, including capacity assessments, implementation, monitoring and review of capacity-building and development. • Facilitate the development of community protocols related to traditional knowledge associated with genetic resources. • Design and apply training on inter-cultural, gender-responsive and inter-generational approaches to the implementation of the Protocol. • Advocate the interests of target populations in the implementation of national biodiversity strategies and action plans. • Advocate for the whole- of- government, whole-of- society as well as gender and youth inclusive approaches. • Facilitate appropriate and targeted capacity-building and development at the local level with different groups, including indigenous peoples and local communities, women and youth. • Ensure that capacity-building and development initiatives are inclusive and address the needs of diverse groups, including women, youth and marginalized population. • Promote gender-responsive approaches and empower marginalized groups for meaningful participation in capacity-building and development. • Promote intergenerational and intercultural approaches and empower youth for meaningful participation in capacity-building and development, • Mobilize additional resources for capacity-building and development activities by leveraging networks of donors, philanthropic organizations and the private sector.
<p>International, regional and subregional organizations, including financial institutions</p> <ul style="list-style-type: none"> • Include access and benefit-sharing in strategic priorities and broader sustainable development programmes. • Develop grants, funds and investment opportunities that support access and benefit-sharing at all levels. • Support inter-institutional coordination mechanisms at the national, subregional and regional levels.

- Coordinate regional and subregional efforts in carrying out strategic planning related to capacity-building and development.
- Coordinate the implementation of regional and subregional capacity-building and development strategies and programmes.
- Create an enabling environment through agreements and partnerships.
- Create and maintain knowledge and information management products, including lessons and best practices.
- Support the monitoring and evaluation of capacity development efforts.
- Support capacity-building and development at the national level by providing funding, training and technical assistance.
- Support and promote technical and scientific cooperation, including technology and information transfer.
- Facilitate South-South, North-South, South-North and triangular cooperation and the exchange of experiences and good practice among Parties.

6. Stakeholder cooperation and coordination remain a key element for the successful implementation of the Protocol. Strengthening cooperation and coordination among actors involved in capacity-building and development initiatives is important for their success. Strategies relevant for cooperation and coordination of stakeholders promoted by the long-term strategic framework include:

- (a) Designing interventions that strengthen partnerships and networks for implementing the Protocol and the capacity of countries to use their own genetic resources and associated traditional knowledge through value addition;
- (b) Enhancing synergies and mutual supportiveness among relevant access and benefit-sharing processes in their capacity-building and development efforts, such as the International Treaty on Plant Genetic Resources for Food and Agriculture;
- (c) Build more opportunities for North-South, South-South, South-North, North-North and triangular cooperation.

D. Financial resources for capacity-building and development

7. Both national and international funding sources are required to support capacity-building and development efforts for implementing the Protocol. A non-exhaustive overview of potential funding opportunities to support capacity-building and development for the implementation of the Protocol includes the following:

- (a) The Global Environment Facility (GEF), which is the financial mechanism of the Protocol and one of the main sources of funding for national implementation projects. Parties are encouraged to include capacity-building and development projects in support of the Protocol in their country allocation under the System for Transparent Allocation of Resources (STAR);
- (b) The Global Biodiversity Framework Fund, which was established under the GEF. Whereas funding under the financial mechanism of the Protocol is focused on national projects funded through the STAR allocation, the Global Biodiversity Framework Fund will be complementary, and it is expected that global and regional projects would be eligible to receive funding;
- (c) The GEF Small Grants Programme under which grants of up to US\$ 50,000 are made available directly to community-based organizations and non-governmental organizations in recognition of the key role they play as a resource and constituency for the environment. Such projects could be used to build capacity on access and benefit-sharing;¹

¹ More information available at: <https://sgp.undp.org>.

(d) The technical and scientific cooperation mechanism established under the Convention could also facilitate cooperation on access and benefit-sharing between Parties and relevant stakeholders;²

(e) The future multilateral mechanism for benefit-sharing from the use of digital sequence information on genetic resources;³

(f) National finance plans developed are part of the revision process of National Biodiversity Strategies and Action Plans. Parties are encouraged to prepare, update and implement national biodiversity finance plans or similar instruments, based on an assessment of biodiversity expenditures and finance needs to support adequate and timely mobilization of international and domestic, public and private financial resources for the effective implementation of the Global Biodiversity Framework. Finance plans should identify funding needs and potential sources to address capacity-building and development support needs related to the effective implementation of the Nagoya Protocol;⁴

(g) National research and development funding programmes;

(h) Other proposals to increase biodiversity-related financial flows and financial resources as part of the resource mobilization strategy,⁵ which can be employed to increase funding for capacity-building and development in support of the Protocol. Some of the innovative examples mentioned in decision 15/7 include green bonds and payments for ecosystem services;

(i) Additional sources of funding as well as in-kind contributions from the business sector and philanthropic foundations as well as the research community;

(j) Monetary and non-monetary benefit-sharing included in mutually agreed terms.

² Decision [15/8](#).

³ Decision [15/9](#).

⁴ Decision [15/7](#).

⁵ Decision 15/7, annex I.