

# **Donor Guide to the Convention on Biological Diversity**

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## Table of Contents

User's Guide .....	4
Timelines of the Convention on Biological Diversity .....	6
Frequently Used Acronyms .....	8
 Part I    Thematic Areas .....	 10
Chapter 1.    Agricultural Biodiversity .....	11
Chapter 2.    Forest Biodiversity .....	23
Chapter 3.    Inland Waters Ecosystems .....	31
Chapter 4.    Marine and Coastal Biodiversity .....	39
Chapter 5.    Dry and Sub-Humid Land Ecosystems .....	51
Chapter 6.    Mountain Biodiversity .....	56
 Part II    Crosscutting Issues – Scientific and Technical Matters .....	 60
Chapter 7.    Protected Areas .....	61
Chapter 8.    Ecosystem Approach .....	68
Chapter 9.    Identification, Monitoring and Global Taxonomy Initiative .....	73
Chapter 10.    Global Strategy for Plant Conservation .....	88
Chapter 11.    Invasive Alien Species .....	92
Chapter 12.    Biodiversity and Climate Change .....	101
 Part III    Crosscutting Issues -- Socio-Economic and Legal Matters .....	 105
Chapter 13.    Environmental Impact Assessment, Liability and Redress .....	106
Chapter 14.    Access to and Transfer of Technology .....	112
Chapter 15.    Article 8(j) and Related Provisions .....	122
Chapter 16.    Access and Benefit-Sharing .....	141
Chapter 17.    Incentive Measures .....	153
Chapter 18.    Sustainable Use and Tourism .....	160
 Part IV    Mechanisms for Implementation .....	 171
Chapter 19.    Biodiversity Strategies and Action Plans .....	172
Chapter 20.    Clearing-House Mechanism .....	181
Chapter 21.    Communication, Education and Public Awareness .....	189
Chapter 22.    Financial Resources and Mechanism .....	194
Chapter 23.    National Reporting .....	200
 Part V    Cartagena Protocol on Biosafety .....	 206
Chapter 24.    Biosafety .....	206
 Appendix: Overview of Biodiversity Finance .....	 219
A.    Overall trend of international development finance .....	219
B.    Assistance to biological diversity .....	220
C.    Overview of Financial Support to the Programme of work of the Convention ..	222
D.    Estimates of funding needs .....	229



# User's Guide

This *Donor Guide to the Convention on Biological Diversity*, built on its previous version *Introduction to Funding Guidance of the Convention on Biological Diversity*, is intended to provide a reference guide to decisions adopted by the Conference of the Parties (COP) to the Convention on Biological Diversity which require action by funding agencies/organizations as well as by Parties and Governments. As a leading instrument on international biodiversity issues, the Convention on Biological Diversity and the funding guidance from its Conference of the Parties provide a comprehensive guiding framework for programming international financial activities relating to biological diversity as well as a common platform for negotiating funding programmes, projects and/or activities between donors and recipients. Thus, this *Donor Guide to the Convention on Biological Diversity* may be used by all those who are involved in development and implementation of biodiversity-related projects, programmes and activities.

## Coverage

This *Donor Guide to the Convention on Biological Diversity* is focused on thematic areas and crosscutting issues of the Convention. Topical issues have been chosen on the basis of the following criteria: (i) there are explicit requests for financial support by the Conference of the Parties; (ii) there have been substantial elaborations of relevant issues by the Conference of the Parties. A request for financial support to certain subjects without substantial elaborations is only mentioned in the introductory section of each section. The request for financial support to the Trust Funds of the Convention is not included. A full coverage of all decisions of the Conference of the Parties by articles of the Convention on Biological Diversity can be found in the *Handbook of the Convention on Biological Diversity* which is also published by the Convention Secretariat.

## Structure

The Donor Guide is organized in line with the thematic areas and cross-cutting issues of the Convention.

Part I includes thematic areas, that is, agricultural biodiversity, forest biodiversity, marine and coastal biodiversity, biodiversity of inland waters, dry and sub-humid lands, and mountain biodiversity.

Part II contains crosscutting issues of scientific and technical nature, that is, protected areas, ecosystem approach, monitoring, assessment and the Global Taxonomy Initiative, Global Strategy for Plant Conservation, invasive alien species, as well as biodiversity and climate change.

Part III consists of crosscutting issues of socio-economic and legal nature, that is, environmental impact assessment, liability and redress, access to and transfer of technology, Article 8(j) and related provisions, access and benefit-sharing, and incentive measures.

Part IV takes in mechanisms for implementation, that is, biodiversity strategies and action plans, clearing-house mechanism, communication, education and public awareness, financial resources and mechanism, and national reporting.

Part V is devoted to biosafety issue, in particular the Cartagena Protocol on Biosafety.

For easier reference, each chapter starts with a compilation of relevant funding provisions of decisions from the Conference of the Parties. It follows with issues and mandate where relevant provisions of the Convention and a brief introduction on the scope of issues, threats and related causes are provided. The third section of each chapter gives a brief description of the evolution of consideration of relevant issues by the Conference of the Parties from its first meeting to its seventh meeting. The following section presents a compilation of required action by Parties and Governments, for which the Conference of the Parties has also called financial support from funding agencies/organizations. Due to space consideration, the final section has subjectively selected the four most informative documents used at various meetings of the Convention on Biological Diversity.

An overview of biodiversity finance including overall trends and disaggregated analysis is provided as an appendix to this guide.

### **Further message**

The Secretariat of the Convention on Biological Diversity intends to update this *Donor Guidance to the Convention on Biological Diversity* after each subsequent meeting of the Conference of the Parties. We welcome suggestion for additions and any other comments for improving the coverage and readability of future editions.

## Timelines of the Convention on Biological Diversity

<i>Date</i>	<i>Major event</i>
1972	The United Nations Conference on Human Environment held in Stockholm identified as a priority the need for the conservation of biological diversity
1987	<i>Our Common Future</i> , the report of the World Commission on Environment and Development stressed the new challenges facing the conservation and sustainable use of biological diversity
17 June 1987	UNEP convened an Ad Hoc Working Group of Experts on Biological Diversity for the harmonization of the existing conventions related to biological diversity, and at its very first meeting, the Group of Experts agreed on the need to elaborate an international binding instrument on biological diversity
May 1989	UNEP established the Ad Hoc Working Group of Technical and Legal Experts to prepare an international legal instrument for the conservation and sustainable use of biological diversity
February 1991	The UNEP's Ad Hoc Working Group became known as the Intergovernmental Negotiating Committee
22 May 1992	The Conference for the Adoption of the Agreed text of the Convention on Biological Diversity adopted the Nairobi Final Act at UNEP Headquarters, Nairobi
5 June 1992	The Convention was opened for signature at the United Nations Conference on Environment and Development (the Rio "Earth Summit") in Rio de Janeiro, Brazil
4 September 1992	Mauritius became the first State to ratify the Convention
4 June 1993	The Convention received 168 signatures, and was closed for signature in accordance with Article 33 of the Convention
30 September 1993	Mongolia deposited the thirtieth instrument of ratification of the Convention, making the entry into force of the Convention a reality
29 December 1993	The Convention entered into force
28 November -9 December 1994	The first session of the Conference of the Parties was held in Nassau, the Bahamas, which set in place the mechanisms provided for by the Convention
29 December	The United Nations General Assembly declared 29 December, the date of

1994	entry into force of the Convention, International Day for Biological Diversity
6 -19 November 1995	The second meeting of the Conference of the Parties held in Jakarta, Indonesia, of which the Ministerial Segment adopted the Jakarta Mandate on Marine and Coastal Biological Diversity
1 February 1996	Upon the generous offer of Canada, the Secretariat of the Convention was relocated to Montreal
4 -15 November 1996	The third meeting of the Conference of the Parties convened in Buenos Aires, Argentina.
4 -15 May 1998	The fourth meeting of the Conference of the Parties held in Bratislava, Slovak Republic
22 -24 February 1999	The first extraordinary meeting of the Conference of the Parties held in Cartagena, Colombia suspended in an effort to adopt the Cartagena Protocol on Biosafety
24 -29 January 2000	The resumed session of the first extraordinary meeting of the Conference of the Parties held in Montreal, Canada successfully adopted the Cartagena Protocol on Biosafety to the Convention on Biological Diversity
15 -26 May 2000	The fifth meeting of the Conference of the Parties held in Nairobi, Kenya, which adopted principles of the ecosystem approach
4 June 2001	The Cartagena Protocol on Biosafety received 103 signatures in accordance with Article 36 of the Protocol
20 December 2000	The United Nations General Assembly proclaimed 22 May, the date of the adoption of the text of the Convention, as the International Day for Biological Diversity henceforth
7 -19 April 2002	The sixth meeting of the Conference of the Parties held in The Hague, The Netherlands, which adopted: Strategic Plan for the Convention on Biological Diversity; Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of the Benefits Arising out of their Utilization; Guidelines for incorporating biodiversity-related issues into environmental impact assessment legislation and/or process and in strategic environmental assessment; Guiding principles for the prevention, introduction and mitigation of impacts of alien species that threaten ecosystems, habitats or species. Governments resolved to achieve by 2010 a significant reduction of the current rate of biodiversity loss at the global, regional and national levels.
9 -20 February 2004	The seventh meeting of the Conference of the Parties held in Kuala Lumpur, Malaysia
23 -27 February 2004	The First meeting of the Conference of the Parties to the Convention serving as the meeting of the Parties to the Protocol was held from in Kuala Lumpur, Malaysia

## Frequently Used Acronyms

AALCO – Asian-African Legal Consultative Organization

AHTEG – *Ad hoc* Technical Expert Group

AIA – Advance Informed Agreement

AMCEN – African Ministerial Conference on the Environment

AOSIS – Alliance of Small Island States

BCH - Biosafety Clearing House

BGCI – Botanic Gardens Conservation International

CDI- Capacity Development Initiative

CEPA – Communication, Education and Public Awareness

CIFOR – Center for International Forestry Research

CPF – Collaborative Partnership on Forests

DESA – Division for Sustainable Development

ECG- Ecosystem Conservation Group

ECOSOC – Economic and Social Council of the United Nations

EMG- Environmental Management Group

GCRMN – Global Coral Reef Monitoring Network

GIWA – Global International Waters Assessment

GMO – Genetically Modified Organism

GPA - Global Programme of Action for the Protection of the Marine Environment from Land-based Activities

HIPC – Highly Indebted Poor Countries

IABIN – Inter-American Biodiversity Information Network

IAIA – International Association for Impact Assessment

IBRD – International Bank on Reconstruction and Development

ICGEB – International Center for Genetic Engineering and Biotechnology

ICLARM – International Center for Living Aquatic Resources Management

ICPM - Interim Commission of the Phytosanitary Measures

ICRAF – International Centre for Research in Agroforestry

ICSU – International Council of Scientific Unions

ILO – International Labour Organization

IPCC – Intergovernmental Panel on Climate Change

IPGRI – International Plant Genetic Resources Institute

IPI – International Pollinators Initiative

IPPC – International Plant Protection Convention

ITFF – Inter-Agency Task Force on Forests

ITIS –Integrated Taxonomic Information System

ITTO – International Tropical Timber Organization

IUBS – International Union of Biological Sciences

IUCN – The World Conservation Union (The International Union for the Conservation of Nature)



MAB - Man and Biosphere Programme  
MEA – Millennium Ecosystem Assessment  
MEAs – Multilateral Environmental Agreements  
MOC – Memorandum of Cooperation

NABIN- North American Biodiversity Information Network  
NACEC – North American Commission for Environmental Cooperation  
NAFTA- North American Free Trade Agreement  
NBSAP – National Biodiversity Strategy and Action Plan  
NTFP – Non-timber Forest Products

OAU – Organization of African Unity  
OIE – Office International des Epizooties

PEBLDS - Pan-European Biological and Landscape Diversity Strategy  
POPs – Persistent Organic Pollutants

SADC – Southern African Development Community  
SBI- Subsidiary Body for Implementation  
SCOPE – Scientific Committee for Problems of the Environment  
SOCA – Subcommittee on Oceans and Coastal Areas  
SPB – Sanitary and Phytosanitary Measures  
STAP- Scientific and Technical Advisory Panel of the Global Environment Facility (GEF)  
STOs – Specific Trade Obligations

TBT- Technical Barriers to Trade  
TEST- Transfer of Environmentally Sound Technologies

UNCCD – United Nations Convention to Combat Desertification  
UNFCCC – United Nations Framework Convention on Climate Change  
UNHCHR – United Nations High Commissioner for Human Rights  
UNITAR – United Nations Institute for Training and Research  
UPOV- International Union for the Protection of New Varieties of Plants

WCMC – World Conservation Monitoring Centre  
WRI – World Research Institute  
WTO – World Tourism Organization  
WTO – World Trade Organization

## **Part I      Thematic Areas**

The work of the Convention on Biological Diversity has been conveniently organized around three topical fields: thematic areas, crosscutting issues and mechanisms for implementation. The COP has initiated work on six thematic work programmes, addressing marine and coastal biodiversity, agricultural biodiversity, forest biodiversity, biodiversity of inland waters, dry and sub-humid lands, and mountain biodiversity. Island biodiversity will be considered by COP-8. Each thematic programme establishes a vision for, and basic principles to guide, future work; sets out key issues for consideration; identifies potential outputs; and suggests a timetable and means for achieving these outputs. The COP has explicitly directed that the consideration of certain crosscutting issues should be integrated into the thematic work programmes. Periodic review of the implementation of the work programme is provided by the COP and SBSTTA. It is envisaged that implementation of the work programmes will involve contributions from Parties, the Secretariat, relevant intergovernmental organisations and other organisations.

## **Chapter 1. Agricultural Biodiversity**

### **I. Mandate**

The Conference of the Parties to the Convention on Biological Diversity has adopted several decisions on agricultural biodiversity, and some of these decisions contain funding provisions.

<b>COP I</b>	
<b>COP II</b>	
<b>COP III</b>	Decision III/5, paragraph 2(c)
	The Global Environment Facility shall provide financial resources for supporting, as a priority, efforts for the conservation and sustainable use of biological diversity important to agriculture, in accordance with decision III/11
	Decision III/11, paragraph 21
	<i>Draws the attention</i> of Parties to Article 20.1 of the Convention, in the context of providing, in accordance with their capabilities, financial support and incentives for the conservation and sustainable use of biological diversity important to agriculture in accordance with national plans, priorities and programmes
	Decision III/11, paragraph 22
	<i>Draws the attention of</i> international funding agencies to the urgent need to support the conservation and sustainable use of biological diversity important to agriculture and <i>invites</i> these agencies to provide information and feedback in this respect to the Conference of the Parties and in this context, <i>requests</i> the interim financial mechanism to give priority to supporting efforts for the conservation and sustainable use of biological diversity important to agriculture in accordance with this decision
<b>COP IV</b>	Decision IV/6, paragraph 4
	<i>Suggests</i> that Governments, funding agencies, the private sector and non-governmental organizations should join efforts to identify and promote sustainable agricultural practices, integrated landscape management of mosaics of agriculture and natural areas, as well as appropriate farming systems that will reduce possible negative impacts of agricultural practices on biological diversity and enhance the ecological functions provided by biological diversity to agriculture. In this regard, invites Parties, Governments and organizations to begin the process of conducting case-studies based on socio-economic and ecological analyses of different land-use management options and to provide such case-studies to the Secretariat
	Decision IV/6, paragraph 12
	With reference to paragraphs 21 and 22 of decision III/11, <i>draws the attention</i> of international funding agencies, including the financial mechanism, of the need to support capacity-building in the development and implementation of this work programme
	Decision IV/6, paragraph 13

	<i>Welcomes</i> the efforts being made by the financial mechanism in the development of its operational policy framework on agricultural biological diversity and urges the early completion of this framework, fully in line with decision III/11, so as to provide effective implementation support to Parties and Governments in all agricultural ecosystems
COP V	Decision V/5, paragraph 9
	<i>Invites</i> Parties, in accordance with Article 20 of the Convention, and bilateral and international funding agencies to provide support for the implementation of the activities of the programme of work on agricultural biological diversity, in particular, for capacity-building and case-studies in developing countries and countries with economies in transition
	Decision V/5, paragraph 18
	<i>Requests</i> the Executive Secretary, the Subsidiary Body on Scientific, Technical and Technological Advice and the financial mechanism to support the development and implementation of the Initiative and <i>invites</i> Parties and Governments to collaborate and compile case-studies and implement pilot projects, making use of the clearing-house mechanism, and to report to the Conference of the Parties at its sixth meeting
	Decision V/5, annex, B, programme element 2
	Ways and means Case-studies will be carried out and provided by national institutions, civil-society organizations, and research institutes, with support from international organizations for catalysing preparation of studies, mobilizing funds, disseminating results, and facilitating feedback and lessons learned to case-study providers and policy makers.
	Decision V/5, annex, B, programme element 3
	Ways and means Funding is likely to be on a project or programme basis. Catalytic support may need to be provided through national, regional and global programmes, organizations, facilities and funding mechanisms, in particular to support capacity-building, exchange and feedback of policy and market information, and of lessons learned from this and programme element 2, between local organizations and policy makers, nationally, regionally and globally.
	Decision V/5, annex, B, programme element 4
	Ways and means Activities would be implemented primarily at national level through enhanced communication, coordination mechanisms and planning processes that involve all stakeholder groups, facilitated by international organizations, and by funding mechanisms
	Decision V/13, paragraph 2(b.i)
	The Global Environment Facility should provide support, as a priority, for projects which: (i) Implement the Convention's programme of work on agricultural biodiversity, in accordance with decision V/5, through the timely finalization and implementation of its operational programme on agricultural biodiversity, and through the development and implementation of other relevant operational programmes
	Decision V/13, paragraph 2(c)
	The Global Environment Facility should provide support for projects which

	assist with the development and implementation of the International Initiative for the Conservation and Sustainable Use of Pollinators in Agriculture, in accordance with decision V/5
COP VI	Decision VI/5, paragraph 1(c)
	<i>Notes</i> the progress made in the implementation of the programme of work and the need for emphasis and further action, within the context of the programme of work, on: (c) Capacity-building in institutions, human resource development, training, communication, education and public awareness. Moreover, funding for the implementation of the programme of work should be reviewed, in the context of decision V/5 of the Conference of the Parties
	Decision VI/5, paragraph 12
	<i>Invites</i> Parties, other Governments, the financial mechanism and funding organizations to provide adequate and timely support to the implementation of the Plan of Action, especially by developing country Parties and Parties with economies in transition, and in particular least developed countries and Small Island developing States
	Decision VI/5, paragraph 16
	<i>Invites</i> Parties, other Governments, the financial mechanism and funding organizations to provide adequate and timely support to enable countries, especially developing country Parties and Parties with economies in transition, and in particular least developed countries and small island developing States, to participate fully in the preparatory process for the first Report on the State of World's Animal Genetic Resources, and implement follow-up actions identified through the process that will contribute to conservation sustainable use, access and benefit-sharing of animal genetic resources for food and agriculture
	Decision VI/5, annex II, III, element 1
	Ways and means The global monitoring programme of pollinators could be carried out in two stages. A first stage would include activities 1.1 (a), (b), and (c), and 1.4. A second stage would apply the findings of the first stage at a larger and representative number of field sites throughout the world in order to collect the data needed to detect changes in diversity and frequency of pollinators, especially of bee species. The project cannot be contemplated without the active participation of many nations, institutions and co-operators. Substantial additional financial resources would be required, especially for the second stage. Mechanisms will need to be put in place to ensure the continuity and sustainability of monitoring over the long term.
	Decision VI/5, annex II, III, element 2
	Ways and means Case-studies will be carried out and provided by national institutions, civil-society organizations, and research institutes, with support from international organizations for catalysing preparation of studies, mobilizing funds, disseminating results, and facilitating feedback and lessons learned to case-study providers and policy makers. Inputs would be sought from all relevant stakeholders.
	Decision VI/5, annex II, III, element 3
	Ways and means This element is to be implemented primarily through initiatives within countries, including through extension services, local government, educational

	and civil-society organizations, including farmer/producer and consumer organizations, and mechanisms emphasizing farmer-farmer exchange. There are opportunities for cooperation with the food processing industry in terms of supplying pesticide-free or low-residue products from agricultural systems that maintain pollinator diversity. Pilot projects for this element might be generated under the Initiative. Funding is likely to be on a project or programme basis. Catalytic support may need to be provided through national, regional and global programmes, organizations, facilities and funding mechanisms, in particular to support capacity-building, exchange and feedback of policy and market information, and of lessons learned from this and programme element 2, between local organizations and policy makers, nationally, regionally and globally.
	Decision VI/5, annex II, III, element 4
	Ways and means Activities would be implemented primarily at national level through enhanced communication, coordination mechanisms and planning processes that involve all stakeholder groups, facilitated by international organizations, and by funding mechanisms.
	Decision VI/17, paragraph 10(g)
	The Global Environment Facility should provide support for projects that assist with the implementation of the Plan of Action for the International Initiative for the Conservation and Sustainable Use of Pollinators by developing country Parties, in particular, least developed countries and Small Island developing States
	Decision VI/17, paragraph 10(h)
	The Global Environment Facility should provide support to build capacity of developing country Parties, in particular least developed countries and Small Island developing States, to participate effectively in the preparatory process for the first Report on the State of World's Animal Genetic Resources
COP VII	Decision VII/3, paragraph 11
	<i>Invites</i> civil-society organizations and other non-Governmental organizations and programmes to assist Parties in their capacity-building initiatives in the mainstreaming of agricultural biodiversity in their plans, programmes and strategies, and international organizations and international funding institutions to support the development and use of agricultural biodiversity

## II. Issues

Agricultural biodiversity is a broad term that includes all components of biological diversity of relevance to food and agriculture, and all components of biological diversity that constitute the agro-ecosystem: the variety and variability of animals, plants and micro-organisms, at the genetic, species and ecosystem levels, which are necessary to sustain key functions of the agro-ecosystem, its structure and processes.

The following dimensions of agricultural biodiversity can be identified:

- Plant genetic resources for food and agriculture, including: pasture and rangeland species and forest genetic resources of trees that are an integral part of farming systems;

- Animal genetic resources for food and agriculture, including fishery and aquaculture genetic resources, in cases where fish production is part of the farming system, and insect genetic resources;
- Microbial and fungal genetic resources.

Biodiversity provides not only food and income but also raw materials for clothing, shelter, medicines, breeding new varieties, and performs other services such as maintenance of soil fertility and biota, and soil and water conservation, all of which are essential to human survival. The importance of agrobiodiversity encompasses socio-cultural, economic and environmental elements. All domesticated crops and animals result from human management of biological diversity, which is constantly responding to new challenges to maintain and increase productivity.

In recent years, as the world's population continues to grow and agricultural production must meet the rising demand for food, agricultural expansion into forests and marginal lands, combined with overgrazing and urban and industrial growth, has substantially reduced levels of biological diversity over significant areas.

About 7,000 plant species have been cultivated and collected for food by humans since agriculture began about 12,000 years ago. Today, only about 15 plant species and 8 animal species supply 90% of our food.

A rapidly growing global human population and changing consumption patterns have stimulated the evolution of agriculture from traditional to modern, intensive systems. Nearly one third of the world's land area is used for food production, making agriculture the largest single cause of habitat conversion on a global basis, and the largest manager of land and biodiversity.

### III. Background and Status

COP I	As part of its first medium-term programme of work, the COP decided to consider agricultural biological diversity at its third meeting [ <i>decision I/9</i> ]. It has also addressed issues relevant to agricultural biological diversity in its consideration of other items on its medium-term programme of work, including the relationship with the FAO Global System for Plant Genetic Resources for Food and Agriculture, and access to genetic resources.
COP II	At its second meeting, the COP adopted a statement for transmission to the International Technical Conference on the Conservation and Utilization of Plant Genetic Resources for Food and Agriculture in June 1996 [ <i>decision II/16</i> ].
COP III	At COP 3, the COP adopted decision III/11, "Conservation and sustainable use of agricultural biological diversity", which, <i>inter alia</i> , decided to establish a multi-year programme of activities on agricultural biological diversity.
COP IV	In decision IV/6, the COP decided to consider, at its next meeting, advice and recommendations as to the development of the multi-year programme of work. The decision also initiated an assessment of any consequences for the conservation and sustainable use of biological diversity from the development and use of new technology for the control of plant gene expression.

<b>COP V</b>	COP 5 adopted a programme of work on agricultural biological diversity, contributing to the implementation of decision III/11. In decision V/5, the COP also established an International Initiative for the Conservation and Sustainable Use of Pollinators as a cross-cutting initiative within the programme of work on agricultural biodiversity.
<b>COP VI</b>	In decision VI/5, COP 6 adopted the steps for the further implementation of the programme of work and the reporting schedule. It also adopted the plan of action on the International Pollinators Initiative; and established the International Initiative on Soil Biodiversity. COP-6 encouraged Parties to participate in the development of the FAO first Report on the State of the World's Animal Genetic Resources.
<b>COP VII</b>	The COP 7, through its decision VII/3 on agricultural biological diversity, noted the progress made in the implementation of the work programme and agreed to the postponement of the preparation of the final report of the comprehensive assessment of agricultural biological diversity and related milestones by two years

#### **IV. The Programme of Work on Agricultural Biodiversity**

COP-3 decided that the aims of the programme of work on agricultural biodiversity should be:

- to promote the positive effects and mitigate the negative impacts of agricultural practices on biological diversity in agro-ecosystems and their interface with other ecosystems;
- to promote the conservation and sustainable use of genetic resources of actual or potential value for food and agriculture; and
- to promote the fair and equitable sharing of benefits arising out of the utilisation of genetic resources.

The programme of work on agricultural biodiversity adopted at COP-5 comprises four mutually reinforcing programme elements:

1. Assessments: to provide a comprehensive analysis of status and trends of the world's agricultural biodiversity and of their underlying causes, as well of local knowledge of its management.
2. Adaptive management: to identify management practices, technologies and policies that promote the positive and mitigate the negative impacts of agriculture on biodiversity, and enhance productivity and the capacity to sustain livelihoods, by expanding knowledge, understanding and awareness of the multiple goods and services provided by the different levels and functions of agricultural biodiversity.
3. Capacity-building: to strengthen the capacities of farmers, indigenous and local communities, and their organizations and other stakeholders, to manage sustainably agricultural biodiversity so as to increase their benefits, and to promote awareness and responsible action.
4. Mainstreaming: to support the development of national plans or strategies for the conservation and sustainable use of agricultural biodiversity and to promote their mainstreaming and integration in sectoral and cross-sectoral plans and programmes.

For each of these, an operational objective, rationale, set of activities, ways and means and timing of expected outputs are provided. An appendix detailing the scope of agricultural biological diversity is also provided.



The Programme of Work also addresses the following cross-cutting issues: Genetic Use Restriction Technologies (GURTs), and the International Initiative for the Conservation and Sustainable Use of Pollinators

## V. Funding needs

Parties and Governments are recommended to take action which might require financial support by bilateral, regional and multilateral funding institutions and development agencies:

<b>Decision III/11. Agricultural biological diversity</b>
<p>Para. 4 <u>Requests</u> Parties, as far as possible and as appropriate, to identify and assess relevant ongoing activities and existing instruments at the national level and to report back to the Conference of the Parties</p>
<p>Para. 5 <u>Requests</u> Parties, as far as possible and as appropriate, to identify issues and priorities that need to be addressed at the national level and to report back to the Conference of the Parties</p>
<p>Para. 9 <u>Encourages the Parties</u>, in accordance with decision I/2 of the Conference of the Parties, to use and/or study and develop methods and indicators to monitor the impacts of agricultural development projects, including the intensification and extensification of production systems, on biological diversity and to promote their application</p>
<p>Par. 10 <u>Invites</u> countries to share case-study experiences addressing the conservation and sustainable use of agricultural biological diversity, which, among other ways of sharing information, should be posted through the clearing-house mechanism of the Convention</p>
<p>Para. 11 <u>Encourages</u> interested Parties and international agencies to conduct case studies on the two initial issues identified by the Subsidiary Body on Scientific, Technical and Technological Advice in recommendation II/7, described in Annex 3</p>
<p>Para. 13 <u>Recognizes</u> that the successful implementation of policies aiming at the sustainable use of agrobiodiversity components largely depends on the degree of public awareness and</p>

understanding of its basic importance for society, and recommends Parties to establish or enhance mechanisms for information and education, including the use of the clearing-house mechanism, specific to groups of concern at national, regional and international levels

Para. 15

Encourages Parties to develop national strategies, programmes and plans which, inter alia:

(a) Identify key components of biological diversity in agricultural production systems responsible for maintaining natural processes and cycles, monitoring and evaluating the effects of different agricultural practices and technologies on those components and encouraging the adoption of repairing practices to attain appropriate levels of biological diversity;

(b) Redirect support measures which run counter to the objectives of the Convention regarding agricultural biodiversity;

(c) Internalize environmental costs;

(d) Implement targeted incentive measures which have positive impacts on agrobiodiversity, in order to enhance sustainable agriculture, in accordance with Article 11 and consistent with Article 22, as well as to undertake impact assessments in order to minimize adverse impacts on agrobiodiversity, in accordance with Article 14;

(e) Encourage the development of technologies and farming practices that not only increase productivity, but also arrest degradation as well as reclaim, rehabilitate, restore and enhance biological diversity and monitor adverse effects on sustainable agricultural biodiversity. These could include, inter alia, organic farming, integrated pest management, biological control, no-till agriculture, multi-cropping, inter-cropping, crop rotation and agricultural forestry;

(f) Empower their indigenous and local communities and build their capacity for in situ conservation and sustainable use and management of agricultural biological diversity, building on the indigenous knowledge systems;

(g) Encourage ex ante and/or ex post evaluation of impacts on biological diversity from agricultural development projects, to assure the use of best practices to promote the conservation and sustainable use of biological diversity;

(h) Integrate with other plans, programmes and projects relating to the conservation and sustainable use of other terrestrial, freshwater, coastal and marine ecosystems, in accordance with Article 6 (b) of the Convention on Biological Diversity;

(i) Promote partnerships with researchers, extension workers and farmers in research and development programmes for biological diversity conservation and sustainable use of biological diversity in agriculture. To achieve this, countries should be encouraged to set up and maintain local level forums for farmers, researchers, extension workers and other stakeholders to evolve genuine partnerships;

(j) Promote at national and regional levels adequate and appropriate services to farmers and responsiveness of public research and extension services and development of genuine partnerships;

(k) Promote research into, and development and implementation of, integrated pest management strategies, in particular, methods and practices alternative to the use of agro-chemicals, that maintain biodiversity, enhance agro-ecosystem resilience, maintain soil and water quality and do not affect human health;

(l) Encourage the consideration of introducing necessary measures and/or legislation, as appropriate, to encourage appropriate use of and discourage excessive dependence on agro-chemicals with a view to reducing negative impacts on biological diversity;

(m) Study, use and/or develop, in accordance with decision I/2, methods and indicators to monitor the impacts of agricultural development projects on biological diversity, including intensification and extensification, of production systems on biological diversity, and to promote their application;

(n) Study the positive and negative impacts on ecosystems and biomes of agricultural transformation resulting from intensification or extensification of production systems in their countries

Para. 16

Encourages Parties to develop national strategies, programmes and plans, which should focus on, inter alia:

(a) The key elements of the Global Plan of Action, such as broadening the genetic base of major crops; increasing the range of genetic diversity available to farmers; strengthening the capacity to develop new crops and varieties that are specifically adapted to local environments; exploring and promoting the use of underutilized crops; and deploying genetic diversity to reduce crop vulnerability;

(b) The development of inventories which consider the status of farm animal genetic resources and measures for their conservation and sustainable utilization;

(c) Micro-organisms of interest for agriculture

Para. 17

Encourages Parties at the appropriate level, with the support of the relevant international and regional organizations, to promote:

(a) The transformation of unsustainable agricultural practices into sustainable production practices adapted to local biotic and abiotic conditions, in conformity with the ecosystem or integrated land use approach;

(b) The use of farming practices that not only increase productivity, but also arrest degradation as well as reclaim, rehabilitate, restore and enhance biological diversity;

(c) Mobilization of farming communities including indigenous and local communities for the development, maintenance and use of their knowledge and practices in the conservation and sustainable use of biological diversity in the agricultural sector with specific reference to gender roles

<b>Decision IV/6. Agricultural biological diversity</b>
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Para. 4

Suggests that Governments, funding agencies, the private sector and non-governmental organizations should join efforts to identify and promote sustainable agricultural practices, integrated landscape management of mosaics of agriculture and natural areas, as well as appropriate farming systems that will reduce possible negative impacts of agricultural practices on biological diversity and enhance the ecological functions provided by biological diversity to agriculture. In this regard, invites Parties, Governments and organizations to begin the process of conducting case-studies based on socio-economic and ecological analyses of different land-use management options and to provide such case-studies to the Secretariat

Para. 6

Requests Parties, Governments and international organizations, in particular FAO, in the light of paragraphs 9, 15 (a) and 15 (m) of decision III/11 and of part A of decision IV/1 to begin to provide inputs on the development and application of methodologies for assessments of agricultural biological diversity and tools for identification and monitoring, including: criteria and indicators for agricultural biological diversity, including those addressing farming systems and agricultural ecosystems; rapid assessment techniques; the identification of underlying causes behind the loss of biological diversity; and the identification of incentives to overcome constraints and enhance the conservation and sustainable use of agricultural biological diversity and the fair and equitable sharing of benefits

<b>Decision V/5. Agricultural biological diversity: review of phase I of the programme of work and adoption of a multi-year work programme</b>
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Para. 4

Urges Parties, Governments, international and regional organizations, civil-society organizations and other relevant bodies to promote and, as appropriate, carry out the programme of work and to promote regional and thematic cooperation within this framework

Para. 10

Invites Parties, Governments and relevant organizations to support actions to raise public awareness in support of sustainable farming and food production systems that maintain agricultural biodiversity

Para. 24

Encourages Parties and Governments to consider how to address generic concerns regarding such technologies as genetic use restriction technologies under international and national approaches to the safe and sustainable use of germplasm

Para. 25

Reaffirming the need of Parties and Governments for additional information, and recalling Article 8(g) of the Convention on Biological Diversity, which calls on Parties and Governments to establish or maintain procedures for regulating, managing or controlling risks associated with the use and release of living modified organisms resulting from biotechnology, invites Parties to carry out and disseminate the results through the clearing-house mechanism and submit scientific assessments on, inter alia, ecological, social and economic effects of genetic use restriction technologies taking into account such information, as available, as:

(a) The molecular biology information available;

(b) The genetic constructs and inducers used;

(c) Effects at the molecular level, such as site-specific effects, gene-silencing, epigenesis and recombination;

(d) Potential positive applications of the variety-specific genetic use restriction technologies on limiting gene flow, and possible negative impacts of genetic use restriction technologies on small populations of threatened wild relatives; and to make these assessments available through, inter alia, the clearing-house mechanism

Para. 26

Further encourages Parties and Governments to identify ways and means to address the potential impacts of genetic use restriction technologies on the in situ and ex situ conservation and sustainable use, including food security, of agricultural biological diversity

Para. 27

Urges Parties and Governments to assess whether there is a need to develop, and how to ensure the application of, effective regulations at national level which take into account, inter alia, the specific nature of variety-specific and trait-specific genetic use restriction technologies, in order to ensure the safety of human health, the environment, food security and the conservation and sustainable use of biological diversity and to make this information available through, inter alia, the clearing-house mechanism

#### **Decision VI/5. Agricultural biological diversity**

Para. 3

Invites Parties, other Governments, and relevant organizations to submit case-studies on their experiences with mainstreaming matters related to agricultural biodiversity in their plans, programmes and strategies, to be made available through the clearing-house mechanism

Para. 4

Invites Parties and Governments to provide, thematic reports on the implementation of the programme of work on agricultural biodiversity, as part of the third national reports, prior to the eighth meeting of the Conference of the Parties

Para. 11

Invites Parties and other Governments, and relevant organizations to contribute to the implementation of the International Pollinators Initiative

Para. 15

Encourages Parties to participate in the development of the first Report on the State of World's Animal Genetic Resources, in particular through the preparation of country reports

Para. 18

Encourages Parties and other Governments to address generic concerns regarding such technologies as genetic use restriction technologies under international and national approaches to the safe and sustainable use of germplasm

Para. 19

Urges Parties and other Governments to assess whether there is a need to develop, and how to ensure the application of, effective regulations at national level which take into account, *inter alia*, the specific nature of variety-specific and trait-specific genetic use restriction technologies, in order to ensure the safety of human health, the environment, food security and the conservation and sustainable use of biological diversity

Para. 22

Invites Parties, other Governments and relevant organizations to protect native species and associated traditional knowledge by paying a particular attention to smallholder farmers, indigenous and local communities and Farmers' Rights in their implementation of the programme of work on agricultural biological diversity and the Global Strategy for Plant Conservation, in order to promote the sustainable use and in situ development of genetic resources

#### Decision VII/3. Agricultural biological diversity

Para. 10.

Invites the Parties and other Governments to consider and promote, as appropriate and subject to national legislation and international law, the mainstreaming of agricultural biodiversity in their plans, programmes and strategies with the active participation of local and indigenous communities and the inclusion in the communities' plans, programmes and strategies on conservation, development and use of agricultural biodiversity, and to recognize and support the efforts of local and indigenous communities in conserving agricultural biodiversity

Para. 13.

Urges Parties and other Governments to ratify the International Treaty of Plant Genetic Resources for Food and Agriculture since the Treaty will be an important instrument for the conservation and sustainable use of genetic resources leading to hunger reduction and poverty alleviation.

## VI. Useful documents

**Agricultural Biodiversity: Progress report on the implementation of the programme of work, including development of the International Pollinators Initiative (UNEP/CBD/SBSTTA/7/9)**

Agricultural biological diversity: review of phase I of the programme of work and adoption of a multi-year programme of work (UNEP/CBD/COP/5/11)

Programme of Work on Agricultural Biological Diversity: Note by the Executive Secretary (UNEP/CBD/COP/4/6)

Consideration of Agricultural Biodiversity under the Convention on Biological Diversity (UNEP/CBD/COP/3/14)

Agricultural biodiversity: Further development of the international initiative for the conservation and sustainable use of soil biodiversity (UNEP/CBD/SBSTTA/10/14)

## **Chapter 2. Forest Biodiversity**

### **I. Mandate**

The Conference of the Parties to the Convention on Biological Diversity has adopted several decisions on forest biodiversity, and some of these decisions contain funding provisions.

<b>COP I</b>	
<b>COP III</b>	
<b>COP IV</b>	Decision IV/7, paragraph 5
	<i>Urges</i> Parties and countries and international financial institutions, including the Global Environment Facility, to give high priority to the allocation of resources to activities that advance the objectives of the Convention in respect of forest biological diversity
	Decision IV/7, paragraph 6
	<i>Calls upon</i> the Global Environment Facility (GEF) to provide financial support, in accordance with Article 7 of the Convention, for activities and capacity-building for the implementation of the work programme for forest biological diversity and the use of the clearing-house mechanism, particularly for activities to halt and mitigate deforestation effects, basic assessments and monitoring of forest biological diversity, including taxonomic studies and inventories, focusing on forest species, other important components of forest biological diversity and ecosystems under threat
	Decision IV/7, paragraph 7
	<i>Invites</i> Parties, when requesting assistance through the financial mechanism, to propose projects that are being fully consistent with previous guidance of the Conference of the Parties and promote the implementation of the focused work programme on forest biological diversity
	Decision IV/7, paragraph 8
	<i>Requests</i> the financial mechanism of the Convention to consider the operational objectives of the programme of work as a guidance for funding in the field of forest biological diversity and strongly encourages the Global Environment Facility to assist in the implementation of the programme of work at the national, regional and subregional level
	Decision IV/13, paragraph 4
	The Global Environment Facility should, in accordance with decision IV/7 and with Article 7 of the Convention and also within the context of implementing national biological diversity strategies and plans, provide adequate and timely financial support to Parties for projects and capacity-building activities for implementing the programme of work of forest biological diversity at the national, regional and subregional levels and the use of the clearing-house mechanism to include activities that contribute to halting and addressing deforestation, basic assessments and monitoring of forest biological diversity,

	including taxonomic studies and inventories, focusing on forest species, other important components of forest biological diversity and ecosystems under threat
COP V	Decision V/13, paragraph 2(b.iii)
	The Global Environment Facility should provide support, as a priority, for projects which: (iii) Assist in the implementation of the programme of work on forest biodiversity at the national, subregional and regional levels, and consider the operational objectives of the aforementioned programme of work as guidance for funding, in accordance with decision V/4
COP VI	Decision VI/17, paragraph 10(c)
	The Global Environment Facility should provide support for country-driven projects focusing on the identified national priorities, as well as regional and international actions that assist the implementation of the expanded work programme considering conservation of biological diversity, sustainable use of its components and fair and equitable sharing of the benefits from genetic resources in a balanced way, underscoring the importance of ensuring long-term conservation, sustainable use, and benefit-sharing of native forests
	Decision VI/22, paragraph 16
	<i>Urges</i> donors and the international community to contribute through financing and technology transfer to country-identified or regionally-identified priorities for forest biodiversity, with an understanding of the impact of scarce resources on the effective implementation of the objectives of the Convention
	Decision VI/22, paragraph 17
	<i>Agrees</i> that the availability of new and additional financial resources from public, private, domestic or international sources, with the transfer of technology and capacity-building is necessary to facilitate the effective implementation of the expanded work programme by developing countries, in particular the least developed and small island developing States among them, and in countries with economies in transition
	Decision VI/22, paragraph 20
	<i>Invites</i> Parties, other Governments and funding organizations to provide adequate and timely financial support to facilitate the international and regional actions. These actions should not prejudice the financing and support for other international and regional actions in the work programme including projects by Parties and other Governments in the context of their national priorities
	Decision VI/22, annex
	In undertaking this expanded programme of work, Parties, Governments, international and regional organizations and processes, civil society organizations and other relevant bodies and all relevant implementers are invited to take into account the following considerations: e. The need to ensure capacity-building and the provision of adequate financial, human and technical resources to allow implementation of the work programme by all relevant stakeholders
	Decision VI/22, annex, programme element 2, objective 2
	Activities (d). Donor bodies and other financial institutions to incorporate forest biological diversity and sustainable use principles and targets into forest and related programmes, including watershed management, land-use planning,



	energy, transport, infrastructure development, education and agriculture, mineral exploitation, and tourism. (g). Parties and donor bodies to develop and implement, strategies, in particular national financing strategies in the framework of national biodiversity strategies and action plans and national forest programmes, and provide adequate financial, human and technical resources.
COP VII	

## II. Issues

Forest biodiversity may be the richest of all terrestrial systems. Together, tropical, temperate and boreal forest offer diverse sets of habitats for plants, animals and micro-organisms, holding the vast majority of the world's terrestrial species.

Forest biodiversity provides a wide array of goods and services, from timber and some non-timber forest resources to playing an important role in mitigating climate change as carbon sinks. At the same time, it provides livelihood and jobs for hundreds of millions of people worldwide. Forest biological diversity also has important economic, social and cultural roles in the lives of many indigenous and local communities.

In the last 8000 years about 45 percent of the Earth's original forest cover has disappeared, cleared mostly during the past century.

According to the Food and Agriculture Organization of the United Nations (FAO), the present area of the world's forest is 3.9 billion hectares. This area is the equivalent to North, Central and South America combined.

Forest biodiversity is being lost due to the rapid deforestation, fragmentation, and degradation of all forest types. According to FAO, there has been an annual net loss of 9.4 million hectares (0.22 per cent annually) since 1990, of which most was natural forest in the tropics. As these figures are calculated by including the rate of reforestation, the true reality in terms of loss of natural forest may be up to 14 million hectares a year, if not more. The most important factors associated with forest and biological diversity decline are human-induced causes: conversion to agricultural land, overgrazing, unmitigated shifting cultivation, unsustainable forest management, introduction of invasive alien plant and animal species, infrastructure development (road building, hydro-electrical development urban sprawl), mining and oil exploitation, forest fires caused by humans, pollution and climate change.

## III. Background and Status

COP I	<b>At its first meeting, the COP requested SBSTTA to consider the ways and means in which the COP could start the process of considering the components of biological diversity particularly those under threat, and to identify the action which could be taken under the Convention [decision I/7].</b>
COP II	COP-2 adopted a statement from the Convention to the Intergovernmental Panel on Forests (IPF) on biological diversity and forests [decision II/9]. The Statement identified potential areas where the Conference of the Parties wished to avoid duplication of efforts and coordinate with the Intergovernmental Panel on Forests.

COP III	COP3 adopted the input to the Intergovernmental Panel on Forests, and decided to develop a focused work programme for forest biological diversity with an initial focus on research, cooperation and the development of technologies necessary for the conservation and sustainable use of forest biological diversity [ <i>decision III/12</i> ].
COP IV	At its fourth meeting, the COP endorsed a work programme for forest biological diversity [ <i>decision IV/7</i> ], and urged Parties, countries, international and regional organizations, major groups and other relevant bodies to collaborate in carrying out the task identified in the work programme.
COP V	COP 5 reviewed implementation of the work programme and called for its further implementation [ <i>decision V/4</i> ]. It also decided to consider expanding the focus of the work programme from research to practical action at its sixth meeting. The COP established an ad hoc technical expert group on forest biological diversity to provide advice on scientific programmes and international cooperation in research and development, to carry out a review of available information on status, trends and threats to forest biological diversity and to identify options and suggest priority actions for the conservation and sustainable use of forest biological diversity.
COP VI	The COP at its sixth meeting adopted the expanded programme of work on forest biological diversity [ <i>decision VI/22</i> ]. This expanded programme of work is to be implemented by Parties in the context of their national priorities and needs. The COP proposed guidance on activities to be carried out urgently at the global and international level to address issues such as the application of ecosystem approach, climate change, non-timber forest resources, forest fires, and collaboration with other bodies. COP6 also agreed to establish an ad hoc technical expert group to provide advice to SBSTTA in the review of the implementation of the programme of work.
COP VII	COP 7 welcomed the progress made on the implementation of the expanded programme of work on forest biological diversity as a significant contribution to achieving the 2010 target and achieving sustainable forest management at national, regional, and global levels [ <i>decision VII/1</i> ], and provided further guidance on its implementation, including regional cooperation and initiatives, as well as integration of outcome-oriented targets.

#### IV. The Programme of Work on Forest Biological Diversity

The work programme for forest biological diversity, adopted at COP-4, focused on the research, cooperation and development of technologies necessary for the conservation and sustainable use of forest biological diversity of all types of forests. It elaborated four elements:

1. Holistic and inter-sectoral ecosystem approaches that integrate the conservation and sustainable use of biological diversity, taking account of social and cultural and economic considerations;
2. Comprehensive analysis of the ways in which human activities, in particular forest-management practices, influence biological diversity and assessment of ways to minimize or mitigate negative influences;
3. Methodologies necessary to advance the elaboration and implementation of criteria and indicators for forest biological diversity;
4. Further research and technological priorities identified in the recommendation II/8 of the Subsidiary Body on Scientific, Technical and Technological Advice as well as issues identified in the review and planning process under the work programme.

The expanded programme of work on forest biological diversity, adopted at COP-6, is organized into three programme elements: conservation, sustainable use and benefit-sharing; institutional and socio-economic enabling environment; and knowledge, assessment and monitoring. It contained 12 goals, 27 objectives and 130 activities. The goals are as follows:

- To apply the ecosystem approach to the management of all types of forests
- To reduce the threats and mitigate the impacts of threatening processes on forest biological diversity,
- To protect, recover and restore forest biological diversity
- To promote the sustainable use of forest biological diversity
- To access and benefit-sharing of forest genetic resources
- Enhance the institutional enabling environment
- Address socio-economic failures and distortions that lead to decisions that result in loss of forest biological diversity
- Increase public education, participation and awareness
- To characterize and to analyze from forest ecosystem to global scale and develop general classification of forests on various scales in order to improve the assessment of status and trends of forest biological diversity
- Improve knowledge on and methods for the assessment of the status and trends of forest biological diversity, based on available information
- Improve understanding of the role of forest biodiversity and ecosystem functioning
- Improve the infrastructure for data and information management for accurate assessment and monitoring of global forest biological diversity

## V. Funding needs

Parties and Governments are invited to take action, which might require financial support and for which the COP has invited funding agencies/organizations including the financial mechanism to provide support:

<b>Decision IV/7. Forest biological diversity</b>
<p>Para. 2 <u>Urges</u> Parties, countries, international and regional organizations, major groups and other relevant bodies to collaborate in carrying out the tasks identified in the work programme</p> <p>Para. 3 <u>Calls upon</u> Parties and countries to integrate forest biological diversity considerations in their participation and collaboration with organizations, institutions and conventions affecting or working with forest biological diversity</p> <p>Para. 7 <u>Invites</u> Parties, when requesting assistance through the financial mechanism, to propose projects that are being fully consistent with previous guidance of the Conference of the Parties and promote the implementation of the focused work programme on forest biological diversity</p>
<b>Decision V/4. Progress report on the implementation of the programme of work for forest biological diversity</b>
<p>Para. 1 <u>Urges</u> the Parties, Governments and relevant organizations to advance the implementation of the work programme for forest biological diversity, as contained in decision IV/7</p>

Para. 3

Decides to call upon Parties, Governments and organizations to take practical actions within the scope of the existing programme of work in order to address urgently the conservation and sustainable use of forest biological diversity, applying the ecosystem approach and taking into consideration the outcome of the fourth session of the Intergovernmental Forum on Forests (UNEP/CBD/COP/5/INF/16), and also contributing to the future work of the United Nations Forum on Forests

Para. 7

Invites Parties, countries, international organizations, institutions and processes and other relevant bodies, as well as indigenous and local communities and non-governmental organizations to provide relevant information on the implementation of the work programme through, inter alia, case-studies, entries in national reports and other means, as appropriate

Para. 8

Encourages Parties and other Governments to promote the integration of national forest programmes with national biodiversity strategies, applying the ecosystem approach and sustainable forest management

Para. 9

Further encourages Parties and other Governments to ensure participation by the forest sector, private sector, indigenous and local communities and non-governmental organizations in the implementation of the programme of work

Para. 10

Recognizes past efforts by different organizations and encourages Parties and other Governments to strengthen national capacities, including local capacities, to enhance the effectiveness and functions of forest protected area networks, as well as national and local capacities for implementation of sustainable forest management, including restoration, when needed

Para. 13

Urges Parties to consider without delay the proposals for action of the Intergovernmental Forum on Forests and the Intergovernmental Panel on Forests on programme element II.d (v), on valuation of forest goods and services

#### **Decision VI/22. Forests biological diversity**

Para. 11

Recognizes that Parties should implement the expanded programme of work on forest biological diversity in the context of their national priorities and needs. Activities implemented domestically by Parties will be prioritized based on country and regionally specific needs, national determination, legislation, circumstances and priorities concerning forest-related issues, and their national forest and biodiversity strategies. Inclusion of an activity in the work programme does not mean relevance of that activity to all Parties

Para. 12

Invites Parties, other Governments and relevant organizations to take note of the information pertaining to potential actors, timeframes, performance measures and indicators of progress contained in the note by the Executive Secretary on the subject

Para. 18

Recognizes that the work programme contains a number of activities that call for regional and international actions and collaboration and encourages Parties, other Governments and international and regional organizations and processes to collaborate on the implementation of regional and international activities

Para. 21

Requests Parties to report on progress in implementing relevant objectives and related activities of the expanded programme of work on forest biological diversity, through their national reports, starting with the third national report, bearing in mind the national reporting cycles of Parties

Para. 28

Urges Parties and other Governments to incorporate relevant objectives and related activities of the programme of work into their national biodiversity strategies and action plans and national forest programmes and promote compatibility and complementarity between these plans/programmes and other related initiatives

Para. 29

Invites Parties to undertake national-level implementation and to coordinate their work relating to forest biological diversity at an international level, particularly in respect of work relating to the Convention on Biological Diversity, the United Nations Forum on Forests, as well as other relevant bodies, and to achieve greater integration and collaboration between their implementing agencies at the national level through, for example, joint strategies or policies, and coordinating committees at political and/or technical levels

Para. 30

Urges Parties and other governments to address the effectiveness of forest and forest-related laws and their enforcement and implementation of policies and related trade as a matter of urgency, recognizing the negative impacts on biodiversity in the absence of these actions

Para. 31

Recognizes the important role that indigenous and local communities can play in the implementation of the programme of work and, in addition, encourages the development of community-based approaches for the conservation and sustainable use of forest biodiversity, integrating traditional forest-related knowledge and benefit-sharing considerations, in accordance with Article 8(j) and related provisions of the Convention on Biological Diversity

Para. 32

Urges Parties to recognize in particular the vital role that women in indigenous and local communities play in the sustainable use and conservation of forest biological diversity, especially but not limited to the sustainable use and conservation of non-timber resources, and values

Para. 33

Encourages Parties and other Governments to develop closer collaboration for the conservation and sustainable use of transboundary forest ecosystems and populations of species

#### **Decision VII/1. Forest Biological Diversity**

Para. 5.

*Recognizes* that the expanded programme of work on forest biological diversity benefits from regional cooperation and initiatives and *encourages* Parties and other Governments to take part in, and further develop, cooperation at the regional level in their efforts at implementing the

activities contained in the work programme;

Para. 9.

Invites Parties and other Governments to enhance cross-sectoral integration and inter-sectoral collaboration on the implementation of the expanded programme of work on forest biological diversity at all levels, in particular at national and subnational levels

Para. 10.

Urges Parties and other Governments, and international and regional groups further to enhance their efforts in implementing the programme of work on forest biological diversity as an essential contribution towards advancing the 2010 target;

## **VI. Useful documents**

Biological diversity in forests (UNEP/CBD/SBSTTA/2/11)

Forest biological diversity: status and trends and identification of options for conservation and sustainable use (UNEP/CBD/SBSTTA/5/8)

Consideration of specific threats to forest biological diversity: (a) climate change; (b) human induced uncontrolled forest fires; and (c) harvesting of non-timber forest resources, including bush meat and living botanical resources (UNEP/CBD/SBSTTA/7/7)

Elements for the possible expansion of the programme of work on forest biological diversity (UNEP/CBD/SBSTTA/7/8)

## **Chapter 3. Inland Waters Ecosystems**

### **I. Mandate**

The Conference of the Parties to the Convention on Biological Diversity has adopted several decisions on inland waters ecosystems, and some of these decisions contain funding provisions.

<b>COP I</b>	
<b>COP II</b>	
<b>COP III</b>	
<b>COP IV</b>	Decision IV/4, paragraph 6
	Recognizing that Global Environment Facility projects are country-driven, <i>requests</i> the Financial Mechanism, within the context of implementing national biological diversity strategies and action plans, to provide adequate and timely support to eligible projects which help Parties to develop and implement national, sectoral and cross-sectoral plans for the conservation and sustainable use of biological diversity of inland water ecosystems
	Decision IV/4, paragraph 7
	<i>Urges</i> Parties when requesting support, for projects related to inland water ecosystems, from the Financial Mechanism that priority be given to: (a) Identifying inland water ecosystems in accordance with Article 7 and Annex I to the Convention, taking into account the criteria for Wetlands of International Importance as adopted under the Convention on Wetlands; (b) Preparing and implementing integrated watershed, catchment and river basin management plans based on an ecosystem approach including transboundary watersheds, catchments and river basins, and those which include ecosystems identified under subparagraph (a) above; (c) Investigating where appropriate, the processes contributing to the loss of biological diversity of inland water ecosystems, through targeted research, such as: investigations into the impacts of harmful substances, alien invasive species and saltwater intrusions; and the identification of measures needed to address these issues where they constitute threats to inland water ecosystem biological diversity
	Decision IV/4, paragraph 11
	<i>Notes</i> that, while the implementation of the programme of work is subject to the availability of financial resources, particular attention should be given to early progress in the development of rapid assessment methodologies especially related to small island States.
	Decision IV/4, annex I, paragraph 10
	Guidance should be provided to the Global Environment Facility regarding the importance of projects concerning inland water biological diversity. The GEF should be encouraged to consider the importance of inland water biological diversity in its other focal areas and should provide necessary funding for inland water biological diversity projects
	Decision IV/4, annex I, paragraph 11

	Ways should be considered for mobilizing financial resources from other sources
	Decision IV/13, paragraph 3
	The Global Environment Facility should, within the context of implementing national biological diversity strategies and action plans, provide adequate and timely support to eligible projects which help Parties to develop and implement national, sectoral and cross-sectoral plans for the conservation and sustainable use of biological diversity of inland water ecosystems in accordance with decision IV/4
COP V	Decision V/13, paragraph 2(n)
	The Global Environment Facility should provide support for the implementation of capacity-building measures for developing and implementing national and sectoral plans for the conservation and sustainable use of inland water ecosystems, including comprehensive assessments of the biological diversity of inland waters, and capacity-building programmes for monitoring the implementation of the programme of work and the trends in inland water biological diversity and for information gathering and dissemination among riparian communities
COP VI	Decision VI/2, paragraph 6
	<i>Urges</i> the Global Environment Facility, other funding institutions, and development agencies to provide financial support for implementation of the programme of work on the biological diversity of inland water ecosystems as well as the River Basin Initiative
	Decision VI/17, paragraph 10(i)
	The Global Environment Facility should provide support for projects that assist with the implementation of the programme of work on biological diversity of inland water ecosystems
COP VII	Decision VII/4, paragraph 9
	<i>Recognizes</i> the need for resources, human, technological and financial, to implement effectively the activities under the revised programme of work, including capacity-building in the required fields, and in recognition of Article 20 of the Convention
	Decision VII/4, Annex
	Goal 2.4: To implement the programme of work for the Global Initiative on Communication, Education and Public Awareness (as adopted by the Conference of the Parties to the Convention on Biological Diversity in its decision VI/19), giving particular attention to matters relating to the conservation and sustainable use of the biological diversity of inland water ecosystems. Other collaborators: Ramsar national focal points for communication, education and public awareness, other multilateral environmental agreements, relevant international, regional and national organizations and donor agencies.

## II. Issues

Inland water systems can be fresh or saline within continental and island boundaries. They include lakes, rivers, ponds, streams, groundwater, springs, cave waters, floodplains, as well as bogs, marshes and swamps, which are traditionally grouped as inland wetlands. Biodiversity of



inland waters is a source of food, income and livelihood. Other values of these ecosystems include: water supply, energy production, transport, recreation and tourism, maintenance of the hydrological balance, retention of sediments and nutrients, and provision of habitats for various fauna and flora.

Inland water ecosystems are often extensively modified by man, more so than marine or terrestrial systems, and are the most threatened ecosystem type of all. Physical alteration, habitat loss and degradation, water withdrawal, overexploitation, pollution and the introduction of Alien Invasive Species are main threats to these ecosystems and their associated biological resources. 41 percent of the world's population lives in river basins under water stress. More than 20 percent of the world's 10,000 freshwater fish species have become extinct, threatened or endangered in recent decades.

Industrial development, rapid economic development and population growth, have brought about transformations of these ecosystems and biodiversity loss on an unprecedented scale. There is an increasing concern for maintenance of the richness of inland water biodiversity and reducing the risks many species face so that the goods and services they deliver will be maintained.

### III. Background and Status

COP I	
COP II	As part of its first medium-term programme of work, COP 2 decided to assess the status and trends of the biodiversity of inland water ecosystems and identify options for conservation and sustainable use at its fourth meeting [ <i>decision II/18</i> ].
COP III	COP 3 decided to invite the Ramsar Convention on Wetlands of International Importance to co-operate as a lead partner in the implementation of activities under the Convention related to wetlands [ <i>Decision III/21</i> ]
COP IV	At its fourth meeting, the COP adopted a work programme on biological diversity of inland water ecosystems, and provided certain guidance regarding inland water biological diversity addressed to Parties and governments, the financial mechanism, SBSTTA and the Secretariat [ <i>decision IV/4</i> ]. The inland waters programme promotes integrated watershed management as the best way to reconcile competing demands with dwindling supplies of inland waters, and identifies the actions that Parties need to carry out to halt the trend of biodiversity loss.
COP V	COP 5 endorsed a joint work plan of the Convention on Biological Diversity and the Ramsar Convention on Wetlands of International Importance especially as Waterfowl Habitat, and urged the implementation of capacity-building measures for developing and implementing national and sectoral plans for the conservation and sustainable use of inland water ecosystems, including comprehensive assessments of the biological diversity of inland water ecosystems, and capacity-building programmes for monitoring the implementation of the programme of work and the trends in inland water biological diversity, and for information-gathering and dissemination among the riparian communities [ <i>Decision V/2</i> ].

<b>COP VI</b>	In decision VI/2, the COP emphasized the importance of review and elaboration of the programme of work on biological diversity of inland water ecosystems, and of the implementation of activity 11 of programme of work on the Global Taxonomy Initiative. The COP also recognized the importance of the River Basin Initiative for implementation of the programme of work on biodiversity of inland waters and application of the ecosystems approach, and decided to strengthen collaboration with the Convention on Wetlands on the implementation of the River Basin Initiative.
<b>COP VII</b>	At its seventh meeting, the COP adopted a revised and elaborated programme of work on the biological diversity of inland water ecosystems (Decision VII/4 – the annex to which contains the detailed work programme).

#### **IV. The Programme of Work on Inland Water Ecosystems**

The aim of the programme of work on biological diversity of inland water ecosystems adopted by the seventh meeting of the Conference of the Parties is to further enhance the implementation of the Convention on Biological Diversity in this area at the catchment/watershed/river basin levels, and to fulfil its leadership role in international biodiversity issues relating to inland water ecosystems

The revised programme of work identifies goals, objectives and activities within the three programme elements: conservation, sustainable use and benefit-sharing; institutional and socio-economic enabling environment; and knowledge, assessment and monitoring.

Goal 1.1. To integrate the conservation and sustainable use of biological diversity into all relevant sectors of water-resource and river-basin management, taking into account the ecosystem approach

Goal 1.2: To establish and maintain comprehensive, adequate and representative systems of protected inland water ecosystems within the framework of integrated catchment/watershed/river-basin management

Goal 1.3: To enhance the conservation status of inland water biological diversity through rehabilitation and restoration of degraded ecosystems and the recovery of threatened species

Goal 1.4: To prevent the introduction of invasive alien species, including exotic stocks that potentially threaten the biological diversity of inland water ecosystems, and to control and, where possible, eradicate established invasive species in these ecosystems

Goal 2.1: To promote the integration of conservation and sustainable use of the biological diversity of inland water ecosystems into relevant sectoral and cross-sectoral plans, programmes, policies and legislation

Goal 2.2: To encourage the development, application and transfer of low-cost appropriate technology, non-structural and innovative approaches to water resource management and the conservation and sustainable use of the biological diversity of inland water ecosystems, taking into account any decision taken by the Conference of the Parties at its seventh meeting on technology transfer and cooperation

Goal 2.3: To provide the appropriate incentives and valuation measures to support the conservation and sustainable use of inland water biological diversity, and to remove, or reform appropriately, any perverse incentives opposing such conservation and sustainable use of ecosystems, as it relates to biodiversity conservation

Goal 2.4: To implement the programme of work for the Global Initiative on Communication, Education and Public Awareness (as adopted by the Conference of the Parties to the Convention on Biological Diversity in its decision VI/19), giving particular attention to matters relating to the conservation and sustainable use of the biological diversity of inland water ecosystems

Goal 2.5: Promote the effective participation of indigenous and local communities and relevant stakeholders in the conservation and sustainable use of biological diversity of inland water ecosystems in accordance with national laws and applicable international obligations

Goal 3.1: To develop an improved understanding of the biodiversity found in inland water ecosystems, how these systems function, their ecosystem goods and services and the values they can provide

Goal 3.2: To develop, based on inventories, rapid and other assessments applied at the regional, national and local levels, an improved understanding of threats to inland water ecosystems and responses of different types of inland water ecosystems to these threats

Goal 3.3. To ensure projects and actions with the potential to impact negatively on the biological diversity of inland water ecosystems are subjected, in accordance with national legislation and where appropriate, to suitably rigorous impact assessments, including consideration of their potential impact on sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities

Goal 3.4. To introduce and maintain appropriate monitoring arrangements to detect changes in the status and trends of inland water biodiversity

## V. Funding needs

The COP has requested funding agencies/organizations including the financial mechanism to provide financial support to help Parties to carry out the programme of work. The recommended national action, which might require financial support, is as follows:

<b>Decision IV/4. Status and trends of the biological diversity of inland water ecosystems and options for conservation and sustainable use</b>
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Para. 2.

Welcomes the recommendations on strategic approaches to freshwater management of the Commission on Sustainable Development at its sixth session and urges Parties and Governments to:

(a) Include information on the biological diversity of inland waters when providing voluntary national communications and reports on actions further to the recommendations of the Commission on Sustainable Development; and

(b) Consider inland water biological diversity in the agenda of subsequent meetings held to further the recommendations of the Commission on Sustainable Development.

Para. 3.

Urges Parties and Governments to include inland water biological diversity considerations in their participation and collaboration with organisations, institutions and conventions affecting or working with inland water resources, consistent with the guidance provided to the Conference of the Parties and the Executive Secretary in part A “General”, paragraphs 1-3 of annex I to the present decision.

Para. 5.

Urges Parties and Governments to integrate those elements highlighted by the Subsidiary Body on Scientific, Technical and Technological Advice as important for Parties, contained in annex I, sections A, B, C and D, to the present decision (respectively concerning inland water ecosystems, identification and monitoring, methodologies for assessment and taxonomy), as appropriate, into their national and sectoral plans and to implement these as soon as possible

Para. 7.

Urges Parties when requesting support, for projects related to inland water ecosystems, from the Financial Mechanism that priority be given to:

(a) Identifying inland water ecosystems in accordance with Article 7 and Annex I to the Convention, taking into account the criteria for Wetlands of International Importance as adopted under the Convention on Wetlands;

(b) Preparing and implementing integrated watershed, catchment and river basin management plans based on an ecosystem approach including transboundary watersheds, catchments and river basins, and those which include ecosystems identified under subparagraph (a) above;

(c) Investigating where appropriate, the processes contributing to the loss of biological diversity of inland water ecosystems, through targeted research, such as: investigations into the impacts of harmful substances, alien invasive species and saltwater intrusions; and the identification of measures needed to address these issues where they constitute threats to inland water ecosystem biological diversity.

**Decision V/2. Progress report on the implementation of the programme of work on the biological diversity of inland water ecosystems (implementation of decision IV/4)**

Para. 2.

Endorses the proposed joint work plan for the period 2000-2001 of the Convention on Biological Diversity and the Ramsar Convention on Wetlands of International Importance especially as Waterfowl Habitat (UNEP/CBD/SBSTTA/5/INF/12), which includes, inter alia, a River Basin Initiative, encourages Parties, other Governments and relevant bodies to support and participate in the Initiative, and stresses that Parties to the Convention on Biological Diversity that are not Parties to the Ramsar Convention shall not be disadvantaged in the workings and implementation of the joint work plan;

Para. 3.

Encourages Parties to address the lack of information on the status of inland water biological diversity as a basis for future decisions on inland water at the national level and to include this information in their national reports.

<b>Decision VI/2. Biological diversity of inland waters</b>
<b>Decision VII/4. Biological diversity of inland water ecosystems</b>
<p>Para.10.</p> <p>Urges Parties, other Governments and organizations to incorporate the objectives and relevant activities of the programme of work in their biodiversity strategies and action plans, wetland policies and strategies, and the integrated water-resources management and water-efficiency plans being developed, by 2005, in line with paragraph 25 of the Plan of Implementation of the World Summit on Sustainable Development, and to implement them and further promote coordination and cooperation between national actors responsible for inland water ecosystems and biological diversity</p> <p>Para. 11.</p> <p>Recognizes the presence of inland water ecosystems in agricultural lands, forests, dry and sub-humid lands, and mountains, and the ecological connectedness between inland waters, estuaries and inshore coastal areas and, accordingly, encourages Parties, other Governments and organizations to ensure cross-referencing to, and coherence with, the other thematic programmes of work while implementing this programme of work</p> <p>Para. 12.</p> <p>Urges Parties to share information and lessons learned from the application of national and regional policies, plans and best practices, from the application of water frameworks, including specific examples of successful policy interventions to conserve and sustainably use inland waters, and requests the Executive Secretary to summarize this and related available information for the eighth meeting of the Conference of the Parties</p> <p>Para. 13.</p> <p>Invites Parties to formulate and adopt outcome oriented targets and identified priorities for each activity, including timescales, taking into account the Strategic Plan of the Convention as well as the Strategic Plan of the Ramsar Convention for the period 2003-2008, the Global Strategy for Plant Conservation and the Plan of Implementation of the World Summit on Sustainable Development</p> <p>Para. 17.</p> <p>Encourages Parties, other Governments and relevant organizations to improve national, regional and global data on inland water ecosystem goods and services, their uses and related socio-economic variables; on species and all taxonomic levels; on basic hydrological aspects and water supply; and on the threats to which inland water ecosystems are subjected</p> <p>Para. 20.</p> <p>Invites Parties, other Governments and relevant organizations to use and promote the application of the guidelines, in particular in the circumstances of small island developing States and in the territories of States in which inland water ecosystems suffer from ecological disaster</p> <p>Para. 24.</p> <p>Encourages Parties, other Governments and relevant organizations to ensure opportunities for the active participation of indigenous and local communities in all stages of rapid assessments of biological diversity of inland waters traditionally occupied or used by these communities, consistent with decision VII/16 F of the Conference of the Parties on the Akwé: Kon Voluntary Guidelines for the Conduct of Cultural, Environmental and Social Impact Assessment regarding Developments Proposed to Take Place on, or which are Likely to Impact on, Sacred Sites and on</p>

## Lands and Waters Traditionally Occupied or Used by Indigenous and Local Communities

Para. 27.

Requests those Parties for which this is appropriate, to adopt the Ramsar classification of wetlands as an interim classification system and use it as a framework for the initial inventorying of inland water ecosystems for the purpose of preparing indicative lists of inland water ecosystems important in the framework of the Convention, as requested in paragraph 12 of the programme of work on inland water biodiversity annexed to decision IV/4

## VI. Useful documents

### **Status and Trends of the Biological Diversity of Inland Water Ecosystems and Options for Conservation and Sustainable Use (UNEP/CBD/COP/4/4)**

Biological Diversity of Inland Waters (UNEP/CBD/SBSTTA/3/2)

Identification and Monitoring of Components of Biological Diversity of Inland Waters Ecosystems (UNEP/CBD/SBSTTA/3/7)

Methodologies for the Assessment of Biological Diversity in Inland Water Ecosystems (UNEP/CBD/SBSTTA/3/8)

Status and trends of, and threats to, inland water biological diversity (UNEP/CBD/SBSTTA/8/8/Add.1)

Revised programme of work on the biological diversity of inland water ecosystems (UNEP/CBD/COP/7/12/Add.1)

CBD Technical Series No. 11: Status and Trends of Biodiversity of Inland Water Biodiversity

## **Chapter 4. Marine and Coastal Biodiversity**

### **I. Mandate**

The Conference of the Parties to the Convention on Biological Diversity has adopted several decisions on marine and coastal biodiversity, and some of these decisions contain funding provisions.

<b>COP I</b>	<b>Decision I/2, annex I, paragraph 4(k)</b>
	Projects that promote the conservation and sustainable use of biological diversity of coastal and marine resources under threat
<b>COP II</b>	<b>Decision II/10, paragraph 11</b>
	<i>Decides to forward</i> this decision and annexes to the Global Environment Facility, other funding agencies and other relevant international bodies, to be taken into account in considering activities related to the conservation and sustainable use of marine and coastal biological diversity
<b>COP III</b>	
<b>COP IV</b>	<b>Decision IV/5, I, paragraph 2</b>
	<i>Urges</i> Parties, countries, relevant organizations and donor agencies to contribute to the implementation of specific elements of the programme of work
	<b>Decision IV/5, I, paragraph 3</b>
	<i>Urges</i> Parties, when requesting for assistance through the financial mechanism of the Convention, to propose projects which, while being fully consistent with previous guidance of the Conferences of the Parties, promote the implementation of the programme of work
	<b>Decision IV/5, annex, C, operational objective 3.1</b>
	Ways and means: The Executive Secretary, in collaboration with relevant organizations and agencies, involving also funding agencies or donor countries, will facilitate and assist in the preparation of project documents and identify pilot projects for research and monitoring, as well as conduct the desk study. The projects should be undertaken by Parties and countries or competent organizations. The Executive Secretary, starting from the roster of experts, will select the names of an ad hoc technical expert group and elaborate the terms of reference for it, both to be endorsed by the Subsidiary Body on Scientific, Technical and Technological Advice. The expert group will carry out its activities under the Subsidiary Body on Scientific, Technical and Technological Advice and will work through electronic correspondence and teleconferences. Budgetary implications: Costs related to communications. Additional voluntary contributions are needed from Parties or donor countries or funding agencies to fund the projects, the amount depending on the number, nature and scale of the projects.
<b>COP V</b>	<b>Decision V/3, annex, D</b>
	Issue: Because the issue of climate change is global and long-term in scale, Governments around the world need to work together to make funds available

	to implement initiatives to address the causes and consequences of coral bleaching. Response: Mobilize international programmes and mechanisms for financial and technical development assistance, such as the World Bank, the United Nations Development Programme, regional development banks, as well as national and private sources to support implementation of these priority actions.
	Decision V/13, paragraph 2(d)
	The Global Environment Facility should provide support ... [F]or capacity-building at the national, subregional and regional level to address the issue of coral bleaching within the context of implementation of the programme of work on marine and coastal biological diversity, in accordance with decision V/3
COP VI	Decision VI/3, paragraph 5
	<i>Recognizes</i> the need for support through the financial mechanism to developing country Parties, in particular the least developed and small island developing States among them, for country-driven activities aimed at enhancing capabilities to address the impacts of mortality related to coral bleaching and physical degradation and destruction of coral reefs, including developing rapid response capabilities to implement measures to address coral-reef degradation, mortality and subsequent recovery
	Decision VI/17, paragraph 10(e)
	The Global Environment Facility should provide support for country-driven activities aimed at enhancing capabilities to address the impacts of mortality related to coral bleaching and physical degradation and destruction of coral reefs, including developing rapid response capabilities to implement measures to address coral-reef degradation, mortality and subsequent recovery
COP VII	Decision VII/5, paragraph 9
	Recognizing the particular significance of this programme of work to small island developing States, <i>invites</i> funding institutions, and development agencies to provide financial support for the implementation of the elaborated programme of work on marine and coastal biodiversity, and its annexes and appendices
	Decision VII/5, paragraph 35
	<i>Urges</i> Parties, other Governments and relevant organizations to provide active financial, technical and other support for the establishment of a global system of marine and coastal protected area networks and the implementation within it of relevant provisions contained in this decision, including identification and removal of barriers to the creation of marine and coastal protected areas, and removal of perverse incentives for unsustainable activities in the marine and coastal environment, pursuant to decision VI/15, on incentive measures, within the framework of relevant marine-related international law
	Decision VII/5, paragraph 36
	<i>Decides</i> to examine the need for support through the financial mechanism to developing country Parties, in particular the least developed and small island developing States among them, for country-driven activities aimed at enhancing capabilities for activities relating to the establishment and maintenance of marine and coastal protected areas and networks of marine and coastal protected areas and in particular to assist Parties to develop systems to make their marine and coastal protected area networks self-sustaining in the medium



	to long term
	Decision VII/5, annex I, operational objective 3.1
	Operational objective 3.1: To establish and strengthen national and regional systems of marine and coastal protected areas integrated into a global network and as a contribution to globally agreed goals. Ways and means: Activity (a) should be carried out by Parties acting individually or under regional agreements and regional and international organizations. Funding agencies should support implementation of these activities.
	Decision VII/5, annex I, operational objective 3.3
	Operational objective 3.3: To achieve effective management of existing marine and coastal protected areas. Ways and means: The activities should be carried out by Parties acting individually or under regional agreements and regional and international organizations. Funding agencies should support implementation of these activities.
	Decision VII/5, annex I, operational objective 3.4
	Operational objective 3.4: To provide support for and facilitate monitoring of national and regional systems of marine and coastal protected areas. Ways and means: The activities should be carried out by Parties acting individually or under regional agreements, and regional and international organizations, such as the World Conservation Monitoring Centre of the United Nations Environment Programme. The Executive Secretary should facilitate their implementation. Funding agencies should support implementation of the activities.
	Decision VII/5, annex I, operational objective 4.1
	Operational objective 4.1: To promote use of techniques, which minimize adverse impact of mariculture on marine and coastal biological diversity. Ways and means: Activities (a) and (b) should be carried out by Parties acting individually or under regional agreements, with assistance from regional and international organizations, such as FAO, and the Executive Secretary. The Executive Secretary should take a lead role in carrying out activity (c). Activity (d) should be carried out by Parties, regional and international organizations, including research organizations. The Executive Secretary should facilitate its undertaking. Funding agencies should support implementation of activities (a) and (b).
	Decision VII/5, annex I, part IV
	<p>(i) Urgent mobilization of financial resources and identification of additional funding mechanisms for implementation of this programme of work, including provision of information about creative arrangements and tools for financing conservation and sustainable use, and through establishment of additional mechanisms, such as small grants funds.</p> <p>(j) Provision of financial and technical support by the international community including by distant water fishing nations to developing countries in particular small island developing States for sustainable management and use of marine and coastal resources.</p> <p>Ways and means: The Executive Secretary should collaborate with funding agencies, international and regional organizations and Parties to facilitate the implementation of these activities. Activity (b) will be carried out in collaboration with regional fisheries and research organizations as appropriate. Funding</p>

	agencies should support implementation of activity (b).
	Decision VII/5, appendix 1, section 3
	Other priority actions: (viii) Create scholarship trust funds in each region of the regional seas programmes to provide scholarships at graduate/postgraduate level for studies on coral-reef conservation and management, giving special consideration to small island developing States
	Decision VII/5, appendix 1, section 4
	(b) Initiate efforts to develop joint actions, including between national focal points, among the Convention on Biological Diversity, the United Nations Framework Convention on Climate Change, and the Convention on Wetlands to: (iv) Provide guidance to financial institutions, including the Global Environment Facility (GEF), to support such activities; (vi) Gather the outputs of the Caribbean GEF project on climate change adaptation (CPACC project) as a contribution to activities (i)-(iv) above, and disseminate relevant findings through the clearing-house mechanism and other mechanisms; (vii) Further development of response measures to coral bleaching and potential guidance to financial institutions, including the GEF may be needed
	Decision VII/5, appendix 1, section 5
	(a) Mobilize international programmes and mechanisms for financial and technical development assistance, as well as national and private sources to support implementation:  Highest priority actions for implementation (i) Identify financial and technical assistance for the implementation of this work program. (ii) Identify financial and technical assistance mechanisms of national and private sources to assistance communities impacted by coral bleaching.  Other priority actions (iii) Promote programmes that identify the relationships among financial and technical development assistance and environmental project funding.
	Decision VII/5, appendix 2, paragraph 4
	<i>Financing.</i> To recognize and promote existing programmes and mobilize further mechanisms for financial and technical development assistance to support implementation of activities addressing the physical degradation and destruction of coral reefs
	Decision VII/5, appendix 3, paragraph 18
	There are a large number of identified impediments to the creation and management of marine and coastal protected areas at the national level. There are a number of ways in which the international community can help to overcome these impediments. In particular, it can: (a) Provide active financial, technical and other support for marine and coastal protected areas work
	Decision VII/5, appendix 5, paragraph (e) (i)
	Research related to socio-economics, culture, policy and legislation: (i) Comparative studies on legislation, economic and financial mechanisms for regulating mariculture activity
	Decision VII/20, paragraph 3

*Invites* the Global Environment Facility, other funding institutions, and development agencies to provide financial support for the implementation of the elaborated programme of work on marine and coastal biodiversity

## II. Issues

The oceans cover 70 percent of the planet's surface area and marine and coastal environments contain diverse habitats that support an abundance of marine life. Life in our seas produces a third of the oxygen that we breathe, offers a valuable source of protein and moderates global climatic change. Some examples of marine and coastal communities include: mangroves; coral reefs; seagrasses; algae; pelagic or open-ocean communities and deep-sea communities.

Impacts on marine and coastal ecosystems can be grouped in five main categories: chemical pollution and eutrophication; fisheries operations; global climate change; and alterations of physical habitat and invasions of exotic species.

Seas and coastal areas are under threat from pollution, over-exploitation and ill-planned coastal development. Many areas have been degraded beyond rescue, and the world's fishery resources are in danger of depletion. Other living resources, such as mangroves, corals and species amenable to bioprospecting, are also over-exploited. Coral reef ecosystems are increasingly being degraded and destroyed worldwide by a variety of human activities and by global warming.

## III. Background and Status

COP I	<b>The COP identified marine and coastal biological diversity as an early priority. At its first meeting, the COP requested SBSTTA to advise on scientific, technical and technological aspects of the conservation and sustainable use of marine and coastal biological diversity [decision I/7].</b>
COP II	Decision II/10 provided certain guidance on the process to be utilized to develop a work programme on marine and coastal biological diversity, and on key substantive elements of the work programme. At COP 2, the Ministerial Statement on the Implementation of the Convention on Biological Diversity referred to the new global consensus on the importance of marine and coastal biological diversity as the "Jakarta Mandate on Marine and Coastal Biological Diversity".
COP III	
COP IV	In decision IV/5, the COP adopted the programme of work arising from decision II/10. It also specifically addressed the issue of coral bleaching, and related biodiversity loss, and the special needs and considerations of Small Island developing states in implementation of the work programme.
COP V	COP 5 reviewed progress in the implementation of the work programme, and added a work element on coral reefs, specifically on coral bleaching, to be integrated into programme element 2 (Marine and coastal living resources) [decision V/3]. The annex of this decision contains priority areas for action on coral bleaching under four headings: information-gathering; capacity-building; policy development/implementation; and financing. COP 5 also made suggestions for further action in each of the existing programme elements and approved the terms of reference and duration of work specified for the ad hoc technical expert groups on marine and coastal protected areas and mariculture.

COP VI	In decision VI/3, the COP took note of the progress made in the implementation of the programme of work, including the integration of coral reefs into programme element 2 of the programme of work.
COP VII	COP 7 adopted the elaborated programme of work on marine and coastal biological diversity contained in annex 1 to decision VII/5. The structure (programme elements) of the programme of work remains the same as it was in decision IV/5, except for the addition of enabling activities designed to assist Parties to overcome obstacles to implementation. Activities in the programme of work adopted in decision IV/5 that have been completed have now been removed. New material on marine and coastal protected areas, mariculture, high seas biodiversity, and coral bleaching has been added, including an update to the specific work plan on coral bleaching. In addition, relevant activities from the Plan of Implementation of the World Summit on Sustainable Development have been incorporated into the programme of work.

#### IV. The Programme of Work on Marine and Coastal Biological Diversity

Five key thematic issues were identified in the Jakarta Mandate. These issues are reflected in the programme elements of the work programme adopted in decision IV/5, and retained in the elaborated programme of work adopted in decision VII/5. The operational objectives set out in the work programme are highlighted as follows:

Programme element 1. Implementation of integrated marine and coastal area management (IMCAM)

*Operational objectives*

1.1. To apply appropriate policy instruments and strategies, including building of capacity, for the effective implementation of IMCAM

1.2. To undertake direct action to protect the marine environment from negative impacts

1.3. To develop guidelines for ecosystem evaluation and assessment, paying attention to the need to identify and select indicators, including social and abiotic indicators, that distinguish between natural and human-induced effects.

Programme element 2. Marine and coastal living resources

*Operational objectives*

2.1. To promote ecosystem approaches to the conservation and sustainable use of marine and coastal living resources, including the identification of key variables or interactions, for the purpose of assessing and monitoring, first, components of biological diversity; second, the sustainable use of such components; and, third, ecosystem effects.

2.2. To make available to the Parties information on marine genetic resources in marine areas beyond national jurisdiction and, as appropriate, on coastal and marine genetic resources under national jurisdiction from publicly available information sources.

2.3.: To gather and assimilate information on, build capacity to mitigate the effects of, and to promote policy development, implementation strategies and actions to address: (i) the biological and socio-economic consequences of physical degradation and destruction of key marine and coastal habitats including mangrove ecosystems, tropical and cold-water coral-reef ecosystems, seamount ecosystems and seagrass ecosystems including identification and promotion of management practices, methodologies and policies to reduce and mitigate impacts upon marine and coastal biological diversity and to restore mangrove forests and rehabilitate damaged coral reef; and in particular (ii) the impacts of mangrove forest destruction, coral

bleaching and related mortality on coral-reef ecosystems and the human communities which depend upon coral-reef services, including through financial and technical assistance.

2.4. To enhance the conservation and sustainable use of biological diversity of marine living resources in areas beyond the limits of national jurisdiction

#### Programme element 3. Marine and coastal protected areas

##### *Operational objectives*

3.1. To establish and strengthen national and regional systems of MCPAs integrated into a global network<sup>3</sup> and as a contribution to globally agreed goals.

3.2. To enhance the conservation and sustainable use of biological diversity in marine areas beyond the limits of national jurisdiction

3.3. To achieve effective management of existing MCPAs.

3.4. To provide support for and facilitate monitoring of national and regional systems of MCPAs

3.5. To facilitate research and monitoring activities that reflect identified global knowledge gaps and priority information needs of MCPA management.

#### Programme element 4. Mariculture

##### *Operational objectives*

4.1. To promote use of techniques, which minimize adverse impact of mariculture on marine and coastal biological diversity.

#### Programme element 5. Alien species and genotypes

##### *Operational objectives*

5.1. To achieve better understanding of the pathways and the causes of the introduction of alien species and the impact of such introductions on biological diversity.

5.2. To put in place mechanisms to control all pathways, including shipping, trade and mariculture, for potential alien invasive species in the marine and coastal environment.

5.3. To maintain an incident list on introductions of alien species.

#### Programme element 6. General

##### *Operational objectives*

6.1. To assemble a database of initiatives on programme elements through a cooperative approach with relevant organizations and bodies, with special emphasis on integrated marine and coastal areas management.

6.2. To undertake effective collaboration, cooperation and harmonization of initiatives with relevant conventions, organizations and agencies while recognising their independent mandates. Activities relating to the six programme elements are implemented on the following levels: national and local, regional, and global. The national and local level is the primary level of implementation for activities in the programme of work. The involvement of all relevant stakeholders in implementation of the programme of work should be promoted. The role of the Secretariat is to promote and facilitate the implementation of the programme of work.

## **V. Funding needs**

The COP has urged funding agencies/organizations to contribute to the implementation of the programme of work on marine and coastal biological diversity through financing projects that support its implementation. It has identified the following areas for national action, which might require financial support:

**Decision II/10. Conservation and sustainable use of marine and coastal biodiversity (see also SBSTTA recommendation I/8)**

Para. 2.

Encourages the use of integrated marine and coastal area management as the most suitable framework for addressing human impacts on marine and coastal biological diversity and for promoting conservation and sustainable use of this biodiversity

Para. 3.

Encourages Parties to establish and/or strengthen, where appropriate, institutional, administrative, and legislative arrangements for the development of integrated management of marine and coastal ecosystems, plans and strategies for marine and coastal areas, and their integration within national development plans

Para. 4.

Takes note of the recently finalized Food and Agriculture Organization of the United Nations Code of Conduct for Responsible Fisheries, the Agreement for the Implementation of the Provisions of the United Nations Convention on the Law of the Sea of 10 December 1982 Relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks, and the Washington Declaration and Global Programme of Action for the Protection of the Marine Environment from Land-based Activities, and supports their implementation, including that by Parties, in ways that are consistent with, and conform to, the objectives of the Convention on Biological Diversity.

**Decision IV/5. Conservation and sustainable use of marine and coastal ecosystems, including a programme of work**

I. Programme of work arising from decision II/10 9(Jakarta Mandate on Marine and Coastal Biological Diversity)

Para. 2.

Urges Parties, countries, relevant organizations and donor agencies to contribute to the implementation of specific elements of the programme of work

Para. 3.

Urges Parties, when requesting for assistance through the financial mechanism of the Convention, to propose projects which, while being fully consistent with previous guidance of the Conferences of the Parties, promote the implementation of the programme of work

II. Coral reefs

Para. 4.

Urges Parties, with reference to programme element 1.3 (c) of the programme of work, to take appropriate actions to mitigate impacts upon marine and coastal biological diversity and consequent socio-economic effects.

**Decision V/3. Progress report on the implementation of the programme of work on marine and coastal biological diversity (implementation of decision IV/5)**

Para. 6.

Urges Parties, other Governments and relevant bodies to implement response measures to the phenomenon of coral bleaching by:

(a) Identifying and instituting additional and alternative measures for securing the livelihoods of people who directly depend on coral-reef services;

(b) Encouraging and supporting multidisciplinary approaches to action relating to coral-reef management, research and monitoring, including the use of early-warning systems for coral bleaching, and collaborating with the International Coral Reef Initiative and the Global Coral Reef Monitoring Network;

(c) Building stakeholder partnerships, community participation programmes and public education campaigns and information products that address the causes and consequences of coral bleaching;

(d) Using appropriate policy frameworks to implement integrated marine and coastal area management plans and programmes that supplement marine and coastal protected areas and the multiple conservation measures outlined in the Renewed Call to Action of the International Coral Reef Initiative;

(e) Supporting capacity-building measures, including training of and career opportunities for marine taxonomists, ecologists and members of other relevant disciplines, particularly at the national level;

(f) Implementing and coordinating targeted research programmes, including predictive modelling, in the context, as appropriate, of the ongoing activities referred to in paragraph 4 of the present decision;

Para. 7.

Invites Parties, other Governments and relevant bodies to submit case-studies on the coral-bleaching phenomenon to the Executive Secretary, for dissemination through the clearing-house mechanism.

### **Decision VI/3. Marine and coastal biological diversity**

### **Decision VII/5. Marine and coastal biological diversity**

Para. 5

*Notes* that the programme of work has been refined to take into account recent developments and new priorities and *endorses* for the guidance of Parties and any other relevant organizations or bodies the elaborated programme of work as presented in annex I to the present decision and its appendices 1-5, noting that Parties will implement those suggested activities that are consistent with their national priorities

Para. 20

*Aware* that marine and coastal protected areas should be part of a wider marine and coastal management framework, *urges* Parties and other Governments, as appropriate, to make efforts to adopt, as a matter of high priority (while taking into account the resource limitations of small island developing States), such a framework, taking into account appendix 3 to annex I to the present decision

Para. 23

*Notes* that the Ad Hoc Technical Expert Group on marine and coastal protected areas advised that certain objectives of marine and coastal protected areas, such as scientific reference areas can only be accomplished through the establishment of category (b) marine and coastal protected areas, and *encourages* Parties to take this advice into account when determining an appropriate

balance between categories (a) and (b)

Para. 26

*Urges* Parties to urgently address, through appropriate integrated marine and coastal management approaches, all threats, including those arising from the land (e.g. water quality, sedimentation) and shipping/transport, in order to maximize the effectiveness of marine and coastal protected areas and networks in achieving their marine and coastal biodiversity objectives taking into account possible effects of climate change such as rising sea levels

Para. 28

*Notes* the technical advice provided by the Ad Hoc Technical Expert Group, contained in annex II to the present decision and in its report, relating to marine and coastal protected areas within national jurisdiction, and *urges* Parties and Governments to utilize that advice in their work to establish marine and coastal protected areas networks

Para. 44

*Urges* Parties and other Governments to adopt the use of relevant methods and techniques for avoiding the adverse effects of mariculture on marine and coastal biological diversity, and incorporate them into their national biodiversity strategies and action plans

Para. 45

*Recognizes* the complexity of mariculture activities, the highly variable circumstances of different geographical areas, mariculture practices and cultured species, as well as social, cultural and economic conditions, which will influence mitigation options, and, accordingly, taking into account the special needs of and the difficulties faced by stakeholders in developing countries, *recommends* that Parties and other Governments adopt the use of the following specific methods, techniques or practices for avoiding the adverse biodiversity related effects of mariculture:

(a) The application of environmental impact assessments, or similar assessment and monitoring procedures, for mariculture developments, with due consideration paid to the scale and nature of the operation, as well as carrying capacities of the environment, taking into account the guidelines on the integration of biodiversity considerations in environmental impact assessment legislation and/or processes and in strategic impact assessment, endorsed by the Conference of the Parties in its decision VI/7 A, as well as the recommendations endorsed in decision VI/10, annex II, on the conduct of cultural, environmental and social impact assessments regarding developments proposed to take place on, or which are likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities. There is a need to address the likely immediate, intermediate and long-term impacts on all levels of biodiversity;

(b) Development of effective site-selection methods, in the framework of integrated marine and coastal area management, taking into account the special needs and difficulties encountered by stakeholders in developing countries;

(c) Development of effective methods for effluent and waste control;

(d) Development of appropriate genetic resource management plans at the hatchery level and in the breeding areas, including cryopreservation techniques, aimed at biodiversity conservation;

(e) Development of controlled low-cost hatchery and genetically sound reproduction methods, made available for widespread use, in order to avoid seed collection from nature, where appropriate. In cases where seed collection from nature cannot be avoided, environmentally



sound practices for spat collecting operations should be employed;

(f) Use of selective fishing gear in order to avoid or minimize by-catch in cases where seed are collected from nature;

(g) Use of native species and subspecies in mariculture;

(h) Implementation of effective measures to prevent the inadvertent release of mariculture species and fertile polyploids, including, in the framework of the Cartagena Protocol on Biosafety, living modified organisms (LMOs);

(i) Use of proper methods of breeding and proper places of releasing in order to protect genetic diversity;

(j) Minimizing the use of antibiotics through better husbandry techniques;

(k) Ensuring that fish stocks used for fish meal and fish oil are managed in such a way as to be sustainable and to maintain the trophic web;

(l) Use of selective methods in industrial fisheries to avoid or minimize by-catch;

(m) Considering traditional knowledge, where applicable as a source to develop sustainable mariculture techniques

Para. 46

*Urges* Parties and other Governments to adopt relevant best management practices and legal and institutional arrangements for sustainable mariculture, taking into account the special needs and difficulties encountered by stakeholders in developing countries, in particular through implementing Article 9 of Code of Conduct on Responsible Fisheries, as well as other provisions in the Code dealing with aquaculture, recognizing that it provides necessary guidance to develop legislative and policy frameworks at the national, regional and international levels

Para. 56

*Invites* Parties and other States to identify activities and processes under their jurisdiction or control which may have significant adverse impact on deep seabed ecosystems and species beyond the limits of national jurisdiction, in order to address Article 3 of the Convention

Para. 62

*Recommends* Parties to also urgently take the necessary short-term, medium-term and long-term measures to respond to the loss or reduction of marine biological diversity associated with the areas identified in paragraph 60 above.

## **VI. Useful documents**

**Scientific, Technical and Technological Aspects of the Conservation and Sustainable Use of Coastal and Marine Biological Diversity: Note by the Secretariat to the First Meeting of the Subsidiary Body on the Scientific, Technical and Technological Advice (UNEP/CBD/SBSTTA/1/8)**

Conservation and Sustainable Use of Marine and Coastal Biological Diversity: Report by the Executive Secretary to the Third Meeting of the Subsidiary Body on the Scientific, Technical and

Technological Advice (UNEP/CBD/SBSTTA/3/4)

Implementation of the programme of work on marine and coastal biological diversity (UNEP/CBD/COP/6/INF/41)

Report of the Expert Consultation on Coral Bleaching (UNEP/CBD/SBSTTA/5/Inf.11)

Summary report of the Ad Hoc Technical Expert Group on Marine and Coastal Protected Areas (UNEP/CBD/SBSTTA/8/9/ADD1)

Marine and coastal biodiversity: Summary report of the Ad Hoc Technical Expert Group on Mariculture (UNEP/CBD/SBSTTA/8/9/ADD2)

## **Chapter 5. Dry and Sub-Humid Land Ecosystems**

### **I. Mandate**

The Conference of the Parties to the Convention on Biological Diversity has adopted several decisions on dry and sub-humid land ecosystems, and some of these decisions contain funding provisions.

<b>COP I</b>	<b>Decision I/2, annex I, paragraph 4(k)</b>
	Projects which promote the conservation of biological diversity and sustainable use of its components in other environmentally vulnerable areas such as arid and semi-arid and mountainous areas
<b>COP II</b>	
<b>COP III</b>	
<b>COP IV</b>	
<b>COP V</b>	Decision V/13, paragraph 2(b.ii)
	The Global Environment Facility should provide support, as a priority, for projects which: (ii) Implement the Convention's programme of work on biodiversity of dry and sub-humid lands, in accordance with decision V/23, through the development, review and implementation of its operational programmes, in particular, the operational programme on arid and semi-arid ecosystems
	Decision V/23, paragraph 3
	<i>Urges</i> Parties, countries, international and regional organizations, major groups and other relevant bodies to implement it, to support scientifically, technically and financially its activities at the national and regional levels and to foster cooperation among countries within regions and subregions sharing similar biomes
	Decision V/23, paragraph 11
	<i>Invites</i> bilateral and international funding agencies to provide support for the implementation of the activities of the programme of work on the biodiversity of dry and sub-humid lands, in particular for capacity-building in developing countries and countries with economies in transition
	Decision V/23, annex I, II, part A
	Ways and means The activities of part A are to be carried out through: (b) Targeted research, including existing programmes of international and national research centres and research systems and other relevant international or regional programmes, with additional funding for priority work needed to overcome barriers to the conservation and sustainable use of the biological diversity of dry and sub-humid lands; (c) Multidisciplinary and interdisciplinary case-studies on management practices, carried out primarily by national and regional institutions, including civil-society organizations and research institutions, with support from international organizations for catalysing the preparation of studies, mobilizing

	funds, disseminating results, and facilitating feedback and lessons learned to case-study providers and policy makers. New resources could be needed to promote such studies to analyse the results and to provide necessary capacity-building and human-resource development
	Decision V/23, annex I, II, part B
	The activities of part B to be carried out through: (a) Capacity-building, particularly at the national and local levels, as well as investments in the development and promotion of sustainable livelihoods, including alternative livelihoods, and conservation measures, through participatory and bottom-up processes, with funding from bilateral and multilateral sources, and catalytic support from international organizations
COP VI	
COP VII	

## II. Issues

Dry and sub-humid lands are home to over 2 billion people, or around 35% of the global population. These lands have great biological value and are home to many of the world's food crops and livestock. About 70 percent of Africa depends directly on such lands for their daily livelihoods.

Biological diversity assessed in terms of species number tends to be moderate in semi-arid areas and to decline to low or very low levels as aridity increases. However, in contrast to this general rule, diversity in some groups tends at first to increase as aridity increases but to decrease at extreme desert conditions. Important centres of crop origins and primary genetic diversity are found within semi-arid and sub-humid lands. Biodiversity in dry and sub-humid lands may be extremely important to the maintenance of key environmental services.

Biological diversity of dry and sub-humid lands ("drylands") is of particular significance because it includes many unique biomes. Wetland areas in drylands, for instance, are often of crucial importance in supporting migratory bird species, as well as more local species. Dry and sub-humid lands also contain some of the most biologically diverse regions in the world. The world's most important domesticated food crops and livestock originated in drylands. Conservation and sustainable use of dry and sub-humid lands is central to livelihood development and poverty alleviation; drylands include many fragile environments that may warrant priority attention to avoid irreversible loss of biological diversity, and consequent negative impacts on livelihoods.

Many communities, to cite a couple, subsistence farmers, herders and fishers, are highly dependent on drylands biodiversity. Unfortunately, these ecosystems are often extremely fragile and suffer from habitat conversion, over-grazing and over-harvesting, the introduction of alien species, changes in water availability and natural fire regimes, and climate change.

The main pressures that impact on dryland biodiversity are:

Habitat conversion. The most common transformation is conversion to cropland. Inappropriate conversion or poor soil and water management can lead to degradation. In Mediterranean areas, in particular, conversion for transport, tourism and industrial infrastructure is also very significant;

Grazing pressures. Wildlife and livestock impact on dryland biodiversity through trampling and removal of biomass, alteration of species composition through selective consumption and changed inter-plant competition, and redistribution of nutrients through dropping of urine and faeces. While sustainable grazing can maintain grassland and savannah ecosystem health, changes in grazing intensity and selectivity will inevitably change dryland biodiversity. Under-grazing and overgrazing can both have negative effects, but overgrazing by livestock is increasingly problematic;

Introduced species. Varieties and breeds can radically change dryland biodiversity. Replacement of traditionally grown crops (such as millet and sorghum) by others (such as maize), and the introduction of improved crop varieties, can diminish crop-species and genetic diversity, and limit crop evolution. The introduction of exotic grasses and legumes in pastures and rangelands is particularly significant in this regard. Invasive alien plant and animal species can adversely affect indigenous biodiversity. Introduced feral animals, such as rabbits, can contribute to overgrazing;

Changes in fire regimes. Fire occurs naturally in many drylands, but increased frequency or intensity of fire through deliberate or accidental human action can markedly change species composition and often decrease biodiversity;

Water. Since water is a limiting factor in drylands, changes in water availability, through water abstraction or irrigation can have disproportionate effects on biodiversity. Water pollution, especially as a result of agricultural run-off, can also present a significant threat to dry and sub-humid lands biodiversity;

Soil management. Dryland soils are particularly prone to erosion, especially when natural vegetation is removed through inappropriate tillage, grazing or use of fire. Excessive use of artificial fertilizers can change the biotic composition of soils. Extreme soil degradation in dry and sub-humid lands can also lead to desertification.

Over-harvesting. Excessive collection of fuelwood, over-harvesting of plants and over-hunting of wildlife can all have direct negative impacts on the components of dryland biodiversity; and

Climate change. Long-term changes in temperature and rainfall patterns can have serious impacts on biological diversity of drylands.

### III. Background and Status

COP I	
COP II	
COP III	Dry and sub-humid ecosystems were first considered by COP 3 under the agenda item 'Terrestrial biological diversity' [ <i>decision III/3</i> ].
COP IV	At its fourth meeting, the COP decided that one of the items for in-depth consideration at its fifth meeting would be dryland, Mediterranean, arid, semi-arid, grassland and savannah ecosystems [ <i>decision IV/16</i> ].

<b>COP V</b>	In decision V/23, the COP adopted a work programme, noting that the programme could be referred to as the programme on ‘dry and sub-humid lands’. The COP then urged Parties and organizations and others to implement the programme and to support its activities.
<b>COP VI</b>	At its sixth meeting, the COP took note of the progress reports on the implementation of the programme of work on the biodiversity of dry and sub-humid lands and the report of the Ad Hoc Technical Expert Group on the Biodiversity of Dry and Sub-Humid Lands, and decided to consider a mechanism to coordinate activities in biodiversity, desertification/land degradation and climate change [ <i>decision VI/4</i> ].
<b>COP VII</b>	Through decision VII/2 on biological diversity of dry and sub-humid lands, the COP adopted the refinement of the programme of work, as well as the proposed process for the periodic assessment of the status and trends of biological diversity in dry and sub-humid lands. The decision also contains a number of requests focusing on furthering work on synergy between the Rio conventions and other biodiversity related conventions, as well as development of targets for the implementation of the programme of work. The annex of decision VII/2 contains a synthesis table of expected outcomes and timeframes, potential actors, and indicators of progress in the implementation of this programme of work.

#### **IV. The Programme of Work on Dry and Sub-humid Lands**

The work programme on dry and sub-humid lands is divided into two parts, ‘assessments’ and ‘targeted actions in response to identified needs’, to be implemented in parallel.

Under assessments, six activities are identified:

1. Assessment of the status and trends of biological diversity.
2. Identification of specific areas of value for biological diversity, with reference to the criteria in Annex I to the Convention.
3. Further development of indicators.
4. Building knowledge on ecological, physical and social processes that affect biodiversity.
5. Identification of local and global benefits derived from biological diversity.
6. Identification and dissemination of best management practices, including knowledge, innovation and practices of indigenous and local communities.

These activities are to be carried out through: consolidation of information from existing sources; targeted research; multidisciplinary and interdisciplinary case-studies on management practices, carried out primarily by national and regional institutions; dissemination of information and capacity-building.

Under targeted actions, three clusters of activities are identified:

1. Promotion of specific measures for the conservation and sustainable use of biological diversity, through for example, use and establishment of additional protected areas, appropriate management and sustainable use of water resources and management of invasive alien species.
2. Promotion of responsible resource management, at appropriate levels, applying the ecosystem approach, through and enabling policy environment.
3. Support for sustainable livelihoods, through diversifying sources of income, promotion of sustainable harvesting including of wildlife; exploring innovative sustainable use of biological diversity.

These activities are to be carried out through capacity building, particularly at national and local levels, establishment of an international network of designated demonstration sites, case studies on successful management, partnerships between relevant stakeholders and enhanced interaction between the work programmes of this Convention and the Convention to Combat Desertification.

## V. Funding needs

Parties and Governments have been invited to undertake the following action, which might require financial support from funding agencies/organizations:

<b>Decision V/23. Consideration of options for conservation and sustainable use of biological diversity in dryland, Mediterranean, arid, semi-arid, grassland and savannah ecosystems</b>
<p>Para. 3.</p> <p>Urges Parties, countries, international and regional organizations, major groups and other relevant bodies to implement it [the programme of work on dry and sub-humid lands], to support scientifically, technically and financially its activities at the national and regional levels and to foster cooperation among countries within regions and subregions sharing similar biomes</p>
<b>Decision VI/4. Biological diversity of dry and sub-humid lands</b>
<p>Para. 3.</p> <p>Recognizing the horizontal nature of this programme of work on dry and sub-humid lands, <u>recommends</u> that the Executive Secretary and Parties enhance synergies in the implementation of this and other thematic programmes of work of the Convention.</p>
<b>Decision VII/2. The biological diversity of dry and sub-humid lands</b>
<p>Para 7.</p> <p><i>Recognizes</i> that the effective implementation of this programme of work is subject to the availability of financial, technological and human resources, and urges Parties, other Governments countries, international organizations, and relevant stakeholders that are in a position to do so to develop partnerships and other means to provide the necessary support;</p> <p>Para. 9.</p> <p><i>Welcomes</i> the joint work programme between the United Nations Convention to Combat Desertification and the Convention on Biological Diversity (UNEP/CBD/COP/7/INF/28) and Parties and relevant stakeholders to contribute to the implementation of its components.</p>

## VI. Useful documents

**Assessment of the status and trends and options for conservation and sustainable use of terrestrial biological diversity: dryland, Mediterranean, arid, semi arid, grassland and savannah ecosystems (UNEP/CBD/SBSTTA/4/7)**

Biological diversity of dryland, Mediterranean, arid, semi arid, grassland and savannah ecosystems: options for the development of a programme of work (UNEP/CBD/SBSTTA/5/9)

Reports: Biological diversity of dry and sub humid lands (UNEP/CBD/SBSTTA/7/4)

Final report of the Ad Hoc Technical Expert Group on the Biological Diversity of Dry and Sub-Humid Lands (UNEP/CBD/SBSTTA/8/INF/2)

## **Chapter 6. Mountain Biodiversity**

### **I. Mandate**

The Conference of the Parties to the Convention on Biological Diversity has adopted several decisions on mountain biodiversity, and some of these decisions contain funding provisions.

<b>COP I</b>	<b>Decision I/2, annex I, paragraph 4(k)</b>
	Projects that promote the conservation and sustainable use of biological diversity of coastal and marine resources under threat. Also, projects which promote the conservation of biological diversity and sustainable use of its components in other environmentally vulnerable areas such as arid and semi-arid and mountainous areas
<b>COP II</b>	
<b>COP III</b>	
<b>COP IV</b>	
<b>COP V</b>	
<b>COP VI</b>	
<b>COP VII</b>	Decision VII/27, paragraph 7
	<i>Recognizes</i> the need for resources, human, technological and financial capacity, to implement effectively the activities in the programme of work, and thus <i>encourages</i> Governments and other interested entities to form partnerships to address these needs and <i>urges</i> bilateral and multilateral organizations and processes to provide financial assistance, training and support, where applicable, to developing country Parties, in particular the least developed countries and small island developing States among them, and Parties with economies in transition to assist in the effective implementation of the programme of work
	Decision VII/27, paragraph 15
	<i>Reminds</i> Parties of Article 20 of the Convention and <i>invites</i> the developed country Parties to further enhance the provision of additional financial resources and transfer of technology to enable developing country Parties and Parties with economies in transition to implement the programme of work on mountain biological diversity

### **II. Issues**

Mountains are specifically mentioned in paragraph 7 of Article 20 of the Convention text, which states that, with regard to funding and transfer of technology, developed country Parties shall take into “consideration the special situation of developing countries, including those that are most environmentally vulnerable, such as those with arid and semi-arid zones, coastal and mountainous areas”. However, due to the significance of mountain ecosystems for biodiversity conservation and sustainable use and because mountains include other ecosystem types such as forests and inland waters, mountain biodiversity is cross-cutting in nature and all the other articles of the Convention and many decisions apply to mountain biological diversity.



Mountain environments cover some 27 per cent of the world's land surface, and directly support the 22 per cent of the world's people who live within mountain regions. Lowland people also depend on mountain environments for a wide range of goods and services, including water, energy, timber, biodiversity maintenance, and opportunities for recreation and spiritual renewal. Mountains provide for the freshwater needs of more than half of humanity, and are, in effect, the water towers of the world.

The world's mountains encompass some of the most spectacular landscapes, a great diversity of species and habitat types, and distinctive human communities. Mountains occur on all continents, in all latitude zones, and within all the world's principal biome types – from hyper-arid hot desert and tropical forest to arid polar icecaps – and support a wide variety of ecosystems. Mountain ecosystems are important for biological diversity, particularly in the tropics and warmer temperate latitudes. Isolated mountain blocks are often rich in endemic species. As noted in the report of the Secretary-General of the United Nations when he proclaimed 2002 as the “International Year of Mountains”, mountains harbour a significant portion of distinct ethnic groups, varied remnants of cultural traditions, environmental knowledge and habitat adaptations. They host some of the world's most complex agro-cultural gene pools and traditional management practices.

### III. Background and status

<b>COP I</b>	<b>In decision I/2, the COP established the promotion of conservation and sustainable use of biological diversity in mountainous areas as one of the programme priorities of the Convention.</b>
<b>COP II</b>	
<b>COP III</b>	At its third meeting, the COP reaffirmed the central importance of biological diversity to sustainable development in montane areas, and decided to contact those agencies and networks working on sustainable mountain development with a view to examining forms of cooperation on matters relating to biological diversity and mountains [ <i>decision III/13</i> ].
<b>COP IV</b>	COP-4 adopted the future programme of work for the Conference of the Parties, including mountain biodiversity, which is to be considered in-depth at the seventh meeting of the COP [ <i>decision IV/16</i> ].
<b>COP V</b>	
<b>COP VI</b>	
<b>COP VII</b>	In decision VII/27, the COP adopted the programme of work on mountain biological diversity as a set of actions addressing characteristics and problems that are specific to mountain ecosystems, and invited relevant stakeholders to undertake identified activities. It also decided to develop a small number of global outcome-oriented targets, ways and means for implementation, and indicators at the regional, national and local levels.

### IV. The Programme of Work on Mountain Biodiversity

The overall purpose of the programme of work is the significant reduction of mountain biological diversity loss by 2010 at global, regional and national levels, through the implementation of the three main objectives of the Convention on Biological Diversity.

The programme of work focuses on addressing characteristics and problems that are specific to mountain biological diversity. These include:

- The particularly high concentration of biological diversity hotspots in mountain regions, including high ecosystem diversity, high species richness, high number of endemic and endangered species, and high genetic diversity of crop, livestock, and their wild relatives;
- Cultural diversity, and the particularly key role of indigenous and local communities in the conservation and management of mountain biological diversity;
- The fragility of mountain ecosystems and species and their vulnerability to human and natural disturbances, in particular to land-use change and global climate change (such as the retreat of glaciers and increased areas of desertification);
- The upland-lowland interactions that characterize mountain ecosystems, with special emphasis to the relevance of upland ecosystems for the management of food, water and soil resources;

The programme of work is intended to assist Parties in establishing national programmes of work with targeted goals, objectives, and actions, with specific actors, timeframes, inputs, and expected measurable outputs. Parties may select from, adapt, and/or add to, the goals, objectives and actions suggested in the current programme of work according to particular national and local conditions, and their level of development. Implementation of this programme of work should take into account the ecosystem approach of the Convention on Biological Diversity. In determining national programmes of work, Parties are encouraged to pay due regard to the socio economic, cultural and environmental costs and benefits of various options. In addition, Parties are encouraged to consider the use of appropriate technologies, sources of finance, and technical cooperation, and to ensure, through appropriate actions, the means to meet the particular challenges and demands of their mountain ecosystems.

The programme of work on mountain biodiversity consists of three interlinked elements to be mutually reinforcing and cross cutting in their implementation, and specific goals and targets in each element:

**Direct actions for conservation, sustainable use and benefit sharing:** this includes prevention and mitigation of negative threats to mountain biological diversity; protection recovering and restoration of mountain biological diversity and promotion of sustainable use and equitable sharing of benefits arising from its use.

**Means of implementation for conservation, sustainable use and benefit sharing:** this includes enhancing legal, policy, institutional and economic framework; respecting, preserving and maintaining knowledge, practices and innovations of indigenous and local communities in mountain regions; establishing regional and transboundary collaboration and cooperative agreements.

**Supporting actions for conservation, sustainable use and benefit sharing:** this includes means for identification, monitoring and assessment of mountain biological diversity; improving knowledge on and methods for assessment and monitoring; infrastructure for data and information management; improving research, scientific and technical cooperation and capacity building; increasing public education, participation and awareness; and promote the development, validation and transfer of appropriate technologies for mountain ecosystems.

## V. Funding needs

Parties and Governments have been invited to undertake the following action, which might require financial support from funding agencies/organizations:

<b>Decision VII/27. Mountain biological diversity</b>
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Para. 3.

*Invites* Parties to identify priority actions among the actions recommended in the programme of work depending on the particular national or local conditions and *urges* Parties to incorporate them into their national biodiversity strategies and action plans, as well as national programmes and activities on the implementation of regional mountain conventions and initiatives, and implement them taking into account the ecosystem approach so as to contribute to the significant reduction of the rate of mountain biological diversity loss by 2010 and as a contribution to poverty reduction and to the benefit of indigenous and local communities dependent on mountains.

Para. 4.

*Encourages* Parties, other Governments and organizations to ensure cross-referencing to, and coherence with, the other thematic and cross-cutting programmes of work, including technology transfer, while implementing this programme of work.

Para. 5.

*Invites* Parties to adopt outcome-oriented targets for mountain biodiversity, taking into account the Strategic Plan of the Convention, the Global Strategy for Plant Conservation, the Plan of Implementation of the World Summit on Sustainable Development, the Millennium Development Goals and in conjunction with actions 2.1.5 and 3.2.2 of this programme of work.

Para. 6.

*Agrees* that, in undertaking the implementation of the programme of work, Parties, other Governments, international organizations, civil society organizations and others should take into account the knowledge, innovations and practices of indigenous and local communities and ensure their participation in conservation and sustainable use of mountain biological diversity, in accordance with Article 8(j) and related provisions of the Convention.

Para. 8.

*Invites* Parties, other Governments, and relevant organizations to report on implementation of this decision and those parts of the programme of work, which are identified as priorities under national and local conditions pursuant to paragraphs 3 and 5 through, *inter alia*, their reports submitted to the Conference of the Parties.

Para. 9.

*Requests* Parties that have not yet done so to submit their thematic reports

## VI. Useful documents

**Mountain biological diversity: Status and trends of, and threats to, mountain biological diversity (UNEP/CBD/SBSTTA/8/5)**

Mountain Biological Diversity: Measures taken for the conservation and sustainable use of mountain biological diversity (UNEP/CBD/SBSTTA/8/6)

## Part II                      Crosscutting Issues – Scientific and Technical Matters

The work of the Convention on Biological Diversity has been conveniently organized around three topical fields: thematic areas, crosscutting issues and mechanisms for implementation. Essentially crosscutting issues correspond to the issues contained in Articles 6-20 of the Convention. Initiatives on crosscutting issues often directly support work under thematic programmes. These cross cutting issues have an important role to play in bringing cohesion to the work of the Convention as they provide the substantive bridges or links between the thematic programmes.

Certain crosscutting issues are of a scientific and technical nature, for instance, protected areas, ecosystem approach, monitoring, assessment and Global Taxonomy Initiative, Global Strategy for Plant Conservation, invasive alien species, as well as biodiversity and climate change. These issues have been addressed by the COP through the SBSTTA, and will be elaborated by this section.

In addition, the COP has also requested the financial mechanism to support to the following areas (i.e., endemic species, targeted research and related activities) on which the COP has not given further elaboration:

“The programme priorities are ... [P]rojects that promote the conservation and/or sustainable use of endemic species” [*decision I/2, annex I, paragraph 4(l)*]

“The programme priorities are ... [p]rojects that promote the sustainability of project benefits; that offer a potential contribution to experience in the conservation of biological diversity and sustainable use of its components which may have application elsewhere; and that encourage scientific excellence” [*decision I/2, annex I, paragraph 4(g)*]

“The Conference of the Parties... [r]equests the Global Environment Facility, in preparing projects..., to include in such projects... project components addressing: [t]argeted research which contributes to conservation of biological diversity and the sustainable use of its components including research for reversing current trends of biodiversity loss and species extinction” [*decision III/5, paragraph 6(a)*]

## Chapter 7. Protected Areas

### I. Mandate

The Conference of the Parties to the Convention on Biological Diversity has adopted several decisions on protected areas, and some of these decisions contain funding provisions.

<b>COP I</b>	
COP II	Decision II/7, paragraph 6
	<i>Emphasizes</i> the importance of capacity-building as well as the availability of adequate financial resources to assist Parties in the implementation of Articles 6 and 8 of the Convention, and in this context requests the interim financial mechanism under the Convention to facilitate urgent implementation of Articles 6 and 8 of the Convention by availing to developing country Parties financial resources for projects in a flexible and expeditious manner
	Decision II/6, paragraph 11
	<i>Requests</i> the interim institutional structure to implement the relevant provisions of the following decisions: II/3 on clearing-house mechanism, II/7 on consideration of Articles 6 and 8 of the Convention, II/8 on preliminary consideration of components of biological diversity particularly under threat and action which could be taken under the Convention, and II/17 on form and intervals of national reports by Parties
COP III	Decision III/9, paragraph 4
	<i>Requests</i> the interim financial mechanism under the Convention to make available to developing country Parties resources to enable them to facilitate urgent implementation of paragraphs 2 and 3 above
COP IV	
COP V	
COP VI	
COP VII	Decision VII/28, paragraph 4
	<i>Recalls</i> the need to provide to developing countries, in particular the least developed and small island developing States among them, and countries with economies in transition adequate funding to support the implementation of this programme of work in accordance with Article 20 of the Convention
	Decision VII/28, paragraph 9
	<i>Urges</i> Parties, other Governments, and funding organizations to mobilize as a matter of urgency through different mechanisms adequate and timely financial resources for the implementation of the programme of work by developing countries, particularly in the least developed and the small island developing States amongst them, countries with economies in transition, in accordance with Article 20 of the Convention, with special emphasis on those elements of the programme of work requiring early action
	Decision VII/28, paragraph 10
	<i>Calls</i> Parties to estimate the cost to implement the necessary activities to meet the targets of the programme of work, review the effectiveness in using existing

	financial resources and identify the unmet costs and report back to COP8
	Decision VII/28, paragraph 11
	<i>Calls</i> on Parties and development agencies to integrate within their development strategies (such as country assistance strategies, poverty reduction strategies and national development strategies) protected area objectives and reflect the contributions of protected areas to sustainable development, as a means to achieve the Millennium Development Goals, in particular Goal 7 on environmental sustainability
	Decision VII/28, paragraph 29
	<p><i>Suggests</i> the following tasks need to be undertaken by the ad hoc open ended working group:</p> <p>(b) To explore options for mobilizing as a matter of urgency through different mechanisms adequate and timely financial resources for the implementation of the programme of work by developing countries, particularly in the least developed and the small island developing States amongst them, countries with economies in transition, in accordance with Article 20 of the Convention, with special emphasis on those elements of the programme of work requiring early action</p>
	Decision VII/28, annex, goal 3.4
	<p>Goal 3.4 - To ensure financial sustainability of protected areas and national and regional systems of protected areas.</p> <p>Target: By 2008, sufficient financial, technical and other resources to meet the costs to effectively implement and manage national and regional systems of protected areas are secured, including both from national and international sources, particularly to support the needs of developing countries and countries with economies in transition and small island developing States.</p> <p>Suggested activities of the Parties</p> <p>3.4.1 Conduct a national-level study by 2005 of the effectiveness in using existing financial resources and of financial needs related to the national system of protected areas and identify options for meeting these needs through a mixture of national and international resources and taking into account the whole range of possible funding instruments, such as public funding, debt for nature swaps, elimination of perverse incentives and subsidies, private funding, taxes and fees for ecological services .</p> <p>3.4.2 By 2008, establish and begin to implement country-level sustainable financing plans that support national systems of protected areas, including necessary regulatory, legislative, policy, institutional and other measures.</p> <p>3.4.3 Support and further develop international funding programmes to support implementation of national and regional systems of protected areas in developing countries and countries with economies in transition and small island developing States.</p> <p>3.4.4 Collaborate with other countries to develop and implement sustainable financing programmes for national and regional systems of protected areas.</p> <p>3.4.5 Provide regular information on protected areas financing to relevant institutions and mechanisms, including through future national reports under the Convention on Biological Diversity, and to the World Database on Protected Areas.</p> <p>3.4.6 Encourage integration of protected areas needs into national and, where</p>

	<p>applicable, regional development and financing strategies and development cooperation programmes.</p> <p>Suggested supporting activities of the Executive Secretary</p> <p>3.4.7 Convene as soon as possible, but not later than 2005, a meeting of the donor agencies and other relevant organizations to discuss options for mobilizing new and additional funding to developing countries and countries with economies in transition and small island developing States for implementation of the programme of work.</p> <p>3.4.8 Compile and disseminate case-studies and best practices concerning protected area financing through the clearing-house mechanism and other media.</p> <p>3.4.9 Review and disseminate by 2006 studies on the value of ecosystem services provided by protected areas.</p>
	Decision VII/20, paragraph 10
	<p><i>Requests</i> the Global Environment Facility, respecting national targets and priorities, to support the implementation of the programme of work, and in particular to:</p> <p>(a) In collaboration with other donors, encourage increased support to address the long-term financial sustainability of protected areas, including through different mechanisms and instruments, to help achieve the target of securing, by 2008, sufficient resources to meet the costs to effectively implement and manage national and regional systems of protected areas;</p> <p>(b) Further develop its portfolio on protected areas towards comprehensive, representative and effectively managed protected area systems addressing system wide needs; and</p> <p>(c) Support country driven early action by continuing to streamline its procedures and the provision of fast disbursing resources through expedited means.</p>

## II. Issues

Establishment and management of protected areas together with conservation, sustainable use and restoration initiatives in the adjacent land and seascape are central to Article 8 on “In-situ Conservation” of the Convention on Biological Diversity.

The Convention on Biological Diversity defines protected areas as: “a geographically defined area which is designated or regulated and managed to achieve specific conservation objectives.”

“In-situ Conservation” is defined by the Convention as the conservation of ecosystems and natural habitats and the maintenance and recovery of viable populations of species in their natural surroundings and, in the case of domesticated or cultivated species, in the surroundings where they have developed their distinctive properties.

Protected areas are a vital contribution to the conservation of the world's natural and cultural resources. Their values range from the protection of natural habitats and associated flora and fauna, to the maintenance of environmental stability of surrounding regions. Protected areas can

provide opportunities for rural development and rational use of marginal lands, generating income and creating jobs, for research and monitoring, for conservation education, and for recreation and tourism. As a result, all but a few countries have developed systems of protected areas.

Protected areas are a central part of the Convention in that the Parties themselves have consistently identified that their efforts to develop and maintain their national protected area system is the central element of their strategy to implement the Convention. Experience shows that a well designed and managed system of protected areas can form the pinnacle of nation's efforts to protect biological diversity. Such a system compliments other measures taken to conserve biological diversity outside protected areas.

As international efforts to preserve biological diversity have evolved, it has become clear that protected areas are at the heart of any global strategy for success. Conservation planners divide of land and sea into logical units for management. Such zoning systems frequently include a highly protected core area surrounded by a buffer zone. The core area – such as strict reserve or no-take area – protects critical habitat and species. The buffer zone may allow a broader range of uses, but is intended to insulate the core from threats to its conservation status. Zoning systems can be applied at a range of levels, from defining management zones in individual protected areas to planning landscape or ecosystem conservation schemes where only the core areas are represented by protected areas as defined by IUCN. Ideally protected areas are linked with one another through corridors, which either remain under natural vegetation, or are managed to ensure that human land-uses are compatible with the maintenance of a high degree of biological connectivity. This ensures that protected areas preserve landscapes, seascapes and natural areas for appropriate, long term, appreciation and use by human beings.

Based on the 2004 statistics, globally there are 104,791 protected areas listed in the World Database on Protected areas. The total area has also increased continuously from less than 3 million Km<sup>2</sup> in 1970 to more than 20 million km<sup>2</sup> 2004. However, ecoregional and habitat representation remains uneven and coastal and marine ecosystems are particularly under represented. Existing systems of protected areas are not representative of all categories of biodiversity important for its conservation and sustainable use as set in Annex 1 to the CBD.

### III. Background and Status

COP I	
COP II	At its second meeting, the COP considered Articles 6 and 8 of the Convention, and encouraged sharing of information by Parties and financial support from the financial mechanism [ <i>decision II/7</i> ]
COP III	COP-3 reaffirmed that Article 8 of the Convention sets out a clear framework of the necessary elements for <i>in situ</i> conservation, which should be addressed in a coherent manner, and commended the inclusion of protected areas within the thematic approach in the further compilation and dissemination of information on the implementation of Articles 6 and 8 [ <i>decision III/9</i> ]
COP IV	To facilitate the implementation of article 8 and related provisions of the Convention, COP-4 decided to consider protected areas as one of the three main themes for its seventh meeting [ <i>decision IV/16</i> ].



COP V	
COP VI	At its sixth meeting, the COP provided guidance for preparing the protected areas theme at its seventh meeting [ <i>decision VI/30</i> ].
COP VII	In decision VII/28, the COP adopted the programme of work on protected areas, and decided to establish an ad hoc open ended working group on protected areas to support and review implementation of the programme of work.

#### IV. Programme of Work on Protected Areas

The overall purpose of the programme of work on protected areas, which was adopted at COP-7, is to support the establishment and maintenance by 2010 for terrestrial and by 2012 for marine areas of comprehensive, effectively managed, and ecologically representative national and regional systems of protected areas that collectively, inter alia through a global network contribute to achieving the three objectives of the Convention and the 2010 target to significantly reduce the current rate of biodiversity loss at the global, regional, national and sub-national levels and contribute to poverty reduction and the pursuit of sustainable development, thereby supporting the objectives of the Strategic Plan of the Convention, the World Summit on Sustainable Development Plan of Implementation and the Millennium Development Goals.

The programme of work consists four interlinked elements to be mutually reinforcing and cross – cutting in their implementation and intended to assist Parties to the CBD in establishing national programmes of work with targeted goals, actions, specific time frames, in puts and expected measurable outputs.

Programme element 1: Direct actions for planning, selecting, establishing, strengthening, and managing, protected area systems and sites

Goal 1.1 - To establish and strengthen national and regional systems of protected areas integrated into a global network as a contribution to globally agreed goals

Goal 1.2 - To integrate protected areas into broader land- and seascapes and sectors so as to maintain ecological structure and function

Goal 1.3 - To establish and strengthen regional networks, transboundary protected areas (TBPAs) and collaboration between neighbouring protected areas across national boundaries

Goal 1.4 - To substantially improve site-based protected area planning and management

Goal 1.5 - To prevent and mitigate the negative impacts of key threats to protected areas

Programme element 2: Governance, Participation, Equity and Benefit Sharing

Goal 2.1 - To promote equity and benefit-sharing

Goal 2.2 - To enhance and secure involvement of indigenous and local communities and relevant stakeholders

Programme element 3: Enabling Activities

Goal 3.1 - To provide an enabling policy, institutional and socio-economic environment for protected areas

Goal 3.2 - To build capacity for the planning, establishment and management of protected areas

- Goal 3.3 To develop, apply and transfer appropriate technologies for protected areas  
 Goal 3.4 - To ensure financial sustainability of protected areas and national and regional systems of protected areas  
 Goal 3.5 - To strengthen communication, education and public awareness

Programme element 4: Standards, assessment, and monitoring

- Goal 4.1 - To develop and adopt minimum standards and best practices for national and regional protected area systems  
 Goal 4.2 - To evaluate and improve the effectiveness of protected areas management  
 Goal 4.3 - To assess and monitor protected area status and trends  
 Goal 4.4 - To ensure that scientific knowledge contributes to the establishment and effectiveness of protected areas and protected area systems

## V. Funding needs

Parties and Governments have been invited to undertake the following action, which might require financial support from funding agencies/organizations:

<b>Decision II/7. Consideration of Articles 6 and 8 of the Convention</b>
Para. 1. <u>Urges</u> all Parties and Governments and other interested stakeholders to exchange relevant information and share experience on measures taken for the implementation of Articles 6 and 8
<b>Decision III/9. Implementation of Articles 6 and 8 of the Convention</b>
Para. 2. Urges Parties to include in their national plans or strategies and legislation measures for: <ul style="list-style-type: none"> <li>(a) The conservation of biological diversity both in situ and ex situ;</li> <li>(b) The integration of biological diversity objectives in relevant sectoral policies in order to achieve conservation and sustainable use of biological diversity;</li> <li>(c) The equitable sharing of benefits arising out of the use of genetic resources</li> </ul>
<b>Decision VII/28. Protected areas (Articles 8(a) to (e))</b>
Para. 11. <i>Calls</i> on Parties and development agencies to integrate within their development strategies (such as country assistance strategies, poverty reduction strategies and national development strategies) protected area objectives and reflect the contributions of protected areas to sustainable development, as a means to achieve the Millennium Development Goals, in particular Goal 7 on environmental sustainability
Para. 13. <i>Invites</i> Parties to consider options, in the context of implementing the programme of work, such as ecological networks, ecological corridors, buffer zones and other related approaches in order to follow up the WSSD Plan of Implementation and the conclusions of Inter-Sessional Meeting on the Multi-Year Programme of Work of the Conference of the Parties up to 2010
Para. 19. <u>Urges</u> Parties to achieve fully the goals and targets of the work programme while recognizing that

Parties should implement the activities of the programme of work on protected areas, as annexed to the present decision, in the context of their nationally determined priorities, capacities and needs

Para. 21.

*Urges* concerned Parties, individually and collectively, to take further steps in curbing the illegal exploitation and trade of resources, particularly from existing protected areas and from areas of ecological importance for biodiversity conservation

Para. 23.

*Urges* Parties to elaborate outcome-oriented targets for the extent, representativeness and effectiveness of their national systems of protected areas, taking into account the Strategic Plan of the Convention the Global Strategy for Plant Conservation, the Plan of Implementation of the World Summit on Sustainable Development and the Millennium Development Goals, as well as any targets adopted by the Conference of the Parties to facilitate monitoring of the progress towards achievement of the 2010 target

Para. 27.

*Invites* Parties, other Governments and relevant organizations to organize regional technical workshops to advance implementation of and assess the progress in implementation of the programme of work

Para. 30.

*Urges* Parties and *invites* other Governments, and relevant organizations to report to the Executive Secretary on implementation of this decision and the programme of work prior to each meeting of the Conference of the Parties until 2010.

Para. 31.

*Recognizes* the value of a single international classification system for protected areas and the benefit of providing information that is comparable across countries and regions and therefore *welcomes* the ongoing efforts of the IUCN World Commission on Protected Areas to refine the IUCN system of categories and *encourages* Parties, other Governments and relevant organizations to assign protected-area management categories to their protected areas, providing information consistent with the refined IUCN categories for reporting purposes

## **VI. Useful documents**

**Status and trends of, and threats to, protected areas (UNEP/CBD/SBSTTA/9/5)**

Report of the ad hoc technical expert group on protected areas (UNEP/CBD/SBSTTA/9/INF/3)

## **Chapter 8. Ecosystem Approach**

### **I. Mandate**

The Conference of the Parties to the Convention on Biological Diversity has adopted several decisions on ecosystem approach, and some of these decisions contain funding provisions.

<b>COP I</b>	
COP II	
<b>COP III</b>	
COP IV	
<b>COP V</b>	Decision V/6, paragraph 6
	<i>Recognizes</i> the need for support for capacity-building to implement the ecosystem approach, and <i>invites</i> Parties, Governments and relevant organizations to provide technical and financial support for this purpose
	Decision V/13, paragraph 2(a)
	The Global Environment Facility should provide support for projects utilizing the ecosystem approach, without prejudice to differing national needs and priorities which may require the application of approaches such as single-species conservation programmes, in accordance with decision V/6
<b>COP VI</b>	Decision VI/12, paragraph 3
	<i>Invites</i> Parties, other Governments and organizations to provide technical and financial resources for the organization of regional workshops to promote the exchange of experiences and regional, national and local capacity-building, and to enhance awareness
<b>COP VII</b>	Decision VII/11, paragraph 13
	<i>Invites</i> funding institutions and development agencies to provide financial support for the implementation of the ecosystem approach.
	Decision VII/11, annex I, paragraph 8
	The donor community, like Governments, while noting the value of the ecosystem approach in fostering better ecosystem stewardship, should also be encouraged to be flexible in promoting its application in setting priorities and funding decisions, to allow for other perspectives, and different capacities to respond to the principles.
	Decision VII/11, annex I, paragraph 15
	Capacity-building is also important for the success of the ecosystem approach. Adequate financial support and appropriate infrastructure support are important requirements to the success of an approach. So too is access to suitable expertise and the sharing of knowledge and experience. In undertaking the ecosystem approach it is useful to build from lessons learnt from other undertakings applying the ecosystem approach. Technology, including decision support tools and inventory systems, which have been developed in other applications of the ecosystem approach, may be transferable or can be adapted.
	Decision VII/20, paragraph 5

*Invites* the Global Environment Facility, in accordance with its mandate, and other funding institutions and development agencies to provide financial support for the implementation of the ecosystem approach, in accordance with decision VII/11

## II. Issues

According to Article 2 of the Convention, “‘Ecosystem’ means a dynamic complex of plant, animal and micro-organism communities and their non-living environment interacting as a functional unit”.

The ecosystem approach is a strategy for the integrated management of land, water and living resources that promotes conservation and sustainable use in an equitable way. Application of the ecosystem approach will help to reach a balance of the three objectives of the Convention. It is based on the application of appropriate scientific methodologies focused on levels of biological organization which encompass the essential processes, functions and interactions among organisms and their environment. It recognizes that humans, with their cultural diversity, are an integral component of ecosystems.

The COP decided that the ecosystem approach is the primary framework for action under the Convention.

## III. Background and Status

COP I	
COP II	At its second meeting, the COP decided that the ecosystem approach should be the primary framework of action to be taken under the Convention [ <i>decision II/8</i> ].
COP III	
COP IV	COP 4 noted the results of the Malawi workshop, and asked SBSTTA to develop principles and other guidance on the ecosystem approach, taking into consideration the results of the workshop [ <i>decision IV/1, B</i> ].
COP V	In decision V/6, the COP endorsed a description of the ecosystem approach, points of operational guidance, and recommended application of the principles as reflecting the present level of common understanding. It also encouraged further conceptual elaboration and practical verification.
COP VI	COP 6 noted that, in many countries, implementation of the ecosystem approach has been slow due to financial constraints [ <i>decision VI/12</i> ]. It also recognized the necessity to apply the ecosystem approach in national policies and legislation, and underlined the importance of developing regional guidelines to apply the ecosystem approach.

In decision VII/11, the COP agreed that the priority at this time should be on facilitating implementation of the ecosystem approach and welcomed implementation guidelines and annotations to rationale. It requested an analysis of the range of existing tools and approaches consistent with the Convention's ecosystem approach, as well as the development of a web-based "sourcebook" for the ecosystem approach, accessible through the clearinghouse mechanism, and which will include a database of case studies searchable by biome/ecoregion and sector.

#### IV. Principles of the ecosystem approach

The 12 principles of the ecosystem approach, adopted at COP-5 and elaborated at COP-7, are as follows:

- Principle 1: The objectives of management of land, water and living resources are a matter of societal choices.
- Principle 2: Management should be decentralized to the lowest appropriate level.
- Principle 3: Ecosystem managers should consider the effects (actual or potential) of their activities on adjacent and other ecosystems.
- Principle 4: Recognizing potential gains from management, there is usually a need to understand and manage the ecosystem in an economic context. Any such ecosystem-management programme should:
- a) Reduce those market distortions that adversely affect biological diversity;
  - b) Align incentives to promote biodiversity conservation and sustainable use;
  - c) Internalize costs and benefits in the given ecosystem to the extent feasible.
- Principle 5: Conservation of ecosystem structure and functioning, in order to maintain ecosystem services, should be a priority target of the ecosystem approach.
- Principle 6: Ecosystem must be managed within the limits of their functioning.
- Principle 7: The ecosystem approach should be undertaken at the appropriate spatial and temporal scales.
- Principle 8: Recognizing the varying temporal scales and lag-effects that characterize ecosystem processes, objectives for ecosystem management should be set for the long term.
- Principle 9: Management must recognize the change is inevitable.
- Principle 10: The ecosystem approach should seek the appropriate balance between, and integration of, conservation and use of biological diversity.
- Principle 11: The ecosystem approach should consider all forms of relevant information, including scientific and indigenous and local knowledge, innovations and practices.
- Principle 12: The ecosystem approach should involve all relevant sectors of society and scientific disciplines.

#### V. Funding needs

Financial constraints have resulted in a slow implementation of the ecosystem approach in many countries. Thus, the COP has repeated its request for financial support to the following national activities:

<b>Decision IV/1, B. Ecosystem approach</b>
<b>Decision V/6. Ecosystem approach</b>
Para 2. Calls upon Parties, other Governments, and international organizations to apply, as appropriate, the ecosystem approach, giving consideration to the principles and guidance contained in the

annex to the present decision, and to develop practical expressions of the approach for national policies and legislation and for appropriate implementation activities, with adaptation to local, national, and, as appropriate, regional conditions, in particular in the context of activities developed within the thematic areas of the Convention.

Para. 3.

Invites Parties, other Governments and relevant bodies to identify case-studies and implement pilot projects, and to organize, as appropriate, regional, national and local workshops, and consultations aiming to enhance awareness, share experiences, including through the clearing-house mechanism, and strengthen regional, national and local capacities on the ecosystem approach.

Para. 6.

Recognizes the need for support for capacity-building to implement the ecosystem approach, and invites Parties, Governments and relevant organizations to provide technical and financial support for this purpose.

Para. 7.

Encourages Parties and Governments to promote regional cooperation, for example through the establishment of joint declarations or memoranda of understanding in applying the ecosystem approach across national borders.

#### **Decision VI/12. Ecosystem approach**

Para. 1.

Urges Parties, other Governments and relevant organizations that have not done so to submit case-studies and lessons learned on the development and implementation of the ecosystem approach at the national and regional levels.

Para. 3.

Invites Parties, other Governments and organizations to provide technical and financial resources for the organization of regional workshops to promote the exchange of experiences and regional, national and local capacity-building, and to enhance awareness.

#### **Decision VII/11. Ecosystem approach**

Para. 3.

Welcomes the implementation guidelines and annotations to rationale as outlined in annex I to the present decision and calls on parties and other Governments to implement the ecosystem approach, keeping in mind that in applying the ecosystem approach, all principles need to be considered, with appropriate weight given to each, in accordance with local conditions, and keeping in mind also that the implementation of the ecosystem approach and all principles need to be considered as voluntary instruments and should be adapted to local conditions and implemented in accordance with national legislation.

Para. 10.

Recommends that Parties and other Governments, facilitate the full and effective participation of indigenous and local communities and other stakeholders and continue or start implementation of the ecosystem approach, including the implementation guidelines and annotations to the rationale as outlined in annex I to the present decision, and:

- (a) Provide feedback on their experiences to the Executive Secretary and to other Parties, including by submitting further annotated case-studies and lessons learned for dissemination through the clearing-house mechanism;
- (b) Provide technical input to the development and field testing of the "sourcebook";

- (c) Promote the application of the ecosystem approach in all sectors with potential impacts on biodiversity and ecosystems, as well as inter-sectoral integration;
- (d) Enhance and facilitate the sharing of experiences and expertise through approaches such as undertaking workshops to bring together experts and practitioners from different sectors and approaches;
- (e) Undertake focused activities and initiatives in partnership with indigenous and local communities and the private sector and other relevant stakeholders under various thematic programmes of work where applicable to deepen understanding and further application of the ecosystem approach;
- (f) Promote better understanding of the ecosystem approach through programmes of communication, education and public awareness.

Para. 14.

Invites the Executive Secretary, Parties and international organizations to initiate and facilitate as appropriate capacity-building, technology transfer, and awareness raising to assist implementation of the ecosystem approach. In addition, urges Parties to create an enabling environment for the implementation of the ecosystem approach, including through development of appropriate institutional frameworks.

## VI. Useful documents

### **Ecosystem approach: further conceptual elaboration (UNEP/CBD/SBSTTA/5/11)**

Report of the Workshop on the Ecosystem Approach (UNEP/CBD/COP/4/Inf. 9)

The ecosystem approach: towards its application to agricultural biodiversity (UNEP/CBD/COP/5/Inf. 11)

An ecosystem approach to the management of northern coniferous forests (UNEP/CBD/COP/3/Inf. 34)

Meeting on the further elaboration and guidelines for implementation of the ecosystem approach (UNEP/CBD/SBSTTA/9/INF/4)



## **Chapter 9. Identification, Monitoring and Global Taxonomy Initiative**

### **I. Mandate**

The Conference of the Parties to the Convention on Biological Diversity has adopted several decisions in respect of identification, monitoring and Global Taxonomy Initiative, and some of these decisions contain funding provisions.

<b>COP I</b>	<b>Decision I/2, annex I, paragraph 4(d)</b>
	Identification and monitoring of wild and domesticated biodiversity components, in particular those under threat, and implementation of measures for their conservation and sustainable use
<b>COP II</b>	<b>Decision II/6, paragraph 11</b>
	<i>Requests</i> the interim institutional structure to implement the relevant provisions of the following decisions: II/8 on preliminary consideration of components of biological diversity particularly under threat and action which could be taken under the Convention
	<b>Decision II/8, paragraph 5</b>
	<i>Emphasizes</i> the need for capacity-building as well as adequate financial resources for the implementation of the tasks identified in this decision
<b>COP III</b>	<b>Decision III/5, paragraph 2(b)</b>
	The Global Environment Facility shall provide financial resources for capacity-building, including taxonomy, to enable developing countries to develop and carry out an initial assessment for designing, implementing and monitoring programmes in accordance with Article 7, taking into account the special need of small island States (Note: The Conference of the Parties endorsed recommendation II/2 of the Subsidiary Body on Scientific, Technical and Technological Advice, concerning capacity-building for taxonomy)
	<b>Decision III/10, paragraph 10</b>
	<i>Requests</i> the institutional structure of the interim financial mechanism of the Convention to provide financial resources to developing countries in order to address the need for capacity-building, including taxonomy, to enable them to develop and carry out an initial assessment for designing, implementing and monitoring programmes in accordance with Article 7, taking into account the special need of small island States.
<b>COP IV</b>	<b>Decision IV/1, D, paragraph 1</b>
	<i>Acknowledges</i> the work already under way by the financial mechanism in response to decision III/10 of the Conference of the Parties, and <i>requests</i> the Global Environment Facility to report on these experiences at the fifth meeting of the Conference of the Parties
	<b>Decision IV/1, D, paragraph 9</b>
	<i>Stresses</i> the urgent need for adequate financial resources to implement a Global Taxonomy Initiative and requests the institutional structure of the financial mechanism of the Convention to provide financial resources, particularly to

	assist in implementing, through country-driven activities within the context of the operational programmes of the Global Environment Facility, the Suggestions for Action annexed to the present decision
	Decision IV/1, D, annex, paragraph 2
	Parties and authorities responsible for museums and herbaria should invest, on a long-term basis, in the development of appropriate infrastructure for their national collections. As part of that investment, donors, both bilateral and multilateral, in their commitment to the conservation and sustainable use of biological diversity in countries where they provide investment support, should support infrastructural needs of collection-holding institutions
	Decision IV/1, D, annex, paragraph 3
	Parties and international donors should encourage partnerships between institutions in developed and developing countries so as to promote scientific collaboration and infrastructure rationalization. Such collaboration should include the development of national, subregional, regional and global training initiatives. Taxonomic institutions in each nation, both individually and regionally, should develop national priorities in taxonomic training, infrastructure, new technology, capacity-building and market needs
	Decision IV/1, D, annex, paragraph 5
	Parties and international donors should provide training programmes at different educational levels, relevant to the needs of individual countries, including vocational, technical and academic training. Parties should also recognize that ongoing employment for trainees is part of an effective training scheme
	Decision IV/1, D, annex, paragraph 8
	Institutions, supported by Parties and international donors, should coordinate their efforts to establish and maintain effective mechanisms for the stable naming of biological taxa
	Decision IV/1, D, annex, paragraph 11
	In addition, Parties should: (a) Ensure that institutions responsible for biological diversity inventories and taxonomic activities are financially and administratively stable, so as to have potential for continued and growing training and employment opportunities; (d) Give special attention to international funding of fellowships for specialist training abroad or for attracting international experts to national or regional courses. Appropriate areas for funding should include conventional academic courses, expeditions, collaborative research projects, secondments, institutional partnerships, regional flora and fauna, internships and tutorial guidance
	Decision IV/13, paragraph 2
	The Global Environment Facility should provide financial resources for country-driven activities within the context of its operation programmes to participate in the Global Taxonomy Initiative which take into account as appropriate, elements of the Suggestions for Action contained in the annex to decision IV/1 D
COP V	Decision V/9, paragraph 6
	<i>Urges</i> eligible Parties and consortia of eligible Parties to seek resources for the above priority actions through the financial mechanism, and <i>requests</i> the financial mechanism to continue promoting awareness of the Global Taxonomy

	Initiative in its outreach activities, such as the Capacity Development Initiative and the Country Dialogue Workshops, and to investigate ways both within and outside its operational programme structure to facilitate capacity-building in taxonomy, and the implementation of the short-term activities referred to in the annex to the present decision.
	Decision V/13, paragraph 2(j)
	The Global Environment Facility should provide support to strengthen capabilities to develop monitoring programmes and suitable indicators for biological diversity, in accordance with decision V/7
	Decision V/13, paragraph 2(k)
	To continue promoting awareness of the Global Taxonomy Initiative in the relevant activities of the Global Environment Facility, such as the Country Dialogue Workshops, and to facilitate capacity-building in taxonomy, including in its Capacity Development Initiative
COP VI	Decision VI/8, annex, II, B, planned activity 1
	(vi) Financial, human resources and other capacity requirements National Governments will be required to fund this activity, potentially with additional support from donors.
	Decision VI/8, annex, II, B, planned activity 3
	(vi) Financial, human resources and other capacity requirements Funding should be sought for this activity from Parties and key intergovernmental and non-governmental science based institutions interested in this activity.
	Decision VI/8, annex, II, B, planned activity 5
	(vi) Financial, human resources and other capacity requirements The financial and human resources requirements of this activity are substantial. Funding needs may extend beyond possible contributions from individual Parties. However, through national and regional priority-setting, it will be possible to take a staged approach to undertaking the work required.
	Decision VI/8, annex, II, B, planned activity 6
	(vi) Financial, human resources and other capacity requirements Funding will be required to support the work programmes of the individual networks, but the countries themselves need to endorse the operations and specifically the human resource and institutional costs of maintaining, operating and developing such collaborative networks. These costs will depend on the status of each country's capacity and the scope of the work programmes. Such collaborative networks can be cost-saving mechanisms in certain taxonomic groups/areas because of the 'economies of scale' produced by the sharing of taxonomic capacity, and reduce the need for each country to attempt to build the needed capacity individually.
	Decision VI/8, annex, II, B, planned activity 7
	(vi) Financial, human resources and other capacity requirements Sources of funding need to be identified.
	Decision VI/8, annex, II, B, planned activity 8
	(vi) Financial, human resources and other capacity requirements These requirements will be country-dependent, and resource requirements and sources will vary.

	Decision VI/8, annex, II, B, planned activity 9
	(vi) Financial, human resources and other capacity requirements The IMO GloBallast programme could provide the appropriate resources for a pilot project involving six developing countries. Funding support is required for the three capacity-building workshops as well as appropriate infrastructure support for the mangrove invertebrate taxonomy and production of guides and ICRI work.
	Decision VI/8, annex, II, B, planned activity 12
	(vi) Financial, human resources and other capacity requirements All three elements require resources to be identified within existing and new projects, as well as additional resources to be made available to increase technical capacity in most countries of the world.
	Decision VI/8, annex, II, B, planned activity 14
	(vi) Financial, human resources and other capacity requirements Capacity-building of taxonomic institutions is a costly and ongoing matter, and strategic input to help conservation and sustainable use efforts significantly must be based on those areas where useful outcomes can be demonstrated in the short to medium term. It is to be hoped that demonstrating benefit may then lead to further investment in infrastructure support and development. New resources are needed to initiate activities, although existing resources within key organizations may be able to be mobilized for the development of an action plan.
	Decision VI/8, annex, II, B, planned activity 16
	(vi) Financial, human resources and other capacity requirements New resources are required to initiate this activity.
	Decision VI/17, paragraph 10(f)
	The Global Environment Facility should provide support for national and regional taxonomic capacity-building, as a basis for implementing the programme of work for the Global Taxonomy Initiative, with particular attention to funding country-driven pilot projects identified under the Global Taxonomy Initiative, taking into consideration the special needs of least developed countries and small island developing States
COP VII	Decision VII/8, paragraph 11
	<i>Recognizes</i> that the development and use of indicators, particularly in the development phase, requires a financial and technical commitment from Parties, and therefore <i>encourages</i> bi-lateral and multilateral funding agencies to assist developing countries, in particular the least developed and small island developing States among them, and countries with economies in transition through the provision of financial assistance and training, as required and as appropriate, to develop and implement effective biodiversity indicators
	Decision VII/8, paragraph 12
	<i>Acknowledges</i> that the project funded by the Global Environment Facility on biodiversity indicators in national use, might illustrate how each step proposed in the guidelines for indicator development contained in this document could be carried out in practice and thereby provides lessons on the practical development of biodiversity indicators
	Decision VII/9, paragraph 2
	<i>Invites</i> Parties, other Governments, regional and international organizations to

	take full account of the importance of taxonomic capacities in achieving the goals of the Convention, to support taxonomic activities to attain the 2010 target, and to provide all necessary support to national, and where appropriate regional , taxonomic centres of research and expertise; and <i>urges</i> Parties, other Governments and relevant funding organizations to provide adequate and timely support to developing countries to assist in the implementation of the Global Taxonomy Initiative, and for integrating taxonomic capacity-building activities into thematic and cross-cutting programmes, including supporting activities and projects, such as, where appropriate, stand alone capacity-building projects
	Decision VII/9, paragraph 5
	<i>Invites</i> developed country Parties to provide technical and financial support for the operations of the Coordination Mechanism of the Global Taxonomy Initiative
	Decision VII/9, paragraph 6
	<i>Requests</i> Parties to report on the status of implementation of the programme of work for the Global Taxonomy Initiative and further <i>invites</i> national and international, taxonomic institutions, funding organizations, financial agencies, and the financial mechanism of the Convention to contribute information on their relevant activities to the review of the Global Taxonomy Initiative for consideration by the Conference of the Parties at its eighth meeting
	Decision VII/20, paragraph 4
	<i>Recognizes</i> that the development and use of indicators, particularly in the development phase, requires a financial and technical commitment from Parties, and therefore <i>requests</i> the financial mechanism and <i>encourages</i> bilateral and multilateral funding agencies to assist developing countries, in particular the least developed and small island developing States among them, and countries with economies in transition through the provision of financial assistance and training, as required and as appropriate, to develop and implement effective biodiversity indicators
	Decision VII/20, paragraph 7
	<i>Invites</i> Parties, other Governments, regional and international organizations to take full account of the importance of taxonomic capacities in achieving the goals of the Convention, to support taxonomic activities to attain the 2010 target, and to provide all necessary support to national, and where appropriate regional , taxonomic centres of research and expertise; and <i>urges</i> the Parties, other Governments and the Global Environment Facility, in accordance with its mandate, and other relevant funding organizations to provide adequate and timely support to developing countries to assist in the implementation of the Global Taxonomy Initiative, and for integrating taxonomic capacity-building activities into thematic and cross-cutting programmes, including supporting activities and projects, such as, where appropriate, stand-alone capacity-building projects

## II. Issues

In considering article 7 (identification and monitoring) the COP has also addressed the issues of indicators and taxonomy.

Biodiversity indicators are information tools, summarizing data on complex environmental issues to indicate the overall status and trends of biodiversity. They can be used to assess national performance and to signal key issues to be addressed through policy interventions and other actions. The development of indicators is, therefore, important for monitoring the status and trends of biological diversity and, in turn, feeding back information on ways to continually improve the effectiveness of biodiversity management programmes.

Biodiversity indicators, when used to assess national performance, build a bridge between the fields of policy-making and science. Policy makers set the targets and measurable objectives, while scientists determine relevant variables of biodiversity, monitor current state and develop models to make projections of future biodiversity status. Once they are selected, indicators give direction to monitoring and research programmes.

Although a wide range of species and higher taxa have been proposed as indicators, very few satisfactory indicator species have yet been identified, chiefly, because each species responds to changes in its environment in a unique way.

While environmental indicator research for certain sectors (such as forestry) has made some progress, far less has been made in developing indicators for biological diversity. This is due, in part, to scientific uncertainty, such as poor understanding of ecosystem processes and functions, and a wide-range of policy-relevant issues that fall under the rubric of biological diversity at every biodiversity level, that is the landscape or ecosystem level, the species level and the genetic level.

The use of reliable indicators is essential to the development of measures designed to achieve the aims of the Convention, which are to ensure the conservation of biological diversity, the sustainable use of biological resources and the equitable sharing of the benefits of genetic resources. Indicators contributing to all three objectives will be required in order to track progress effectively.

The COP has also acknowledged the existence of a “taxonomic impediment” to the sound management of biodiversity and the fundamental role of taxonomy in identifying the components of biological diversity.

Taxonomy -- the science of naming and describing organisms and arranging them in classifications that reflect patterns of relationship, including the identification of types of plants, animals and micro-organisms of the world – is the tool by which the components of biological diversity, at the species level, are identified and enumerated, and it therefore, provides the basic knowledge underpinning efforts to implement the CBD.

The purpose of the Global Taxonomy Initiative (GTI) is to remove or reduce the taxonomic impediment – in other words, the knowledge gaps in our taxonomic system (including those associated with genetic systems), the shortage of trained taxonomists and curators, the shortage in collections and institutional capacities and the availability of

taxonomic information that hinder the implementation of the CBD. To reduce the impacts these deficiencies have on our ability to conserve, use and share benefits of our biological diversity, the GTI is specifically intended to support the implementation of the work programmes of the Convention on thematic and cross –cutting issues.

The COP has endorsed the programme of work of the GTI, recognizing the needs on capacity building as its implementation should occur on the basis of country-based projects at the national, regional, subregional and global initiatives. Furthermore, the COP has recognized the need for knowledge generation, north-south/south-south information exchange of through knowledge networks and the value of supporting and building on existing national, regional and sub-regional and global initiatives. Activities under GTI should show effective use of taxonomic information in the conservation and sustainable use of biological diversity.

### III. Background and Status

COP I	<b>COP 1 decided to consider options for implementing Article 7 and appraise SBSTTA’s review of assessment of biological diversity for the implementation of Article 25(2) and advice on methodologies for future assessments [<i>decision I/9</i>].</b>
COP II	At its second meeting the COP considered, in a preliminary fashion, components of biological diversity particularly under threat [ <i>decision II/8</i> ]. It stressed that it was essential to identify the driving forces determining the status and trends of components of biological diversity. In the context of assessing the effectiveness of measures taken under the Convention, the COP was of the view that “the use of indicators of biological diversity and the status of its components is particularly time- and cost-effective. Several indicators are currently being used and developed. They should be reviewed and their use promoted”. COP 2 also decided to address the issue of the lack of taxonomists who would be needed for the national implementation of the Convention.

COP III	<p>COP3 considered options for implementing Article 7 in its discussion on identification, monitoring and assessment [<i>decision III/10</i>]. It endorsed SBSTTA recommendation II/1 which dealt <i>inter alia</i> with the review and promotion of indicators of biological diversity and made a number of general observations on indicator development and use. The recommendation advocated a two-track approach to assessment and indicator development: in the short term assessment of reasonably well-known sectors and components of biological diversity should be carried, while at the same time longer-term programmes should be developed involving research and capacity building in areas needing advances in knowledge. Among the priority tasks identified in SBSTTA recommendation II/1 was the development of a core set of indicators for national reports and of indicators in thematic areas important to the Convention, particularly coastal and marine ecosystems, agricultural biological diversity, forests and freshwater ecosystems.</p> <p>COP3 also endorsed the resulting recommendation of SBSTTA (recommendation II/2), concerning practical approaches for capacity-building for taxonomy. It recommended that national institutions and regional and subregional networks be established or strengthened and linkages enhanced with taxonomic institutions in developing and developed countries. It emphasised the importance of training and noted that consideration should be given to information needs and capacity-building specifically for bio-prospecting, habitat conservation, sustainable agriculture and the sustainable use of biological resources, particularly in countries of origin.</p>
COP IV	<p>Discussion of Article 7 at COP4 was essentially confined to deliberations on SBSTTA's recommendations on indicators, assessments and monitoring [<i>decision IV/1, A, D</i>], which contains with current approaches to indicator development and recommendations for a preliminary core set of indicators of biological diversity, particularly those related to threats, and options for capacity building in developing countries in the application of guidelines and indicators for subsequent national reports. The SBSTTA recommendation stressed that the primary role of indicators in this context should be as a tool for management of biological diversity at local and national level and assessing the implementation of the Convention, but also recognized that they may have a wider role and further stressed that in future the development of regional and global indicators would be necessary to address specific aspects of the world's biological diversity. It noted that further work on indicators should take account on the development of the ecosystem approach. COP4 effectively launched the Global Taxonomy Initiative with eleven suggestions for action.</p>
COP V	<p>COP 5 reviewed the implementation of the work programme on indicators of biological diversity and decided to develop: (a) a set of principles for designing national-level monitoring programmes and indicators; (b) a key set of standard questions and list of available and potential indicators, covering the ecosystem, species and genetic levels, taking into account the ecosystem approach, that may be used by Parties at their national level and in national reporting and that also allow for regional and global overviews on the state and trends of biodiversity and, if possible and appropriate, any responses from policy measures [<i>decision V/7</i>]. COP5 also established a Global Taxonomy Initiative coordination mechanism to assist in the facilitation of international cooperation and coordinate activities under the Global Taxonomy Initiative in accordance with the terms of reference contained in the annex to decision V/9. In addition to the coordination mechanism, the Global Taxonomy Initiative consists of its National Focal Points, a series of regional meetings, a liaison group, and a group of experts and a roster of experts.</p>



COP VI	<p>In decision VI/7 B, the COP requested a report on the development and use of indicators in all thematic areas and cross-cutting issues, and decided on further work on: (a) Principles for developing national-level monitoring and indicators; (b) A set of standard questions for developing national-level indicators; and (c) A list of available and potential indicators based on a conceptual framework that has qualitative and quantitative approach. The COP also welcomed the outline for the assessment reports developed by the Millennium Ecosystems Assessment.</p> <p>In decision VI/8, the COP established the programme of work for the Global Taxonomy Initiative and emphasized the need to coordinate its implementation with existing national, regional, sub-regional and global initiatives, partnerships and institutions. Capacity building at the national and regional levels was identified as a driving force in implementing the programme of work..</p>
COP VII	<p>At its seventh meeting, the COP called Governments to participate actively in the relevant assessment processes [<i>decision VII/6</i>].</p> <p>COP-7 agreed that the indicator framework provides useful guidance for the development of national-level biodiversity indicators and monitoring, emphasizing the use of existing national data, indicators and evaluation methods in a participatory and accessible approach, and welcomed the ongoing efforts on the development of biodiversity indicators within the various thematic programmes and cross-cutting themes of the Convention [<i>decision VII/8</i>].</p> <p>In decision VII/9, the COP decided to support taxonomic activities to attain the 2010 target, and requested reports on the status of implementation of the programme of work for the Global Taxonomy Initiative.</p>

#### IV. The Programme of Work for the Global Taxonomy Initiative

The programme of work for the GTI adopted at COP 6 has been designed to focus on supplying the needed taxonomic knowledge to support the major work of the areas of the Convention, promoting technical cooperation and highlighting issues to ensure the ability of countries to implement the Convention. This programme of work focus on the following functions:

- (a) To contribute to the implementation of the Convention's Strategic Plan;
- (b) To set operational objectives with clear expected outputs and ways and means through which to achieve the set objectives;
- (c) To provide the rationale for the choice of the operational targets, with indications of opportunities for further elaboration of the programme of work; and
- (d) To serve as a guide to all biodiversity stakeholders on specific objectives to which they can contribute individually or collectively, at the local, national or international level.

The programme of work planned activities around 5 operational objectives:

1. Assess taxonomic needs and capacities at national, regional and global levels for the implementation of the Convention.
2. Provide focus to help build and maintain the human resources, systems and infrastructure needed to obtain, collate and curate the biological specimens that are the basis for taxonomic knowledge.

3. Facilitate an improved and effective infrastructure/system for access to taxonomic information; with priority on ensuring that countries of origin gain access to information concerning elements of their biodiversity.
4. Within the major thematic work programmes of the Convention include key taxonomic objectives to generate information needed for decision-making in conservation and sustainable use of biological diversity and its components.
5. Within the work on cross-cutting issues of the Convention, include key taxonomic objectives to generate information needed for decision-making in conservation and sustainable use of biological diversity and its components.

## V. Funding needs

The COP has adopted a wide range of activities which should be undertaken at national levels, for which the COP has also called for financial support from funding agencies/organizations:

<b>Decision II/8. Preliminary consideration of components of biological diversity particularly under threat and action which could be taken under the Convention</b>
<b>Decision III/10. Identification, monitoring and assessment</b>
<p>Para. 1.  <u>Urges</u> Parties to identify indicators of biological diversity and to develop innovative methods of implementing Article 7 as a high priority, in particular commending the value of rapid biological diversity assessment approaches as an efficient and cost-effective way of assessing biological diversity and identifying priorities for action, and recognizing also the role of remote sensing as a useful tool for monitoring ...</p> <p>Para. 4.  <u>Recommends</u> that Parties consider a step-by-step approach to the implementation of Article 7, paying attention to the indicative list of categories of important components of biological diversity set out in Annex I of the Convention, beginning with the rapid implementation of Article 7 (a) and the first part of Article 7 (c), concerning identification of important components of biological diversity and the processes and categories of activities which have or are likely to have significant adverse impacts on biological diversity ...</p> <p>Para. 6.  <u>Calls on</u> Parties to cooperate on a voluntary pilot project to demonstrate the use of successful assessment and indicator methodologies;</p> <p>Para. 7.  <u>Also calls on</u> Parties to prepare, where appropriate, reports on experiences on the application of assessment methodologies and results from assessments and to disseminate these reports by appropriate mechanisms such as the clearing-house mechanism</p>
<b>Decision IV/1. Report and recommendations of the third meeting of the Subsidiary Body on Scientific, Technical and Technological Advice, and instructions by the Conference of the Parties to the Subsidiary Body on Scientific, Technical and Technological Advice</b>
<p><u>D. Global Taxonomy Initiative</u></p> <p>Para. 6.  <u>Encourages</u> Governments to make available appropriate resources to enhance the availability of taxonomic information;</p>

Para. 7.

Encourages Governments to develop bilateral and multilateral training and employment opportunities for taxonomists, particularly for those dealing with poorly known organisms.

Annex: Suggestions for action

Para. 2.

Parties and authorities responsible for museums and herbaria should invest, on a long-term basis, in the development of appropriate infrastructure for their national collections. As part of that investment, donors, both bilateral and multilateral, in their commitment to the conservation and sustainable use of biological diversity in countries where they provide investment support, should support infrastructural needs of collection-holding institutions.

Para. 3.

Parties and international donors should encourage partnerships between institutions in developed and developing countries so as to promote scientific collaboration and infrastructure rationalization. Such collaboration should include the development of national, subregional, regional and global training initiatives. Taxonomic institutions in each nation, both individually and regionally, should develop national priorities in taxonomic training, infrastructure, new technology, capacity-building and market needs.

Para. 4.

Parties and authorities should adopt internationally agreed levels of collection housing (climate control, fire protection systems, pest control, acceptable levels of workplace health and safety) that ensure protection of collections and the well-being of all people working on and accessing collections.

Para. 5.

Parties and international donors should provide training programmes at different educational levels, relevant to the needs of individual countries, including vocational, technical and academic training. Parties should also recognize that ongoing employment for trainees is part of an effective training scheme.

Para. 6.

Parties and authorities should utilize information systems to maximum effect in taxonomic institutions. In developing priority-setting criteria for information products, taxonomic institutions should consider the needs of the wide range of users of that information, including biological diversity managers. In particular, taxonomic information, literature and checklists should be put into electronic form.

Para. 7.

Parties to the Convention on Biological Diversity should report on measures adopted to strengthen national capacity in taxonomy, to designate national reference centres, and to make information housed in collections available to countries of origin.

Para. 8.

Institutions, supported by Parties and international donors, should coordinate their efforts to establish and maintain effective mechanisms for the stable naming of biological taxa.

Para. 9.

Governments members of the Organization for Economic Cooperation and Development (OECD) should endorse and support the recommendations from the OECD Megascience Forum's Biodiversity Informatics Subgroup, regarding the development of a Global Biodiversity Informatics Facility (GBIF) to allow people in all countries to share biological diversity information and to provide access to critical authority files...

Para. 11.

In addition, Parties should:

- (a) Ensure that institutions responsible for biological diversity inventories and taxonomic activities are financially and administratively stable, so as to have potential for continued and growing training and employment opportunities;
- (b) Assist institutions to establish consortia to conduct regional projects;
- (c) Select or use centres of expertise at different geographical levels, capable of offering training programmes individually or in combination, where such centres include universities, museums, herbaria, botanical and zoological gardens, research institutes and international or regional organizations;
- (d) Give special attention to international funding of fellowships for specialist training abroad or for attracting international experts to national or regional courses. Appropriate areas for funding should include conventional academic courses, expeditions, collaborative research projects, secondments, institutional partnerships, regional flora and fauna, internships and tutorial guidance;
- (e) Provide programmes for re-training of qualified professionals moving into taxonomy-related fields;
- (f) Adapt training methods to the particular technical or academic backgrounds and experience of candidates. Content of courses should respond to external user demands and modern needs, taking into account cost-effectiveness in their delivery;
- (g) Ensure training programmes address gaps in knowledge and the need for specialists in given taxonomic groups, and offer a comprehensive view of biological-diversity issues, including new scientific/technological approaches to taxonomy (e.g. molecular biology/informatics);
- (h) Provide business management training, of the nature commonly offered to private-sector executives, for managers of biological-diversity institutions, as part of other efforts to strengthen those organizations;
- (i) Develop and maintain a register of practising taxonomists, areas of expertise and description of collections through electronic and other means, which should be available on the Internet;
- (j) Hold workshops to determine national taxonomic priorities, in the context of national biological-diversity studies and action plans. Once national priorities have been identified, support development of regional taxonomic priorities, including plans to database collections using mutually agreed software, quality control and core-data requirements.

**Decision V/7. Identification, monitoring and assessment, and indicators**

Para. 2.

Encourages Parties and Governments to establish or increase regional cooperation in the field of indicators, monitoring and assessment and invites the Executive Secretary to establish a process through which the documents mentioned above are reviewed and broadly discussed at regional workshops on the basis of case-studies submitted by Parties, Governments and relevant organizations

Para. 4.

Invites Parties, Governments and organizations to undertake appropriate actions to assist other Parties (particularly developing countries) to increase their capacity to develop and use indicators. Appropriate actions may include:

- (a) Provision of training;
- (b) Assisting in the development of national networks;
- (c) Sharing experiences between and among countries, regions and organizations involved in the development and use of indicators.

**Decision V/9. Global Taxonomy Initiative: Implementation and further advance of the suggestions for action**

Para. 2.

Urges Parties, Governments and relevant organizations to undertake the following priority activities to further the Global Taxonomy Initiative:

- (a) The identification of national and regional priority taxonomic information requirements;
- (b) Assessments of national taxonomic capacity to identify and, where possible, quantify national and regional-level taxonomic impediments and needs, including the identification of taxonomic tools, facilities and services required at all levels, and mechanisms to establish, support and maintain such tools, facilities and services;
- (c) Establishment or consolidation of regional and national taxonomic reference centres;
- (d) The building of taxonomic capacity, in particular in developing countries, including through partnerships between national, regional and international taxonomic reference centres, and through information networks;
- (e) Communication to the Executive Secretary and Global Taxonomy Initiative coordination mechanism, by 31 December 2001, of suitable programmes, projects and initiatives for consideration as pilot projects under the Global Taxonomy Initiative.

Para. 4.

Requests all Parties and Governments to designate a national Global Taxonomy Initiative focal point by 31 December 2000, linked to other national focal points, and participate in the development of regional networks to facilitate information-sharing for the Global Taxonomy Initiative

Para. 6.

Urges eligible Parties and consortia of eligible Parties to seek resources for the above priority actions through the financial mechanism

**Decision VI/7. Identification, monitoring, indicators and assessments**

B. Designing national-level monitoring programmes and indicators

Para. 2.

Urges Parties that have yet not done so to respond to the questionnaire on the subject of indicators that was sent by the Executive Secretary in May 2001 so as to enable the Executive Secretary to update the analysis

**Decision VI/8. Global Taxonomy Initiative**

Para. 2.

Urges Parties, Governments, international and regional organizations, and other relevant organizations to promote, and, as appropriate, carry out, the programme of work ...

Para. 6.

Requests all Parties and other Governments to:

(a) Designate a national focal point for the Global Taxonomy Initiative, linked to other national focal points, as requested in decision V/9, paragraph 4;

(b) Provide updated information, through the clearing-house mechanism, about legal requirements for exchange of biological specimens and about current legislation and rules for access and benefit-sharing in terms of the needs of the Global Taxonomy Initiative;

(c) Initiate the setting up of national and regional networks to aid the Parties in their taxonomic needs in implementing the Convention on Biological Diversity

**Decision VII/6. Assessment process**

Para. 1

Urges Parties and other Governments to participate actively in the relevant review processes under the Global Forest Resources Assessment and the Millennium Ecosystem Assessment, as required

**Decision VII/8. Monitoring and indicators: designing national-level monitoring programmes and indicators**

Para. 8.

Urges all Parties that have not done so to develop a set of biodiversity indicators as part of their national strategies and action plans, taking into account, as appropriate, the targets of the Global Strategy for Plant Conservation and the target to achieve by 2010 a significant reduction in the current rate of biodiversity loss at the global, regional and national level, as well as the guidance, lessons learned and list of indicators provided in the note by the Executive Secretary prepared for the ninth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice (UNEP/CBD/SBSTTA/9/10) document, and to report on progress to the Conference of the Parties at its eighth meeting;

Para. 9.

Invites Parties, other Governments and relevant organizations to make use of biodiversity indicators in their assessment of biodiversity, in particular in their assessment of progress towards the achievement of globally agreed targets such as those of the Global Strategy for Plant Conservation, the Strategic Plan of the Convention, the Plan of Implementation of the World Summit on Sustainable Development and the Millennium Development Goals;

Para. 13.

Encourages Parties to share experience in the development and use of indicators and monitoring and to cooperate and promote, where useful, harmonized procedures and formats for data acquisition, computation and reporting, especially at subregional and regional levels;

**Decision VII/9. Global Taxonomy Initiative**

Para. 2.

Invites Parties, other Governments, regional and international organizations to take full account of the importance of taxonomic capacities in achieving the goals of the Convention, to support taxonomic activities to attain the 2010 target, and to provide all necessary support to national, and where appropriate regional, taxonomic centres of research and expertise; and urges Parties, other Governments and relevant funding organizations to provide adequate and timely support to developing countries to assist in the implementation of the Global Taxonomy Initiative, and for integrating taxonomic capacity-building activities into thematic and cross-cutting programmes, including supporting activities and projects, such as, where appropriate, stand alone capacity-building projects.

Para. 3.

Invites Parties to appoint national focal points for the Global Taxonomy Initiative as called for in decision V/9, and urges all Parties to ensure that those focal points work with their taxonomic communities taking into account the programme of work for the Global Taxonomy Initiative

Para. 4.

Requests Parties to appropriately include and give full support to the taxonomic work needed to accomplish the thematic and cross-cutting programmes of work and activities under the Convention

Para. 6.

Requests Parties to report on the status of implementation of the programme of work for the Global Taxonomy Initiative and further invites national and international, taxonomic institutions, funding organizations, financial agencies, and the financial mechanism of the Convention to contribute information on their relevant activities to the review of the Global Taxonomy Initiative for consideration by the Conference of the Parties at its eighth meeting

## VI. Useful documents

### **Assessments of biological diversity and methodologies for future assessments (UNEP/CBD/COP/3/13)**

Review and promotion of indicators of biological diversity (UNEP/CBD/SBSTTA/2/4)

Practical approaches for capacity building for taxonomy (UNEP/CBD/SBSTTA/2/5)

Review of the Global Taxonomy Initiative (UNEP/CBD/SBSTTA/5/4)

Monitoring and indicators: Designing national-level monitoring programmes and indicators (UNEP/CBD/SBSTTA/9/10)

Proposed biodiversity indicators relevant to the 2010 target (UNEP/CBD/SBSTTA/9/INF/26)

Using existing processes as building blocks in reporting on the 2010 target (UNEP/CBD/SBSTTA/9/INF/27)

Provisional global indicators for assessing progress towards the 2010 biodiversity target (UNEP/CBD/COP/7/INF/33)

## **Chapter 10. Global Strategy for Plant Conservation**

### **I. Mandate**

The Conference of the Parties to the Convention on Biological Diversity has adopted several decisions on the Global Strategy for Plant Conservation, and some of these decisions contain funding provisions.

<b>COP I</b>	
COP II	
<b>COP III</b>	
COP IV	
<b>COP V</b>	
COP VI	Decision VI/9, paragraph 7
	<i>Invites</i> Parties, other Governments, the financial mechanism, and funding organizations to provide adequate and timely support to the implementation of the strategy, especially by developing country Parties, in particular the least developed countries and small island developing States among them, and Parties with economies in transition
	Decision VI/17, paragraph 10(d)
	The Global Environment Facility should provide financial support for country-driven capacity-building activities by developing country Parties, in particular, least developed countries and Small Island developing States among them, for the implementation of the Global Strategy for Plant Conservation
<b>COP VII</b>	

### **II. Issues**

Plants are universally recognized as a vital part of the world's biological diversity and an essential resource for the planet. In addition to the small number of crop plants used for basic food and fibres, many thousands of wild plants have great economic and cultural importance and potential, providing food, medicine, fuel, clothing and shelter for vast numbers of people throughout the world. Plants play a key role in maintaining the planet's basic environmental balance and ecosystem stability and provide an important component of the habitats for the world's animal life.

At present, a complete inventory of the plants of the world has not been assembled, but it is estimated that the total number of vascular plant species may be of the order of 300,000. Of particular concern is the fact that many are in danger of extinction, threatened by habitat transformation, over-exploitation, alien invasive species, pollution and climate change. The disappearance of such vital and large amounts of biodiversity sets one of the greatest challenges for the world community: to halt the destruction of the plant diversity that is so essential to meet the present and future needs of humankind.

### **III. Background and Status**



<b>COP I</b>	
<b>COP II</b>	
<b>COP III</b>	
<b>COP IV</b>	
<b>COP V</b>	The Global Strategy for Plant Conservation was proposed in the Gran Canaria Declaration due to the recognition that the Convention on Biological Diversity is a leading international convention for the conservation and sustainable use of biodiversity. In deciding to consider the establishment of a global strategy for plant conservation, COP 5 also took note of the resolution of the XVI International Botanical Congress, and took into account the International Agenda for Botanic Gardens in Conservation, the Global Invasive Species Programme, and the Plants Programme of the IUCN Species Survival Commission [ <i>decision V/10</i> ].
<b>COP VI</b>	COP 6 adopted the Global Strategy for Plant Conservation, including outcome-oriented global targets for 2010, and stressed the potential role of the strategy in contributing to poverty alleviation and sustainable development [ <i>decision VI/9</i> ]. It decided to review the progress made in reaching the global targets at its eighth and tenth meetings.
<b>COP VII</b>	In decision VII/10, the COP welcomed the establishment of the global partnership for plant conservation as well as of a flexible coordination mechanism for the Strategy, and provided further guidance on the implementation of the Strategy.

#### IV. The Global Strategy for Plant Conservation

The Global Strategy for Plant Conservation, adopted at COP-6, aims to halt the current and continuing loss of plant diversity. It sets out the following global targets for the year 2010:

- (a). Understanding and documenting plant diversity:
  - (i) A widely accessible working list of known plant species, as a step towards a complete world flora;
  - (ii) A preliminary assessment of the conservation status of all known plant species, at national, regional and international levels;
  - (iii) Development of models with protocols for plant conservation and sustainable use, based on research and practical experience;
- (b) Conserving plant diversity:
  - (iv) At least 10 per cent of each of the world's ecological regions effectively conserved;
  - (v) Protection of 50 per cent of the most important areas for plant diversity assured;
  - (vi) At least 30 per cent of production lands managed consistent with the conservation of plant diversity;
  - (vii) 60 per cent of the world's threatened species conserved in situ;
  - (viii) 60 per cent of threatened plant species in accessible *ex situ* collections, preferably in the country of origin, and 10 per cent of them included in recovery and restoration programmes;
  - (ix) 70 per cent of the genetic diversity of crops and other major socio-economically valuable plant species conserved, and associated indigenous and local knowledge maintained;

- (x) Management plans in place for at least 100 major alien species that threaten plants, plant communities and associated habitats and ecosystems;
- (c) Using plant diversity sustainably:
  - (xi) No species of wild flora endangered by international trade;
  - (xii) 30 per cent of plant-based products derived from sources that are sustainably managed;
  - (xiii) The decline of plant resources, and associated indigenous and local knowledge, innovations and practices that support sustainable livelihoods, local food security and health care, halted;
- (d) Promoting education and awareness about plant diversity:
  - (xiv) The importance of plant diversity and the need for its conservation incorporated into communication, educational and public-awareness programmes;
- (e) Building capacity for the conservation of plant diversity:
  - (xv) The number of trained people working with appropriate facilities in plant conservation increased, according to national needs, to achieve the targets of this Strategy;
  - (xvi) Networks for plant conservation activities established or strengthened at national, regional and international levels.

## V. Funding needs

The COP invited funding agencies/organizations to support the implementation of the global strategy for plant conservation at country level:

<b>Decision V/10. Global Strategy for Plant Conservation</b>
<b>Decision VI/9. Global Strategy for Plant Conservation</b>
<p>Para. 2.  <u>Invites</u> Parties and Governments to develop national and/or regional targets, and, as appropriate, to incorporate them into relevant plans, programmes and initiatives, including national biodiversity strategies and action plans</p> <p>Para. 7.  <u>Invites</u> Parties, other Governments, the financial mechanism, and funding organizations to provide adequate and timely support to the implementation of the strategy, especially by developing country Parties, in particular the least developed countries and small island developing States among them, and Parties with economies in transition</p>
<b>Decision VII/10. Global Strategy for Plant Conservation</b>

## VI. Useful documents

**An analysis of opportunities for the implementation of the Global Strategy for Plant Conservation through the thematic and cross-cutting programmes of work of the Convention on Biological Diversity (UNEP/CBD/GSPC/1/3)**

Review of existing nationally-based initiatives that can contribute to the implementation of a Global Strategy for Plant Conservation at national levels (UNEP/CBD/GSPC/1/4)

Draft matrix of activities relevant to the 16 draft GSPC targets under existing international initiatives (UNEP/CBD/GSPC/1/5)

Global Strategy for Plant Conservation: Technical review of the targets and analysis of opportunities for their implementation: Report of the meeting of technical experts on the global plant conservation strategy, Gran Canaria, 11-13 february 2002 (UNEP/CBD/COP/6/INF/21)

## **Chapter 11. Invasive Alien Species**

### **I. Mandate**

The Conference of the Parties to the Convention on Biological Diversity has adopted several decisions on invasive alien species, and some of these decisions contain funding provisions.

<b>COP I</b>	
COP II	
COP III	
COP IV	Decision IV/1, C, paragraph 3
	<i>Invites</i> Parties to develop country-driven projects at national, regional, subregional and international levels to address the issue of alien species and, and <i>requests</i> the financial mechanism to provide adequate and timely support for those projects
	Decision IV/13, paragraph 1
	The Global Environment Facility should provide adequate and timely support for country-driven projects at national, regional and subregional levels addressing the issue of alien species in accordance with decision IV/1 C
COP V	Decision V/8, paragraph 17
	<i>Invites</i> the Global Environment Facility, Parties, Governments and funding organizations to provide adequate and timely support to enable the Global Invasive Species Programme to fulfil the tasks outlined in the present decision
	Decision V/13, paragraph 2(m)
	The Global Environment Facility should provide support for activities to implement the Global Invasive Species Programme, in accordance with decision V/8
COP VI	Decision VI/17, paragraph 10(k)
	The Global Environment Facility should provide support, as a priority, for projects that assist with the development and implementation, at national and regional levels, of the invasive alien species strategies and action plans called for in paragraph 6 of decision V/8, in particular those strategies and actions related to geographically and evolutionarily isolated ecosystems, paying particular attention to the needs of least developed countries and small island developing States, including needs related to capacity-building
	Decision VI/23, paragraph 17
	<i>Invites</i> international organizations to develop financial and other measures for the promotion of activities aiming to reduce the harmful effects of invasive alien species
	Decision VI/23, paragraph 19
	<i>Endorses</i> the international cooperative initiative on invasive alien species on islands, developed by the Government of the New Zealand, the Invasive Species Specialist Group, and the Global Invasive Species Programme, and calls on the Global Environment Facility, Parties, Governments and relevant

	organizations to support and participate in these initiatives
	Decision VI/23, paragraph 22
	Also <i>welcomes</i> the "I3N" (Inter-American Biodiversity Information Network (IABIN) Invasives Information Network) initiative on invasive alien species, and <i>calls on</i> the Global Environment Facility, Parties, Governments and relevant organizations to support and participate in these initiatives
	Decision VI/23, paragraph 34
	<i>Urges</i> bilateral donors and other funding sources to provide, as an urgent priority funding for the development and implementation, at national and regional levels, of the invasive alien species strategies and action plans called for in paragraph 6 of decision V/8 and with a particular priority for those strategies and actions related to geographically and evolutionarily isolated ecosystems, and to developing countries and countries with economies in transition, paying particular attention to the needs of the least developed countries and small island developing States, including needs related to capacity-building
COP VII	Decision VII/13 paragraph 6
	<i>Invites</i> relevant Parties to the Convention on Biological Diversity and other Governments, as well as national, regional and international organizations to: (d) Allocate, as appropriate, adequate financial resources to developing countries, in particular the least develop countries and small island developing States among them, and countries with economies in transition, and to build capacity for effective mitigation, border control and quarantine measures with a view to improve synergies with policies relating to trade, food security, human health and environmental protection, scientific research and exchange of information
	Decision VII/13, paragraph 13
	<i>Invites</i> funding institutions and development agencies to provide financial support to developing countries, in particular the least develop countries and small island developing States among them, and countries with economies in transition, to assist in the improved prevention, rapid response and management measures to address threats of alien invasive species.
	Decision VII/20, paragraph 9
	<i>Invites</i> the Global Environment Facility, in accordance with its mandate, other funding institutions and development agencies to provide financial support to developing countries, in particular the least develop countries and small island developing States among them, and countries with economies in transition, to assist in the improved prevention, rapid response and management measures to address threats of alien invasive species

## II. Issues

Invasive alien species are species introduced deliberately or unintentionally outside their natural habitats where they have the ability to establish themselves, invade, outcompete natives and take over the new environments. They are widespread in the world and are found in all categories of living organisms and all types of ecosystems. However, plants, mammals and insects comprise the most common types of invasive alien species in terrestrial environments.

The threat to biodiversity due to invasive alien species is considered second only to that of habitat loss. They are thus a serious impediment to conservation and sustainable use of global, regional and local biodiversity, with significant undesirable impacts on the goods and services provided by ecosystems.

Biological invasions operates now on a global scale and will undergo rapid increase in this century due to interactions with other global changes such as increasing globalization of markets, explosive rises in global trade, travel, tourism, and exchange of goods.

Invasive alien species can cause significant irreversible environmental and socio-economic impact at the genetic, species and ecosystem levels. Their management costs include not only costs of prevention, control and mitigation, but also indirect costs due to impacts on ecological services.

Environmental and socio-economic impacts of harmful invasive alien species are already being felt: Philippine rice farmers have lost nearly US\$1 billion in crops to the invasive golden apple snail. Alien water weeds, like water hyacinth and water lettuce (*Eichornia crassipes*, *Pistia* spp.), are a global problem; African nations alone spend an estimated US\$60 million annually on their control. International trade has introduced the Asian tiger mosquito - which carries dengue fever- to the Americas and Africa, and has spread life-threatening bacteria *Escherichia coli* in meat exports.

There is an urgent need to address the impact of invasive alien species. Eradication, control, mitigation of their impacts combined with legislation and guidelines at national, regional and international levels are some of the ways that the Convention is addressing the issue.

### III. Background and Status

COP I	
COP II	
COP III	While considering the implementation of Articles 6 and 8 of the Convention, COP-3 first addressed alien species that threaten ecosystems, habitats or species [ <i>decision III/9, paragraphs 9 and 10</i> ]
COP IV	In decision IV/1 C, the COP decided that alien species were a cross-cutting issue within the Convention. COP 4 decided to develop guiding principles for the prevention, introduction and mitigation of impacts of alien species, and identify the priority work pertinent to the issues of alien species in geographically and evolutionarily isolated ecosystems. It also decided to consider alien species as one of three priority issues for COP 6 [ <i>decision IV/16</i> ].
COP V	COP 5 adopted the interim guiding principles for the prevention, introduction and mitigation of impacts of alien species, and urged Parties, Governments and relevant organizations to apply the guiding principles on an interim basis, noting that the definition of many of the terms was not yet settled. It also called for case studies to be submitted. COP 5 decided that it would consider at COP 6 further options for implementing Article 8 (h), including the possibility of developing an international instrument [ <i>decision V/8</i> ].

COP VI	At its sixth meeting, the COP adopted 15 guiding principles for the prevention, introduction and mitigation of impacts of invasive alien species and a number of decisions for the full and effective implementation of Article 8(h) of the Convention. The COP reaffirmed the importance of national and regional invasive alien species strategies and action plans, and of international collaboration to address the threats to biodiversity of invasive alien species and the need for funding as a priority to implement invasive alien species strategies. The COP acknowledged the contribution to the implementation of Article 8(h) of existing international instruments but noted that there were gaps and inconsistencies in the international regulatory framework from the perspective of the threats of invasive alien species to biological diversity. Therefore, the COP invited relevant international organizations to consider incorporating criteria related to those threats as they elaborate or review standards and agreements, including risk assessment/analysis [ <i>decision VI/23</i> ].
COP VII	In decision VII/13, the COP decided to strengthen the institutional coordination at international, regional and national levels on invasive alien species, and to address specific gaps in the international regulatory frameworks with regard to the potential pathways.

#### **IV. Guiding principles for the prevention, introduction and mitigation of impacts of alien species that threaten ecosystems, habitats or species**

The guiding principles provide guidance for developing effective strategies to minimize the spread and impact of invasive alien species, and give governments clear direction and a set of goals to aim toward. The extent to which these Guiding Principles can be implemented ultimately depends on available resources. Their purpose is to assist governments to combat invasive alien species as an integral component of conservation and economic development. Because these 15 principles are non-binding, they can be more readily amended and expanded through the Convention on Biological Diversity's processes as we learn more about this problem and its effective solutions.

While applying these Guiding Principles, due consideration must be given to the fact that ecosystems are dynamic over time and so the natural distribution of species might vary without involvement of a human agent.

##### **A. General**

- Guiding principle 1: Precautionary approach
- Guiding principle 2: Three-stage hierarchical approach
- Guiding principle 3: Ecosystem approach
- Guiding principle 4: The role of States
- Guiding principle 5: Research and monitoring
- Guiding principle 6: Education and public awareness

##### **B. Prevention**

- Guiding principle 7: Border control and quarantine measures
- Guiding principle 8: Exchange of information
- Guiding principle 9: Cooperation, including capacity-building

##### **C. Introduction of species**

- Guiding principle 10: Intentional introduction
- Guiding principle 11: Unintentional introductions

#### D. Mitigation of impacts

Guiding principle 12: Mitigation of impacts

Guiding principle 13: Eradication

Guiding principle 14: Containment

Guiding principle 15: Control

#### V. Funding needs

The following country-level action identified by the COP might require financial support from funding agencies/organizations:

<b>Decision IV/1 C. Alien species that threaten ecosystems, habitats or species</b>
<p>Para. 3. <u>Invites</u> Parties to develop country driven projects at national, regional, subregional and international levels to address the issue of alien species and <u>requests</u> the financial mechanism to provide adequate and timely support for those projects;</p> <p>Para. 4. <u>Invites</u> the Parties to address the issue of alien species for the conservation and sustainable use of biological diversity and to incorporate such activities into their national strategies, programmes and action plans.</p>
<b>Decision V/8. Alien species that threaten ecosystems, habitats or species</b>
<p>Para. 1. <u>Urges</u> Parties, Governments and relevant organizations to apply the interim guiding principles contained in annex I to the present decision, as appropriate, in the context of activities aimed at implementing Article 8(h) of the Convention on Biological Diversity, and in the various sectors</p> <p>Para. 3. <u>Urges</u> Parties, Governments and relevant organizations to submit case-studies to the Executive Secretary, particularly focusing on thematic assessments, on the basis of the outline contained in the annex to the present decision</p> <p>Para. 6. <u>Urges</u> Parties, other Governments and relevant bodies to give priority to the development and implementation of alien invasive species strategies and action plans</p> <p>Para. 7. <u>Strongly encourages</u> Parties to develop mechanisms for transboundary cooperation and regional and multilateral cooperation in order to deal with the issue, including the exchange of best practices</p> <p>Para. 8. <u>Urges</u> Parties, other Governments and relevant bodies, such as the Global Invasive Species Programme, in their work on alien invasive species, to give priority attention to geographically and evolutionarily isolated ecosystems, and to use the ecosystem approach and precautionary and biogeographical approaches, as appropriate</p> <p>Para. 9. <u>Encourages</u> Parties to develop effective education, training and public-awareness measures, as</p>



well as to inform the public about the different aspects of the issue, including the risks posed by alien invasive species

Para. 12.

Invites the Parties, Governments, the Global Invasive Species Programme and other relevant bodies, to disseminate publicly available information which they hold or acquire, including databases of alien species, through the Convention's clearing-house mechanism

Para. 17.

Invites the Global Environment Facility, Parties, Governments and funding organizations to provide adequate and timely support to enable the Global Invasive Species Programme to fulfil the tasks outlined in the present decision.

#### **Decision VI/23. Alien species that threaten ecosystems, habitats or species**

Para. 5.

Urges Parties, other Governments and relevant organizations to promote and implement the Guiding Principles

Para. 6.

Recommends that Parties to the Convention on Biological Diversity and other Governments, as appropriate, consider ratifying the revised International Plant Protection Convention, and calls on Parties, Governments, and relevant organizations to actively work to enhance the implementation of the International Plant Protection Convention

Para. 10.

Urges Parties and other Governments, in implementing the Guiding Principles, and when developing, revising and implementing national biodiversity strategies and action plans to address the threats posed by invasive alien species, to:

- (a) Identify national needs and priorities;
- (b) Create mechanisms to coordinate national programmes;
- (c) Review, in the light of the Guiding Principles, relevant policies, legislation and institutions to identify gaps, inconsistencies and conflicts, and, as appropriate, adjust or develop policies, legislation and institutions;
- (d) Enhance cooperation between the various sectors, including the private sector that might provide pathways or vectors for the unintended transfer of invasive alien species, in order to improve prevention, early detection, eradication and/or control of invasive alien species, and in particular, ensure communication between focal points of respective relevant international instruments;
- (e) Promote awareness of the threats to biological diversity and related ecosystem goods and services posed by invasive alien species and of the means to address such threats, among policy makers at all levels of government, and in the private sector; quarantine, customs and other border officials; and the general public;
- (f) Facilitate the involvement of all stakeholder groups, including in particular indigenous and local communities, and the private sector, as well as all levels of government, in national invasive alien species strategies and action plans, and in decisions related to the use of alien species that may be invasive;
- (g) Collaborate with trading partners and neighbouring countries, regionally, and with other countries, as appropriate, in order to address threats of invasive alien species to biological diversity in ecosystems that cross international boundaries, to migratory species, and to

address matters of common interest.

Para. 12.

Encourages Parties and other Governments, in undertaking this work and, in particular, when developing priority actions, to consider the need to:

- (a) Develop capacity to use risk assessment/analysis to address threats of invasive alien species to biological diversity, and incorporate such methodologies in environmental impact assessments, and strategic environmental assessments, as appropriate and relevant;
- (b) Develop financial measures, and other policies and tools, to promote activities to reduce the threat of invasive alien species;
- (c) When necessary, develop recommendations and strategies to take account of effects of alien species on populations and naturally occurring genetic diversity;
- (d) Incorporate invasive alien species considerations into national biodiversity strategies and action plans and into sectoral and cross-sectoral policies, strategies and plans, taking into account the ecosystem approach, and in order to ensure full implementation of the national invasive alien species strategies and action plans as called for in paragraph 6 of decision V/8 of the Conference of the Parties.

Para. 24.

Urges Parties, Governments and relevant organizations, at the appropriate level, with the support of relevant international organizations to promote and carry out, as appropriate, research and assessments on:

- (a) The characteristics of invasive species and the vulnerability of ecosystems and habitats to invasion by alien species, and the impact of climate change on these parameters;
- (b) The impact of alien species on biological diversity;
- (c) Analysis of the importance of various pathways for the introduction of invasive alien species;
- (d) The socio-economic implications of invasive alien species particularly the implications for indigenous and local communities;
- (e) The development of environmentally benign methods to control and eradicate invasive alien species, including measures for use in quarantine and to control fouling of ship hulls;
- (f) The costs and benefits of the use of biocontrol agents to control and eradicate invasive alien species;
- (g) Means to enhance the capacity of ecosystems to resist or recover from alien species invasions;
- (h) Priorities for taxonomic work through, *inter alia*, the Global Taxonomy Initiative;
- (i) Criteria for assessing risks from introduction of alien species to biological diversity at the genetic, species and ecosystem levels;
- (j) The use of the traditional knowledge of indigenous and local communities in the development and implementation of measures to address invasive alien species, in accordance with Article 8(j) of the Convention

Para. 27.

Urges Parties, Governments and relevant organizations, at the appropriate level, to develop and make available technical tools and related information to support efforts for the prevention, early detection, monitoring, eradication and/or control of invasive alien species and to support public

awareness-raising and environmental education to the extent possible.

**Decision VII/13. Alien species that threaten ecosystems, habitats or species (Article 8(h))**

Para. 5.

Noting the existing international, regional and national frameworks but recognizing the need to strengthen institutional coordination at international, regional and national levels on invasive alien species as a trade-related issue:

(d) Invites Parties and other Governments to take into consideration, as appropriate, the risks associated with the introduction, use and spread of invasive alien species during the development, expansion and environmental review of international, bilateral and regional arrangements such as trade arrangements, where appropriate; and

(e) Invites Parties and other Governments to improve communication and cooperation between national environment, plant protection, trade and other relevant authorities with a view to increasing awareness on issues related to the prevention and management of risks from potentially invasive alien species and ensuring consistency of national policies and programmes;

Para. 6.

Invites relevant Parties to the Convention on Biological Diversity and other Governments, as well as national, regional and international organizations to:

(a) Improve the coordination of regional measures to address transboundary issues through the development and implementation of regional standards, regional support for risk analysis and regional cooperation mechanisms;

(b) Support national and regional decision-making and rapid response through the further development of risk analysis which include environmental risk assessment, as well as alert lists, diagnostic tools and capacity development;

(c) Incorporate invasive alien species considerations, including monitoring and reporting and notification of new threats, into regional agreements and other instruments, and make information on invasive alien species status and trends available through the clearing-house mechanism and other relevant regional information systems;

(d) Allocate, as appropriate, adequate financial resources to developing countries, in particular the least developed countries and small island developing States among them, and countries with economies in transition, and to build capacity for effective mitigation, border control and quarantine measures with a view to improve synergies with policies relating to trade, food security, human health and environmental protection, scientific research and exchange of information;

(e) Strengthen, as appropriate the cooperation between biodiversity, agriculture, forestry, land and water management agencies in the application of risk analysis standards and guidance;

(f) Consider the introduction of positive incentive measures for the prevention, mitigation, eradication or control of invasive alien species and the use of native species taking into consideration effectiveness in control and impact on the other native species in land and water management and other programmes;

(g) Proactively engage relevant stakeholders and indigenous and local communities in the eradication, the prevention of introductions, and mitigation of impacts of invasive alien species, including by awareness-raising and training as well as through the design and implementation of appropriate incentive measures.

## **VI. Useful documents**

### **Invasive alien species: Progress report on matters identified in decision V/5, paragraphs 5, 11 and 14, and an analysis of national reports (UNEP/CBD/SBSTTA/06/6)**

Invasive alien species: Comprehensive review on the efficiency and efficacy of existing measures for their prevention, early detection, eradication and control (UNEP/CBD/SBSTTA/06/7)

Invasive alien species: A Guide to Designing Legal and Institutional Frameworks on Alien Invasive Species (UNEP/CBD/SBSTTA/06/Inf.8)

Invasive alien species: Status, impacts and trends of alien species that threaten ecosystems, habitats and species (UNEP/CBD/SBSTTA/06/Inf.11)

## **Chapter 12.      Biodiversity and Climate Change**

### **I.      Mandate**

The Conference of the Parties to the Convention on Biological Diversity has adopted several decisions on biodiversity and climate change, and some of these decisions contain funding provisions.

<b>COP I</b>	
COP II	
<b>COP III</b>	
COP IV	
<b>COP V</b>	
COP VI	
<b>COP VII</b>	Decision VII/15, paragraph 11
	<i>Invites</i> Parties, Governments, funding agencies, research bodies and other organizations to address the gaps identified in the Report in order to help to optimize biodiversity conservation and sustainable use within climate change adaptation projects, as well as mitigation projects addressing the adverse effects of human activities over the long term at the national, regional, and global levels
	Decision VII/15, paragraph 18
	<i>Invites</i> sources of funding to provide financial support to developing country Parties, in particular the least developed and small island developing States among them, and countries with economies in transition, where appropriate, for: (a) Country-driven activities, including pilot projects, aimed at projects related to ecosystem conservation, restoration of degraded lands and marine environments and overall ecosystem integrity that take into account impacts of climate change; (b) Assistance in capacity-building with the aim of increasing the effectiveness in addressing environmental issues through their commitments under the Convention on Biological Diversity, the United Nations Framework Convention on Climate Change, and the United Nations Convention to Combat Desertification, <i>inter alia</i> by applying the ecosystem approach; (c) Assistance in developing synergy-oriented programmes to conserve and sustainably manage all ecosystems, such as forests, wetlands and marine environments that also contribute to poverty eradication
	Decision VII/20, paragraph 6
	<i>Requests</i> the financial mechanism, in accordance with its mandate, and invites other sources to provide financial support to developing country Parties, in particular the least developed and small island developing States among them, and countries with economies in transition, where appropriate, for: (a) Country-driven activities, including pilot projects, aimed at projects related to ecosystem conservation, restoration of degraded lands and marine environments and overall ecosystem integrity that take into account impacts of climate change;

- (b) Assistance in capacity-building with the aim of increasing the effectiveness in addressing environmental issues through their commitments under the Convention on Biological Diversity, the United Nations Framework Convention on Climate Change, and the United Nations Convention to Combat Desertification, inter alia, by applying the ecosystem approach;
- (c) Assistance in developing synergy-oriented programmes to conserve and sustainably manage all ecosystems, such as forests, wetlands and marine environments, that also contribute to poverty eradication

## II. Issues

Climate change is the variation in either the mean state of the climate or in its variability, persisting for an extended period, typically decades or longer. It encompasses temperature increases (“global warming”), sea-level rises, changes in precipitation patterns, and increased frequencies of extreme weather events. In particular, recent findings by the scientific community suggest that global warming is causing shifts in species spatial distributions that average 6.1 km per decade towards the poles in the direction predicted by climate change models, and that spring is on average, arriving 2.3 days earlier per decade in temperate latitudes. Entire regions are also suffering from the effects of global warming; in particular boreal and polar ecosystems.

Although past changes in the global climate resulted in major shifts in species ranges and marked reorganization of biological communities, landscapes, and biomes during the last 1.8 million years, these changes occurred in a landscape that was not as fragmented as it is today, and with little or no pressures from human activities. On the one hand, current climate change coupled with other human pressures is stressing biodiversity far beyond the levels imposed by the global climatic change that occurred in the recent evolutionary past. On the other hand, the human component needs to be incorporated when dealing with the impacts of climate change on biodiversity—that is, activities aimed at mitigating and adapting to climate change in which biodiversity considerations are essential.

## III. Background

### COP I

### COP II

### COP III

### COP IV

<b>COP V</b>	At its fifth meeting, the COP highlighted the risks, in particular, to coral reefs [ <i>decision V/3</i> ] and to forest ecosystems [ <i>decision V/4</i> ], and drew attention to the serious impacts of loss of biodiversity of these systems on people’s livelihoods.
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### COP VI

<b>COP VII</b>	In decision VII/15, the COP promoted the use of the report on climate change and biodiversity prepared by the Ad Hoc Technical Expert Group on Biological Diversity and Climate Change, and decided to develop advice for promoting synergy among activities to address climate change at the national, regional and international level, including activities to combat desertification and land degradation, and activities for the conservation of and sustainable use of biodiversity.
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#### IV. Funding needs

The following country-level action identified by the COP might require financial support from funding agencies/organizations:

<b>Decision VII/15. Biodiversity and Climate Change</b>
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Para 2.

*Invites* Parties, other Governments, international organizations and other bodies to make use of the report on climate change and biodiversity prepared by the Ad Hoc Technical Expert Group on Biological Diversity and Climate Change in order to promote synergies at the national level between the United Nations Framework Convention on Climate Change and its Kyoto Protocol and the Convention on Biological Diversity, when implementing climate-change activities and their relation to the conservation and sustainable use of biodiversity.

Para. 9.

*Invites* Parties, other Governments, international organizations and other bodies to facilitate building capacity related to accessing information and tools, and for enhancing coordination at national level to ensure that climate change mitigation and adaptation projects deliver environmental and social benefits and are consistent with national priorities.

Para. 11.

*Invites* Parties, Governments, funding agencies, research bodies and other organizations to address the gaps identified in the Report in order to help to optimize biodiversity conservation and sustainable use within climate change adaptation projects, as well as mitigation projects addressing the adverse effects of human activities over the long term at the national, regional, and global levels.

Para. 12.

*Encourages* Parties to take measures to manage ecosystems so as to maintain their resilience extreme climate events and to help mitigate and adapt to climate change.

#### V. Useful documents

Review of the interlinkages between biological diversity and climate change, and advice on the integration of biodiversity considerations into the implementation of the United Nations Framework Convention on Climate Change and its Kyoto Protocol (UNEP/CBD/SBSTTA/9/11)

Report of the Ad Hoc Technical Expert Group on Biodiversity and Climate Change (UNEP/CBD/SBSTTA/9/INF/12)





## **Part III      Crosscutting Issues -- Socio-Economic and Legal Matters**

The work of the Convention on Biological Diversity has been conveniently organized around three topical fields: thematic areas, crosscutting issues and mechanisms for implementation. Essentially crosscutting issues correspond to the issues contained in the Convention's substantive provisions in Articles 6-20. Initiatives on crosscutting issues often directly support work under thematic programmes. These cross cutting issues have an important role to play in bringing cohesion to the work of the Convention as they provide the substantive bridges or links between the thematic programmes.

Certain crosscutting issues are of a socio-economic and/or legal nature, for instance, environmental impact assessment, liability and redress, access to and transfer of technology, Article 8(j) and related provisions, access and benefit-sharing, and incentive measures. These issues have been addressed by the COP through the SBSTTA or other inter-sessional processes, and will be elaborated in this section.

## **Chapter 13. Environmental Impact Assessment, Liability and Redress**

### **I. Mandate**

The Conference of the Parties to the Convention on Biological Diversity has adopted one decision on environmental impact assessment, liability and redress, which contains funding provisions.

<b>COP I</b>	
<b>COP II</b>	
<b>COP III</b>	
<b>COP IV</b>	
<b>COP V</b>	
<b>COP VI</b>	Decision VI/11, paragraph 3
	<i>Urges</i> Parties, Governments and relevant international organizations to cooperate with a view to strengthening capacities at the national level with regard to measures for the prevention of damage to biological diversity, establishment and implementation of national legislative regimes, and policy and administrative measures on liability and redress, and to provide financial resources for this purpose
<b>COP VII</b>	

### **II. Issues**

Article 14 of the Convention on Biological Diversity deals with impact assessment and minimizing adverse impacts, as well as liability and redress.

Impact assessment is a comprehensive process and assessment tool, which promotes sustainable development and is used to ensure that projects, programmes and policies are economically viable, socially equitable and environmentally sustainable.

Impact assessment is a generic term that includes environmental impact assessment (EIA) and strategic environmental assessment (SEA). It also provides a link to the private sector as it is widely used by industry as a tool for bringing environmental and social issues to bear on their decision-making.

Impact assessment provides a means of implementing sustainable development when major actions are proposed and before, or even after, decisions are made. A family of tools can be combined in order to systematically address the social, economical and environmental impacts, both positive and adverse, and to involve the people who are directly affected by or interested in a proposed action.

Most countries have gained some experience in these areas, particularly through provision for environmental impact assessment. Because of its widespread use, EIA offers a practical basis for

leveraging an integrated, participatory approach that can help achieve the goals of sustainable development.

Impact assessment processes are in place and applied in many countries, however biodiversity considerations are often inadequately addressed. There is a growing recognition of the need to better reflect biodiversity considerations in impact assessments. Important barriers to the incorporation of biodiversity in impact assessment include low priority for biodiversity and limitations in one or more of the following areas: capacity to carry out the assessments; awareness of biodiversity values; adequate data; and post-project monitoring. Strategic environmental assessments have high potential for addressing biodiversity in planning and decision-making, but there are challenges to their application.

The issue of liability and redress with regard to transboundary damage to biological diversity was one of the themes on the agenda during the negotiation of the Convention on Biological Diversity. The negotiators were, however, unable to reach any consensus regarding the details of a liability regime under the Convention and consequently postponed the consideration of the issue to a future date. Thus, paragraph 2 of Article 14 of the Convention provides that: “the Conference of the Parties shall examine, on the basis of studies to be carried out, the issue of liability and redress, including restoration and compensation, for damage to biological diversity, except where such liability is a purely internal matter.”

The scope of international environmental treaty law has greatly expanded since the 1972 Stockholm Conference on the Human Environment often regarded as the watershed in the global environmental awakening. This process has, however, not been accompanied by any significant developments in the legal rules governing international liability and redress for environmental damage. The appeal to States in both the 1972 Stockholm Declaration and the 1992 Rio Declaration to cooperate to develop further the international law regarding liability and compensation for environmental damage have met only with limited response to-date. In the negotiation of several multilateral environmental agreements, the development of liability and compensation regimes has often been postponed to some future date.

It can be argued, however, that an international environmental liability and redress regime is an essential mechanism for the enforcement of the environmental policies and standards established through multilateral treaties. In this respect, such a regime is seen to serve several important functions. First, it is an instrument to promote compliance with international environmental norms and the implementation of both the precautionary approach and the prevention principle. Generally, the threat of incurring liability and the potential burden of redress measures acts as an incentive towards more precautionary approaches to economic activities resulting in the avoidance of environmental risk and damage. Secondly, it serves a reparative function by shifting the costs of environmental damage from society at large to the person or persons responsible for the activity causing damage. By allocating responsibility for repairing the damage caused by an act or activity, a liability and redress regime serves as an instrument for the implementation of the polluter pays principle. Lastly, holding the author of environmental harm responsible for redressing it may act as a deterrent regarding environmentally harmful activities or at least lead to investment in preventive measures. It is an incentive to States and non-State actors to avoid environmentally harmful conduct.

### **III. Background and Status**

<b>COP I</b>	<b>As part of its first medium term programme of work, the COP decided to consider measures for implementing the Convention: to provide information and share experiences on the implementation of Article 14 at its fourth meeting [<i>decision I/9</i>].</b>
<b>COP II</b>	
<b>COP III</b>	
<b>COP IV</b>	<p>At its fourth meeting, the COP asked for information on impact assessment, and decided to consider the need for additional work to develop guidelines on the incorporation of biological diversity considerations into environmental impact assessment. It recommended that appropriate issues related to environmental impact assessment should be integrated into and become an integral component of relevant sectoral and thematic items under the programme of work of the COP.</p> <p>COP 4 also invited submissions on national and international measures on: liability and redress applicable to damage to biodiversity; and information on experiences in implementation, as well as information on access by foreign citizens to national courts in cases of transboundary harm [<i>decision IV/10 C</i>].</p>
<b>COP V</b>	COP 5 called for further information concerning impact assessment and decided to develop guidelines for incorporating biodiversity-related issues in legislation and/or processes on strategic environmental impact assessment. The COP also decided to, at its sixth meeting, a process for reviewing Article 14, paragraph 2, including the establishment of an ad hoc technical expert group [ <i>decision V/18</i> ]
<b>COP VI</b>	<p>In decision VI/7 A, the COP endorsed the draft guidelines for incorporating biodiversity-related issues into environmental impact assessment (EIA) legislation and/or processes and in strategic environmental assessments (SEA), and requested proposals for further development and refinement of the guidelines, incorporating all stages of the environmental impact assessment and strategic environmental assessment processes while taking into account the ecosystem approach.</p> <p>In decision VI/11, the COP established a group of legal and technical experts composed of government-nominated experts with the mandate to review the information gathered and undertake analysis of pertinent issues. It recognized the importance of capacity-building and cooperation with respect to the prevention of damage to biological diversity and the establishment of national legislative regimes, and urged Parties, Governments and international organizations to cooperate in strengthening such national capacities.</p>
<b>COP VII</b>	<p>At its seventh meeting, the COP urges contribution of case-studies on current experiences in environmental impact assessment and strategic environmental assessment procedures that incorporate biodiversity-related issues as well as experiences in applying the guidelines adopted by COP-6 [<i>decision VII/7</i>].</p> <p>Decision VII/17 renewed the call to convene a group of legal and technical experts to consider the information concerning liability and redress.</p>

#### **IV. Funding needs**

Financial resources should be provided to support the following national action as identified by the COP:

<b>Decision IV/10, C. Impact assessment and minimizing adverse risks: consideration of</b>
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<b>measures for the implementation of Article 14</b>
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Para. 1.

Invites Parties, Governments, national and international organizations, and indigenous and local communities embodying traditional lifestyles, to transmit to the Executive Secretary for the purpose of exchanging information and sharing experiences on:

- (a) Impact assessments that consider environmental effects and interrelated socio-economic aspects relevant to biological diversity;
- (b) Strategic environmental assessments;
- (c) Ways and means of fully incorporating biodiversity considerations into environmental impact assessment procedures;
- (d) Reports and case studies relating to environmental impact assessment in the thematic areas specifically referred to in its decisions, particularly with respect to biological diversity, including in respect of activities with transboundary implications and for environmental impacts having cumulative effects on biological diversity;
- (e) Reports relating to existing legislation, experience with environmental impact assessment procedures and guidelines for environmental impact assessment, particularly with regard to the incorporation of biological diversity considerations into environmental impact assessment;
- (f) Reports concerning the implementation of mitigating measures and incentive schemes to enhance compliance with existing national environmental impact assessment systems ...

Para. 8.

Invites Parties, Governments and relevant international organizations to provide the Executive Secretary with information on national, international and regional measures and agreements on liability and redress applicable to damage to biological diversity, including the nature, scope and coverage of such provisions, and information on experiences in their implementation, as well as information regarding access by foreign citizens to national courts potentially applicable to or in cases involving transboundary environmental harm

Para. 9.

Invites Parties to include in their national reports information on actions taken with respect to liability and redress for damage to biological diversity.

<b>Decision V/18. Impact assessment, liability and redress</b>
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Para. 1.

Invites Parties, Governments and other relevant organizations:

- (a) To implement paragraph 1 of Article 14 of the Convention on Biological Diversity in conjunction with other components of the Convention and to integrate environmental impact assessment into the work programmes on thematic areas, including the biological diversity of inland water ecosystems, marine and coastal biological diversity, forest biological diversity, agricultural biological diversity, and the biological diversity of dry and sub-humid lands, and on alien species and tourism;
- (b) To address loss of biological diversity and the interrelated socio-economic, cultural and human-health aspects relevant to biological diversity when carrying out environmental impact assessments;
- (c) To consider biological diversity concerns from the early stages of the drafting process, when developing new legislative and regulatory frameworks;

(d) To ensure the involvement of interested and affected stakeholders in a participatory approach to all stages of the assessment process, including governmental bodies, the private sector, research and scientific institutions, indigenous and local communities and non-governmental organizations, including by using appropriate mechanisms, such as the establishment of committees, at the appropriate level;

(e) To organize expert meetings, workshops and seminars, as well as training, educational and public awareness programmes and exchange programmes, and carry out pilot environmental impact assessment projects, in order to promote the development of local expertise in methodologies, techniques and procedures;

Para. 2.

Encourages Parties, Governments and relevant organizations:

(a) To use strategic environmental assessments to assess not only the impact of individual projects, but also their cumulative and global effects, incorporating biological diversity considerations at the decision-making and/or environmental planning level;

(b) To include the development of alternatives, mitigation measures and consideration of the elaboration of compensation measures in environmental impact assessment;

Para. 3.

Requests Parties to include in their national reports information on practices, systems, mechanisms and experiences in the area of strategic environmental assessment and impact assessment

Para. 6.

Renews the invitation to Parties, Governments, and relevant international organizations, contained in its decision IV/10 C, paragraph 8, to provide the Executive Secretary with information on national, international and regional measures and agreements on liability and redress applicable to damage to biological diversity, acknowledging that some Parties, Governments and organizations have already provided the Executive Secretary with such information

#### **Decision VI/7. Identification, monitoring, indicators and assessments**

A. Further development of guidelines for incorporating biodiversity-related issues into environmental-impact-assessment legislation or processes and in strategic impact assessment

Para. 2.

Urges Parties, other Governments and organizations to apply the guidelines as appropriate in the context of their implementation of paragraph 1 of Article 14 of the Convention and share their experience, *inter alia*, through the clearing-house mechanism and national reporting

#### **Decision VI/11. Liability and redress**

Para. 3.

Urges Parties, Governments and relevant international organizations to cooperate with a view to strengthening capacities at the national level with regard to measures for the prevention of damage to biological diversity, establishment and implementation of national legislative regimes, and policy and administrative measures on liability and redress, and to provide financial resources for this purpose.

#### **Decision VII/7. Environmental Impact Assessment and Strategic Environment Assessment**

Urges Parties and other Governments that have not done so to contribute case-studies on current

experiences in environmental impact assessment and strategic environmental assessment procedures that incorporate biodiversity related issues as well as experiences in applying the guidelines contained in the annex to decision VI/7 A.

**Decision VII/17. Liability and Redress (Article 14, paragraph 2)**

**V. Useful documents**

Impact Assessment, Liability, and Redress (UNEP/CBD/COP/5/16)

Synthesis of reports and case-studies relating to environmental impact assessment (UNEP/CBD/SBSTTA/4/10)

Impact Assessment: Further development of guidelines for incorporating biodiversity-related issues into environmental impact assessment legislation and/or processes and in strategic environmental assessment (UNEP/CBD/SBSTTA/7/13)

Liability and Redress (Article 14, Paragraph 2): Update of synthesis report of submissions from Governments and international organizations (UNEP/CBD/COP/6/12/ADD1)

## Chapter 14. Access to and Transfer of Technology

### I. Mandate

The Conference of the Parties to the Convention on Biological Diversity has adopted several decisions on access to and transfer of technology, and some of these decisions contain funding provisions.

<b>COP I</b>	<b>Decision I/, annex I, paragraph 4(f)</b>
	In accordance with Article 16 of the Convention, and to meet the objectives of conservation of biological diversity and sustainable use of its components, projects which promote access to, transfer of and cooperation for joint development of technology
<b>COP II</b>	
<b>COP III</b>	Decision III/17, paragraph 3
	<i>Requests</i> the Executive Secretary to contact relevant international organizations, particularly the World Intellectual Property Organization, to invite them to take into account in their development cooperation programmes, where appropriate, the need to build capacity to achieve the objectives of the Convention on Biological Diversity as related to intellectual property rights
<b>COP IV</b>	
<b>COP V</b>	
<b>COP VI</b>	
<b>COP VII</b>	Decision VII/29, paragraph 13
	<i>Urges</i> Parties, Governments and relevant international and regional organizations to provide financial and technical support and training, as appropriate, in order to assist in the implementation of the programme of work
	Decision VII/29, paragraph 14
	<i>Urges</i> Parties, Governments, relevant international and regional organizations and the private sector to remove any unnecessary impediments to funding of multi-country initiatives for technology transfer and for scientific and technical cooperation
	Decision VII/29, paragraph 15
	<i>Requests</i> the Executive Secretary to consult with multilateral financial institutions, regional banks and other relevant funding bodies to consider ways and means of involving them in the work of the Convention and in the efforts of Parties in its implementation, and in particular to identify mechanisms for financial support of capacity development, technology transfer and scientific, technical and technological cooperation
	Decision VII/29, annex
	Activities 1.2.2. Dissemination of assessments and related experiences at national and international levels. Main actors: Parties to the Convention on Biological Diversity, in collaboration with relevant national and international stakeholders and with support from



GEF and from relevant international funding organizations, as appropriate

2.1.3. Development of advice and guidance on the use of new information exchange formats, protocols and standards to enable interoperability among relevant existing systems of national and international information exchange, including technology and patent databases.

Main actor: the Secretariat of the Convention on Biological Diversity in collaboration with Parties, the informal advisory committee of the clearing house mechanism and relevant organizations and initiatives, with support from relevant international funding organizations as appropriate

2.1.4. Implementation of proposals for enhancing the clearing-house mechanism as a central mechanism for exchange of information on technologies, as a core element in its role to promote and facilitate scientific and technical cooperation, for facilitating and promoting technology transfer and for the promotion of technical and scientific cooperation as adopted by the Conference of the Parties, in full synergy with similar initiatives and mechanisms of other Conventions and international organizations.

Main actor: the Secretariat of the Convention on Biological Diversity in collaboration with the informal advisory committee of the clearing-house mechanism, Parties and relevant organizations and initiatives with support from relevant international funding organizations, as appropriate. This arrangement may be reviewed after a reasonable trial period.

2.2.1. Compilation and synthesis of information on national and regional information systems for technology transfer and cooperation, including the identification of best-practices and of needs for further improvements, in particular in regard to the accessibility of such systems for indigenous and local communities and all relevant stakeholders as well as information on capacity and human resources available and needed.

Main actor: the Secretariat of the Convention on Biological Diversity, with input from Parties and in cooperation with relevant organizations as appropriate, and with support from relevant international funding organizations as appropriate.

2.2.2. Develop or strengthen national information systems of technology transfer and technology cooperation.

Main actors: Parties in cooperation with the Secretariat and relevant organizations as appropriate, and with support from GEF and from relevant international funding organizations as appropriate.

2.3.1 Development or improvement of national systems of information exchange on technology transfer and technology cooperation, in consultation with indigenous and local communities and all relevant stakeholders, with a view to fostering dialogue between technology holders and prospective users through, inter alia, the application of ways and means to ensure:

(a) Effective linkages with existing national, regional and international information systems;

(b) Accessibility and adaptability of such systems by indigenous and local communities and all relevant stakeholders;

(c) Information on local needs for adaptation, and related capacity, to be

effectively channelled into national systems.

Main actors: Parties to the Convention on Biological Diversity, in consultation with indigenous and local communities and all relevant national stakeholders, with support by relevant organizations and well as with support from GEF and from relevant international funding organizations as appropriate.

2.4.1. Initiate and conduct consultations among relevant organizations, indigenous and local communities and all relevant stakeholders with a view to identifying options to further regional and international cooperation in the development or improvement of information systems on technology transfer and technology cooperation.

Main actors: Relevant organizations, indigenous and local communities and all relevant stakeholders with support by national, regional and international donors, and by national Governments with support from relevant international funding organizations as appropriate.

2.4.2. Compilation and synthesis of information on regional and international information systems, including best-practices and opportunities for further development and make this information available through the clearing-house mechanism and other means, as appropriate.

Main actor: the Secretariat of the Convention on Biological Diversity with input from Parties and in cooperation with relevant organizations, as appropriate, with support from relevant international funding organizations, as appropriate.

2.4.3 Identify and implement measures to develop or strengthen appropriate information systems of technology transfer and technology cooperation, including at the local level.

Main actor: Parties in cooperation with the Secretariat of the Convention, relevant organizations, as appropriate, and with support from GEF as well as from relevant international funding organizations, as appropriate.

Operational target 3.2: Development and implementation of national institutional, administrative, legislative and policy frameworks to facilitate cooperation, as well as access to and adaptation of technologies in the public domain and to proprietary technologies of relevance for the Convention on Biological Diversity, and to foster technical and scientific cooperation, consistent with national priorities and existing international obligations.

Main actors: national Governments in collaboration with indigenous and local communities and all relevant stakeholders, with support of relevant international organizations as well as with support from GEF, from relevant international funding organizations and the Secretariat as appropriate.

4.1.1 Financial and technical support and training is provided by relevant international, regional and national organizations and initiatives as appropriate for the building or enhancement of capacity for the effective and timely conduct of national technology assessments;

Main actors: International, regional and national organizations and funds, as appropriate.

4.2.1 Assessment of capacity-building needs and opportunities for the development or strengthening and effective operation of national information

systems for technology transfer and technology cooperation, including risk analysis and impact assessment.

Main actors: Developing country Parties, including least developed countries and small island developing States, and Parties with economies in transition, in collaboration with indigenous and local communities and all relevant stakeholders and with support of relevant international organization as appropriate as well as with support from GEF and relevant international funding organizations.

4.2.2 Financial and technical support as well as training is provided to improve the capacity of national systems of information gathering and dissemination with regard to needs and opportunities for technology transfer, in particular with regard to capacity for the effective application and use of electronic information technologies, in full synergy with existing initiatives and programmes.

Main actors: GEF, international, regional and national organizations and funds as appropriate.

4.3.1 Financial and technical support and training is provided by relevant international, regional and national organizations and initiatives as appropriate for the building or enhancement of capacity for the review of existing policies and programmes and the identification of possible impediments to cooperation and the transfer of technology of relevance for the Convention on Biological Diversity, of capacity-building needs and priority areas for policy action.

Main actors: Developing country Parties, including least developed countries and small island developing States, and Parties with economies in transition, in collaboration with indigenous and local communities and all relevant stakeholders and with support of relevant international organizations, as appropriate, as well as with support from GEF and from relevant international funding organizations.

4.4.1 Based on needs and priorities identified by countries, financial and technical support and training is provided by relevant international, regional and national organizations and initiatives as appropriate to foster enabling environments for technology transfer and cooperation, and in particular with regard to:

- (a) Building policy, legal, judicial and administrative capacity;
- (b) Facilitating access to relevant proprietary technologies, consistent with Article 16.2;
- (c) Providing other financial and non-financial incentives for the diffusion of relevant technologies;
- (d) Building capacities of, and empowering indigenous and local communities and all relevant stakeholders with respect to access to and use of relevant technologies, including strengthening of decision-making skills;
- (e) Providing financial and technical support and training to improve the capacity of developing countries and countries with economies in transition national research institutions for the development of technologies as well as for adaptation, diffusion and the further development of imported technologies consistent with their transfer agreement and international law including through fellowships and international exchange programmes;
- (f) Supporting the development and operation of regional or international

	<p>initiatives to assist technology transfer and cooperation as well as scientific and technical cooperation, particularly those initiatives designed to facilitate South-South cooperation and South-South joint development of new technologies, as well as such cooperation among countries with economies in transition, and cooperation between the South and countries with economies in transition.</p> <p>Main actors: GEF, international, regional and national organizations and funds, as appropriate.</p>
	Decision VII/20, paragraph 12
	<p><i>Decides</i> that based on needs and priorities identified by developing country Parties and countries with economies in transition, the Global Environment Facility, in accordance with its mandate and in collaboration with other interested funding agencies, shall, as appropriate, provide adequate and timely financial support for the implementation of the programme of work on technology transfer and technological and scientific cooperation, consistent with Articles 16 to 20 of the Convention, and in particular for:</p> <ul style="list-style-type: none"> <li>(a) Building policy, legal, judicial and administrative capacity;</li> <li>(b) Facilitating access to relevant proprietary technologies;</li> <li>(c) Providing other financial and non-financial incentives for the diffusion of relevant technologies;</li> <li>(d) Building capacities of, and empowering, indigenous and local communities and all relevant stakeholders with respect to access to and use of relevant technologies;</li> <li>(e) Improving the capacity of national research institutions in developing countries and countries with economies in transition for the development of technologies, as well as for adaptation, diffusion and the further development of imported technologies consistent with their transfer agreement and international law including through fellowships and international exchange programmes;</li> <li>(f) Supporting the development and operation of regional or international initiatives to assist technology transfer and cooperation as well as scientific and technical cooperation, including those initiatives designed to facilitate South-South cooperation and South-South joint development of new technologies and also such cooperation among countries with economies in transition</li> </ul>

## II. Issues

The term “technology” not only refers to technical machinery and equipment (the so-called “hard” technology), but also to the notion of “soft” technology, that is, technological information or know-how. This knowledge is brought about both through research and innovation, that is, through moving ideas from invention to new products, processes and services in practical use, and through a complex and often costly process involving learning from others.

In the context of the Convention, relevant technologies include techniques for in-situ conservation such as integrated pest management, as well as technologies for ex-situ conservation such as preservation and storage technologies used in gene banks. They also include technologies related to the sustainable management of biodiversity resources, for instance, sustainable forest management or integrated water management. In addition, many monitoring technologies, such as remote sensing, are indispensable for the generation of updated and accurate biodiversity

information, which is a crucial precondition to the design and implementation of policies for the conservation of biodiversity and the sustainable use of its components.

Technologies that make use of genetic resources include many examples of modern biotechnology. In a number of instances, the Convention provides for the transfer of such technologies as a means to implement its third main objective, that is, sharing the benefits arising out of the utilization of genetic resources in a fair and equitable manner.

Parties to the Convention acknowledge that the provision of new and additional financial resources and appropriate access to relevant technologies can be expected to make a substantial difference in the world's ability to address the loss of biological diversity, and special provision is required to meet the needs of developing countries, including the provision of new and additional financial resources and appropriate access to relevant technologies.

Issues relating to technology transfer and cooperation are addressed in Articles 16, 17, 18 and 19 of the Convention. Technology transfer as a means of achieving the equitable sharing of benefits from the use of genetic resources is mentioned in Article 19. In addition, training and research activities, so essential for establishing national capacities to diffuse and adapt technologies, are addressed in Article 12.

### III. Background and Status

COP I	As part of its medium-term programme of work, the COP decided to consider access to and transfer and development of technology, as envisaged in Articles 16 and 18 of the Convention, at its second and third meetings [ <i>decision I/9</i> ].
COP II	COP 2 took note of SBSTTA Recommendation I/4 on ways and means to promote and facilitate access to, and transfer and development of technology as envisaged in Articles 16 and 18 of the Convention, and requested for a substantive and well-focused background document [ <i>decision II/4</i> ]. With respect to intellectual property rights, COP 2 also requested a preliminary study which analyses the impact of intellectual property rights systems on the conservation and sustainable use of biological diversity and the equitable sharing of benefits derived from its use in order to gain a better understanding of the implications of Article 16(5) [ <i>decision II/12</i> ].
COP III	At its third meeting, the COP emphasized the importance of technology transfer in the achievement of each of the three objectives of the Convention, and recognized that intellectual property rights are relevant to and may have implications for the implementation of the Convention and the achievement of its objectives. It decided that work on technology transfer would be conducted within sectoral themes related to the priority issues under its programme of work, and noted that the issue of technology would be dealt at its fourth meeting, focusing especially on matters related to benefit-sharing and measures to promote and advance the distribution of benefits from biotechnology in accordance with Article 19. COP 3 also called for case studies on the impacts of intellectual property rights on the achievement of the Convention's objectives, and invited relevant international organization to take into account in their development cooperation programmes the need to build capacity to achieve the objectives of the Convention as related to intellectual property rights [ <i>decisions III/16 and III/17</i> ].

COP IV	COP 4 decided that transfer of technology and technology co-operation will be one of items for in-depth consideration by the COP at its seventh meeting [ <i>decision IV/16</i> ].
COP V	At its fifth meeting, the COP considered the role of intellectual property rights in implementing access and benefit sharing arrangements. COP-5 reaffirmed the importance of <i>sui generis</i> and other systems for the protection of traditional knowledge, and invited the World Trade Organization to acknowledge relevant provisions of the Convention and to explore the interrelationship between relevant provisions of TRIPs agreement and of the Convention [ <i>decision V/26 B</i> ].
COP VI	COP 6 decided to carry out further information gathering and analysis on the role of intellectual property rights in the implementation of access and benefit-sharing arrangements. It encouraged the disclosure of the country of origin of genetic resources in applications for intellectual property rights as a possible contribution to tracking compliance with prior informed consent and the mutually agreed terms on which access to those resources was granted [ <i>decision VI/24</i> ].
COP VII	In decision VII/29, the COP adopted the programme of work on technology transfer and cooperation, and invited relevant stakeholders to undertake the activities under their respective responsibilities.

#### **IV. Programme of work on technology transfer and technological and scientific cooperation**

The purpose of this programme of work adopted by COP-7 is to develop meaningful and effective action to enhance the implementation of Articles 16 to 19 as well as related provisions of the Convention by promoting and facilitating the transfer of and access to technologies from developed to developing countries, including the least developed among them and small island developing States, as well as to countries with economies in transition, as well as among developing countries and other Parties, necessary to ensure implementation of the three objectives of the Convention, and in support of the target to achieve a significant reduction of the current rate of biodiversity loss at the global, regional and national level by 2010.

##### **Programme Element 1: Technology Assessments**

Objective: Technology needs, the potential benefits costs and risks of such technologies, and the related capacity-building needs of Parties are identified in response to national priorities and policies

Operational target 1.1: Technology needs assessments are conducted as appropriate, with the participation of stakeholders, in accordance with the activities foreseen in the thematic and cross-cutting work programmes under the Convention and in line with national priorities as set out, inter alia, in the national biodiversity strategy and action plan.

Operational target 1.2: Impact and risk assessments are conducted, as appropriate, with the participation of stakeholders and, if needed and requested, with international cooperation.

Operational target 1.3: Information on methodologies for the assessment of technology needs are widely available to Parties through the clearing house mechanism and other means as appropriate.

#### Programme Element 2: Information Systems

Objective: National, regional and international information systems for technology transfer and cooperation provide comprehensive information of relevance to foster technology transfer and technology cooperation

Operational target 2.1: The clearing-house mechanism is a central mechanism for the exchange of information on and facilitation of technology transfer and technical and scientific cooperation relevant for the Convention on Biological Diversity, providing access to information on national technology needs, available relevant proprietary technologies and technologies in the public domain, including access to databases of existing technologies, and information on best-practices to create enabling environments for technology transfer and technology cooperation.

Operational target 2.2: Opportunities to establish or strengthen national information systems for technology transfer and technology cooperation are identified, with consultation of and input from indigenous and local communities and all relevant stakeholders.

Operational target 2.3: National information systems for technology transfer and technology cooperation, especially those functioning through national clearing-house mechanisms, are established or strengthened, are effectively linked to international information systems and contribute effectively to technology transfer, diffusion and adaptation and to the exchange of technologies, including south-south technology transfer.

Operational target 2.4: Promote the development of regional and international information systems to facilitate technology transfer and technological cooperation.

#### Programme Element 3: Creating Enabling Environments

Objective: To identify and put in place institutional, administrative, legislative and policy frameworks conducive to private and public sector technology transfer and cooperation, taking also into account existing work of relevant international organizations and initiatives.

Operational target 3.1: Development of guidance and advice for the application of options on measures and mechanisms to facilitate access to and transfer of technologies in the public domain and to proprietary technologies of relevance for the Convention on Biological Diversity, and to foster technology cooperation.

Operational target 3.2: Development and implementation of national institutional, administrative, legislative and policy frameworks to facilitate cooperation, as well as access to and adaptation of technologies in the public domain and to proprietary technologies of relevance for the Convention on Biological Diversity, and to foster technical and scientific cooperation, consistent with national priorities and existing international obligations.

#### Programme Element 4: Capacity-Building and Enhancement

Objective: Technical, scientific, institutional and administrative capacity is adequate for the effective cooperation, transfer, diffusion and adaptation of technology as well as technical and scientific cooperation.

Operational target 4.1: Technical, scientific, institutional and administrative capacity is adequate for the effective and timely conduct of national technology assessments

Operational target 4.2: Technical, scientific, institutional and administrative capacity is adequate for the development or strengthening and effective operation of national, regional and international information systems for technology transfer and technology cooperation of relevance for the Convention on Biological Diversity.

Operational target 4.3: Technical, scientific, institutional and administrative capacity is adequate for the review of national policies and programmes and the identification of

barriers for the transfer of technology of relevance for the Convention on Biological Diversity, capacity-building needs and priority areas for policy action.

## V. Funding needs

Possible funding needs may be derived from the following requests from the COP:

<b>Decision II/4. Ways and means to promote and facilitate access to, and transfer and development of technology</b>
<b>Decision II/12. Intellectual Property Rights</b>
<b>Decision III/16. Ways to promote and facilitate access to and transfer and development of technology, as envisaged in Articles 16 and 18 of the Convention</b>
<b>Decision III/17. Intellectual Property Rights</b>
<p>Para. 1.</p> <p><u>Encourages</u> Governments, and relevant international and regional organizations, to conduct and communicate to the Executive Secretary, for dissemination through means such as the clearing-house mechanism, case studies of the impacts of intellectual property rights on the achievement of the Convention's objectives, including relationships between intellectual property rights and the knowledge, practices and innovations of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity. Such studies could:</p> <p>(a) Take into account the information and options for future work contained in the preliminary study prepared by the Executive Secretary, contained in document UNEP/CBD/COP/3/22;</p> <p>(b) Take into consideration existing and potential interrelationships between intellectual property rights and other aspects of the Convention's implementation, including, for example, implementation of Articles 8 (j), 15 and 16;</p> <p>(c) Involve, through consultation or cooperation, relevant international organizations, as well as relevant regional and national bodies, stakeholders, and others with relevant expertise, as appropriate;</p> <p>(d) Consider the role and the potential of existing intellectual property rights systems in achieving the objectives of the Convention, including, inter alia, in facilitating technology transfer and in arrangements by which interested parties including indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity and countries may determine access to and share equitably the benefits of genetic resources or knowledge, innovations and practices;</p> <p>(e) Consider the development of intellectual property rights, such as sui generis systems/approaches, or alternative forms of protection that could promote achievement of the Convention's objectives, consistent with the Parties' international obligations;</p> <p>(f) Reflect the importance of coordinating efficiently with work undertaken pursuant to other elements of the work programme of the Conference of the Parties and work programmes of other relevant organizations.</p>
<b>Decision VII/29. Transfer of technology and technology cooperation (Articles 16 to 19)</b>
Para. 3.



*Invites* Parties and relevant international organizations, and *requests* the Executive Secretary, to carry out the activities under their respective responsibilities as spelled out in the programme of work up to the eighth meeting of the Conference of the Parties, as a first phase in the implementation of the programme of work

Para. 5.

*Invites* Parties, in accordance to their identified needs and priorities and taking into account the information gaps identified in the synthesis report of information contained in national reports on technology transfer and cooperation (UNEP/CBD/COP/7/INF/9), to convene national, subregional and regional workshops to exchange information and experiences on, and to enhance capacity for, successful cooperation, transfer, diffusion and adaptation of environmentally sound technologies

Para. 8.

*Requests* Parties, Governments and relevant organizations to develop means to provide access to translation services for scientific and technical information, including by identifying sources of free translation and/or by finding funding for translation

Para. 9.

*Invites* Parties, Governments, the private sector and relevant civil society organizations to develop innovative approaches and means of technology transfer and cooperation such as Type 2 partnerships in accordance with the outcome of the World Summit on Sustainable Development (WSSD)

Para. 10.

*Urges* Parties, Governments and relevant organizations to identify further areas in which international or regional cooperative initiatives - such as the proposed cooperative initiative on marine alien species - would support implementation of the Convention

## **VI. Useful documents**

### **The Convention on Biological Diversity and the Agreement on Trade-Related Aspects of Intellectual Property Rights (TRIPs): Relationships and synergies (UNEP/CBD/COP/3/23)**

Submissions received by the Executive Secretary concerning ways and means to promote and facilitate access to and transfer and development of technology (UNEP/CBD/COP/3/Inf.4)

Ways and means to promote and facilitate access to, and transfer and development of technologies as envisaged in Articles 16 and 18 of the Convention (UNEP/CBD/SBSTTA/1/5)

Ways and means to promote and facilitate access to, and transfer and development of technology, including biotechnology (UNEP/CBD/SBSTTA/2/6)

Technology transfer and cooperation: Synthesis of information contained in thematic reports on technology transfer and cooperation (UNEP/CBD/COP/7/INF/9)

## **Chapter 15. Article 8(j) and Related Provisions**

### **I. Mandate**

The Conference of the Parties to the Convention on Biological Diversity has adopted several decisions on Article 8(j) and related provisions, and some of these decisions contain funding provisions.

<b>COP I</b>	<b>Decision I/2, annex I, paragraph 4(j)</b>
	Projects that strengthen the involvement of local and indigenous people in the conservation of biological diversity and sustainable use of its components
<b>COP II</b>	
<b>COP III</b>	Decision III/5, paragraph 5
	<i>Requests</i> the Global Environment Facility to examine the support of capacity-building projects for indigenous and local communities embodying traditional lifestyles related to the preservation and maintenance of their knowledge, innovations and practices relevant for the conservation and sustainable use of biological diversity with their prior informed consent and their participation
	Decision III/14, paragraph 5
	<i>Requests</i> the interim financial mechanism to examine the support of capacity-building projects for indigenous and local communities embodying traditional lifestyles related to the preservation and maintenance of their knowledge, innovations and practices relevant for the conservation and sustainable use of biological diversity with their prior informed consent and their participation
	Decision III/14, paragraph 12
	<i>Calls upon</i> Parties to make additional voluntary contributions to help fund the workshop
<b>COP IV</b>	Decision IV/9, paragraph 13
	<i>Encourages</i> Parties, when making applications to the interim financial mechanism for funding in respect of activities under Article 8(j) and related provisions, to consider: (a) priorities as set out in paragraph 10 and (b) projects in support of the development of national legislation and corresponding strategies on the implementation of Article 8(j), as well as (c) projects in support of preparations by indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity for their active participation in and contribution to the working group
<b>COP V</b>	Decision V/13, paragraph 2(i)
	The Global Environment Facility should provide support for the implementation of the priority activities identified in the programme of work on Article 8(j) and related provisions, in accordance with decision V/16
	Decision V/16, paragraph 7
	<i>Requests</i> Parties, Governments, and international, regional and national

	organizations to provide appropriate financial support for the implementation of the programme of work
	Decision V/16, paragraph 12
	<i>Urges</i> Parties and Governments and, as appropriate, international organizations, and organizations representing indigenous and local communities, to facilitate the full and effective participation of indigenous and local communities in the implementation of the Convention and, to this end: (b) Include, in proposals and plans for projects carried out in indigenous and local communities, funding requirements to build the communications capacity of indigenous and local communities to facilitate dissemination and exchange of information on issues related to traditional knowledge, innovations and practices
	Decision V/16, paragraph 20
	Further <i>requests</i> Parties and international financial institutions to explore ways of providing the necessary funding for these activities
	Decision V/16, annex, IV
	Parties, Governments, and international, regional and national organizations to provide appropriate financial support for the implementation of the programme of work
COP VI	Decision VI/10, paragraph 18
	Also <i>invites</i> international funding and development agencies that provide funding and other forms of assistance to Governments, developing countries, in particular least developed countries and small island developing States, to facilitate the incorporation of the recommendations into policies and processes for the assessment of proposed developments
	Decision VI/10, paragraph 19
	Further <i>invites</i> international funding and development agencies and relevant non-governmental organizations, where requested, and in accordance with their mandates and responsibilities, to consider providing assistance to indigenous and local communities, particularly women, for the conduct of cultural, environmental and social impact assessments regarding developments proposed to take place on territories, lands and waters traditionally occupied or used by them, and which take into account the recommendations in annex II to the present decision
	Decision VI/10, paragraph 29
	Also <i>requests</i> funding agencies, in particular the Global Environment Facility, to provide information on activities and processes, including information on the criteria for eligibility and access to project funding, and make such information easily accessible to Parties, Governments and indigenous and local communities (for example, through electronic, print/broadcast, popular publications, and other means)
	Decision VI/10, paragraph 30
	<i>Invites</i> the Global Environment Facility to give special consideration in funding to projects that clearly contain elements of participation of indigenous and local communities, where appropriate, and to continue to apply the Global Environment Facility's policy on public involvement to support the full and effective participation of indigenous and local

	communities
	Decision VI/10, paragraph 40
	Also <i>encourages</i> Parties and Governments, with the assistance of international development agencies and other relevant organizations, as appropriate, and with the participation, involvement and consent of the concerned indigenous and local communities, to undertake pilot projects in order to evaluate the effectiveness of existing intellectual property rights regimes, contractual methods and new systems being developed as a means of protection of traditional knowledge
	Decision VI/10, paragraph 42
	Also <i>invites</i> Parties, Governments, international development agencies, and other relevant international organizations and institutions to provide technical and financial assistance to developing country Parties, in particular the least developed and small island developing States among them, and countries with economies in transition, and to indigenous and local communities, in consultation with the national focal points, where appropriate, for the enhancement of national capacities for the establishment and maintenance of mechanisms to protect traditional knowledge at national and subnational levels, and for building the capacity of indigenous and local communities to develop strategies and systems for the protection of traditional knowledge
	Decision VI/10, annex I, paragraph 29
	Consistent with the ways and means for undertaking the programme of work identified in section IV of the annex to decision V/16, Parties, Governments, and international, regional and national organizations should provide appropriate financial support, including to indigenous and local communities, for the development of this report.
	Decision VI/17, paragraph 10(n)
	The Global Environment Facility shall provide financial resources for the enhancement of national capacities for the establishment and maintenance of mechanisms to protect traditional knowledge at national and sub-national levels, and for building the capacity of indigenous and local communities to develop strategies and systems for the protection of traditional knowledge
COP VII	Decision VII/16, part E, paragraph 7
	<i>Urges</i> Parties, Governments and relevant organizations to provide financial assistance for the completion of phase one and activities under phase two of the preparation of the composite report, in particular in order to support the full involvement and participation of indigenous and local communities in this work
	Decision VII/16, part E, annex, paragraphs 3 and 24
	3. Mobilization of resources to undertake regular review should be promoted.
	24. Mobilization of financial and technical resources should be promoted to support the design and implementation of mechanisms and measures to support retention of knowledge, innovations and practices embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity.

	Decision VII/16, part F, paragraph 8
	<i>Invites</i> international funding and development agencies that provide funding and other forms of assistance to Governments to undertake developments, within the framework of bilateral and multilateral cooperation efforts, or to assist in the formulation of development policies, as well as policies, plans and guidelines for strategic environmental assessment, to take into consideration the need to incorporate and implement the guidelines within such developments and policies, and plans, guidelines and policies for strategic environmental assessment, and to provide funds, as appropriate, for the prevention and mitigation of negative impacts and risk factors of proposed projects and policies, such as, for example, the implementation of waste-management policies
	Decision VII/16, part F, paragraph 9
	<i>Encourages</i> Parties and Governments, regarding developments proposed to take place on, or which are likely to impact on, sacred sites and land and waters traditionally occupied or used by indigenous and local communities, to: (d) Provide, the necessary capacity and funding to ensure these measures can be put into effect, taking into account the views of indigenous and local communities as to their needs
	Decision VII/16, part F, paragraph 10
	<i>Calls upon</i> Parties and Governments to support, financially and otherwise, indigenous and local communities, where they have not already done so, in formulating their own community development and biodiversity conservation plans that will enable such communities to adopt a culturally appropriate strategic, integrated and phased approach to their development needs in line with community goals and objectives. These plans should include a strategic environmental assessment policy or plan to provide a systematic process with the participation of indigenous and/or local communities for integrating cultural, environmental, and social considerations in planning and decision-making
	Decision VII/16, part F, annex, paragraph 18
	Early identification by the State and affected indigenous and local communities and, as circumstances warrant, provision of necessary human, financial, technical and legal resources, particularly to those indigenous and local communities, to support indigenous and local expertise, will facilitate effective indigenous and local community participation in the impact assessment process. In general, the larger the proposed development, the greater and more widespread the potential impacts and therefore potentially greater are the requirements for support and capacity-building.
	Decision VII/16, part F, annex, paragraph 70
	Resources, including financial, technical and legal support, should be made available to indigenous and local communities and relevant national organizations to enable them to participate fully in all aspects of national impact assessments. This support may be provided by national Governments, where possible, or, in developing countries and countries with economies in transition, by appropriate donor agencies.
	Decision VII/16, part G, paragraph 7
	<i>Mindful</i> of the particular constraints of developing countries, in particular

	small island developing States amongst them, <i>urges</i> Parties, Governments and international organizations, when providing financial or other support for <i>in situ</i> conservation, in accordance with Article 8(m) and Article 20, paragraphs 2 and 3, of the Convention, to pay particular attention to the establishment and implementation of participatory mechanisms
	Decision VII/16, part G, paragraph 10
	<i>Decides</i> to establish a voluntary funding mechanism under the Convention to facilitate the participation of indigenous and local communities, giving special priority to those from developing countries and countries with economies in transition and small island developing States in meetings under the Convention, including meetings of the indigenous and local community liaison group and relevant meetings of ad hoc technical expert groups. The funding mechanism for the participation of indigenous and local communities established herein shall operate according to criteria to be developed by the Conference of the Parties in consultation with indigenous and local communities and taking into account any United Nations practice in this field

## II. Issues

Traditional knowledge refers to the knowledge, innovations and practices of indigenous and local communities around the world. Developed from experience gained over the centuries and adapted to the local culture and environment, traditional knowledge is transmitted orally from generation to generation. It tends to be collectively owned and takes the form of stories, songs, folklore, proverbs, cultural values, beliefs, rituals, community laws, local language, and agricultural practices, including the development of plant species and animal breeds. Traditional knowledge is mainly of a practical nature, particularly in such fields as agriculture, fisheries, health, horticulture, and forestry.

There is today a growing appreciation of the value of traditional knowledge. This knowledge is valuable not only to those who depend on it in their daily lives, but to modern industry and agriculture as well. Many widely used products, such as plant-based medicines and cosmetics, are derived from traditional knowledge. Other valuable products based on traditional knowledge include agricultural and non-wood forest products as well as handicraft.

Traditional knowledge can make a significant contribution to sustainable development. Most indigenous and local communities are situated in areas where the vast majority of the world's plant genetic resources are found. Many of them have cultivated and used biological diversity in a sustainable way for thousands of years. However, the contribution of indigenous and local communities to the conservation and sustainable use of biological diversity goes far beyond their role as natural resource managers. Their skills and techniques provide valuable information to the global community and a useful model for biodiversity policies. Furthermore, as on-site communities with extensive knowledge of local environments, indigenous and local communities are most directly involved with conservation and sustainable use.

## III. Background and Status

<b>COP I</b>	<b>As part of its first medium-term programme of work, the COP decided to address knowledge, innovations and practices of indigenous and local communities and implementation of Article 8 (j) at its third meeting [<i>decision I/9 and decision II/18</i>].</b>
<b>COP II</b>	
<b>COP III</b>	COP 3 adopted decision III/14 on implementation of Article 8 (j) which set in motion a process for consideration of further work in this area. As part of this process, the COP agreed upon the need for a workshop to advise the COP on the possibility of developing a work plan on Article 8 (j) and related provisions, and to examine the need for an intersessional working group or subsidiary body to consider the role of traditional knowledge, innovations and practices relevant to the conservation and sustainable use of biological diversity.
<b>COP IV</b>	In decision IV/9, COP 4 decided to establish an Ad Hoc Open-ended Inter-sessional Working Group to address the implementation of Article 8 (j) and related provisions
<b>COP V</b>	At its fifth meeting, the COP adopted a programme of work on Article 8 (j) and related provisions [ <i>decision V/16</i> ]. The programme of work is divided into two phases according to the priority assigned to the tasks. The mandate of the Working Group was extended to undertake specific tasks under the programme of work, to review progress on its implementation, and to make recommendations for further actions.
<b>COP VI</b>	COP 6 considered the progress made in the integration of the relevant tasks of the programme of work on Article 8(j) in the thematic programmes of the Convention, and identified actions to be taken with respect to forest biological diversity, marine and coastal biological diversity, inland water ecosystems and agricultural biological diversity [ <i>decision VI/10</i> ]. The COP also reviewed progress in the implementation of the priority tasks of the programme of work on Article 8(j), and made recommendations on participatory mechanisms for indigenous and local communities as well as on the assessment of the effectiveness of existing subnational, national and international instruments, particularly intellectual property rights instruments, that may have implications for the protection of the knowledge, innovations and practices of indigenous and local communities. The COP adopted: (i) the outline of the composite report on the status and trends regarding the knowledge, innovations and practices of indigenous and local communities relevant to the conservation and sustainable use of biodiversity; and (ii) the recommendations for the conduct of cultural, environmental and social impact assessment regarding developments proposed to take place on, or which are likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities.
<b>COP VII</b>	In decision VII/16, the COP reviewed the progress made in the implementation of the programme of work on Article 8(j) and related provisions, and provided guidance on genetic use restriction technologies, composite report on the status and trends, participatory mechanisms for indigenous and local communities, development of elements of sui generis systems. In particular, it adopted the elements of a plan of action for the retention of traditional knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity, and Akwé: Kon voluntary guidelines for the conduct of cultural, environmental and social impact assessment regarding developments proposed to take place on, or which are likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities.

#### **IV. The Programme of Work on Article 8 (j) and Related Provisions**

The programme of work on Article 8(j) and related provisions, which was adopted by COP-5, comprises seven elements as follows:

- Element 1: Participatory mechanisms for indigenous and local communities.
- Element 2: Status and trends in relation to Article 8 (j) and related provisions.
- Element 3: Traditional cultural practices for conservation and sustainable use.
- Element 4: Equitable sharing of benefits.
- Element 5: Exchange and dissemination of information.
- Element 6: Monitoring elements.
- Element 7: Legal elements.

For each element a range of specific tasks to be undertaken by the Parties, the Secretariat and/or the Working Group is identified.

#### **V. Akwé: Kon Voluntary Guidelines**

At its seventh meeting, the COP adopted the Akwé: Kon guidelines, the voluntary guidelines for the conduct of cultural, environmental and social impact assessment regarding developments proposed to take place on, or which are likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities. The Guidelines, which were named with a Mohawk term meaning “everything in creation”, provide a collaborative framework ensuring the full involvement of indigenous and local communities in the assessment of cultural, environmental and social impact of proposed developments on sacred sites and on lands and waters they have traditionally occupied. Moreover, guidance is provided on how to take into account traditional knowledge, innovations and practices as part of the impact-assessment processes and promote the use of appropriate technologies.

The Guidelines suggest a ten-step process for impact assessment of proposed development as follows:

- a. Notification and public consultation of the proposed development by the proponent;
- b. Identification of indigenous and local communities and relevant stakeholders likely to be affected by the proposed development;
- c. Establishment of effective mechanisms for indigenous and local community participation, including for the participation of women, the youth, the elderly and other vulnerable groups, in the impact assessment processes;
- d. Establishment of an agreed process for recording the views and concerns of the members of the indigenous or local community whose interests are likely to be impacted by a proposed development;
- e. Establishment of a process whereby local and indigenous communities may have the option to accept or oppose a proposed development that may impact on their community;
- f. Identification and provision of sufficient human, financial, technical and legal resources for effective indigenous and local community participation in all phases of impact assessment procedures;
- g. Establishment of an environmental management or monitoring plan (EMP), including contingency plans regarding possible adverse cultural, environmental and social impacts resulting from a proposed development;



- h. Identification of actors responsible for liability, redress, insurance and compensation;
- i. Conclusion, as appropriate, of agreements, or action plans, on mutually agreed terms, between the proponent of the proposed development and the affected indigenous and local communities, for the implementation of measures to prevent or mitigate any negative impacts of the proposed development;
- j. Establishment of a review and appeals process.

## VI. Funding needs

The COP has recommended a range of activities to be undertaken at national level, for which financial support has been also requested:

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

Para. 1.

Requests those Parties that have not yet done so to develop national legislation and corresponding strategies for the implementation of Article 8 (j) in consultation particularly with representatives of their indigenous and local communities.

Para. 2.

Urges Parties to supply information about the implementation of Article 8 (j) and related articles, for example, national legislation and administrative and incentive measures, and to include such information in national reports.

Para. 3.

Invites Governments, international agencies, research institutions, representatives of indigenous and local communities and non-governmental organizations to submit case studies to the Executive Secretary in time for consideration by the workshop referred to in paragraph 9 below on measures taken to develop and implement the Convention's provisions relating to indigenous and local communities. These studies could highlight key areas of discussion and help in considering the implementation of Article 8 (j) and related articles, including, inter alia, interactions between traditional and other forms of knowledge relating to conservation and sustainable use of biological diversity; the influence of current laws and policies on knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity; and incentive measures

### **Decision IV/9. Implementation of Article 8 (j) and related provisions**

Para. 3.

Encourages Parties to include representatives of indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity in their delegations.

Para. 4.

Encourages Parties to promote consultations among indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity concerning the issues to be dealt with in the working group.

Para. 10.

As part of the short-term activities, invites Governments, international agencies, research institutions, representatives of indigenous and local communities embodying traditional lifestyles

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relevant for the conservation and sustainable use of biological diversity and non-governmental organizations to submit case-studies and other relevant information to the Executive Secretary.

Para. 12.

Requests Parties according to their capabilities to facilitate the representation, and financially and logistically support the active participation in the working group of the indigenous and local communities from their territories.

Para. 13.

Encourages Parties, when making applications to the interim financial mechanism for funding in respect of activities under Article 8(j) and related provisions, to consider: (a) priorities as set out in paragraph 10 and (b) projects in support of the development of national legislation and corresponding strategies on the implementation of Article 8(j), as well as (c) projects in support of preparations by indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity for their active participation in and contribution to the working group.

Para. 15.

Encourages Governments, relevant international and regional organizations and representatives of indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity to conduct and communicate to the Executive Secretary, case studies for dissemination through means such as the clearing-house mechanism and requests the Executive Secretary to compile case-studies submitted under decisions of the Conference of the Parties at its third and fourth meetings relating to Article 8(j) and intellectual property rights, including existing sui generis systems and/or adapted forms of protection to the knowledge, innovations and practices of indigenous and local communities relevant to the conservation and sustainable use of biological diversity for transmittal to the World Intellectual Property Organization and for use in initiatives on legislating on the implementation of Article 8(j) and related provisions

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**Decision V/16. Article 8 (j) and related provisions**

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Para. 3.

Urges Parties and Governments in collaboration with relevant organizations, subject to their national legislation, to promote and implement this programme of work, and to integrate the tasks identified into their ongoing programmes as appropriate to national circumstances, taking into account the identified collaboration opportunities.

Para. 4.

Requests Parties, Governments and relevant organizations to take full account of existing instruments, guidelines, codes and other relevant activities in the implementation of the programme of work.

Para. 7.

Requests Parties, Governments, and international, regional and national organizations to provide appropriate financial support for the implementation of the programme of work.

Para. 10.

Requests Parties, Governments, subsidiary bodies of the Convention, the Executive Secretary and relevant organizations, including indigenous and local communities, when implementing the programme of work contained in the annex to the present decision and other relevant activities

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under the Convention, to fully incorporate women and women's organizations in the activities.

Para. 11.

Invites Parties and Governments to support the participation of the International Indigenous Forum on Biodiversity, as well as relevant organizations representing indigenous and local communities, in advising the Conference of the Parties on the implementation of Article 8(j) and related provisions.

Para. 12.

Urges Parties and Governments and, as appropriate, international organizations, and organizations representing indigenous and local communities, to facilitate the full and effective participation of indigenous and local communities in the implementation of the Convention and, to this end:

(a) Provide opportunities for indigenous and local communities to identify their capacity needs, with the assistance of Governments and others, if they so require;

(b) Include, in proposals and plans for projects carried out in indigenous and local communities, funding requirements to build the communications capacity of indigenous and local communities to facilitate dissemination and exchange of information on issues related to traditional knowledge, innovations and practices;

(c) Provide for sufficient capacity in national institutions to respond to the needs of indigenous and local communities related to Article 8(j) and related provisions;

(d) Strengthen and build capacity for communication among indigenous and local communities, and between indigenous and local communities and Governments, at local, national, regional and international levels, including with the Secretariat of the Convention on Biological Diversity, with direct participation and responsibility of indigenous and local communities through their appropriate focal points;

(e) Use other means of communication in addition to the Internet, such as newspapers, bulletins, and radio, and increasing the use of local languages;

(f) Provide case-studies on methods and approaches that contribute to the preservation of traditional knowledge, innovations and practices, including through their recording where appropriate, and that support control and decision-making by indigenous and local communities over the sharing of such knowledge, innovation and practices.

Para. 15.

Invites Parties and Governments to exchange information and share experiences regarding national legislation and other measures for the protection of the knowledge, innovations and practices of indigenous and local communities.

Para. 16.

Recognizes that the maintenance of knowledge, innovations, and practices of indigenous and local communities is dependent on the maintenance of cultural identities and the material base that sustains them and invites Parties and Governments to take measures to promote the conservation and maintenance of such identities.

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Para. 17.

Requests Parties to support the development of registers of traditional knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity through participatory programmes and consultations with indigenous and local communities, taking into account strengthening legislation, customary practices and traditional systems of resource management, such as the protection of traditional knowledge against unauthorized use.

Para. 18.

Invites Parties and Governments to increase the participation of representatives of indigenous and local community organizations in official delegations to meetings held under the Convention on Biological Diversity.

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**Decision VI/10. Article 8 (j) and related provisions**

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Para. 2.

Notes the progress made in the integration of the relevant tasks of the programme of work in the thematic programmes of the Convention and emphasizes to Parties the need for further action on:

(a) With regard to forest biological diversity, the development of methodologies to advance the integration of traditional forest-related knowledge into sustainable forest management, promotion of activities to assemble management experiences and scientific, indigenous and local information at the national and local levels, and dissemination of research results and syntheses of reports on relevant scientific and traditional knowledge on key forest biological issues;

(b) With regard to marine and coastal biological diversity, the provision of information regarding approaches to the management of marine and coastal living resources in relation to those used by indigenous and local communities;

(c) With regard to inland water ecosystems, the implementation of the guidelines for establishing and strengthening local communities' and indigenous peoples' participation in the management of wetlands, adopted by the Conference of the Parties to the Ramsar Convention, through its resolution VII.8;

(d) With regard to agricultural biological diversity, the need to support local dryland and sub-humid ecosystems, and capacity-building to promote farming practices and information exchange to assist farmers and indigenous and local communities to transform unsustainable agricultural practices to sustainable ones and to increase productivity.

Para. 3.

Urges Parties, where they have not already done so, to include information in their national reports on each of the thematic programmes dealt with under the Convention on Biological Diversity, on:

(a) The status and trends in relation to traditional knowledge, innovations and practices of indigenous and local communities;

(b) Measures taken to enhance the participation of indigenous and local communities, particularly that of women from such communities, and their relevant organizations in the implementation of national work programmes in each of the thematic areas; and

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(c) Capacity-building measures taken to facilitate the involvement of indigenous and local communities and the application of the knowledge they hold, with their prior informed consent, in the management, conservation and sustainable use of biological diversity in each of the thematic areas at national, subnational and local levels.

Para. 5.

Reminds Parties of the need for further action in relation to the potential impacts of genetic use restriction technologies on the indigenous and local communities and on Farmer's Rights, according to the studies and reports elaborated by different relevant organizations, the consultations held by the Executive Secretary, and other appropriate analysis and information sources.

Para. 11.

Further requests the Executive Secretary to ensure the full and effective participation of indigenous and local communities, particularly women, in the completion of the report, through, *inter alia*, the organization of regional workshops, and encourages Parties and Governments to hold national workshops. In that regard, appropriate financing should be provided. The outcome of the workshops will be submitted to the Secretariat as a contribution to the composite report.

Para. 15.

Invites Parties and Governments to pay due regard to these recommendations until the complete set of guidelines for impact assessment is finalized.

Para. 16.

Requests Parties and Governments to undertake education and awareness-raising and develop communication strategies that allows indigenous and local communities, with special attention to indigenous and local community women, relevant government departments and agencies, private sector developers, potential stakeholders in development projects, and the public at large to be made aware of these recommendations, for incorporation, as appropriate, into policies and processes for the assessment of proposed developments.

Para. 20.

Invites Parties, Governments and relevant international, non-governmental and indigenous and local community organizations, to submit to the Executive Secretary information on their national experiences, case-studies, best practices, and lessons learned concerning participatory mechanisms for indigenous and local communities in matters related to the objectives of Article 8(j) and related provisions of the Convention.

Para. 21.

Requests the Executive Secretary to prepare a synthesis report based on the information referred to in paragraph 20 above, and, taking into account that conditions may vary from country to country, invites Parties and Governments to use the report as a basis for the establishment and/or strengthening of mechanisms at the national and local levels aimed at promoting full and effective participation of indigenous and local communities, especially women, in the decision-making process regarding the preservation, maintenance and utilization of traditional knowledge relevant for the conservation and sustainable use of biological diversity.

Para. 23.

Urges Parties and Governments to strengthen their efforts to support capacity-building aimed at the full and effective participation of indigenous and local communities, particularly women, in

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decision-making processes regarding the preservation, maintenance and utilization of traditional knowledge relevant for the conservation and sustainable use of biological diversity at all levels (local, national, regional and international); and, where indigenous and local communities and Parties and Governments deem appropriate, promote their participation in the management of biological diversity; and encourage the capacity-building efforts of indigenous and local communities in getting access to existing protections in national and international laws regarding the preservation, maintenance and utilization of their traditional knowledge.

Para. 24.

Also urges Parties and Governments and, as appropriate, international organizations to encourage and support the development of communication mechanisms, such as the Indigenous Biodiversity Information Network, among indigenous and local communities in response to their need for better understanding of the objectives and provisions of the Convention on Biological Diversity and for supporting discussions on guidelines, priorities, time-lines and the implementation of the thematic programmes of the Convention.

Para. 27.

Urges Parties and Governments to develop, implement and evaluate, in cooperation with indigenous and local communities, strategies aimed at promoting awareness and enhancing access by indigenous and local communities to information on issues relating to Article 8(j) and related provisions of the Convention.

Para. 33.

Also invites Parties and Governments, with the approval and involvement of indigenous and local communities representatives, to develop and implement strategies to protect traditional knowledge, innovations and practices based on a combination of appropriate approaches, respecting customary laws and practices, including the use of existing intellectual property mechanisms, sui generis systems, customary law, the use of contractual arrangements, registers of traditional knowledge, and guidelines and codes of practice, with the support of relevant intergovernmental organizations such as the Working Group on Indigenous Populations of the United Nations Commission on Human Rights, the Permanent Forum on Indigenous Issues established by the Economic and Social Council, the World Health Organization, the World Intellectual Property Organization, the United Nations Educational, Scientific and Cultural Organization, and the United Nations Conference on Trade and Development.

Para. 35.

Also requests the Executive Secretary to continue to compile information provided by Parties and Governments relating to existing national legislation and other measures for the protection of traditional knowledge, innovations and practices.

Para. 39.

Encourages Parties and Governments, where they have not already done so, to take measures to establish or improve operational links between their national governmental intellectual-property bodies, national focal points of the Convention on Biological Diversity, and indigenous and local communities and their organizations in order to better coordinate and institute measures to protect their traditional knowledge, innovations and practices relevant to the conservation and sustainable use of biological diversity, particularly with regard to traditional-knowledge documentation initiatives and community-based registries of traditional knowledge.

Para. 40.

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Also encourages Parties and Governments, with the assistance of international development agencies and other relevant organizations, as appropriate, and with the participation, involvement and consent of the concerned indigenous and local communities, to undertake pilot projects in order to evaluate the effectiveness of existing intellectual property rights regimes, contractual methods and new systems being developed as a means of protection of traditional knowledge.

Para. 41.

Invites Parties and Governments, with the approval and involvement of indigenous and local communities to examine the feasibility of establishing mechanisms to protect the traditional knowledge, innovations and practices of these communities relevant to the conservation and sustainable use of biological diversity, taking into consideration customary laws and practices, and subject to national legislation.

Para. 43.

Further invites Parties and Governments, indigenous and local communities and relevant organizations to exchange national experiences among countries where progress has been made in incorporating elements of customary law relevant for the protection of traditional knowledge, innovations and practices of indigenous and local communities in national legislation.

Para. 44.

Also invites Parties and Governments, indigenous and local community organizations and other relevant organizations to submit case-studies and other relevant information for the Executive Secretary to compile and disseminate through the clearing-house mechanism concerning:

- (a) Information regarding the nature, diversity and status under national laws of customary laws of indigenous and local communities, collected with their full and effective participation;
- (b) The development of strategies by indigenous and local communities to protect their traditional knowledge, innovations and practices, emphasizing the approaches used, the method of implementation and problems encountered;
- (c) The establishment of operational links between national intellectual-property authorities and indigenous and local communities to facilitate the protection of their traditional knowledge, innovations and practices relevant to the conservation and sustainable use of biological diversity;
- (d) Experiences in the implementation of regionally harmonized sui generis systems; and
- (e) The activities and conduct of researchers and academic institutions pertinent to the protection and promotion of traditional knowledge, innovations and practices.

Para. 46.

Invites Parties and Governments to encourage the disclosure of the origin of relevant traditional knowledge, innovations and practices of indigenous and local communities relevant to the conservation and sustainable use of biological diversity in applications for intellectual property rights, where the subject matter of the application concerns or makes use of such knowledge in its development.

Para. 47.

Urges Parties and Governments to examine, as appropriate, relevant provisions of the Convention on Biological Diversity with respect to prior informed consent and mutually agreed terms where

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traditional knowledge is used in its original form or in the development of new products and/or new applications.

Para. 48.

Invites Parties and Governments, with the assistance of the World Intellectual Property Organization, to take into account traditional knowledge in the examination of novelty and inventive step in patent applications.

Para. 49.

Also invites Parties, Governments and relevant international organizations to submit information on the feasibility of establishing appropriate dispute-settlement or arbitration procedures and mechanisms, including the possible application of Article 27 of the Convention on Biological Diversity, to address cases of disputes between contracting Parties concerning the interpretation or application of the Convention relating to traditional knowledge, innovations and practices.

#### **Decision VII/16. Article 8(j) and related provisions**

C. Review of progress in the implementation of the priority tasks of the programme of work on Article 8(j) and related provisions

Para. 2.

Urges Parties, where they have not already done so, to include information in their national reports on the status and trends in relation to knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity and on progress made in the implementation of the priority tasks of the programme of work at the international, national, subnational and local levels.

D. Genetic use restriction technologies

Para. 1.

Invites Parties and Governments, in collaboration with relevant organizations, to urgently create and develop, in accordance with identified needs and priorities, capacity-building programmes including the promotion of information and awareness campaigns, to involve and enable smallholder farmers, indigenous and local communities, and other relevant stakeholders to effectively participate in decision-making processes related to genetic use restriction technologies

Para. 3.

Invites Parties and indigenous and local communities to review the recommendations of the Ad Hoc Technical Expert Group on Genetic Use Restriction Technologies, as they relate to Article 8(j) and related provisions of the Convention, and provide comments thereon to the Executive Secretary, for consideration at the fourth meeting of the Ad Hoc Open-ended Inter-Sessional Working Group on Article 8(j) and Related Provisions of the Convention. The Parties as well as the indigenous communities may consult with other stakeholders for this purpose.

E. Composite report on the status and trends regarding the knowledge, innovations and practices of indigenous and local communities relevant to the conservation and sustainable use of biodiversity

Para. 3.

Urges Parties, Governments, relevant organizations, indigenous and local communities and all relevant stakeholders to provide information, through the clearing-house mechanism of the



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Convention and other feasible means/media, to the Executive Secretary to support the completion of phase one of the composite report

Para. 6.

Encourages Parties, Governments and competent organizations to support the efforts of indigenous and local communities to undertake field studies to determine the status, trends and threats related to the knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity, with the full involvement and approval of these communities. In undertaking these studies, the general principles of the programme of work on Article 8(j) and related provisions should be respected and followed, as should paragraph 28 (d) of annex I to decision VI/10, which states that codes of ethics/guidelines which entail permission and/or consent of indigenous and local communities to enter the communities and conduct the research, will be respected and followed

Para. 7.

Urges Parties, Governments and relevant organizations to provide financial assistance for the completion of phase one and activities under phase two of the preparation of the composite report, in particular in order to support the full involvement and participation of indigenous and local communities in this work

Para. 9.

Invites Parties, Governments and relevant organizations to take the elements identified in the annex into consideration when deciding upon activities to protect traditional knowledge, innovations and practices.

F. Akwé: Kon Akwé: Kon Voluntary Guidelines for the Conduct of Cultural, Environmental and Social Impact Assessment regarding Developments Proposed to Take Place on, or which are Likely to Impact on, Sacred Sites and on Lands and Waters Traditionally Occupied or Used by Indigenous and Local Communities

Para. 2.

Encourages Parties and Governments to initiate a legal and institutional review of matters related to cultural, environmental and social impact assessment, with a view to exploring options for incorporation of these guidelines into national legislation, policies, and procedures, bearing in mind that nothing in these guidelines should adversely affect biodiversity and the livelihoods of other communities, and that they should be implemented in a manner that is consistent with international law and with other international obligations.

Para. 3.

Request Parties and Governments to use these guidelines, as appropriate, in conjunction with the guidelines for incorporating biodiversity related issues into environmental impact assessment legislation and/or process and in strategic environmental assessment endorsed by the Conference of the Parties at its sixth meeting nothing in these guidelines should adversely affect biodiversity and the livelihoods of other communities, and that they should be implemented in a manner that is consistent with international law and with other international obligations.

Para. 4.

Requests the Executive Secretary to publish these guidelines as a booklet in the official languages of the United Nations, and further invites Parties and Governments, in collaboration with indigenous and local communities, to also make the guidelines available in local languages in

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relevant circumstances.

Para. 5.

Also requests Parties and Governments to conduct public education and awareness campaigns and develop strategies to ensure that relevant Government departments and agencies, indigenous and local communities and their organizations, private sector developers, civil society organizations and potential stakeholders in developments, and the public at large, are made aware of the existence of these guidelines and the need for their application when developments are proposed to take place on sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities.

Para. 6.

Invites intergovernmental organizations, Parties to intergovernmental agreements and civil society organizations active in development and biodiversity conservation, to take into consideration the guidelines for cultural, environmental and social impact assessment regarding developments proposed to take place on sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities

Para. 9.

Encourages Parties and Governments, regarding developments proposed to take place on, or which are likely to impact on, sacred sites and land and waters traditionally occupied or used by indigenous and local communities, to:

(a) Promote the participation of indigenous and local communities in any bodies established by Governments at national, subnational and local levels, and in consultation with indigenous and local communities, in the assessment of proposed developments in which such communities have an interest;

(b) Take appropriate steps to ensure full transparency of the assessment process, including, but not limited to, the allocation of a sufficient amount of time to conduct a complete assessment of proposed developments prior to their implementation;

(c) Facilitate the exchange of information among relevant national agencies, developers, indigenous and local communities and all stakeholders on matters of relevance to the conduct of impact assessments of proposed developments;

(d) Provide, the necessary capacity and funding to ensure these measures can be put into effect, taking into account the views of indigenous and local communities as to their needs.

Para. 10.

Calls upon Parties and Governments to support, financially and otherwise, indigenous and local communities, where they have not already done so, in formulating their own community development and biodiversity conservation plans that will enable such communities to adopt a culturally appropriate strategic, integrated and phased approach to their development needs in line with community goals and objectives. These plans should include a strategic environmental assessment policy or plan to provide a systematic process with the participation of indigenous and/or local communities for integrating cultural, environmental, and social considerations in planning and decision-making

Para. 13.

Calls upon Parties for full transparency when developments are proposed to take place on, or

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which are likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities.

Para. 14.

Requests Parties to include in their national reports information on practices, systems, mechanisms and experiences in the area of strategic environment assessment and cultural, environmental and social impact assessment and any measures adopted to formalize these guidelines in any policies, plans or programmes.

#### G. Participatory mechanisms for indigenous and local communities

Para. 6.

Invites Parties and Governments, in consultation with indigenous and local communities, where they have not already done so, to:

- (a) Promote the effective participation of indigenous and local communities in the development of national mechanisms for participation in decision-making and implementation;
- (b) Establish national, subregional and/or regional indigenous and local community biodiversity advisory committees, taking into account gender equity at all levels;
- (c) Enhance the capacity of national institutions, Governmental and civil organizations and organizations of indigenous and local communities to take into account the requirements of Article 8(j) and related provisions and to facilitate its implementation; and
- (d) Build sufficient capacity to ensure that the national biodiversity focal point, in accordance with domestic law, is able to make information available to indigenous and local communities with regard to the circulation of documents and outcomes of meetings held under the Convention, with particular emphasis on providing the documents in appropriate and accessible languages of indigenous and local communities;
- (e) Enhance the capacity of indigenous and local communities to collaborate with national research organizations and universities in order to identify research and training needs in relation to the conservation and sustainable use of biological diversity.

Para. 7.

Mindful of the particular constraints of developing countries, in particular small island developing States amongst them, urges Parties, Governments and international organizations, when providing financial or other support for in situ conservation, in accordance with Article 8(m) and Article 20, paragraphs 2 and 3, of the Convention, to pay particular attention to the establishment and implementation of participatory mechanisms.

Para. 8.

Encourages Parties and Governments to assist indigenous and local community organizations in their regions to hold regional meetings to discuss the outcomes of the decisions of the Conference of the Parties and to prepare for meetings under the Convention, in particular the meetings of the Ad Hoc Open-ended Working Group on Article 8(j) and Related Provisions and the Ad Hoc Open-ended Working Group on Access and Benefit-sharing.

Para. 9.

Invites Parties to include information regarding the level of participation of indigenous and local

communities in their national reports, as well as the measures and approaches used to encourage the participation of indigenous and local communities

H. Development of elements of sui generis systems for the protection of traditional knowledge, innovations and practices

Para. 2.

Invites Parties, Governments, indigenous and local communities, and relevant international organizations to communicate to the Executive Secretary any relevant information on existing indigenous, local, national and regional sui generis systems for the protection of the knowledge, innovations and practices of indigenous communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity and any relevant information on innovative policy, administrative and legislative measures that are supportive of customary law and practices

Para. 7.

Invites Parties and Governments to consider appropriate measures, with the full and effective participation of indigenous and local communities, to implement at local, national, subregional, regional and international levels sui generis systems and other new innovative mechanisms that ensure the protection of traditional knowledge, innovations and practices taking into consideration customary law and traditional practices

Para. 9.

Invites Parties, Governments and international organizations to strengthen the capacity of indigenous and local communities to protect, use, preserve, maintain and promote their traditional knowledge, innovations and practices relevant for the conservation and sustainable use of biological diversity.

Para. 10.

Invites both Parties and indigenous and local communities to share national experiences amongst themselves on local and national approaches, as well as international approaches, for the protection of traditional knowledge and to consider the harmonization of approaches at the regional level

## **VII. Useful documents**

**Knowledge, innovations and practices of indigenous and local communities (UNEP/CBD/SBSTTA/2/7)**

Implementation of Article 8 (j) and related provisions (UNEP/CBD/COP/4/10)

Report of the Ad Hoc Working Group on Article 8 (j) and related provisions (UNEP/CBD/COP/5/5)

Report of the ad hoc open-ended inter-sessional working group on Article 8(j) and related provisions of the Convention on Biological Diversity on the work of its second meeting (UNEP/CBD/COP/6/7)

## **Chapter 16. Access and Benefit-Sharing**

### **I. Mandate**

The Conference of the Parties to the Convention on Biological Diversity has adopted several decisions on access and benefit sharing, and some of these decisions contain funding provisions.

<b>COP I</b>	
<b>COP II</b>	
<b>COP III</b>	Decision III/5, paragraph 4
	<i>Urges</i> the Global Environment Facility, along with Governments, regional economic integration organizations, and competent international, regional and national organizations, to support human and institutional capacity-building programmes for Governments, non-governmental organizations and local and indigenous communities, as appropriate, to promote the successful development and implementation of legislative, administrative and policy measures and guidances on access to genetic resources, including scientific, technical, business, legal and management skills and capacities
	Decision III/15, paragraph 3
	<i>Urges</i> Governments, regional economic integration organizations, the interim financial mechanism, and competent international, regional and national organizations to support and implement human and institutional capacity-building programmes for Governments, non-governmental organizations and local and indigenous communities, as appropriate, to promote the successful development and implementation of legislative, administrative and policy measures and guidelines on access, including scientific, technical, business, legal and management skills and capacities
<b>COP IV</b>	Decision IV/8, paragraph 4
	<p><i>Requests</i> the financial mechanism to give special emphasis to the following programme priorities to fund initiatives by eligible Parties:</p> <p>(a) Stock-taking activities, such as, for example, assessments of current legislative, administrative, and policy measures on access to genetic resources and benefit-sharing, evaluation of the strengths and weaknesses of a country's institutional and human capacity, and promotion of consensus-building among its different stakeholders; and, for those developing country Parties that have identified arrangements for benefit-sharing as a national priority;</p> <p>(b) Formulation of access and benefit-sharing mechanisms at the national, subregional and regional level including monitoring and incentive measures;</p> <p>(c) Capacity-building for measures on access to genetic resources and sharing of benefits, including capacity-building for economic valuation of genetic resources;</p>

	(d) Within biodiversity projects, other specific benefit-sharing initiatives, such as support for entrepreneurial developments by local and indigenous communities, facilitation of financial sustainability of projects promoting the sustainable use of genetic resources, and appropriate targeted research components
	Decision IV/8, paragraph 5
	<i>Invites</i> all relevant organizations and the private sector to support efforts by Parties and Governments to develop and promote legislative or administrative measures, policies and programmes which facilitate the distribution of benefits arising from the use of genetic resources on mutually agreed terms and to update the Executive Secretary on a regular basis regarding their activities and experiences
	Decision IV/13, paragraph 8
	<i>Provide</i> support for: (a) Stock-taking activities, such as, for example, assessments of current legislative, administrative and policy measures on access to genetic resources and benefit-sharing, evaluation of the strengths and weaknesses of a country's institutional and human capacity, and promotion of consensus-building among its different stakeholders; (b) Formulation of access and benefit-sharing mechanisms at the national, subregional and regional levels, including monitoring, assessment, and incentive measures; (c) Capacity-building on measures on access to genetic resources and sharing of benefits, including capacity-building on economic valuation of genetic resources; (d) Within biodiversity projects, other specific benefit-sharing initiatives such as support for entrepreneurial developments by local and indigenous communities, facilitation of financial sustainability of projects promoting the sustainable use of genetic resources, and appropriate targeted research components
COP V	Decision V/13, paragraph 2(g)
	For projects that will address the issue of access and benefit-sharing, in accordance with decision V/26
COP VI	Decision VI/17, paragraph 10(m)
	For projects that assist with the implementation of the Action Plan on Capacity-building for Access and Benefit-sharing in support of the implementation of the Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of the Benefit Arising out of their Utilization
	Decision VI/24, A, paragraph 5
	<i>Invites</i> Parties and relevant organizations to provide financial and technical assistance to support developing countries, in particular least developed countries, small islands developing states, as well as countries with economies in transition, in implementing the Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of the Benefit Arising out of their Utilization
	Decision VI/24, B, paragraph 7
	<i>Invites</i> the financial mechanism and other relevant intergovernmental organizations to participate in the Workshop and to support the implementation of the Action Plan on Capacity-building for Access and Benefit-sharing
COP VII	Decision VII/19, F, paragraph 3
	<i>Urges</i> Parties and relevant organizations to provide financial and technical assistance to support developing countries, in particular, least developed

	countries, small island developing States, as well as countries with economies in transition, in implementing the Action Plan and the resulting national, regional and subregional plans and strategies
	Decision VII/19, F, annex, paragraph 7
	Actions at multiple levels: (f) Funding through the Global Environment Facility and other donors
	Decision VII/19, F, annex, paragraph 9
	Actions at the regional and subregional levels and at the international levels: (b) Assessment of resource requirements and development of a funding strategy; (f) Coordination between multilateral and bilateral donors and other organizations
	Decision VII/19, F, appendix, A, paragraph 5
	National level 5. Development of timelines, including short- and long-term requirements for internal and external funding.
	Decision VII/19, F, appendix, B, paragraph 1
	Subregional and regional levels 1. Assessment of national, bilateral and multilateral funding.
	Decision VII/19, F, appendix, C, paragraph 2
	International level 2. Enhancing the effectiveness and adequacy and coordination of financial resources to be provided by multilateral and bilateral donors and other donors to developing countries, in particular the least developed and small island developing States among them, as well as countries with economies in transition
	Decision VII/20, paragraph 19
	<i>Reiterates</i> its guidance to the Global Environment Facility, as the institutional structure operating the financial mechanism of the Convention, to provide financial resources for country-driven projects based on national priorities that assist with the implementation of the Action Plan in support of the implementation of the Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of Benefits Arising out of their Utilization, and further requests the Global Environment Facility, in accordance with its mandate, to support capacity-building regarding the transfer of technologies which enables providers to fully appreciate and actively participate in benefit-sharing arrangements at the stage of granting access permits

## II. Issues

One of the three objectives of the Convention on Biological Diversity, as set out in its Article 1, is the

“fair and equitable sharing of the benefits arising out of the utilization of genetic resources, including by appropriate access to genetic resources and by appropriate transfer of relevant technologies, taking into account all rights over those resources and to technologies, and by appropriate funding”

A framework for the implementation of this third objective of the Convention with regard to access to genetic resources is provided in Article 15 of the Convention. In addition, Article 8(j) contains provision to encourage the equitable sharing of the benefits arising from the utilization of knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for conservation and sustainable use of biological diversity.

These provisions are also linked to the provisions on access to, and transfer of technology (Article 16), exchange of information (Article 17), technical and scientific cooperation (Article 18), the handling of biotechnology and distribution of its benefits (Article 19, paragraphs 1 and 2), and financial resources and financial mechanism (Article 20 and Article 21).

### III. Background and Status

COP I	<b>As part of its first medium term programme of work, the COP decided to address the question of access to genetic resources at its second and third meetings, and the question of benefit sharing at its fourth meeting [<i>decision I/9</i>].</b>
COP II	COP 2 reviewed existing legislation, administrative and policy information on access to genetic resources and the equitable sharing of benefits derived from their use and the information provided by Governments as well as relevant reports from appropriate international organizations regarding policy, legislative, or administrative measures related to intellectual property rights as provided in Article 16 of the Convention and to access to and transfer of technology that makes use of genetic resources, and requested further compilation of studies and relevant information [ <i>decision II/11</i> ].
COP III	At its third meeting, the COP considered the views of Parties on possible options for developing national legislative, administrative or policy measures, as appropriate to implement Article 15, and requested further information gathering and sharing. It decided to cooperate closely with the World Trade Organization to explore the extent to which there may be linkages between Article 15 and relevant articles of the Agreement on Trade-related Aspects of Intellectual Property Rights [ <i>decision III/15</i> ].
COP IV	COP 4 addressed the equitable sharing of benefits arising out of the utilization of genetic resources, for the first time as a separate agenda item [ <i>decision IV/8</i> ]. In addition to further information gathering, the COP requested an inter-sessional open-ended meeting to explore options for access and benefit-sharing mechanisms, and also established an experts panel to draw upon all relevant sources, including legislative, policy and administrative measures, best practices and case-studies on access to genetic resources and benefit-sharing arising from the use of those genetic resources, including the whole range of biotechnology, in the development of a common understanding of basic concepts and to explore all options for access and benefit-sharing on mutually agreed terms including guiding principles, guidelines, and codes of best practice for access and benefit-sharing arrangements. COP 4 also adopted a programme of work for COP5 to COP 7, under which access to genetic resources will be addressed at COP 5, and benefit sharing at COP 6 [ <i>decision IV/16</i> ].



COP V	In decision V/26 on access to genetic resources, the COP addressed three issues: access and benefit-sharing arrangements, the relationship between intellectual property rights and the relevant provisions of the Agreement on Trade-related Aspects of Intellectual Property Rights and the Convention on Biological Diversity, <i>ex-situ</i> collections acquired prior to the entry into force of the Convention and not addressed by the Commission on Genetic Resources for Food and Agriculture. It decided to reconvene the Expert Panel to conduct further work on outstanding issues from its first meeting, and also established an Ad Hoc Open-ended Working Group on Access and Benefit Sharing to develop guidelines and other approaches, and to assist in addressing the following elements relevant to access and benefit sharing: terms for prior informed consent and mutually agreed terms; roles, responsibilities and participation of stakeholders; relevant aspects relating to <i>in situ</i> and <i>ex situ</i> conservation and sustainable use; mechanisms for benefit-sharing, for example through technology transfer and joint research and development; and means to ensure the respect, preservation and maintenance of knowledge, innovations and practices of indigenous and local communities.
COP VI	COP VI adopted the Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of the Benefit Arising out of their Utilization, and decided to reconvene the Ad Hoc Open-ended Working Group on access and Benefit-sharing to provide further advice. The COP also other approaches and adopted an action plan for capacity building for access to genetic resources and benefit-sharing. In addition, the COP considered the role of intellectual property rights in the implementation of access and benefit-sharing arrangements, as well as other issues relating to access and benefit-sharing [ <i>decision VI/24</i> ].
COP VII	In decision VII/19, the COP addresses the following: the Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of Benefits Arising out of their Utilization; the use of terms and the need for definitions and/or a glossary, as appropriate, in the Bonn Guidelines; other approaches, complementary to the Bonn Guidelines, to assist with the implementation of the ABS provisions of the Convention; measures, including consideration of their feasibility, practicality and costs, to support compliance with prior informed consent of the Contracting Party providing genetic resources and mutually agreed terms on which access was granted in Contracting Parties with users of such resources under their jurisdiction; capacity-building for access and benefit-sharing; and, the negotiation of an international regime on access to genetic resources and benefit-sharing.

#### **IV. Bonn Guidelines on access to genetic resources and fair and equitable sharing of the benefits arising out of their utilization**

COP VI adopted the Bonn guidelines on access to genetic resources and the fair and equitable sharing of the benefits arising from their utilization.

The Guidelines were recognized as a useful first step of an evolutionary process in the implementation of relevant provisions of the Convention related to access to genetic resources and benefit-sharing. They will be kept under review by the COP and the need for their further refinement will be considered on the basis of relevant developments under the Convention, including those on issues such as traditional knowledge and technology transfer.

The Guidelines have the following elements:

- I. General Provisions
  - A. Key features
  - B. Use of terms

- C. Scope
- D. Relationship with relevant international regimes
- E. Objectives

## II. Roles and Responsibilities in Access and Benefit-Sharing Pursuant to Article 15 of the Convention on Biological Diversity

- A. National focal point
- B. Competent national authority(ies)
- C. Responsibilities

## III. Participation of Stakeholders

## IV. Steps in the Access and Benefit-sharing Process

- A. Overall strategy
- B. Identification of steps
- C. Prior informed consent
  - 1. Basic principles of a prior informed consent system
  - 2. Elements of a prior informed consent system
- D. Mutually agreed terms
  - 1. Basic requirements for mutually agreed terms
  - 2. Indicative list of typical mutually agreed terms
  - 3. Benefit-sharing

## V. Other Provisions

- A. Incentives
- B. Accountability in implementing access and benefit-sharing arrangements
- C. National monitoring and reporting
- D. Means for verification
- E. Settlement of disputes
- F. Remedies

## **V. Action plan on capacity building for access to genetic resources and benefit-sharing**

At its seventh meeting, the Conference of the Parties adopted the Action Plan on Capacity-building for Access to Genetic Resources and Benefit-sharing, which includes:

- A. Objective of the Action Plan
- B. Key areas requiring capacity-building
- C. Mechanisms for the implementation of capacity-building in key areas
- D. Coordination

## **VI. Funding needs**

The COP has identified capacity building and other measures related to access and benefit sharing for financial support by funding agencies/organizations:

<b>Decision II/11. Access to genetic resources</b>
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Para. 3.
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<u>Urges</u> Governments to send information on national measures to the Secretariat at their earliest
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convenience

### **Decision III/15. Access to genetic resources**

Para. 3.

Urges Governments, regional economic integration organizations, the interim financial mechanism, and competent international, regional and national organizations to support and implement human and institutional capacity-building programmes for Governments, non-governmental organizations and local and indigenous communities, as appropriate, to promote the successful development and implementation of legislative, administrative and policy measures and guidelines on access, including scientific, technical, business, legal and management skills and capacities

Para. 4.

Invites Governments, regional economic integration organizations and competent international, regional and national organizations to conduct analyses of ongoing experiences of legislative, administrative and policy measures and guidelines on access, including regional efforts and initiatives, and to disseminate these widely to assist Parties and stakeholders involved in developing and implementing measures and guidelines on access

Para. 5.

Encourages Governments and regional economic integration organizations to explore and develop, in collaboration with relevant stakeholders, guidelines and practices to ensure mutual benefits to providers and users of access measures and to implement them effectively at the national, regional or international level, as appropriate

Para. 6.

Encourages Governments and regional economic integration organizations to identify and communicate to the Secretariat competent national authorities responsible for granting access to genetic resources and/or competent national authorities to provide information on the granting of access to genetic resources;

Para. 7.

Urges Governments and regional economic integration organizations to bring to a rapid conclusion the negotiation for the adaptation of the International Undertaking on Plant Genetic Resources for Food and Agriculture, in harmony with the Convention on Biological Diversity, in particular, providing solutions to access to ex situ collections not acquired in accordance with the Convention.

### **Decision IV/8. Access and benefit-sharing**

### **Decision V/26. Access to genetic resources**

#### A. Access and benefit-sharing arrangements

Para. 1.

Requests Parties to designate a national focal point and one or more competent national authorities, as appropriate, to be responsible for access and benefit-sharing arrangements or to provide information on such arrangements within its jurisdiction

Para. 2.

Requests Parties to notify the Executive Secretary of the names and addresses of its focal points and competent authorities

Para. 3.

Urges Parties to ensure that national biodiversity strategies as well as legislative, administrative or policy measures on access and benefit-sharing contribute to conservation and sustainable-use objectives

Para. 4.

Recognizing the importance for Parties to promote trust-building and transparency in order to facilitate the exchange of genetic resources, particularly with regard to the implementation of Article 15 of the Convention:

- (a) Urges Parties to pay particular attention to their obligations under Articles 15, 16 and 19 of the Convention, and requests them to report to the Conference of the Parties on the measures they have taken to this effect;
- (b) Notes that legislative, administrative or policy measures for access and benefit-sharing need to promote flexibility, while recognizing the need for sufficient regulation of access to genetic resources to promote the objectives of the Convention;
- (c) Notes that all countries are providers and recipients of genetic resources, and urges recipient countries to adopt, appropriate to national circumstances, legislative, administrative or policy measures consistent with the objectives of the Convention that are supportive of efforts made by provider countries to ensure that access to their genetic resources for scientific, commercial and other uses, and associated knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity, as appropriate, is subject to Articles 15, 16 and 19 of the Convention, unless otherwise determined by that provider country;
- (d) Recognizing the complexity of this issue, with particular consideration of the multiplicity of prior informed consent considerations, invites Parties to cooperate further to find practical and equitable solutions to this issue ...

Para. 6.

Notes that, in the absence of comprehensive legislation and national strategies for access and benefit-sharing, voluntary measures, including guidelines, may help ensure realization of the objectives of the Convention, and to that end invites the Parties to consider promotion of their use;

Para. 7.

Stresses that it is important that, in developing national legislation on access, Parties take into account and allow for the development of a multilateral system to facilitate access and benefit-sharing in the context of the International Undertaking on Plant Genetic Resources, which is currently being revised

C. Ex situ collections acquired prior to the entry into force of the Convention and not addressed by the Commission on Genetic Resources for Food and Agriculture

Para. 4.

Invites Parties, Governments and other organizations to provide capacity-building and technology development and transfer for the maintenance and utilization of ex situ collections

**Decision VI/24. Access and benefit-sharing as related to genetic resources**

A. Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of the Benefits Arising out of their Utilization

Para. 4.

Invites Parties and Governments to use the Guidelines when developing and drafting legislative, administrative or policy measures on access and benefit-sharing, and contracts and other arrangements under mutually agreed terms for access and benefit-sharing

B. Other approaches, including the development of an action plan for capacity-building

Para. 3.

Invites Parties and indigenous and local communities to provide to the Executive-Secretary information regarding capacity-building needs, priorities and existing initiatives for capacity-building for access to genetic resources and benefit-sharing

Para. 9.

Urges Parties, other Governments and relevant bodies when nominating their experts for inclusion in the roster to consider gender balance, involvement of representatives of indigenous and local communities, and a range of relevant disciplines and expertise.

C. Role of intellectual property rights in the implementation of access and benefit-sharing arrangements

Para. 1.

Invites Parties and Governments to encourage the disclosure of the country of origin of genetic resources in applications for intellectual property rights, where the subject matter of the application concerns or makes use of genetic resources in its development, as a possible contribution to tracking compliance with prior informed consent and the mutually agreed terms on which access to those resources was granted

Para. 2.

Also invites Parties and Governments to encourage the disclosure of the origin of relevant traditional knowledge, innovations and practices of indigenous and local communities relevant for the conservation and sustainable use of biological diversity in applications for intellectual property rights, where the subject matter of the application concerns or makes use of such knowledge in its development

Para. 6.

Invites Parties and Governments to submit case-studies that they consider relevant to the issues specified in paragraphs 3 and 4

Para. 12.

Encourages Parties to facilitate the participation of indigenous and local communities and other relevant stakeholders in the various forums, in particular the World Intellectual Property Organization, the Convention on Biological Diversity, the World Trade Organization, the United Nations Conference on Trade and Development and regional forums, as well as in the preparation of national strategies, policies, regulatory frameworks and legislation related to access to genetic resources and benefit-sharing, from a very early stage.

D. Other issues relating to access and benefit-sharing

Para. 6.

Requests Parties and relevant organizations, as appropriate, to make available to the Executive

Secretary:

(a) Detailed information on the measures adopted to implement access and benefit-sharing, including the text of any legislation or other measures developed to regulate access and benefit-sharing

(b) Case-studies on the implementation of access and benefit-sharing arrangements;

(c) Other information, such as that listed in decision V/26, paragraph 12.

**Decision VII/19. Access and benefit-sharing as related to genetic resources (Article 15)**

A. Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of Benefits Arising out of their Utilization

Para. 2.

Invites Parties, Governments, indigenous and local communities and all relevant stakeholders to continue to promote the wide implementation of the voluntary Bonn Guidelines.

Para. 3.

Encourages Parties, Governments, indigenous and local communities and all relevant stakeholders to further submit information on relevant experience and lessons learned, including successes and constraints, in the implementation of the Guidelines

E. Measures, including consideration of their feasibility, practicality and costs, to support compliance with prior informed consent of the Contracting Party providing genetic resources and mutually agreed terms on which access was granted in Contracting Parties with users of such resources under their jurisdiction

Para. 2.

Invites Parties and Governments to continue taking appropriate and practical measures to support compliance with prior informed consent of the Contracting Parties providing such resources, including countries of origin, in accordance with Article 2 and Article 15, paragraph 3, of the Convention, and of the indigenous and local communities providing associated traditional knowledge, and with mutually agreed terms on which access was granted. Such measures may include:

(a) Exchange of information between users and providers regarding legislative, administrative and policy measures existing in their jurisdiction relating to access and benefit-sharing;

(b) Incentive measures, as referred to in paragraph 51 of the Bonn Guidelines, to encourage users to comply with national legislation, including prior informed consent and mutually agreed terms, such as publicly sponsored research grants and voluntary certification schemes;

(c) Development of model/standard contractual agreements for different user groups and different genetic resources;

(d) Aspects related to the import and export of genetic resources, including regulations when feasible and as appropriate;

(e) Easy access to justice in cases of violation of legal provisions in provider and user countries;

(f) Administrative and judicial remedies, including penalties and compensation as provided by national laws;

(g) Monitoring.

Para. 3.

Invites Parties to recognize that traditional knowledge, whether written or oral, may constitute prior art.

Para. 4.

Invites Parties to establish national mechanisms to ensure compliance, when required by domestic law, with the obtaining of prior informed consent of indigenous and local communities regarding access to genetic resources and associated traditional knowledge.

Para. 5.

Invites Parties to put in place mechanisms to ensure fair and equitable benefit-sharing at the national level with relevant stakeholders and indigenous and local communities

F. Needs for capacity-building identified by countries to implement the Bonn Guidelines

Para. 2.

Invites Parties and Governments and relevant organizations to use the Action Plan when designing and implementing national, regional and subregional plans and strategies to build capacities for access and benefit-sharing of genetic resources and related traditional knowledge.

Para. 3.

Urges Parties and relevant organizations to provide financial and technical assistance to support developing countries, in particular, least developed countries, small island developing States, as well as countries with economies in transition, in implementing the Action Plan and the resulting national, regional and subregional plans and strategies.

Para. 4.

Encourages Parties and Governments to provide for the full and effective involvement and participation of indigenous and local communities and all relevant stakeholders in the development and implementation of national capacity-building plans and strategies.

Para. 5.

Requests Parties and Governments to make information available through the clearing-house mechanism and to include information in national reports regarding their implementation of capacity-building measures on access to genetic resources and related traditional knowledge, and benefit-sharing

## VII. Useful documents

**Access to genetic resources and benefit-sharing: Legislation, administrative and policy information (UNEP/CBD/COP/2/13)**

Review of national, regional and sectoral measures and guidelines for the implementation of Article 15 (UNEP/CBD/COP/4/23)

Recent developments on access and benefit-sharing (UNEP/CBD/COP/6/19/ADD1)

Synthesis of case studies on benefit-sharing (UNEP/CBD/COP/4/Inf.7)

Report of the ad hoc open-ended working group on access and benefit-sharing on the work of its





## **Chapter 17. Incentive Measures**

### **I. Mandate**

The Conference of the Parties to the Convention on Biological Diversity has adopted several decisions on incentive measures, and some of these decisions contain funding provisions.

<b>COP I</b>	<b>Decision I/2, annex I, paragraph 4(i)</b>
	Innovative measures, including in the field of economic incentives, aiming at conservation of biological diversity and/or sustainable use of its components, including those which assist developing countries to address situations where opportunity costs are incurred by local communities and to identify ways and means by which these can be compensated, in accordance with article 11 of the Convention
<b>COP II</b>	
<b>COP III</b>	Decision III/5, paragraph 3
	<i>Reconfirms</i> the importance of the Global Environment Facility's support for incentive measures, guidance for which was contained in annex I to decision I/2, paragraph 4, taking note of decision III/18
<b>COP IV</b>	Decision IV/10, A, paragraph 3
	<i>Requests</i> the financial mechanism to provide to eligible Parties adequate and timely support for the design and approaches relevant to the implementation of incentive measures including, where necessary, assessment of biological diversity of the relevant ecosystems, capacity-building necessary for the design and implementation of incentive measures and the development of appropriate legal and policy frameworks, and projects with components that provide for these incentives
	Decision IV/13, paragraph 7
	The Global Environment Facility should provide adequate and timely support for the design and approaches relevant to the implementation of incentive measures, including, where necessary, assessment of biological diversity of the relevant ecosystems, capacity-building necessary for the design and implementation of incentive measures and the development of appropriate legal and policy frameworks, and projects with components that provide for these incentives, in accordance with decision IV/10
<b>COP V</b>	Decision V/13, paragraph 2(h)
	The Global Environment Facility should provide support for projects that incorporate incentive measures that promote the development and implementation of social, economic and legal incentive measures for the conservation and sustainable use of biological diversity, in accordance with decision V/15
	Decision V/15, paragraph 1
	<i>Establishes</i> a programme of work that promotes the development and implementation of social, economic and legal incentive measures for the

	conservation and sustainable use of biological diversity, in synergy with specific programmes of work, in order to: (b) Develop practical guidance to the financial mechanism for effective support and prioritization of these policies and projects
COP VI	Decision VI/15, paragraph 8
	<i>Requests</i> Parties, Governments, international and other relevant organizations to provide financial support for the programme of work on incentive measures, taking into consideration the specific circumstances of countries, in particular small island developing States and countries with economies in transition
	Decision VI/15, annex I, paragraph 26
	Funding. Funding, as appropriate, should be ensured in the design of the incentive measure.
	Decision VI/15, annex I, paragraph 31
	Funding. Funding should be ensured for capacity-building.
	Decision VI/15, annex I, paragraph 35
	Funding. Adequate funding should be available to ensure the effective management, monitoring and enforcement of incentive measures.
	Decision VI/17, paragraph 10(j)
	The Global Environment Facility should provide support for projects that assist with the implementation of the programme of work on incentive measures, taking into consideration the specific circumstances of countries, in particular, least developed countries and small island developing States
COP VII	Decision VII/18, paragraph 5
	<i>Invites</i> competent international organizations and agencies to provide technical and financial support to the efforts of Parties and Governments to apply these proposals with a view to removing or mitigating perverse incentives
	Decision VII/18, paragraph 10
	<i>Urges</i> Parties, Governments and relevant funding agencies to target and prioritize funding to support the preparation and compilation of case-studies and best practices contemplated in paragraph 8

## II. Issues

In Article 11 of the Convention, the international community acknowledged the importance of incentive measures in achieving the conservation and sustainable use of biological diversity.

When left alone, markets fail to adequately reflect the value of biodiversity, that is, its essential role in the supply of the myriad of goods and services important for human well-being. The market prices of these goods and services do not properly include the losses to society arising from biodiversity degradation. This market failure leads societal actors – individuals, companies and governments alike – to use biodiversity in an unsustainable manner.

The reason for this failure is simple. Even while some biodiversity components have values that are appropriable by the individual, many others bear characteristics of “public goods”, including the key characteristic of public goods that nobody can be excluded from their use. Consequently, individual societal actors often have insufficient, if any, incentive to conserve biodiversity and use it in a sustainable way: While they would have to bear the costs associated with their effort individually, most, if not all, of the associated benefits would accrue to society-at-large.

Incentive measures seek to “internalize” the public-good value of biodiversity into the decision-making of these actors. When full internalization is not possible due to economic and social circumstances, incentive measures should at least bridge the profitability gap between unsustainable activities and sustainable alternatives and thus induce these actors to conserve biological diversity or to use its components in a sustainable manner. Importantly, such an inducement does not rely on an outright prescription or prohibition of specific activities.

Incentive measures usually take the form of a new policy, law, or economic or social programme. However, a single incentive measure functions within the broader set of incentives governing human behaviour, and its effectiveness depends upon support from the existing social, economic and policy environment. Accordingly, the Conference of the Parties has encouraged Parties to review existing policies to identify and promote incentives for conservation and sustainable use of biodiversity, and to develop supportive legal and policy frameworks for the design and implementation of incentive measures. Furthermore, the Conference of the Parties has taken a broad approach to the design and implementation of incentive measures that includes social and institutional measures, in addition to formal economic instruments. For instance, stakeholder participation, capacity-building and information provision are recognized as key elements of a successful implementation strategy.

A range of incentive (and disincentive) measures is available to encourage the conservation or sustainable use of biological diversity.

A positive incentive measure is an economic, legal or institutional measure designed to encourage beneficial activities. Positive incentive measures include, inter alia, incentive payments for organic farming, agricultural land set-aside schemes as well as public or grant-aided land purchases or conservation easements.

Negative incentive measures or disincentives are mechanisms designed to discourage harmful or unsustainable activities. Examples of disincentives are user fees or pollution taxes.

Indirect incentive measures seek to change the relative costs and benefits of specific activities in an indirect way. Trading mechanisms and other institutional arrangements create or improve markets for biological resources, thus encouraging the conservation and sustainable use of biological diversity. Examples include, inter alia, individual transferable fishing quotas, property right mechanisms, species commercialization, biodiversity prospecting, emissions trading schemes or certification and eco-labeling initiatives.

In addition, the Conference of the Parties stressed the importance of taking appropriate action against those incentive measures that threaten biological diversity. These so-called perverse incentives induce unsustainable behavior that destroys biodiversity, often as unanticipated side effects of policies designed to attain other objectives. Such “policy failures” can include government subsidies or other measures, which fail to take into account the existence of environmental externalities, as well as laws or customary practice governing resource use. In order to ensure the conservation of biodiversity and the sustainable use of its components, it is therefore important to identify policies and practices that generate perverse incentives and to consider their removal or the mitigation of their negative impacts through appropriate means.

Finally, the use of appropriate valuation tools was also recognized to be an important component of policies that aim to correct the incentives of societal actors. First, eliciting the hidden value of

biodiversity is an important precondition to the internalization of this value in their decision-making. Second, by raising awareness among societal actors of the hidden values of biodiversity, valuation can also act as an incentive measure in its own right.

### III. Background and Status

COP I	<b>As part of its medium-term programme of work, COP 1 decided to consider options for implementing Article 11 at its third meeting [decision I/9].</b>
COP II	At its second meeting, the COP specified that it would consider the compilation of information and experiences shared on the implementation of Article 11 at its third meeting [decision II/18].
COP III	In decision III/18, the COP affirmed that the implementation of incentive measures, in a broad social, cultural and economic context, is of central importance to the realization of the three objectives of the Convention, and resolved that incentive measures should be integrated into the sectoral and thematic items of its work programme. It also decided to consider providing guidance on the design and implementation of incentive measures.
COP IV	COP 4 was of the view that incentive measures should be designed using an ecosystem approach and with the targeted resource management audience in mind, and economic valuation of biodiversity and biological resources is an important tool for well-targeted and calibrated economic incentive measures [decision IV/10, A]. It requested further exchange of information on the design and implementation of incentive measures.
COP V	At COP 5, a programme of work on incentive measures was established in order to support Parties in developing practical policies and projects and to develop practical guidelines to the financial mechanisms for effective support and prioritization of these policies and projects [decision V/15].
COP VI	By decision VI/15, the COP endorsed the proposals for the design and implementation of incentive measures, and the recommendations for future cooperation on incentive measures. In that decision, the COP recognizes that further work has to be undertaken on positive incentives and their performance, as well as on perverse incentives and ways and means for their removal or mitigation.
COP VII	In decision VII/18, the COP decided to further refine and consider the proposals for the application of ways and means to remove or mitigate perverse incentives, and requested an analysis of existing and new instruments that provide positive incentives, and a compilation of existing valuation tools.

### IV. The Programme of Work on Incentive Measures

COP-5 decided to establish the programme of work intended to promote the development and implementation of social, economic and legal incentive measures. The expected results of the work programme are:

- (a) The assessment of representative existing incentive measures, review of case studies, identification of new opportunities for incentive measures, and dissemination of information through the CHM and other means;

- (b) The development of methods to promote information on biodiversity in consumer decisions;
- (c) The assessment, as appropriate, of the values of biodiversity;
- (d) A consideration of biodiversity concerns in liability schemes;
- (e) The creation of incentives for integration of biodiversity concerns in all sectors.

## V. Funding needs

The COP has called upon funding agencies/organizations to provide financial support for the design and implementation of incentive measures:

<b>Decision III/18. Incentive measures</b>
<p>Para. 3.  <u>Encourages</u> Parties to review their existing legislation and economic policies, to identify and promote incentive for the conservation and sustainable use of components of biological diversity, stressing the importance of taking appropriate action on incentives that threaten biological diversity</p> <p>Para. 4.  <u>Encourages</u> Parties to ensure adequate incorporation of the market and non-market values of biological diversity into plans, policies and programmes and other relevant areas, inter alia, national accounting systems and investment strategies</p> <p>Para. 5.  <u>Encourages</u> Parties to develop training and capacity-building programmes to implement incentive measures and promote private-sector initiatives in this regard</p> <p>Para. 6. <u>Encourages</u> Parties to incorporate biological diversity considerations into impact assessments, consistent with Article 14 of the Convention, as a step in the design and implementation of incentive measures</p> <p>Para. 7.  <u>Invites</u> Parties to share experiences on incentive measures and make relevant case studies available to the Secretariat, and requests the Executive Secretary to facilitate the exchange of information on incentive measures, including case studies, amongst Parties, through appropriate means such as the clearing-house mechanism and regional workshops.</p>
<b>Decision IV/10 A. Incentive measures: Consideration of measures for the implementation of Article 11</b>
<p>Para. 1.  <u>Encourages</u> Parties, Governments and relevant organizations:</p> <p>(a) To promote the design and implementation of appropriate incentive measures, taking fully into account the ecosystem approach and the various conditions of the Parties and employing the precautionary approach of Principle 15 of the Rio Declaration on Environment and Development, in order to facilitate achieving the implementation of the objectives of the Convention and to integrate biological diversity concerns in sectoral policies, instruments and projects;</p> <p>(b) As a first step towards formulating incentive measures, to identify threats to biological diversity and underlying causes of reduction or loss of biological diversity and relevant actors;</p>

(c) To take into account economic, social, cultural and ethical valuation in the development of relevant incentive measures;

(d) To develop supportive legal and policy frameworks for the design and implementation of incentive measures;

(e) To carry out participatory consultative processes at the relevant level to define the clear and target-oriented incentive measures to address the identified underlying causes of biodiversity reduction or loss and unsustainable use;

(f) To identify perverse incentives and consider the removal or mitigation of their negative effects on biological diversity in order to encourage positive, rather than negative, effects on the conservation and sustainable use of biological diversity;

(g) To prepare case-studies on incentive measures in the thematic focus of the fifth meeting of the Conference of the Parties, utilizing the indicative outline prepared by the Executive Secretary as far as possible, and to make them available to the Executive Secretary.

(h) To undertake value addition and enhancement of naturally occurring genetic resources, based on the participatory approach, where appropriate, to work as incentives for their conservation and sustainable use.

Para. 2.

Requests Parties to include information on the design and implementation of incentive measures in their second national reports

#### **Decision V/15. Incentive measures**

Para. 6.

Urges Parties and other Governments to explore possible ways and means by which incentive measures promoted through the Kyoto Protocol under the United Nations Framework Convention on Climate Change can support the objectives of the Convention on Biological Diversity

#### **Decision VI/15. Incentive measures**

Para. 2.

Endorses the proposals for the design and implementation of incentive measures and the recommendations for further cooperation on incentive measures, contained respectively in annexes I and II to the present decision, as far as they are consistent with Parties' national policies and legislation as well as their international obligations.

Para. 3.

Invites Parties to take these proposals into consideration when designing and implementing incentive measures for conservation and sustainable use of biological diversity

Para. 5.

Encourages Parties and relevant organizations to submit case-studies, lessons learned and other relevant information on incentive measures, especially on positive and perverse incentives, to the Executive Secretary

#### **Decision VII/18. Incentive measures (Article 11)**

Para. 2.

*Encourages* Parties and Governments, as appropriate, to use the proposals as voluntary interim guidance to Parties for the application of ways and means to remove or mitigate policies and practices that generate perverse incentives, and to extend their efforts to an examination of new policies with a view to identifying, and avoiding, potential perverse incentives, bearing in mind that perverse incentives include those that negatively affect biodiversity in other countries

Para. 4.

*Encourages* Parties and Governments to use, on a voluntary basis, these proposals as further interim guidance in implementing the Addis Ababa Principles and Guidelines for the Sustainable Use of Biodiversity and, in particular, principles 2 and 3, which address incentive measures

Para. 6.

*Invites* Parties, Governments and relevant organizations to submit any information on the removal or mitigation of perverse incentives, including case-studies and best-practices on the application of ways and means as well as any experiences with the application of the proposals, to the Executive Secretary; and *requests* the Executive Secretary to provide a report thereon to the tenth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice, to assist in the further consideration of the proposals

Para. 8.

*Invites* Parties, Governments and international organizations to submit case-studies, best practices and other information on the use of non-monetary positive incentive measures for the conservation and sustainable use of biodiversity as an initial step in the ongoing examination of incentive measures, including traditional laws and practices which generate positive incentives, and on the application of methodologies for the assessment of values of biodiversity and its functions, as well as other tools for prioritization in decision-making, to the Executive Secretary

Para. 10.

*Urges* Parties, Governments and relevant funding agencies to target and prioritize funding to support the preparation and compilation of case-studies and best practices contemplated in paragraph 8

## **VI. Useful documents**

**Sharing of experiences on incentive measures for conservation and sustainable use (UNEP/CBD/COP/3/24)**

Further analysis of the design and implementation of incentive measures (UNEP/CBD/COP/5/15)

Synthesis report on case-studies and best practices on incentive measures as well as information on perverse incentives received from Parties and relevant organizations (UNEP/CBD/COP/6/12/ADD3)

Economic valuation of biological diversity (UNEP/CBD/SBSTTA/2/13)

## **Chapter 18. Sustainable Use and Tourism**

### **I. Mandate**

The Conference of the Parties to the Convention on Biological Diversity has adopted several decisions on sustainable use and tourism, and some of these decisions contain funding provisions.

<b>COP I</b>	
<b>COP II</b>	
<b>COP III</b>	
<b>COP IV</b>	
<b>COP V</b>	Decision V/24, paragraph 5
	<i>Invites</i> Parties, Governments and relevant organizations to undertake appropriate actions to assist other Parties, especially developing countries and countries with economies in transition, to increase their capacity to implement sustainable-use practices, programmes and policies at regional, national and local levels, especially in pursuit of poverty alleviation. Appropriate actions may include: (a) Workshops; (b) Assistance to Parties in the identification of sectors where priority action is required; (c) Assistance to Parties in the development of appropriate action plans; (d) Information dissemination and appropriate technology transfer under mutually agreed terms
<b>COP VI</b>	Decision VI/13, paragraph 5
	<i>Invites</i> Parties, other Governments and relevant international organizations to provide appropriate financial support for the organization of the fourth workshop on the sustainable use of biological diversity, with a view to ensuring broad-based participation in the fourth open-ended workshop on the sustainable use of biodiversity
<b>COP VII</b>	Decision VII/12, paragraph 5
	<i>Requests</i> the Executive Secretary to undertake further work on issues pertaining to use of terms for sustainable use, adaptive management, monitoring and indicators building on the outcome of the Addis Ababa workshop, and in particular and in line with Article 7 of the Convention, to further consolidate the work on the use of terms and on associated instruments based on sections I D and II D together with appendix I of annex I to the report of the Addis Ababa Workshop (UNEP/CBD/SBSTTA/9/INF/8), for consideration by the Subsidiary Body on Scientific, Technical and Technological Advice prior to the eighth meeting of the Conference of the Parties and, recalling decisions V/15 and V/24, <i>requests</i> the Executive Secretary to convene a series of technical experts workshops on ecosystem services assessment, financial costs and benefits associated with conservation of biodiversity, and sustainable use of biological resources, taking into account decision VII/12 on sustainable use
	Decision VII/12, paragraph 8
	<i>Invites</i> Parties and Governments, in collaboration with relevant organizations, including the private sector, to develop and transfer technologies and provide financial support to assist in the implementation of the Addis Ababa Principles



	and Guidelines at the national level to ensure that the use of biological diversity is sustainable.
	Decision VII/14, paragraph 9
	In light of the collaboration between the Convention on Biological Diversity, the United Nations Environment Programme and the United Nations Educational, Scientific and Cultural Organization, <i>invites</i> the World Tourism Organization, the United Nations Conference on Trade and Development, the United Nations Development Programme, the World Bank, World Trade Organization, regional development banks and other relevant international organizations, to: (a) Take these Guidelines into account in undertaking their activities; (b) Provide technical and financial assistance in the implementation of the Guidelines and pay due regard to the Guidelines when preparing, approving and funding tourism development projects having potential implications on biological diversity, as also recommended in the report of the Workshop on Tourism and Biodiversity, held in Santo Domingo in June 2001. To this end, the Conference of the Parties requests the Executive Secretary to forward the endorsed guidelines to financing agencies, regional development banks and developers
	Decision VII/20, paragraph 8
	<i>Invites</i> Parties and Governments, in collaboration with the Global Environment Facility and other relevant organizations, including the private sector, to develop and transfer technologies and provide financial support to assist in the implementation of the Addis Ababa Principles and Guidelines at the national level to ensure that the use of biological diversity is sustainable

## II. Issues

Sustainable use of biological diversity, one of the three objectives of the Convention, is essential to achieving the broader goal of sustainable development and is a cross-cutting issue relevant to all biological and natural resources. Sustainable use entails the introduction and application of methods and processes for the utilization of biodiversity to prevent its long term decline, thereby maintaining its potential to meet current and future human needs and aspirations.

Article 10 of the Convention sets the sustainable use agenda for Parties, which should:

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

Tourism is one of the world's fastest growing industries as well as the major source of foreign exchange earning and employment for many developing countries, and it is increasingly focusing on natural environments. However, tourism is a double-edged activity. It has the potential to

contribute in a positive manner to socio-economic achievements but, at the same time, its fast and sometimes uncontrolled growth can be the major cause of degradation of the environment and loss of local identity and traditional cultures. Biological and physical resources are in fact the assets that attract tourists. However, the stress imposed by tourism activities on fragile ecosystems accelerates and aggravates their depletion. Paradoxically, the very success of tourism may lead to the degradation of the natural environment: by depleting natural resources tourism reduces the site attractiveness to tourists, the very commodity that tourism has to offer.

As far as economic benefits are concerned, tourism certainly constitutes an opportunity for economic development, economic diversification and the growth of related activities, in developing countries especially, contributing around 1.5 per cent of world gross national product. Tourism is also a major source of income and employment. Tourism based on the natural environment (ecotourism) is a vital growing segment of the tourism industry and, despite the negative impacts, and given the fact that tourism generates a large proportion of income and that a growing percentage of the activities are nature-based, tourism does present a significant potential for realizing benefits in terms of the conservation of biological diversity and the sustainable use of its components.

Among the benefits are direct revenues generated by fees and taxes incurred and voluntary payments for the use of biological resources. These revenues can be used for the maintenance of natural areas and the contribution of tourism to economic development, including linkage effects to other related sectors and job-creation. Sustainable tourism can make positive improvements to biological diversity conservation especially when local communities are directly involved with operators. If such local communities receive income directly from a tourist enterprise they, in turn, increase their evaluation of the resources around them. This is followed by greater protection and conservation of those resources as they are recognized as the source of income. Moreover, sustainable tourism can serve as a major educational opportunity, increasing knowledge of and respect for natural ecosystems and biological resources. Other benefits include the provision of incentives for maintaining traditional arts and crafts, traditional knowledge, and innovations and practices that contribute to the sustainable use of biological diversity.

In considering the role of tourism in the sustainable use of biological resources and their diversity, it is important that the potential adverse impacts of tourism are fully considered. These are roughly divided into environmental impacts and socioeconomic impacts, the latter generally being those imposed on local and indigenous communities. Although such impacts on biological resources may be less easy to quantify and analyze systematically, they may be at least as important as, if not more important than, environmental impacts in the long term.

Direct use of natural resources, both renewable and non-renewable, in the provision of tourist facilities is one of the most significant direct impacts of tourism in a given area. Land use for accommodation and infrastructure provision, the choice of the site, the use of building materials are all essential factors. Deforestation and intensified or unsustainable use of land also cause erosion and loss of biodiversity. Direct impact on the species composition and on wildlife can be caused by incorrect behaviors and unregulated tourism activities (e.g. off-road driving, plant-picking, hunting, shooting, fishing, scuba diving). Moreover, tourists and tourist transportation means can increase the risk of introducing alien species and the manner and frequency of human presence can cause disturbance to the behavior of animals. Construction activities related to tourism can cause enormous alteration to wildlife habitats and ecosystems.

Tourism has for many years been focused on mountain and coastal areas. Pressures from tourism activities on biological resources and their diversity are enormous and include: erosion and

pollution from the construction of hiking trails, bridges in high mountains, camp sites, chalet and hotels. Tourism activities have a major impact also on the marine and coastal environment, the resources they host and the diversity of those resources. Most often, those impacts are due to inappropriate planning, irresponsible behavior by tourists and operators and/or lack of education and awareness of the impacts by, for example, tourist resorts along the coastal zones.

Tourism is also a water-intensive activity with a large production of waste. The extraction of groundwater by some tourism activities can cause desiccation, resulting in loss of biological diversity. Moreover, the disposal of untreated effluents into surrounding rivers and seas can cause eutrophication and it can also introduce a large amount of pathogens into the water body. Disposal of waste produced by the tourism industry may cause major environmental problems.

Socioeconomic and cultural impacts of tourism include influx of people and related social degradation, impacts on local communities and on cultural values. Increased tourism activities can cause an influx of people seeking employment or entrepreneurial opportunities, but who may not be able to find suitable employment, thus causing social degradation. Sudden loss of income and jobs can also be experienced in times of downturn, if the economy is not diversified and it heavily relies on tourism. When tourism development occurs, economic benefits are usually unequally distributed among members of local communities. In the case of foreign direct investment, much of the profit may be transferred back to the home country. Therefore, tourism can actually increase inequalities in communities, and thus relative poverty.

Tourism has a highly complex impact on cultural values. Tourism activities may lead to intergenerational conflicts and may affect gender relationships. Traditional practices and events may also be influenced by the tourist preferences. Tourism development can lead to the loss of access by indigenous and local communities to their land and resources as well as sacred sites.

Sustainable tourism is therefore in everybody's interest. Given that a high percentage of tourism involves visits to naturally and culturally distinguished sites, generating large amounts of revenue, there are clearly major opportunities for investing in the maintenance and sustainable use of biological resources. Along with the efforts to maximize benefits, efforts must be made to minimize the adverse impacts of the tourism industry on biological diversity.

### **III. Background and Status**

**COP I**

**COP II**

**COP III**

**COP IV**

In accordance with the framework of the programme of work contained in decision IV/16, sustainable use, including tourism, is one of items for in-depth consideration at COP-5.

COP V	<p>At its fifth meeting, the COP requested further information gathering, including assembling practical principles, operational guidelines and associated instruments, and guidance specific to sectors and biomes, and recommended the process being used to develop the ecosystem approach for immediately initiating a process for relevant work on sustainable use [<i>decision V/24</i>].</p> <p>COP 5 also decided to participate in the international work programme on sustainable tourism development under the Commission on Sustainable Development process with regard to biological diversity, in particular, with a view to contributing to international guidelines for activities related to sustainable tourism development in vulnerable terrestrial, marine and coastal ecosystems and habitats of major importance for biological diversity and protected areas, including fragile riparian and mountain ecosystems [<i>decision V/25</i>].</p>
COP VI	<p>In decision VI/13, the COP recognized that the challenge of sustainable use of biodiversity is to balance the need to maximize human livelihoods against the necessity of conserving the underlying natural resource base, and the need to further investigate the relationship and balance between conservation and sustainable use of biological diversity, and in particular the role and contribution of sustainable use to the conservation of biological diversity. It decided to develop a set of practical principles and operational guidelines for the sustainable use of biological diversity.</p> <p>With respect to biological diversity and tourism, the COP noted the development of the guidelines for activities related to sustainable tourism development and biological diversity in vulnerable terrestrial, marine and mountain ecosystems, and requested case-studies on the implementation of the guidelines [<i>Decision VI/14</i>]</p>
COP VII	<p>COP-7 adopted the Addis Ababa Principles and Guidelines for the Sustainable Use of Biodiversity, and provided further guidance on implementing the sustainable use provisions of the Convention. [<i>Decision VII/12</i>].</p> <p>In decision VII/14, the COP adopted the Guidelines for Biodiversity and Tourism Development, and decided to increase clarity and facilitate the detailed understanding of the guidelines and the implementation by Parties.</p>

#### IV. Addis Ababa Principles and Guidelines for the Sustainable Use of Biodiversity

The Addis Ababa Principles and Guidelines for the Sustainable use of Biodiversity consist of fourteen interdependent practical principles, operational guidelines and a few instruments for their implementation that govern the uses of components of biodiversity to ensure the sustainability of such uses. The principles provide a framework to assist Governments, resource managers, indigenous and local communities, the private sector and other stakeholders on how to ensure that their use of the components of biodiversity will not lead to the long-term decline of biological diversity. The principles are intended to be of general relevance, although not all principles will apply equally to all situations, nor will they apply with equal rigour. Their application will vary according to the biodiversity being used, the conditions under which they are being used, and the institutional and cultural context in which the use is taking place.

Sustainability of use of biodiversity components will be enhanced if the following practical principles and related operational guidelines are applied:

Practical principle 1 Supportive policies, laws, and institutions are in place at all levels of governance and there are effective linkages between these levels.

Practical principle 2 Recognizing the need for a governing framework consistent with international national laws, local users of biodiversity components should be sufficiently empowered and supported by rights to be responsible and accountable for use of the resources concerned.

Practical principle 3 International, national policies, laws and regulations that distort markets which contribute to habitat degradation or otherwise generate perverse incentives that undermine conservation and sustainable use of biodiversity, should be identified and removed or mitigated.

Practical principle 4 Adaptive management should be practiced, based on:

1. Science and traditional and local knowledge;
2. Iterative, timely and transparent feedback derived from monitoring the use, environmental, socio-economic impacts, and the status of the resource being used; and
3. Adjusting management based on timely feedback from the monitoring procedures.

Practical principle 5 Sustainable use management goals and practices should avoid or minimize adverse impacts on ecosystem services, structure and functions as well as other components of ecosystems.

Practical principle 6 Interdisciplinary research into all aspects of the use and conservation of biological diversity should be promoted and supported.

Practical principle 7 The spatial and temporal scale of management should be compatible with the ecological and socio-economic scales of the use and its impact.

Practical principle 8 There should be arrangements for international cooperation where multinational decision-making and coordination are needed.

Practical principle 9 An interdisciplinary, participatory approach should be applied at the appropriate levels of management and governance related to the use.

Practical principle 10 International, national policies should take into account:

1. Current and potential values derived from the use of biological diversity;
2. Intrinsic and other non-economic values of biological diversity and
3. Market forces affecting the values and use.

Practical principle 11 Users of biodiversity components should seek to minimize waste and adverse environmental impact and optimize benefits from uses.

Practical principle 12 The needs of indigenous and local communities who live with and are affected by the use and conservation of biological diversity, along with their contributions to its conservation and sustainable use, should be reflected in the equitable distribution of the benefits from the use of those resources.

Practical principle 13 The costs of management and conservation of biological diversity should be internalized within the area of management and reflected in the distribution of the benefits from the use.

Practical principle 14 Education and public awareness programmes on conservation and sustainable use should be implemented and more effective methods of communications should be developed between and among stakeholders and managers.

## V. Guidelines on Biodiversity and Tourism Development

International guidelines for activities related to sustainable tourism development in vulnerable terrestrial, marine and coastal ecosystems and habitats of major importance for biological diversity and protected areas, including fragile riparian and mountain ecosystems:

- A. Scope
- B. The policy-making, development planning and management process
  - 1. Baseline information
  - 2. Vision and goals
  - 3. Objectives
  - 4. Legislation and control measures
  - 5. Impact assessment
  - 6. Impact management and mitigation
  - 7. Decision-making
  - 8. Implementation
  - 9. Monitoring and reporting
  - 10. Adaptive management
- C. Notification process and information requirements
- D. Education, capacity-building and awareness-raising

## VI. Funding needs

The COP has recommended the following action to be undertaken at national level, for which financial support might be required:

<b>Decision V/24. Sustainable use as a cross-cutting issue</b>
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Para. 4

Invites Parties and Governments to identify indicators and incentive measures for sectors relevant to the conservation and sustainable use of biodiversity;

Para. 5.

Invites Parties, Governments and relevant organizations to undertake appropriate actions to assist other Parties, especially developing countries and countries with economies in transition, to increase their capacity to implement sustainable-use practices, programmes and policies at regional, national and local levels, especially in pursuit of poverty alleviation. Appropriate actions may include:

- (a) Workshops;
- (b) Assistance to Parties in the identification of sectors where priority action is required;
- (c) Assistance to Parties in the development of appropriate action plans;
- (d) Information dissemination and appropriate technology transfer under mutually agreed terms;

Para. 6.

Urges Parties, Governments and organizations to develop or explore mechanisms to involve the private sector and indigenous and local communities in initiatives on the sustainable use of biological diversity, and in mechanisms to ensure that indigenous and local communities benefit from such sustainable use;

Para. 7.

Recognizes that sustainable use can be an effective tool in imbuing value to biodiversity, and

invites Parties to identify areas for conservation that would benefit through the sustainable use of biological diversity, and to communicate this information to the Executive Secretary

**Decision V/25. Biological diversity and tourism**

Para. 4.

Recommends to Parties, Governments, the tourism industry and relevant international organizations, in particular the World Tourism Organization, to consider this assessment as a basis for their policies, programmes and activities in the field of sustainable tourism, and encourages them to pay particular attention to:

(a) The unique role of ecotourism -- that is, tourism that relies on the existence and maintenance of biological diversity and habitats - and the need to develop clear strategies to develop sustainable ecotourism sectors which provides for full and effective participation and viable income-generating opportunities for indigenous and local communities;

(b) The need to develop, with all the potential stakeholders, strategies and plans, based on the ecosystem approach and aiming at a balance between economic, social, cultural and environmental concerns, while maximizing opportunities for the conservation and sustainable use of biological diversity, the equitable sharing of benefits and the recognition of traditional knowledge, in accordance with Article 8(j) of the Convention, and seeking to minimize risks to biological diversity;

(c) The need for long-term monitoring and assessment, including the development and use of indicators to measure impacts of tourism on biological diversity and consequently to improve strategies and plans for tourism activities;

(d) Tangible benefits to the local economies, such as job creation and the sharing of benefits arising from the sustainable use of biological diversity for tourism purposes. In this regard, small and medium-sized enterprises can play a major role;

(e) The need to develop sustainable tourism which is an important mechanism for the conservation and sustainable use of biological diversity, and to meet the expectations of all stakeholders, while encouraging responsible behaviour on the part of tourists and the tourist industry, tourism enterprises and the local population;

(f) Awareness-raising, information-sharing, education and training of tourism operators and their staff and sensitization of tourists on biological diversity issues and technical and capacity-building at the local level, which enhance the goal of the respect and the conservation of biological diversity and its sustainable use;

(g) The fact that in order to contribute to the sustainable use of biological diversity through tourism, there is a need to implement a flexible mix of instruments, such as integrated planning, multi-stakeholder dialogue that includes indigenous peoples, zoning in land-use planning, environmental impact assessment, strategic environmental assessment, standards, industry performance-recognition programmes, recognized accreditation bodies, ecolabelling, codes of good practice, environmental management and audit systems, economic instruments, indicators and limits regarding the carrying capacity of the natural areas;

(h) The importance of the involvement and the need for the participation of indigenous and local communities and their interface with other sectors in the development and management of tourism, as well as their monitoring and assessment, including of cultural and spiritual impacts;

(i) The importance of the understanding of the values and knowledge of use of biological diversity held by the indigenous and local communities and the opportunities these offer for sustainable tourism and the support of local tourism ...

Para. 7.

Encourages Parties, Governments, the tourism industry and relevant organizations to undertake activities including local capacity-building, that would be supportive of the preparations for both the International Year of Ecotourism and the International Year of Mountains, as well as activities of the International Coral Reef Initiative, and, in particular:

(a) Urges the tourism industry to work in partnership with all stakeholders and to commit to work within principles and guidelines for sustainable tourism development;

(b) Encourages Parties and Governments to complement voluntary efforts by establishing enabling policies and legal frameworks for the effective implementation of sustainable tourism.

#### **Decision VI/13. Sustainable use**

Para. 6.

Reiterates its invitation to Parties, other Governments, international organizations and other relevant organizations to submit case-studies on the sustainable use of biological diversity

#### **Decision VI/14. Biological diversity and tourism**

#### **Decision VII/12. Sustainable use (Article 13)**

Para. 2.

Invites Parties, other Governments and relevant organizations to initiate a process for the implementation of the Addis Ababa Principles and Guidelines, in accordance with Article 10 of the Convention which provides that Contracting Parties undertake specified actions as far as possible, and as appropriate, at the national and local levels, and in line with Article 6 of the Convention on Biological Diversity, taking into account obligations under other international agreements and conventions and existing frameworks for sustainable use of components of biodiversity, including the concept of sustainable forest management, e.g., by developing pilot projects, with a view to:

(a) Integrating and mainstreaming the Addis Ababa Principles and Guidelines into a range of measures including policies, programmes, national legislation and other regulations, sectoral and cross-sectoral plans and programmes addressing consumptive and non consumptive use of components of biological diversity, including plans and programmes addressing the removal or mitigation of perverse incentives that undermine the conservation and sustainable use of biodiversity, as deemed necessary by individual Parties; and

(b) Gathering and disseminating through the clearing-house mechanism and other means relevant information on experiences and lessons learned for the further improvement of the guidelines.

Para. 6.

Invites Parties and Governments, in collaboration with other relevant international organizations and agreements, indigenous and local communities and stakeholders to undertake further research including, through, inter alia, the compilation and analysis of case-studies and existing literature on sustainable use consistent with practical principle 6:



- (a) The impacts of sustainable use and non-sustainable use on livelihoods, and ecosystems goods and services;
- (b) The role of indigenous and local communities, and women in the sustainable use of components of biodiversity;
- (c) The relationship between resilience of ecosystems and the sustainable use of biodiversity;
- (d) The terms used in the description of sustainable use, , taking into account the aspirations of present and future generations in different regions and situations; building on the consensus reached in the Addis Ababa report (UNEP/CBD/SBSTTA/9/INF/8);
- (e) The elaboration of management plans at time scales appropriate to the life history of species or populations;
- (f) The applicability of the Addis Ababa Principles and Guidelines on the use of components of biological diversity in a transboundary context, (e.g., a resource shared between different countries, or migratory species moving across national jurisdictions);
- (g) The functional relationships between different components of biological diversity in the context of sustainable use;
- (h) The socio-economic factors that influence pattern and intensity of use of biological resources, economic and social values of goods and services provided by ecosystems;
- (i) Methods and mechanisms to determine sustainability of various intensities of use and participatory methods for determining appropriate levels of sustainable use;
- (j) Ways of enhancing equitable distribution of benefits derived from the sustainable use of components of biodiversity, including genetic resources.

Para. 8.

Invites Parties and Governments, in collaboration with relevant organizations, including the private sector, to develop and transfer technologies and provide financial support to assist in the implementation of the Addis Ababa Principles and Guidelines at the national level to ensure that the use of biological diversity is sustainable.

#### **Decision VII/14. Biological diversity and tourism**

Para. 6.

Invites Parties, the Governments and relevant organizations to implement pilot projects, also through public-private partnerships as outlined in the World Summit on Sustainable Development, to test the applicability of the Guidelines, understand their practical implications and provide feedback on their effectiveness (e.g. through the clearing-house mechanism)

Para. 7.

Encourages Parties, Governments and relevant organizations to establish monitoring and reporting systems based on relevant indicators to assess the applicability and status of implementation of the Guidelines.

Para. 8.

Invites Parties, Governments and relevant organizations to provide indigenous and local communities with capacity-building and financial resources to support their active participation in tourism policy-making, development planning, product development and management indicated by the Guidelines and invites non-Governmental organizations to continue and increase their involvement in fostering effective policy-making for sustainable tourism development.

Para. 10.

Invites all Governments to integrate these Guidelines in the development or review of their strategies and plans for tourism development, national biodiversity strategies and action plans, and other related sectoral strategies, at appropriate levels in consultation with interested stakeholders including tourism operators and all members of the tourism sector.

## **VII. Useful documents**

**Sustainable Use of the Components of Biological Diversity (UNEP/CBD/SBSTTA/7/INF/9)**

Sustainable Use of the Components of Biological Diversity (UNEP/CBD/SBSTTA/5/13)

Development of Approaches and Practices for the Sustainable Use of Biological Resources, including Tourism (UNEP/CBD/SBSTTA/4/14)

Sustainable Use Including Tourism (UNEP/CBD/COP/5/20)

## **Part IV    Mechanisms for Implementation**

The work of the Convention on Biological Diversity has been conveniently organized around three topical fields: thematic areas, crosscutting issues and mechanisms for implementation. The scope of mechanisms for implementation is yet to be defined. However, the Conference of the Parties has already considered biodiversity strategies and action plans, clearing-house mechanism, communication, education and public awareness, financial resources and mechanism, as well as national reporting. Most of these issues have been treated as standing items on the agenda of the Conference of the Parties.

## Chapter 19. *Biodiversity Strategies and Action Plans*

### I. Mandate

The Conference of the Parties to the Convention on Biological Diversity has adopted several decisions on biodiversity strategies and action plans, and some of these decisions contain funding provisions.

<b>COP I</b>	<b>Decision I/2, annex I, paragraph 4(a)</b>
	Projects and programmes that have national priority status and that fulfil the obligations of the Convention
	<b>Decision I/2, annex I, paragraph 4(b)</b>
	Development of integrated national strategies, plans or programmes for the conservation of biological diversity and sustainable use of its components in accordance with article 6 of the Convention
	<b>Decision I/2, annex I, paragraph 4(e)</b>
	Capacity-building, including human resources development and institutional development and/or strengthening, to facilitate the preparation and/or implementation of national strategies, plans for priority programmes and activities for conservation of biological diversity and sustainable use of its components
	<b>Decision I/2, annex I, paragraph 4(i)</b>
	Strengthening conservation, management and sustainable use of ecosystems and habitats identified by national Governments in accordance with article 7 of the Convention
	<b>Decision I/2, annex I, paragraph 4(m)</b>
	Projects aimed at the conservation of biological diversity and sustainable use of its components which integrate social dimensions including those related to poverty
<b>COP II</b>	<b>Decision II/6, paragraph 5</b>
	<i>Requests</i> the interim institutional structure operating the financial mechanism to facilitate urgent implementation of Article 6 of the Convention by availing to developing country Parties financial resources for projects in a flexible and expeditious manner
	<b>Decision II/6, paragraph 11</b>
	to implement the relevant provisions of the following decisions: II/7 on consideration of Articles 6 and 8 of the Convention, II/8 on preliminary consideration of components of biological diversity particularly under threat and action which could be taken under the Convention
	<b>Decision II/7, paragraph 6</b>
	Emphasizes the importance of capacity-building as well as the availability of adequate financial resources to assist Parties in the implementation of Articles 6 and 8 of the Convention, and in this context <i>requests</i> the interim financial mechanism under the Convention to facilitate urgent implementation of Articles 6 and 8 of the Convention by availing to developing country Parties financial

	resources for projects in a flexible and expeditious manner
COP III	Decision III/9, paragraph 4
	<i>Requests</i> the interim financial mechanism under the Convention to make available to developing country Parties resources to enable them to facilitate urgent implementation of paragraphs 2 and 3 above
COP IV	
COP V	
COP VI	Decision VI/26, annex, goal 2
	Goal 2: Parties have improved financial, human, scientific, technical, and technological capacity to implement the Convention.
	Decision VI/17, paragraph 10(a)
	The Global Environment Facility should provide support, as a priority, for the elaboration, development, and revision as necessary, of national biodiversity strategies and action plans, and for activities which assist their implementation consistent with guidance to the Global Environment Facility from the Conference of the Parties
	Decision VI/27, A, paragraph 4
	<i>Calls upon</i> multilateral, regional, bilateral and private donors and institutions able to support implementation of national and regional biodiversity strategies and action plans, in particular priority actions, to target such priority actions in an effective and coordinated manner within the framework of the Strategic Plan of the Convention
	Decision VI/27, A, paragraph 5
	<i>Encourages</i> private foundations and other donors that provide funding in support of sustainable-development activities to support implementation of nationally-identified priority actions in national biodiversity strategies and action plans
	Decision VI/27, A, paragraph 6
	<i>Requests</i> donor institutions and agencies to simplify, to the extent possible, their administrative procedures in order to expedite access by eligible countries to the financial resources needed to assist the implementation of the national biodiversity strategies and action plans
	Decision VI/27, A, paragraph 8
	<i>Transmits</i> to the Council of the Global Environment Facility its view that a strategic approach to capacity-building for the global environment at the national level is urgently needed and that promoting cross-convention synergies, national policy integration, national institutional development and cooperation among stakeholders in capacity-building activities is a priority in order to promote efficiency and quality, and notes the contribution of the preliminary results of the Capacity Development Initiative
	Decision VI/27, A, paragraph 9
	<i>Encourages</i> Parties to avail themselves of the assistance available through the financial mechanism for preparation of a national capacity self-assessment
	Decision VI/27, A, paragraph 10
	<i>Welcomes</i> the contribution to the implementation of national biodiversity strategies and action plans provided by the Biodiversity Planning Support Programme established by the United Nations Environment Programme and the

	United Nations Development Programme with core financial support from the Global Environment Facility and requests the agencies and partners involved to consider how regional support for biodiversity planning and capacity-building can be enhanced through core financial support by the Implementing Agencies
	Decision VI/27, B, paragraph 11.c
	<i>Invites</i> all donors and institutions in a position to do so to support the work of existing regional coordination mechanisms and the development of regional and subregional networks or processes, as appropriate
	Decision VI/27, B, paragraph 12
	<i>Invites</i> those countries in a position to do so, individually or collectively, on a bilateral or multilateral basis, to consider providing financial resources and technically qualified person(s) recruited from either government or the private sector to collaborate in the preparation of the assessment in the candidate regions
COP VII	Decision VII/30, paragraph 1
	<i>Decides</i> to develop a framework to enhance the evaluation of achievements and progress in the implementation of the Strategic Plan and, in particular, its mission, to achieve a significant reduction in the current rate of biodiversity loss at global, regional and national levels. The framework includes the following focal areas: (g) Mobilizing financial and technical resources, especially for developing countries, in particular least developed countries and small island developing States among them, and countries with economies in transition, for implementing the Convention and the Strategic Plan
	Decision VII/30, paragraph 18
	<i>Invites</i> Parties, Governments, international and funding organizations to provide adequate and timely support for the implementation of activities to achieve and monitor progress towards the goals and targets to developing country Parties, in particular the least developed countries and small island developing States among them, and Parties with economies in transition, as appropriate
	Decision VII/30, annex II
	Goal 11: Parties have improved financial, human, scientific, technical and technological capacity to implement the Convention Target 11.1: New and additional financial resources are transferred to developing country Parties, to allow for the effective implementation of their commitments under the Convention, in accordance with Article 20.
	Decision VII/32, paragraph 1
	<i>Urges</i> Parties, Governments, international financial institutions, donors, and relevant intergovernmental organizations, as a contribution towards the Millennium Development Goals, to implement development activities in ways that are consistent with, and do not compromise, the achievement of the objectives of the Convention on Biological Diversity and the 2010 target, including by improving environmental policies in relevant development agencies and sectors such as through integrating concerns relating to biodiversity and the Millennium Development Goals more directly into environmental impact assessments, strategic environmental assessments and other such tools, including at the national level through the national strategies for sustainable and the poverty reduction strategies and programmes

	Decision VII/20, paragraph 13
	<i>Urges</i> Parties, Governments, international financial institutions, donors, and relevant intergovernmental organizations, as a contribution towards the Millennium Development Goals, to implement development activities in ways that are consistent with, and do not compromise, the achievement of the objectives of the Convention on Biological Diversity and the 2010 target, including by improving environmental policies in relevant development agencies and sectors such as through integrating concerns relating to biodiversity and the Millennium Development Goals more directly into environmental impact assessments, strategic environmental assessments and other such tools, including at the national level through the national strategies for sustainable development and the poverty reduction strategies and programmes, and invites the Global Environment Facility to support capacity-building activities in developing countries for this purpose
	Decision VII/20, paragraph 11
	<i>Invites</i> the Global Environment Facility, in accordance with its mandate, to provide adequate and timely support to developing country Parties, in particular the least developed countries and small island developing States among them, and Parties with economies in transition, as appropriate for the implementation of activities to achieve and monitor progress towards the goals and targets identified in the framework for evaluation of progress towards implementation of the Strategic Plan of the Convention, in accordance with decision VII/30.

## II. Issues

Article 6 of the Convention requires Parties to develop national strategies, plans or programmes for the conservation and sustainable use of biological diversity, and integrate the conservation and sustainable use of biological diversity into relevant sectoral or cross-sectoral plans, programmes and policies.

For most countries, biodiversity planning represents the first step in their efforts to implement the Convention. A majority of Parties completed their first national biodiversity strategies and action plans by now. Since many biodiversity strategies and action plans only cover a limited period of time, periodic updating and revision of these strategies and plans have become essential.

Parties adopted the Strategic Plan of the Convention in 2002, which includes the achievement by 2010 of a significant reduction in the current rate of loss of biological diversity in 2002. Goals and sub-targets have been further elaborated under the Strategic Plan. This requires realignment of national biodiversity strategies and action plans with newly international agreed targets.

## III. Background and Status

COP I	<b>As part of its medium-term programme of work, the COP decided to consider general measures for conservation and sustainable use at its second meeting [decision I/9].</b>
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COP II	COP 2 stressed the importance of regional and international cooperation for the implementation of Articles 6 and 8 of the Convention, and urged exchange of information and sharing of experiences on implementation of Article 6 and 8 [ <i>decision II/7</i> ]. The COP also highlighted the importance of capacity-building.
COP III	In decision III/9 on Implementation of Articles 6 and 8 of the Convention, the COP decided to explore ways of enhancing the collection and dissemination of information on the implementation of Articles 6 and 8, and recommended the development of a thematic approach in this, emphasising methodologies to evaluate and mitigate threats to biological diversity, alien species and protected areas, as well as suppression or mitigation of perverse incentives.
<b>COP IV</b>	
COP V	At its fifth meeting, the COP requested an open-ended inter-sessional meeting to consider and develop means to support implementation of the Convention, in particular, implementation of priority actions in national biodiversity strategies and action plans, and decided to enhance further the functions of subregional and regional processes in preparing for meetings under the Convention and in promoting the implementation of the Convention at the regional, subregional and national levels [ <i>decisions V/20</i> ]
COP VI	COP 6 adopted the Strategic Plan for the Convention on Biological Diversity, and decided to consider future evaluation of progress in the implementation of the Convention and the Strategic Plan [ <i>decision VI/26</i> ]. COP 6 also stressed that the development and implementation of national biodiversity strategies and action plans constitute the cornerstone of national implementation of the Convention, and encouraged their implementation and periodical revision. In addition, it acknowledged the important role that regional and subregional mechanisms and networks play in promoting the implementation of the Convention [ <i>decision VI/27</i> ].
COP VII	In Decision VII/30, the COP decided to develop a framework to enhance the evaluation of achievements and progress in the implementation of the Strategic Plan and its mission. In decision VII/32, the COP examined the linkages between the programme of work of the Convention and the Millennium Development Goals established at the Millennium Summit.

#### IV. Funding needs

Possible funding needs might be derived from the following requests from the COP:

<b>Decision II/7. Consideration of Articles 6 and 8 of the Convention</b>
Para. 1. <u>Urges</u> all Parties and Governments and other interested stakeholders to exchange relevant information and share experience on measures taken for the implementation of Articles 6 and 8
Para. 5. <u>Encourages</u> Parties, in preparing and implementing their national strategies and action plans, to collaborate with relevant organizations and, if so desired, to take into consideration existing guidelines such as “National Biodiversity Planning” published by the United Nations Environment Programme, the World Resources Institute and the World Conservation Union (IUCN)
<b>Decision III/9. Implementation of Articles 6 and 8 of the Convention</b>
Para. 1.



Stresses the need for Parties to ensure the cross-border coordination of their respective strategies, on a bilateral as well as on a regional basis;

Para. 2.

Urges Parties to include in their national plans or strategies and legislation measures for:

- (a) The conservation of biological diversity both in situ and ex situ;
- (b) The integration of biological diversity objectives in relevant sectoral policies in order to achieve conservation and sustainable use of biological diversity;
- (c) The equitable sharing of benefits arising out of the use of genetic resources;

Para. 3.

Further urges Parties to submit their first national reports on time ...

Para. 5.

Encourages all Parties to set measurable targets in order to achieve biological diversity conservation and sustainable use objectives;

Para. 6.

Requests Parties to take action to achieve the restoration of habitats, including their biological diversity components

#### **Decision V/20. Operations of the Convention**

##### V. Implementation

Para. 41.

Requests the Executive Secretary to provide an overview of existing mechanisms and processes for review of national implementation of environmental instruments, and invites Parties to undertake, on a voluntary basis, a review of national programmes and needs related to the implementation of the Convention and, if appropriate, to inform the Executive Secretary accordingly

#### **Decision VI/26. Strategic Plan for the Convention on Biological Diversity**

Para. 3.

Urges Parties, States, intergovernmental organizations and other organizations to review their activities, especially their national biodiversity strategies and action plans, where appropriate, in the light of the Strategic Plan for the Convention on Biological Diversity

#### **Decision VI/27. Operations of the Convention**

##### A. Implementation of the Convention, in particular, implementation of priority actions in national biodiversity strategies and action plans

Para. 2.

Urges Parties to the Convention on Biological Diversity:

- (a) To develop and adopt national biodiversity strategies and action plans, where they have not yet done so;
- (b) To give priority to the integration of the conservation and sustainable use of biological diversity, as well as benefit-sharing, into relevant sectoral or cross-sectoral plans, programmes and policies, in accordance with Article 6 of the Convention;
- (c) To identify priority actions in national biodiversity strategies and action plans and other

relevant national strategies;

(d) To implement national biodiversity strategies and action plans; and to periodically revise them in the light of the experience of implementation;

(e) To establish national mechanisms or consultative processes, with particular regard, where appropriate, to the special needs of indigenous and local communities, for coordinating, implementing, monitoring, evaluating and periodically revising national biodiversity strategies and action plans;

(f) To identify constraints and impediments to implementation of national biodiversity strategies and action plans, and to reflect them in the national reports;

(g) To make their national biodiversity strategies and action plans, including periodic revisions, available through their national clearing-house mechanism and the Convention website;

Para. 3.

Encourages Parties to develop regional, subregional or bioregional mechanisms and networks to support implementation of the Convention including, as appropriate, through the development of regional or subregional biodiversity strategies and action plans, the identification of common constraints and impediments to implementation; and promotion of joint measures for addressing these

Para. 9.

Encourages Parties to avail themselves of the assistance available through the financial mechanism for preparation of a national capacity self-assessment ...

Para. 11.

Welcomes the Biodiversity Service for the implementation of national biodiversity strategies and action plans in Central and Eastern Europe, established by the United Nations Environment Programme, IUCN, the European Centre for Nature Conservation and the Regional Environmental Centre and financially supported by a number of donors, and invites Parties and intergovernmental and other organizations to review the operation of the Biodiversity Service and to benefit from its experience with a view to considering the establishment of regional capacity-building mechanisms to support the implementation of priority actions in national biodiversity strategies and action plans in other regions

Para. 12.

Commends the assessments of implementation carried out by Parties in the Central and Eastern Europe and Central American regions to the attention of Parties in other regions, and encourages Parties in other regions to undertake similar assessments

## B. Operations of the Convention

### Regional and subregional mechanisms for implementation of the Convention

Para. 11.

Acknowledging the important role that regional and subregional mechanisms and networks such as the Pan-European Biological and Landscape Diversity Strategy, the Strategic Plan on Biodiversity for Tropical Andean Countries, the Central American Commission of Environment and Development and the South Pacific Regional Environment Programme play in promoting the implementation of the Convention, which, *inter alia*, provide forums for the preparation of regional inputs to meetings of the Convention and for translating decisions of the Conference of the Parties into regional actions ...

b. Encourages Parties to strengthen regional and subregional cooperation, enhance the integration and promote synergies with relevant regional and subregional processes ...

d. Invites Parties, Governments, and relevant organizations to strengthen their existing regional and subregional mechanisms and initiatives for capacity-building and to contribute inputs regarding their experiences into the wider assessment process.

#### **Decision VII/30. Strategic Plan: future evaluation of progress**

Para. 15.

*Invites* Parties and Governments to develop national and/or regional goals and targets, and, as appropriate, to incorporate them into relevant plans, programmes and initiatives, including national biodiversity strategies and action plans

Para. 16.

*Invites* Parties and Governments to use existing national indicators or to establish national indicators using the tools (UNEP/CBD/SBSTTA/9/10) referred to in decision VII/8, on monitoring and indicators, and according to their national needs and priorities, to assess progress towards their national/and or regional targets

#### **Decision VII/32. The programme of work of the Convention and the Millennium Development Goals**

Para. 1.

*Urges* Parties, Governments, international financial institutions, donors, and relevant interGovernmental organizations, as a contribution towards the Millennium Development Goals, to implement development activities in ways that are consistent with, and do not compromise, the achievement of the objectives of the Convention on Biological Diversity and the 2010 target, including by improving environmental policies in relevant development agencies and sectors such as through integrating concerns relating to biodiversity and the Millennium Development Goals more directly into environmental impact assessments, strategic environmental assessments and other such tools, including at the national level through the national strategies for sustainable and the poverty reduction strategies and programmes

Para. 3.

*Invites* Parties to promote the integration of the relevant Millennium Development Goals into the implementation of the programmes of work of the Convention

Para. 4.

*Urges* Parties to report on their actions at the national level to link efforts to achieve relevant Millennium Development Goals and the objectives of the Convention on Biological Diversity in their next national report

## **V. Useful documents**

### **Consideration of Articles 6 and 8 of the Convention (UNEP/CBD/COP/2/12)**

Implementation of Articles 6 and 8 (UNEP/CBD/COP/3/11)

Draft strategic plan for the Convention on Biological Diversity: Planned activities, expected products, the timing of activities and products, actors, implementation mechanisms, and financial, human-resource and other capacity requirements (UNEP/CBD/COP/6/5/ADD1)

Report of the open-ended inter-sessional meeting on the strategic plan, national reports and implementation of the Convention on Biological Diversity (UNEP/CBD/COP/6/5)

The programme of work of the Convention and the Millennium Development Goals (UNEP/CBD/COP/7/20/Add.1)

Consideration of the results of the meeting on “2010 – the Global Biodiversity Challenge” (UNEP/CBD/SBSTTA/9/INF/9)

## **Chapter 20. Clearing-House Mechanism**

### **I. Mandate**

The Conference of the Parties to the Convention on Biological Diversity has adopted several decisions on clearing-house mechanism, and some of these decisions contain funding provisions.

<b>COP I</b>	<b>Decision I/2, annex I, paragraph 4(h)</b>
	Activities that provide access to other international, national and/or private sector funds and scientific and technical cooperation
<b>COP II</b>	<b>Decision II/3, paragraph 6(b)</b>
	<i>Calls also upon</i> the international community to make additional voluntary contributions for the implementation of the pilot phase
	<b>Decision II/3, paragraph 9</b>
	<i>Requests</i> the Global Environment Facility to explore the modalities of providing support through the financial mechanism to developing country Parties for capacity-building in relation to the operation of the clearing-house mechanism
	<b>Decision II/6, paragraph 11</b>
	<i>Requests</i> the interim institutional structure to implement the relevant provisions of the following decisions: II/3 on clearing-house mechanism
<b>COP III</b>	<b>Decision III/4, paragraph 2</b>
	<i>Requests</i> the Global Environment Facility to support the activities referred to in paragraphs (d) and (e) above as critical components in the implementation of the clearing-house mechanism at the national, subregional and regional levels, including in the pilot phase
	<b>Decision III/4, paragraph 3</b>
	<i>Further requests</i> the interim financial mechanism to implement its revised operational criteria for enabling activities in relation to the clearing-house mechanism to give effect, as quickly as possible, to the recommendations contained in paragraph 2 above
	<b>Decision III/4, paragraph 4</b>
	<i>Also requests</i> Governments and other bilateral and multilateral funding institutions, as far as possible and as appropriate, to provide funding for capacity-building related to the implementation of the clearing-house mechanism
	<b>Decision III/4, paragraph 5</b>
	<i>Requests</i> Governments and relevant financial, scientific and technical institutions to facilitate, including through the provision of voluntary contributions, regional workshops with a view to attaining a clear definition of country and regional-level scientific and technical information needs and priorities identified and modalities to deliver information and evaluate national capacities for the implementation of the Convention. Such workshops should also review experience in scientific and technical cooperation in support of the

	objectives of the Convention, in order to identify ways by which the clearing-house mechanism can best facilitate such cooperation
	Decision III/5, paragraph 2(d)
	The Global Environment Facility shall provide financial resources for supporting the following activities as critical components in the implementation of the clearing-house mechanism at the national, subregional and regional levels, including in the pilot phase, to which critical components the Global Environment Facility shall give effect by implementing its revised operational criteria for enabling activities in relation to the clearing-house mechanism as quickly as possible: (i) Capacity-building for the purpose of the clearing-house mechanism, including training in information systems technologies that will allow developing countries to take advantage of the recent developments in electronic communication, including the Internet; (ii) Country-driven pilot projects, focused on priority areas identified by the Conference of the Parties which would enable developing countries to begin to implement the main features of the pilot-phase of the clearing-house mechanism
COP IV	Decision IV/2, paragraph 1
	<i>Requests</i> all Governments and bilateral and multilateral funding institutions to provide funding for the development and implementation of the clearing-house mechanism, including support for national as well as regional and subregional clearing-house mechanism activities
	Decision IV/2, paragraph 9
	<i>Requests</i> the Global Environmental Facility: (a) To be a catalyst in the development and implementation of the clearing-house mechanism, so as to assist it to fulfil its role in promoting and facilitating the implementation of the Convention, in a participatory manner and fully incorporating available modern information and communication tools; (b) To support capacity-building activities and country-driven pilot projects focused on priority areas, as critical components in the implementation of the clearing-house mechanism at the national, subregional, biogeographic, and regional levels, both during and after the pilot phase; (c) To provide by all possible means, as appropriate, increased support for country-driven projects to establish and strengthen biodiversity information systems such as, <i>inter alia</i> , training, technology and processes related to the collection, organization, maintenance and updating of data and information and its communication to users through the clearing-house mechanism; (d) To evaluate at the end of the clearing-house mechanism pilot phase the experience of the Global Environment Facility's support for developing countries' activities, to consider additional efforts to meet the increasing interest in taking part in and having access to the clearing-house mechanism, including in regional networking, and to report to the Executive Secretary prior to the next meeting of the Subsidiary Body on Scientific, Technical and Technological Advice
	Decision IV/13, paragraph 5
	The Global Environment Facility should, in accordance with decision IV/2: (a) Support capacity-building activities and country-driven pilot projects focused on priority areas, as critical components in the implementation of the clearing-house mechanism at the national, subregional, biogeographic, and regional levels, both during and after the pilot phase; (b) Provide, as appropriate, increased support, in the framework of country-driven projects to

	promote the objectives of the Convention, to establish and strengthen biodiversity information systems such as, inter alia, training, technology and processes related to the collection, organization, maintenance and updating of data and information and its communication to users through the clearing-house mechanism; (c) Evaluate at the end of the clearing-house mechanism pilot phase the experience of the Global Environment Facility's support for developing countries' activities, to consider additional efforts to meet the increasing interest in taking part in and having access to the clearing-house mechanism, including in regional networking, and to report to the Conference of the Parties prior to the next meeting of the Subsidiary Body on Scientific, Technical and Technological Advice
COP V	Decision V/13, paragraph 2(f)
	The Global Environment Facility should provide support for participation in the clearing-house mechanism of the Convention, in accordance with decision V/14
COP VI	
COP VII	

## II. Issues

Article 18 (Technical and scientific cooperation), paragraph 3, of the Convention, provides for a clearing house mechanism.

The term “clearing-house” originally referred to a financial establishment where checks and bills are exchanged among member banks so that only the net balances need to be settled in cash. Today, its meaning has been extended to include any agency that brings together seekers and providers of goods, services or information, thus matching demand with supply.

Parties to the Convention are aware of the general lack of information and knowledge regarding biological diversity and of the urgent need to develop scientific, technical and institutional capacities to provide the basic understanding upon which to plan and implement appropriate measures. In addition, expertise in managing information and technology varies enormously from country to country. For this reason, the Convention has established a “Clearing-House Mechanism” to ensure that all governments have access to the information and technologies they need for their work on biodiversity.

The clearing-house is based on the philosophy that broad participation and easy access must be a top priority. Its database can therefore be tapped through both traditional and electronic means of communication. Special efforts are made to ensure the participation of indigenous communities, whose unique knowledge and expertise are so important.

The Clearing-House is coordinated by the Executive Secretary and overseen and guided by an Informal Advisory Committee (IAC) set up by the Parties to the Convention. The committee works in a transparent and cooperative manner to promote awareness of the multiple needs and concerns facing various communities, countries and regions.

In addition, a network of national focal points for the mechanism is being established to address matters relating to technical and scientific cooperation. The Parties have recently emphasized the need to strengthen the role of these focal points. Building a network of non-governmental organizations and other institutions working on biodiversity could contribute to this goal.

Establishing National, Regional, Subregional and Thematic Clearing-House Focal Points for specific topics could also help.

### III. Background and Status

COP I	At its first meeting, the COP decided to implement the provisions of Article 18, paragraph 3 on the establishment of a clearing-house mechanism operating under the authority of the Conference of the Parties, and decided that the activities of the clearing-house mechanism to promote and facilitate technical and scientific cooperation should be funded from the regular budget of the Secretariat as well as from voluntary contributions [ <i>decision I/3</i> ]. As part of its medium-term programme of work, the COP decided to consider assessment and review of the operation of the clearing-house mechanism as one of standing items on its agenda [ <i>decision I/9</i> ].
COP II	COP 2 decided to establish a pilot phase of the clearing-house mechanism for 1996-1997, and decided that the Secretariat should act as a focal point [ <i>decision II/3</i> ]. It emphasized close cooperation with relevant international organizations and entities to maximize the existing experience and expertise, and enhanced networking between existing national, regional, subregional and international centers of relevant expertise, as well as governmental and non-governmental institutions and the private sector.
COP III	In decision III/4, the COP decided to extend the pilot phase for a further year until December 1998. It emphasized that the key characteristics of the clearing-house mechanism are, <i>inter alia</i> , that it should be compatible with national capacities, needs-driven and decentralized in nature, should provide access to meta-data, should provide support to the decision-making process, and should to the extent possible involve the private sector. COP 3 also noted the need for capacity building for the purposes of the clearing-house mechanism in developing countries, including training on information systems technologies that will allow developing countries to take advantage of the recent developments in electronic communication, including the Internet.
COP IV	COP 4 was focused on building up the content of information in the clearing-house mechanism, and support for national as well as regional and subregional clearing-house mechanism activities [ <i>decision IV/2</i> ]. The COP determined the use of the clearing-house mechanism logo, and decided to undertake an independent review of the pilot phase of the clearing-house mechanism.
COP V	In decision V/14, the COP supported the implementation of the strategic plan for the clearing-house mechanism, and endorsed the longer-term programme of work for the clearing-house mechanism. COP 4 adopted a list of twelve measures to be undertaken by Parties and Governments, and a list of eleven activities to be undertaken by the Executive Secretary.
COP VI	At its sixth meeting, the COP requested a review to assess the current and potential role of the clearing-house mechanism in promoting technical and scientific cooperation, including its role in facilitating the transfer of technology and know-how and capacity-building to support implementation of the Convention at the national level [ <i>decision VI/18</i> ]. It urged additional capacity-building workshops at the national, subregional and regional levels for clearing-house activities and training in support of national capacities to implement the Convention.
COP VII	In decision VII/23, the COP clarified the mandate of the informal advisory committee, and decided to update the strategic plan of the clearinghouse mechanism to 2009 and promote more capacity building activities through regional workshops and other tools.



#### IV. The Programme of Work of the Clearing-House Mechanism

The longer-term programme of work of the clearing-house mechanism, which was adopted at COP-5, covers three areas:

I. Scientific and technical cooperation: to track best practices, needs and priorities for collaboration, use funding to promote country involvement, partnering and progress in priority areas, provide a collaboration promotion mechanism for institutions and experts, and service and technology providers;

II. Information exchange: to ensure compatibility through standardization, track information needs, priorities and best practices, prioritize and promote expansion, and provide open, world-wide access to existing biodiversity information;

III. Network development and organizational efficiency: to provide start-up assistance and ongoing capacity building, address obstacles to growth, continue to maintain local ownership of information, rely on partnerships, and focus on facilitation, concentrate on value-added, promote use of the clearing-house mechanism, develop funding strategies for all focal points.

#### V. Funding needs

Possible funding needs might be derived from the following requests from the COP:

<b>Decision I/3. Clearing-house mechanism for technical and scientific cooperation</b>
<b>Decision II/3. Clearing-house mechanism</b>
<b>Decision III/4. Clearing-house mechanism to promote and facilitate technical and scientific cooperation</b>
Para. 15. <u>Requests</u> all Parties to designate their clearing-house mechanism national focal points and make them operational as soon as possible
Para. 16. <u>Requests</u> those Parties with access to the Internet to connect their national clearing-house mechanism homepage to the Secretariat's clearing-house mechanism homepage on the Internet, where possible, and further requests the Executive Secretary and partners to collaborate on the provision of advice to Parties and others on, inter alia, the necessary layout and system specifications.
<b>Decision IV/2. Review of the operations of the clearing-house mechanism</b>
Para. 2. <u>Recommends</u> that Parties include in their national reports the lessons learned through activities undertaken to implement their national clearing-house mechanisms, as appropriate;
Para. 3. <u>Recommends</u> that each Party organize an appropriate national clearing-house mechanism steering committee or working group composed of multisectoral and interdisciplinary representatives, to achieve broad participation of different stakeholders in the implementation process of the

clearing-house mechanism;

Para. 4.

Invites the Parties and other partners to use the clearing-house mechanism logo as a unifying element creating a clearing-house mechanism identity ...

Para. 6.

Requests those Parties with access to the Internet to link their national clearing-house mechanism home page to the Secretariat's clearing-house mechanism home page, where possible.

**Decision V/14. Scientific and technical cooperation and the clearing-house mechanism (Article 18)**

Para. 6.

Recommends that Parties and Governments, subject to availability of resources and relevance, undertake as priorities for the biennium 2001- 2002 the measures identified in annex I to the present decision.

Annex I. Measures To Be Undertaken By Parties And Governments In The Biennium 2001-2002, Subject To Availability Of Resources And Relevance

(a) Establish national directories of scientific institutions and experts working on specific thematic areas of the Convention on Biological Diversity and make these available through the clearing-house mechanism.

(b) Conduct surveys to establish a national baseline of existing scientific and technical cooperation initiatives relevant to the implementation of the provisions of the Convention on Biological Diversity.

(c) Establish or strengthen clearing-house mechanism national focal points.

(d) Establish, through the national clearing-house mechanism focal points, links to non-governmental organizations and other institutions holding important relevant databases or undertaking significant work on biological diversity.

(e) Establish regional or subregional clearing-house mechanism focal points.

(f) Establish national, regional and subregional clearing-house mechanism thematic focal points.

(g) Further develop the clearing-house mechanism to assist developing country Parties and Parties with economies in transition to gain access to information in the field of scientific and technical cooperation, in particular on:

(i) Funding opportunities; (ii) Access to and transfer of technologies; (iii) Research cooperation facilities; (iv) Repatriation of information; (v) Training opportunities; and (vi) Promoting and facilitating contact with relevant institutions, organizations, and the private sector, providing such services.

(h) Consider information providers as primary partners as a way of ensuring that a critical mass of scientific and technical information is made available.

(i) Consider the general public, the private sector, non-government organizations and all levels of

government as important target audiences for the clearing-house mechanism.

(j) Develop initiatives to make information available through the clearing-house mechanism more useful for researchers and decision makers.

(k) Develop, provide and share services and tools for the purposes of enhancing and facilitating the implementation of the clearing-house mechanism and further improving synergies among the biodiversity-related and the Rio conventions.

(l) Undertake an analysis of the cost-effectiveness of the implementation of the clearing-house mechanism, taking into account investments in institutional, human, financial, technological and informational resources.

#### **Decision VI/18. Scientific and technical cooperation and the clearing-house mechanism**

Para. 1.

*Invites* Parties to use effectively the central portal of the clearing-house mechanism and to establish or strengthen national, subregional or regional focal points for the clearing-house mechanism, if they have not done so already.

#### **Decision VII/23. Scientific and technical cooperation and the clearing-house mechanism (Article 18, Paragraph 3)**

Para. 3.

*Calls upon* Parties to:

(a) Use the clearing-house mechanism toolkit to establish clearing-house mechanism national focal points and websites, if they have not done so already;

(b) Contribute resources for the translation and maintenance in the six official languages of the United Nations of the content of the website of the Secretariat for the Convention and of the clearing-house mechanism toolkit;

(c) Use the controlled vocabulary for the Convention on Biological Diversity to facilitate interoperability of information among national clearing-house mechanisms.

Para. 4.

*Invites* developed country Parties to assist developing countries Parties, through the clearing-house mechanism, in their efforts to implement and use new information technologies, including the establishment of websites.

Para. 5.

*Invites* Parties to develop regional clearing-house mechanisms to further promote and facilitate technical and scientific cooperation and the exchange of information on technology transfer at the regional and national levels.

## **VI. Useful documents**

**Informal Meeting on Formats, Protocols and Standards for Improved Exchange of Biodiversity-related Information (Montreal, Canada, 19-20 February 2002) (UNEP/CBD/COP/6/INF/18)**

Scientific and technical cooperation and the Clearing-house Mechanism Strategic Plan of the Clearing -house Mechanism (UNEP/CBD/COP/5/INF/3)

Scientific and technical cooperation and the Clearing -house Mechanism Report of the independent review of the pilot phase of the Clearing house Mechanism (UNEP/CBD/COP/5/INF/2)

Report on the International Expert Meetings on 'Building the Clearing house' (UNEP/CBD/SBSTTA/3/Inf.12)

## **Chapter 21.      Communication, Education and Public Awareness**

### **I.      Mandate**

The Conference of the Parties to the Convention on Biological Diversity has adopted several decisions on communication, education and public awareness, and some of these decisions contain funding provisions.

<b>COP I</b>	
<b>COP II</b>	
<b>COP III</b>	Decision III/5, paragraph 6(b)
	<i>Requests</i> the Global Environment Facility, in preparing projects..., to include in such projects... project components addressing promotion of the understanding of the importance of, and measures required for, the conservation and sustainable use of biological diversity
<b>COP IV</b>	Decision IV/10, B, paragraph 8
	<i>Urges</i> Parties, relevant organizations and donor agencies to support local, national, subregional and regional public education and awareness initiatives
	Decision IV/10, B, paragraph 9
	<i>Urges</i> Parties, when requesting for assistance through the financial mechanism of the Convention, to propose projects which promote measures for implementing the provisions of the Convention on public education and awareness
<b>COP V</b>	Decision V/13, paragraph 2(l)
	The Global Environment Facility should provide support for capacity development for education, public awareness and communication in biological diversity at the national and regional levels, in accordance with decision V/17
<b>COP VI</b>	Decision VI/17, paragraph 10(o)
	The Global Environment Facility should provide support for capacity development and country-driven projects prioritized in the Global Initiative on Communication, Education and Public Awareness
	Decision VI/19, paragraph 5
	<i>Invites</i> the Global Environment Facility to include expertise relating to communication, education and public awareness when evaluating projects for funding approval and to strengthen its involvement in and support of the national implementation of the Global Initiative
	Decision VI/19, paragraph 6
	<i>Invites</i> the private sector to become an active player in the Global Initiative and encourages the private sector to mobilize resources for this Initiative
	Decision VI/19, paragraph 9
	<i>Invites</i> other agencies such as the United Nations Development Programme, the World Bank, and development banks: (a) To reflect in their funding policies the Global Initiative on Communication, Education and Public Awareness

	according to the conditions established in the annex to the present decision; (b) To include expertise on communication, education and public awareness when evaluating projects for funding approval
COP VII	Decision VII/24, paragraph 5
	<i>Invites</i> donor organizations to make available the required financial support for the implementation of the identified priority activities in the CEPA programme of work
	Decision VII/24, paragraph 6
	<i>Invites</i> donor organizations to provide funding to developing countries, particularly the least developed and small island developing States among them, and countries with economies in transition for the implementation of their national CEPA programmes and activities
	Decision VII/24, paragraph 7
	<i>Requests</i> Parties to contribute and make available financial support towards the cost of the production of the second edition of the Global Biodiversity Outlook report for release in May 2005
	Decision VII/20, paragraph 18
	<i>Invites</i> the Global Environment Facility, in accordance with its mandate, and other donor organizations to provide funding to developing countries, particularly the least developed and small island developing States among them, and countries with economies in transition for the implementation of their national communication, education and public-awareness programmes and activities

## II. Issues

The provisions on public education and awareness are contained in Article 13 of the Convention.

Parties to the Convention are aware of the general lack of information and knowledge regarding biological diversity, and thus decide to promote and encourage understanding of the importance of, and the measures required for, the conservation of biological diversity, as well as its propagation through media, and the inclusion of these topics in educational programmes; and cooperate, as appropriate, with other States and international organizations in developing educational and public awareness programmes, with respect to conservation and sustainable use of biological diversity.

## III. Background and Status

COP I	<b>As part of its medium-term programme of work, the COP decided to consider measures for implementing the Convention -- to provide information and share experiences on the implementation of Article 13 at its fourth meeting [decision I/9]</b>
COP II	
COP III	

COP IV	At its fourth meeting, the COP recognized the importance of public education and awareness as central instruments to achieve the Convention's goals and to ensure effective implementation of the Convention at the national level, and also recognized the need for capacity-building in this area. It also recognized that efforts to promote the goals of Article 13 entail recognition of the diverse needs of people and their differing perceptions, knowledge, attitudes, interests, values and understanding in respect of the goals of the Convention, and that public education and awareness on biological diversity is most effective when it occurs in a social context that is meaningful to a specific audience. It decided that public education and awareness issues shall be integrated into and become an integral component of all sectoral and thematic items under the programme of work of the Conference of the Parties, and decided to consider a global initiative on biological diversity education, training and public awareness [ <i>decision IV/10, B</i> ].
COP V	In decision V/17, the COP established a consultative working group of experts to further advance and to identify priority activities for the proposed global initiative on biological diversity education and public awareness.
COP VI	COP 6 noted that key actors in the implementation of the Convention need effective instruments on communication, education and public awareness to engage major stakeholders and to convey the appropriate messages to mainstream biodiversity, and adopted the programme of work for a Global Initiative on Communication, Education and Public Awareness [ <i>decision VI/19</i> ]. It also requested the Executive Secretary to develop a communication strategy for the Secretariat.
COP VII	In decision VII/24, the COP noted that communication, education and public awareness are essential elements for the successful and effective implementation of the programme of work of the Convention, and decided to convene an informal advisory committee to further develop the CEPA work programme.

#### **IV. The Programme of Work for the Global Initiative on Communication, Education and Public Awareness (CEPA)**

The programme of work for the global initiative on communication, education and public awareness (CEPA) contains three programmatic elements:

Programme element 1: Towards a global communication, education and public awareness network: establishing, stimulating and coordinating networks composed of new information technologies and traditional communication mechanisms.

Programme element 2: Exchange of knowledge and expertise: exchanging knowledge and expertise among professionals, enhancing development and innovation on CEPA.

Programme element 3: Capacity building for communication, education and public awareness: developing capacity of the Parties to market biodiversity to other sectors, and mainstreaming biodiversity into the work of other sectors.

#### **V. Funding needs**

Possible funding needs might be derived from the following requests from the COP:

**Decision IV/10, B. Public education and awareness: consideration of measures for the**

<b>implementation of Article 13</b>
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Para. 1.

Urges Parties:

- (a) To place special emphasis on the requirements of Article 13 of the Convention in the development of their national strategies and action plans;
- (b) To promote education on biological diversity through relevant institutions, including non-governmental organizations;
- (c) To allocate appropriate resources for the strategic use of education and communication instruments at each phase of policy formulation, planning, implementation and evaluation, including the identification of relevant target groups seeking to provide these with relevant, timely, reliable and understandable information;
- (d) To integrate biological diversity concerns into education strategies, recognizing the particular needs of indigenous and local communities; and
- (e) To support initiatives by major groups that foster stakeholder participation in biological diversity conservation and sustainable use and that integrate biological diversity conservation matters into their practices and educational programmes.

Para. 2.

Also urges Parties to share experiences on initiatives on public education and awareness and public participation relevant to the Convention, particularly on a sectoral and thematic basis, and to make relevant case studies as well as lessons learned in the preparation of national biological diversity policies, strategies and plans available to the Executive Secretary and for the exchange of information among Parties through the clearing-house mechanism and to consider how to organize assistance for Parties who may be keen to develop public awareness and education strategies, but lack the ability to do so.

Para. 3.

Encourages Parties to make use of the media, including print and electronic media, to promote public education and awareness about the importance and appropriate methods for the conservation and sustainable use of biological diversity.

Para. 4.

Calls upon Parties, where necessary, to illustrate and translate the provisions of the Convention into the respective local languages to promote public education and awareness-raising of relevant sectors, including local communities

Para. 9.

Urges Parties, when requesting for assistance through the financial mechanism of the Convention, to propose projects which promote measures for implementing the provisions of the Convention on public education and awareness

<b>Decision V/17. Public Education and Awareness</b>
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Para. 6.

Invites Parties, Governments, organizations and institutions to support capacity-building for education and communication in biological diversity as part of their national biodiversity



strategies and action plans, taking into account the global initiative
<b>Decision VI/19. Communication, education and public awareness</b>
<p>Para. 2.  <i>Invites</i> Parties to strongly and effectively promote biodiversity-related issues through the press, the various media, and public relations and communications networks at national levels;</p> <p>Para. 3.  <i>Requests</i> the Parties to the Convention and other Governments:</p> <p>(a) To support the national, regional and international activities prioritized by the Global Initiative on Education and Public Awareness;</p> <p>(b) To develop adequate capacity to deliver initiatives on communication, education and public awareness, taking into account special needs of developing countries, in particular, the least developed countries and Small Island developing States ...</p> <p>Para. 11.  <i>Invites</i> Parties to facilitate the increase in the number of biodiversity-related publications in their national libraries in order to facilitate further dissemination of knowledge on biodiversity issues among the general public</p>
<b>Decision VII/24. Education and public awareness (Article 13)</b>
<p>Para. 3.  <i>Invites</i> Parties to take into consideration the need to communicate the various elements of the 2010 biodiversity target and to establish appropriate linkages to the Decade on Education for Sustainable Development in the implementation of their respective national CEPA programmes and activities</p>

## VI. Useful documents

### Public education and awareness: implementation of Article 13 (UNEP/CBD/COP/4/19)

Report of the CBD-UNESCO Consultative Group of Experts on Biological Diversity Public Education and Awareness on the Work of its First Meeting (UNEP/CBD/GEEPA/1/1)

Report of the CBD-UNESCO Consultative Group of Experts on Biological Diversity Public Education and Awareness on the Work of its Second Meeting (UNEP/CBD/GEEPA/2/3)

CBD-UNESCO Consultative Working Group of Experts on Biological Diversity Education and Public Awareness (UNEP/CBD/GEEPA/3/3)

## Chapter 22. Financial Resources and Mechanism

### I. Mandate

The Conference of the Parties to the Convention on Biological Diversity has adopted several decisions on financial resources and mechanism, and some of these decisions contain funding provisions requiring action by funding institutions.

<b>COP I</b>	<b>Decision I/2, annex I, section II</b>
	Only developing countries that are Parties to the Convention are eligible to receive funding upon the entry into force of the Convention for them. In accordance with the provisions of the Convention, projects that seek to meet the objectives of conservation of biological diversity and sustainable use of its components are eligible for financial support from the institutional structure
<b>COP II</b>	
<b>COP III</b>	Decision III/6, paragraph 1
	<i>Urges</i> all funding institutions, including bilateral and multilateral donors as well as regional funding institutions and non-governmental organizations, to strive to make their activities more supportive of the Convention, taking into account, inter alia, relevant elements contained in document UNEP/CBD/COP/3/7
	Decision III/6, paragraph 5
	<i>Invites</i> other funding institutions, including bilateral and multilateral donors as well as regional funding institutions and non-governmental organizations, to compile information on their financial support for the Convention and to provide the Secretariat with such information
	Decision III/6, paragraph 4
	<i>Urges</i> developed country Parties to cooperate in the development, where possible, of standardized information on their financial support for the objectives of the Convention on Biological Diversity. Where possible, these Parties should submit this information to the Secretariat of the Convention on Biological Diversity in their national reports
	Decision III/21, paragraph 12
	<i>Invites</i> contracting parties to relevant biological diversity-related conventions to explore opportunities for accessing funding through the Global Environment Facility for relevant projects, including projects involving a number of countries, which fulfil the eligibility criteria and guidance provided by the Conference of the Parties to the Convention on Biological Diversity to the Global Environment Facility.
<b>COP IV</b>	Decision IV/16, paragraph 13
	<i>Decides</i> that, while the Subsidiary Body on Scientific, Technical and Technological Advice should consider the financial implications of its proposals, its recommendations will only include advice to the Conference of the Parties regarding financial matters, including guidance to the financial mechanism, when the Conference of the Parties has so requested

COP V	Decision V/11, paragraph 5
	<i>Invites</i> , inter alia, funding institutions, United Nations bodies, intergovernmental organizations and non-governmental organizations to designate focal points, to develop a reporting relationship with the Convention, and to provide information to the Executive Secretary on their activities in support of the objectives of the Convention
	Decision V/11, paragraph 15
	<i>Invites</i> the United Nations Environment Programme, through its financial-sector initiatives, the World Bank and other financial institutions, to promote consideration of biological diversity by the financial sector
	Decision V/11, paragraph 4
	<i>Urges</i> developed country Parties and <i>encourages</i> developing country Parties to establish a process to monitor financial support to biodiversity, and to provide further information in their national reports on financial support to biodiversity to the Conference of the Parties at its sixth meeting
	Decision V/11, paragraph 9
	<i>Urges</i> developed country Parties to promote support for the implementation of the objectives of the Convention on Biological Diversity in the funding policy of their bilateral funding institutions and those of regional and multilateral funding institutions
	Decision V/11, paragraph 10
	<i>Urges</i> developing country Parties to incorporate ways and means to support implementation of the objectives of the Convention on Biological Diversity into their dialogue with funding institutions
	Decision V/11, paragraph 14
	<i>Invites</i> Parties to include in their second national reports information on the involvement of the private sector
	Decision V/11, paragraph 16
	<i>Urges</i> Parties, subject to their national legislation, to promote the consideration of tax exemptions in national taxation systems for biodiversity-related donations, and requests the Executive Secretary to encourage charitable institutions to support activities that promote the implementation of the Convention.
	Decision V/20, paragraph 8
	<i>Decides</i> that guidance to the financial mechanism should be incorporated into a single decision, including the identification of priority issues which will provide support for cross-cutting issues and capacity-building, especially for developing countries, in a manner that: <ul style="list-style-type: none"> <li>(a) Is transparent;</li> <li>(b) Allows participation; and</li> <li>(c) Allows full consideration of its other decisions</li> </ul>
COP VI	Decision VI/16, paragraph 9
	<i>Requests</i> the Global Environment Facility to explore opportunities to further develop, enhance and strengthen its catalytic role in identifying and promoting co-financing resources, and, also, to take definitive actions to explore and examine innovative and creative financing modalities to leverage increased funds from the private sector and non-traditional sources of funding

	Decision VI/16, paragraph 5
	<i>Urges</i> donor countries to substantially replenish the Global Environment Facility to levels higher than the current for supporting developing countries, in particular the least developed and the small island developing States, and countries with economies in transition, to implement the Convention on Biological Diversity.
	Decision VI/16, paragraph 6
	<i>Invites</i> Parties and Governments, funding institutions and development agencies, as well as other donors to communicate to the Executive Secretary their funding procedures, eligibility criteria and programme priorities in relation to biological diversity as well as their experience in mainstreaming biodiversity into funding operations.
	Decision VI/16, paragraph 7
	<i>Invites</i> Parties and Governments to: (a) Share, through the clearing-house mechanism, their experiences on developing and implementing financial measures for supporting national biodiversity strategies and action plans, such as biodiversity trust funds and promotion of the private sector in supporting biological diversity; (b) Review national budgets and monetary policies, including the effectiveness of official development assistance allocated to biological diversity, with a view to promoting the conservation and sustainable use of biological diversity, paying particular attention to positive incentives and their performance as well as perverse incentives and ways and means for their removal or mitigation.
	Decision VI/16, paragraph 8
	<i>Urges</i> Parties and Governments, the World Bank, the International Monetary Fund, the United Nations Development Programme and other relevant institutions to take concrete action to review and further integrate biodiversity considerations in the development and implementation of major international development initiatives, such as the Highly Indebted Poor Countries (HIPC) Initiative, Poverty Reduction Strategies (PRSs), and Comprehensive Development Frameworks (CDF), as well as in national sustainable development plans and relevant sectoral policies and plans.
	Decision VI/27, B, paragraph 18
	<i>Requests</i> the Executive Secretary, as a matter of priority, to identify potential sources of financial support for facilitating the participation of non-governmental organizations from developing countries and countries with economies in transition in meetings organized under the Convention
COP VII	Decision VII/21, paragraph 1
	<i>Urges</i> Parties and Governments, international and regional financial institutions and development agencies, as well as other donors, to take timely actions to ensure the effective implementation of the programme of work as well as the Strategic Plan of the Convention and associated targets
	Decision VII/21, paragraph 3
	<i>Urges</i> Parties to fully implement the Monterrey Consensus on financing for development and conclude successfully the Doha Development Negotiation Round process
	Decision VII/21, paragraph 5
	<i>Invites</i> Parties and Governments, funding institutions and development

	agencies, as well as other donors, which have not done so, to make their funded biodiversity related projects publicly available on their respective websites and to notify the Executive Secretary of the list of such projects
	Decision VII/21, paragraph 7
	<i>Invites</i> Parties and Governments to enhance the integration of biological diversity into their sectoral development and assistance programmes
	Decision VII/21, paragraph 8
	<i>Invites</i> Parties and Governments to develop and encourage biodiversity related partnership arrangements with and among funding institutions and other stakeholders, including with banking and business sectors, in order to promote, <i>inter alia</i> , the development and implementation of initiatives such as the Global Initiative on Banking, Business and Biodiversity, in support of the achievement of the objectives of the Convention and agreed global targets
	Decision VII/21, paragraph 9
	<i>Encourages</i> Parties and Governments, international and regional financial institutions and development agencies, as well as other donors, to further explore opportunities to utilize various initiatives including debt-relief instruments to promote conservation and sustainable use of biodiversity

## II. Issues

The Convention on Biological Diversity acknowledges that substantial investments are required to conserve biological diversity, and that the provision of new and additional financial resources and appropriate access to relevant technologies can be expected to make a substantial difference in the world's ability to address the loss of biological diversity.

The Convention further states: "The extent to which developing country Parties will effectively implement their commitments under this Convention will depend on the effective implementation by developed country Parties of their commitments under this Convention related to financial resources and transfer of technology and will take fully into account the fact that economic and social development and eradication of poverty are the first and overriding priorities of the developing country Parties."

Article 20 of the Convention contains the provisions on financial resources. Article 21 and Article 39 of the Convention contain the provisions on financial mechanism for the provision of financial resources to developing country Parties for purposes of this Convention on a grant or concessional basis.

Financial resources and financial mechanism are one of standing items on the agenda of the ordinary meetings of the Conference of the Parties.

## III. Background and Status

COP I	As part of its medium-term programme of work, COP 1 decided to consider the financial mechanism and resources as one of standing items on its agenda [ <i>decision I/9</i> ]. COP 1 also adopted the policy, strategy, programme priorities and eligibility criteria for access to and utilization of financial resources, and decided that the restructured Global Environment Facility (GEF) shall continue to serve as the institutional structure to operate the financial mechanism under the Convention on an interim basis. The COP decided to consider a memorandum of understanding between the COP and the GEF Council. In addition, the COP requested a study on the availability of financial resources additional to those provided through the GEF and on the ways and means for mobilizing and channeling these resources in support of the objectives of the Convention [ <i>decision I/2</i> ].
COP II	In decision II/6, the COP agreed on several aspects of the relationship between the Convention and the GEF, and decided to undertake the first review of the effectiveness of the financial mechanism at its fourth meeting and a review every three years. COP 2 also decided to continue the work to identify additional financial resources to support the objectives of the Convention, and to study characteristics specific to biodiversity activities in order to develop suggestions to funding institutions on how to make their activities in the area of biodiversity more supportive of the Convention.
COP III	<p>COP 3 successfully adopted the guidelines for the review of the effectiveness of the financial mechanism [<i>decision III/7</i>], memorandum of understanding between the COP and the GEF Council [<i>decision III/8</i>], as well as a list of additional guidance to the financial mechanism [<i>decision III/5</i>]. The COP recognized that the financial mechanism shall function under the authority and guidance of and be accountable to the Conference of the Parties for the purposes of the Convention and that GEF will operate the financial mechanism of the Convention on an interim basis in accordance with Article 39 of the Convention. The memorandum of understanding covers: guidance from the Conference of the Parties, reporting from the GEF Council, monitoring and evaluation, determination of funding requirements, reciprocal representation and inter-secretariat cooperation, etc..</p> <p>In decision III/6, the COP recognized the importance of identifying alternative sources of funding in support of the Convention, and decided to compile information on financial support for the Convention. The COP also decided to explore ways of collaboration with funding institutions and to explore further possibilities for encouraging the involvement of the private sector in supporting the Convention's objectives.</p>
COP IV	At its fourth meeting, the COP conducted the first review of the effectiveness of the financial mechanism, and adopted eleven pieces of action to improve the effectiveness. The COP provided a list of additional guidance to the financial mechanism and further requested advice on matters relating to further guidance to the financial mechanism [ <i>decisions IV/11 and IV/13</i> ]. In decision IV/12, the COP noted concerns over the downward trend of development assistance in the past few years, and also noted the lack of comprehensive information about trends in development assistance with respect to biological diversity. In addition, COP 4 requested proposals to advance the work on financial resources.

COP V	COP 5 made progress on several fronts: to promote coordination and collaboration with funding institutions through the development of a funding database and the organization of a workshop on financing for biodiversity; to monitor financial resources; to improve relationship with funding institutions as well as to promote the involvement of the private sector [ <i>decision V/11</i> ]. It required Parties to establish a process to monitor financial support to biodiversity, and invited funding institutions to develop a reporting relationship with the Convention. It also resolved that the involvement of the private sector shall be included on the agenda of the COP at its regular meetings and be integrated into the sectoral and thematic items under its programme of work. In addition, the COP adopted the terms of reference for the second review of the financial mechanism and a list of further guidance to the financial mechanism [ <i>decisions V/12 and V/13</i> ]
COP VI	In decision VI/16, the COP emphasized the need for a substantial increase of international financial support to the implementation of the Convention and the easier flow of such assistance, and noted the efforts to develop partnership aiming at promoting financial investments in biodiversity and the initiation of the Convention Finance Alliance. It invited further sharing of information and experience and agreed to review national budgets and monetary policies, including the effectiveness of official development assistance allocated to biological diversity, with a view to promoting the conservation and sustainable use of biological diversity. COP 6 also initiated efforts to develop a global initiative on banking, business and biodiversity and to consider the impacts of external debts on the conservation and sustainable use of biodiversity. In decision VI/17 (financial mechanism under the Convention), the COP provided a list of additional guidance to the financial mechanism, and adopted several measures to improve the effectiveness of the financial mechanism.
COP VII	COP-7 recalled paragraph 44 of the Plan of Implementation of the World Summit on Sustainable Development, and urged donor communities to act on the various targets of the Convention, as well as on furthering exchange of funding information, integration of biological diversity, partnership arrangements and debt-relief instruments [ <i>decision VII/21</i> ]

#### IV. Useful documents

##### **Study on the availability of the additional financial resources: prepared by the Secretariat (UNEP/CBD/COP/2/10)**

Characteristics specific to biological diversity and suggestions to funding institutions on how to make their activities more supportive of the Convention: a preliminary consideration: note by the Executive Secretary (UNEP/CBD/COP/3/7)

Additional financial resources: note by the Executive Secretary (UNEP/CBD/COP/5/14)

Additional financial resources: note by the Executive Secretary (UNEP/CBD/COP/6/14)

Financial resources and mechanism (Articles 20 and 21): Additional financial resources (UNEP/CBD/COP/7/18)

## **Chapter 23. National Reporting**

### **I. Mandate**

The Conference of the Parties to the Convention on Biological Diversity has adopted several decisions on national reporting, and some of these decisions contain funding provisions.

<b>COP I</b>	
<b>COP II</b>	Decision II/6, paragraph 11
	<i>Requests</i> the interim institutional structure to implement the relevant provisions of the following decisions: ... and II/17 on form and intervals of national reports by Parties
	Decision II/17, paragraph 12
	<i>Urges</i> the financial mechanism to make available financial resources to developing country Parties to assist in the preparation of their national reports
	Decision II/17, annex, paragraph (i)
	Budget: provide the budget for the plan of action, showing funding requirements for operating expenses, capital purchases, transport, field costs, etc. List the personnel needed by category of skill or background, the facilities and services required, and possible international technical and financial cooperation.
<b>COP III</b>	
<b>COP IV</b>	Decision IV/13, paragraph 6
	The Global Environment Facility should continue to provide financial assistance for the preparation of national reports, having regard to the constraints and needs identified by Parties in their first national reports, in accordance with decision IV/14
	Decision IV/14, paragraph 4
	<i>Urges</i> developed country Parties to include in their national reports information, in a standardized form, on their financial support for the objectives of the Convention
	Decision IV/14, paragraph 5
	<i>Requests</i> the Global Environment Facility, as the operating entity of the financial mechanism, to continue to provide financial assistance for the preparation of national reports, having regard to the constraints and needs identified by Parties in their first national reports
<b>COP V</b>	Decision V/13, paragraph 2(e)
	The Global Environment Facility should provide support for the consultative processes referred to in paragraph 6 of decision V/19, which are aimed at assisting with the preparation of second national reports, taking into account the fact that the Conference of the Parties may develop guidelines for subsequent national reports
<b>COP VI</b>	Decision VI/25, paragraph 5
	<i>Requests</i> the Global Environment Facility, as the institutional structure



	operating the financial mechanism, to continue to provide, in a timely manner, support to eligible countries for the preparation of national reports
	Decision VI/25, paragraph 9
	<i>Takes note of</i> the difficulty experienced by some developing countries and countries with economies in transition in accessing funding for preparing their second national reports, and <i>requests</i> the Secretariat of the Convention and the Global Environmental Facility to explore innovative funding modalities for facilitating the preparation of future national reports and thematic reports
	Decision VI/17, paragraph (l)
	The Global Environment Facility should provide support, in a timely manner, to eligible Parties for the preparation of national reports
COP VII	Decision VII/25, B, paragraph 5
	<i>Invites</i> developed country Parties to continue to provide support in the form of technical capacity development and financial resources to developing country Parties, Parties with economies in transition and small island developing States, as appropriate, to facilitate these Parties to meet their reporting obligations
	Decision VII/20, paragraph 14
	<i>Encourages</i> Parties, Governments, relevant bilateral, regional and multilateral organizations, and the Global Environment Facility to collaborate to strengthen the various capacities of Parties, particularly developing country Parties and countries with economies in transition, to prepare their future national and thematic reports
	Decision VII/20, paragraph 15
	<i>Further encourages</i> Parties, Governments, relevant bilateral, regional and multilateral organizations, and the Global Environment Facility, to analyse the progress of Parties, particularly developing country Parties and countries with economies in transition, in implementing the Convention, in relation to those areas identified as a priority by those countries, in order to <i>inter alia</i> assist them in the preparation of their future national reports
	Decision VII/20, paragraph 16
	<i>Requests</i> the Global Environment Facility to explore ways to expedite and simplify its procedures for allocating funds to the eligible countries to prepare their national reports to fulfil their reporting obligations under the Convention
	Decision VII/20, paragraph 17
	<i>Invites</i> the Global Environment Facility to provide the necessary financial support to facilitate the preparation of the third national reports by the Parties

## II. Issue

The objective of national reporting, as specified in Article 26 of the Convention, is to provide information on measures taken for the implementation of the Convention and the effectiveness of these measures. The reporting process is therefore not intended to elicit information on the status and trends of biological diversity as such in the country concerned, except in so far as such information is relevant to the account of the implementation measures.

An effective system of national reporting can assist the Conference of the Parties to:

- Consider the lessons learned by Parties in the implementation of the Convention

- Identify gaps in capacity for policy research and analysis at the national, regional and global levels, including technical and financial requirements
- Formulate appropriate requests and guidance to Parties and to its subsidiary bodies, the Secretariat, the financial mechanism, and other organizations with expertise relevant to the implementation of the Convention.

The national reporting process is therefore key to enabling the Conference of the Parties to assess the overall status of implementation of the Convention.

The process of reporting will also assist the individual country to monitor the status of implementation of the commitments it has taken on as a Contracting Party. It can assist the country to identify those commitments that are being successfully met, those that have not been implemented, and constraints to implementation.

Public availability of national reports assists relevant actors (for example, intergovernmental agencies, specialist non-governmental organizations and scientific bodies) to formulate focused strategies and programmes to assist Parties, individually or collectively, with implementation. It similarly enables individual Parties or groups of Parties to identify common issues to be addressed, thus facilitating the development of cost-effective and mutually supportive regional initiatives for implementation.

### III. Background and Status

COP I	As part of its medium-term programme of work, COP 1 decided to consider reports by Parties to provide the form for reporting and to decide on intervals for reporting [ <i>decision I/9</i> ].
COP II	At its second meeting, the COP decided that the first national reports will focus on the measures taken for the implementation of Article 6 as well as the information available in national country studies, and the reports would be due at the fourth meeting of the COP. The national reports should be submitted in one of the working languages of the COP, and the Secretariat should prepare a report based on the synthesis of information contained in national reports and other relevant information and containing also suggested next steps. All national reports would be made available through the clearing-house mechanism for technical and scientific cooperation [ <i>decision II/17</i> ].
COP III	COP 3 reiterated its request for submission of national reports for the fourth meeting of the COP [ <i>decision III/9</i> ].
COP IV	In decision IV/14, the COP noted the difficulty experienced by Parties in preparing their national reports and that the first national reports varied in length and scope and that further guidelines are needed to simplify and streamline the national reporting process. It requested a revised version of the synthesis report on the basis of the national reports received and other relevant information.

COP V	At its fifth meeting, the COP endorsed a format on national reporting as the recommended format for further national reports, and decided to keep the format under review. COP 5 recommended that national reports be prepared through a consultative process involving all relevant stakeholders or by drawing upon information developed through other consultative processes. The COP also requested detailed thematic reports on forest ecosystems, alien species and benefit-sharing [ <i>decision V/19</i> ].
COP VI	COP 6 approved the formats for thematic reports on mountain ecosystems, protected areas or areas where special measures need to be taken to conserve biological diversity, and transfer of technology and technology cooperation, and invited thematic reports accordingly. The COP decided to consider a draft format for the third national reports at its seventh meeting. In addition, the COP welcomed the publication of the Global Biodiversity Outlook and decided upon the publication of its second edition [ <i>decision VI/25</i> ].
COP VII	In decision VII/25, the COP considered national reporting in general and the third national reports in particular. COP-7 adopted guidelines for the third national report with reporting schedules, and also identified measures to improve the submission of national reports.

#### IV. Funding needs

Possible funding needs might be derived from the following requests from the COP:

<b>Decision II/17. Form and intervals of national reports by Parties</b>
<p>Para. 11.</p> <p><u>Urges</u> all Parties to submit their first national reports to the Secretariat no later than 30 June 1997 to allow consideration of this item by the Conference of the Parties at its fourth meeting</p>
<b>Decision IV/14. National reports by Parties</b>
<p>Para. 4.</p> <p><u>Urges</u> developed country Parties to include in their national reports information, in a standardized form, on their financial support for the objectives of the Convention</p>
<b>Decision V/19. National reporting</b>
<p>Para. 5.</p> <p><u>Requests</u> Parties to submit their next national report: (a) By 15 May 2001; (b) In an official language of the Conference of the Parties; (c) In both hard copy and electronic format; and thereafter for consideration at alternate ordinary meetings of the Conference of the Parties, and include them in their clearing-house mechanism national focal point where feasible;</p> <p>Para. 6.</p> <p><u>Recommends</u> that Parties prepare their national reports through a consultative process involving all relevant stakeholders, as appropriate, or by drawing upon information developed through other consultative processes;</p> <p>Para. 7.</p> <p>Also <u>invites</u> Parties to prepare detailed thematic reports on one or more of the items for in-depth consideration at its ordinary meetings, thereby providing national contributions to the work of the Conference of Parties and its subsidiary bodies;</p> <p>Para. 8.</p>

Accordingly, invites Parties to submit to the Executive Secretary, reports on forest ecosystems, alien species and benefit-sharing for consideration at its sixth meeting: (a) In accordance with the formats contained, respectively, in annexes II, III and IV of the note by the Executive Secretary on national reporting; (b) By, respectively, 15 May 2001, 30 September 2000, and 30 December 2000; (c) In an official language of the Conference of the Parties; (d) In both hard copy and electronic format

#### **Decision VI/25. National reports**

Para. 2.

Urges Parties that have not submitted a second national report to do so without further delay;

Para. 4.

Invites Parties to submit thematic reports on mountain ecosystems, protected areas or areas where special measures need to be taken to conserve biological diversity, and transfer of technology and technology cooperation in accordance with the formats prepared by the Executive Secretary, which should identify priorities in national biodiversity strategies and action plans, impediments to implementation, and existing and potential areas of cooperation and capacity-building, and aim to support the work of the Subsidiary Body on Scientific, Technical and Technological Advice

#### **Decision VII/25. National reports**

A.

Para. 3.

*Requests* Parties to facilitate the preparation of the third and future national reports and endeavour to submit national reports in time.

Para. 4.

*Encourages* Parties, Governments, relevant bilateral, regional and multilateral organizations to collaborate to strengthen the various capacities of Parties, particularly developing country Parties and countries with economies in transition, to prepare their future national and thematic reports.

Para. 5.

*Further encourages* Parties, Governments, relevant bilateral, regional and multilateral organizations, to analyse the progress of Parties, particularly developing country Parties and countries with economies in transition, in implementing the Convention, in relation to those areas identified as a priority by those countries, in order to *inter alia* assist them in the preparation of their future national reports.

Para. 6.

*Requests* Parties to submit as much information and data as available to improve the adequacy of information for the evaluation of the implementation of the Convention, the Strategic Plan of the Convention and the progress towards the 2010 target, particularly focusing on:

- (a) Status and trends of biodiversity and its various components;
- (b) Impacts of national actions on the achievement of the objectives of the Convention, the goals and objectives identified in the Strategic Plan of the Convention and the 2010 target;
- (c) Implementation of priority actions in national biodiversity strategies and action plans; and
- (d) Constraints or impediments encountered in the implementation of the Convention

B.

Para. 4.

*Invites* Parties to promote wide stakeholder involvement, as well as that of indigenous and local communities, in the preparation of national reports, or in related processes that will inform national-report preparation, to ensure a more accurate and comprehensive reflection of the views and priorities of national stakeholders

Para. 8.

Requests Parties to submit their third national reports:

- (a) By 15 May 2005;
- (b) In an official language of the United Nations;
- (c) In both hard copy and electronic format

## V. Useful documents

### **Form and Intervals of National Reports by Parties (UNEP/CBD/COP/2/14)**

Synthesis of Information Contained in National Reports on the Implementation of the Convention (UNEP/CBD/COP/4/11)

Assessment of the information contained in the second national reports concerning cross-cutting issues under the convention (UNEP/CBD/COP/6/INF/10)

Assessment of the information contained in the second national reports concerning thematic programmes of work under the Convention (UNEP/CBD/COP/6/INF/11)

Analysis of information contained in second national reports (UNEP/CBD/COP/7/INF/2)

## Part V Cartagena Protocol on Biosafety

### Chapter 24. Biosafety

#### I. Mandate

The Conference of the Parties to the Convention on Biological Diversity has adopted several decisions on biosafety, and some of these decisions contain funding provisions.

<b>COP I</b>	
<b>COP II</b>	
<b>COP III</b>	Decision III/20, paragraph 2(c)
	<i>Endorses</i> ... the requests to the interim institutional structure operating the financial mechanism to provide financial resources to developing country Parties for capacity-building in biosafety, in accordance with paragraph 3 of recommendation II/5, as set out in paragraph 2 (a) of decision III/5
	Decision III/5, paragraph 2(a)
	The Global Environment Facility shall provide financial resources for capacity-building in biosafety, including for the implementation by developing countries of the UNEP International Technical Guidelines on Safety in Biotechnology
<b>COP IV</b>	
<b>COP V</b>	
<b>COP VI</b>	Decision VI/17, paragraph 10(b)
	The Global Environment Facility shall provide financial resources for national capacity-building in biosafety, in particular for enabling effective participation in the Biosafety Clearing-House and in the implementation of the Action Plan for Building Capacities for the Effective Implementation of the Cartagena Protocol on Biosafety proposed by the Intergovernmental Committee on Cartagena Protocol at its second meeting, and for other needs identified in the recommendations of the Intergovernmental Committee at its second meeting for assisting developing countries to prepare for the entry into force of the Protocol
<b>COP/MOP I</b>	Decision BS-I/3, paragraph 11
	<i>Calls upon</i> the international community to make additional voluntary contributions to meet the capacity-building needs of countries with respect to the implementation of national components of the Biosafety Clearing-House
	Decision BS-I/4, paragraph 11
	<i>Urges</i> Governments and other donors to make contributions to the pilot phase of the voluntary fund for the roster of experts
	Decision BS-I/4, paragraph 12
	<i>Invites</i> the financial mechanism for the Protocol to assess whether it can have

	a role to play in the roster of experts
	Decision BS-I/5, paragraph 5
	<i>Decides</i> to undertake a comprehensive review and possible revision of the Action Plan and at its third meeting, on the basis of the progress report to be prepared by the Executive Secretary and also on the basis of the capacity needs and priorities submitted by Parties and other Governments and decides to, at the same time, review the guidance to the financial mechanism with a view to updating it, as appropriate
	Decision BS-I/5, paragraph 12
	<i>Invites</i> developed country Parties, Governments, the Global Environment Facility, other donor agencies and relevant organizations to provide financial support and other assistance to developing country Parties, in particular the least developed and the small island developing States among them, and Parties with economies in transition, including countries amongst these that are centres of origin and centres of genetic diversity, to develop and implement capacity-building activities, including organization of national, regional and inter-regional capacity building workshops and preparatory meetings
	Decision BS-I/5, paragraph 13
	<i>Welcomes</i> the support already provided by the Global Environment Facility for demonstration projects on implementation of the national biosafety frameworks and <i>invites</i> the Global Environment Facility to extend such support to other eligible countries
	Decision BS-I/5, paragraph 14
	<i>Urges</i> the Global Environment Facility to ensure a rapid implementation of its initial strategy for assisting countries to prepare for the ratification and implementation of the Protocol, and to support capacity-building for the establishment of national components of the Biosafety Clearing-House in a flexible manner, and to provide additional support for the development and/or strengthening of existing national and regional centres for training; regulatory institutions; risk assessment and risk management; infrastructure for the detection, testing, identification and long-term monitoring of living modified organisms; legal advice; decision-making; handling of socio-economic considerations; awareness-raising and technology transfer for biosafety
	Decision BS-I/5, paragraph 19
	<i>Invites</i> Parties, other Governments and relevant organizations to provide financial contributions and other support to facilitate the implementation of the Coordination Mechanism
	Decision BS-I/5, annex II, paragraph 4
	Subject to the decisions of the Conference of the Parties, and in accordance with its mandate, the role of the Global Environment Facility (GEF) includes: (a) Providing funding and other assistance to build necessary legislative and administrative frameworks, and for training in risk assessment and risk management; (b) Deciding on further areas for financial support for capacity-building in accordance with the identified priority needs of developing countries and countries with economies in transition, responses to the questionnaires, the outcomes of inter-sessional workshops, and its previous pilot project on

	<p>biosafety;</p> <p>(c) Implementing the GEF Strategy to assist countries to ratify and implement the Cartagena Protocol on Biosafety;</p> <p>(d) Facilitating the provision of technical support; and</p> <p>(e) Facilitating the use of existing and developing regional networks.</p>
	Decision BS-I/5, annex II, paragraph 5
	<p>The role of other bilateral and multilateral donors, as mutually agreed with recipient Parties and Governments, as appropriate:</p> <p>(a) Providing funding and other assistance to Parties, governments and to the Secretariat, for relevant activities;</p> <p>(b) Co-financing or providing matching funds for building scientific capacity at the sub regional level, including sponsoring regional and subregional workshops;</p> <p>(c) Providing short- or long-term experts to advise on identified needs and demands for assistance on specific issues, including those listed in Article 22 of the Protocol;</p> <p>(d) Reinforcing collaboration among capacity-building projects on biotechnology and biosafety in order to avoid duplication and to efficiently use the limited resources available.</p>
	Decision BS-I/6, A, paragraph 9
	<i>Urges</i> developed country Parties and other donor Governments to make financial contributions necessary to facilitate the participation of experts from developing countries and countries with economies in transition in the open-ended technical expert group referred to in paragraph 6 above.
COP VII	Decision VII/20, paragraph 20
	<i>Decides</i> to provide the following guidance to the Global Environment Facility to be implemented in a timely manner
	Decision VII/20, paragraph 21
	<p><i>Decides</i> also upon the following eligibility criteria for funding by the Global Environment Facility:</p> <p>(a) All developing countries, in particular the least developed and small island developing States among them, and countries with economies in transition, including countries amongst these that are centres of origin and centres of genetic diversity, which are Parties to the Protocol, are eligible for funding by the Global Environment Facility in accordance with its mandate;</p> <p>(b) All developing countries, in particular the least developed and small island developing States among them, and countries with economies in transition, including countries amongst these that are centres of origin and centres of genetic diversity, which are Parties to the Convention and provide a clear political commitment towards becoming Parties to the Protocol, shall also be eligible for funding by the Global Environment Facility for the development of national biosafety frameworks and the development of national biosafety clearing-houses and other necessary institutional capabilities to enable a non-Party to become a Party. Evidence of such political commitment shall take the form of a written assurance to the Executive Secretary that the country intends to become a Party to the Protocol on completion of the activities to be funded</p>
	Decision VII/20, paragraph 22
	<i>Stresses</i> that the provision of financial resources by the Global Environment Facility shall be for country-driven activities and programmes consistent with



	their national priorities and objectives
	Decision VII/20, paragraph 23
	<i>Invites</i> developed country Parties, Governments, the Global Environment Facility, other donor agencies and relevant organizations to provide financial support and other assistance to developing country Parties, in particular the least developed and the small island developing States among them, and Parties with economies in transition, including countries amongst these that are centres of origin and centres of genetic diversity, to develop and implement capacity-building activities, including organization of national, regional and inter-regional capacity building workshops and preparatory meetings
	Decision VII/20, paragraph 24
	<i>Invites</i> the Global Environment Facility to extend support for demonstration projects on implementation of the national biosafety frameworks to other eligible countries
	Decision VII/20, paragraph 25
	<i>Urges</i> the Global Environment Facility to ensure a rapid implementation of its initial strategy for assisting countries to prepare for the ratification and implementation of the Protocol, and to support capacity-building for the establishment of national components of the Biosafety Clearing-House in a flexible manner, and to provide additional support for the development and/or strengthening of existing national and regional centres for training; regulatory institutions; risk assessment and risk management; infrastructure for the detection, testing, identification and long-term monitoring of living modified organisms; legal advice; decision-making; handling of socio-economic considerations; awareness-raising and technology transfer for biosafety
	Decision VII/20, paragraph 26
	<p><i>Notes</i> that the role of the Global Environment Facility, in accordance with its mandate, in the Action Plan for Building Capacities for the Effective Implementation of the Protocol, adopted by the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety at its first meeting, includes:</p> <ul style="list-style-type: none"> <li>(a) Providing funding and other assistance to build necessary legislative and administrative frameworks, and for training in risk assessment and risk management;</li> <li>(b) Deciding on further areas for financial support for capacity-building in accordance with the identified priority needs of developing countries and countries with economies in transition, responses to the questionnaires, the outcomes of inter-sessional workshops, and its previous pilot project on biosafety;</li> <li>(c) Implementing the GEF Strategy to Assist Countries to Ratify and Implement the Protocol on Biosafety;</li> <li>(d) Facilitating the provision of technical support; and</li> <li>(e) Facilitating the use of existing and developing regional networks.</li> </ul>

## II. Issues

Biosafety is a term used to describe efforts to reduce and eliminate the potential risks resulting from biotechnology and its products. For the purposes of the Biosafety Protocol, this is based on the precautionary approach, whereby the lack of full scientific certainty should not be used as an excuse to postpone action when there is a threat of serious or irreversible damage. While developed countries that are at the center of the global biotechnology industry have established domestic biosafety regimes, many developing countries are only now starting to establish their own national systems.

The term ‘biotechnology’ refers to any technological application that uses biological systems, living organisms, or derivatives thereof, to make or modify products or processes for a specific use.

Genetic engineering promises remarkable advances in medicine, agriculture, and other fields. These may include new medical treatments and vaccines, new industrial products, and improved fibres and fuels. Proponents of the technology argue that biotechnology has the potential to lead to increases in food security, decreased pressure on land use, sustainable yield increase in marginal lands or inhospitable environments and reduced use of water and agrochemicals in agriculture.

Biotechnology is a very new field, and much about the interaction of LMOs with various ecosystems is not yet known. Some of the concerns about the new technology include its potential adverse effects on biological diversity, and potential risks to human health. Potential areas of concern might be unintended changes in the competitiveness, virulence, or other characteristics of the target species; the possibility of adverse impacts on non-target species (such as beneficial insects) and ecosystems; the potential for weediness in genetically modified crops (where a plant becomes more invasive than the original, perhaps by transferring its genes to wild relatives); and the stability of inserted genes (the possibilities that a gene will lose its effectiveness or will be re-transferred to another host).

While advances in biotechnology have great potential for significant improvements in human well-being, they must be developed and used with adequate safety measures for the environment and human health.

Under Article 19, paragraph 3, of the Convention, governments agreed to develop a protocol on biosafety, specifically focusing on transboundary movement of any living modified organism resulting from modern biotechnology that may have adverse effect on the conservation and sustainable use of biological diversity. The Cartagena Protocol on Biosafety was finalized and adopted on 29 January 2000 in Montreal, Canada.

The Protocol promotes biosafety by establishing rules and procedures for the safe transfer, handling, and use of LMOs, with specific focus on transboundary movements of LMOs. It features a set of procedures including one for LMOs that are to be intentionally introduced into the environment (advance informed agreement procedure), and one for LMOs that are intended to be used directly as food or feed or for processing. Parties to the Protocol must ensure that LMOs are handled, packaged and transported under conditions of safety. Furthermore, the shipment of LMOs subject to transboundary movement must be accompanied by appropriate documentation specifying, among other things, identity of LMOs and contact point for further information. These procedures and requirements are designed to provide importing Parties with the necessary information needed for making informed decisions about whether or not to accept LMO imports and for handling them in a safe manner.

The Party of import makes its decisions in accordance with scientifically sound risk assessments (Article 15). The Protocol sets out principles and methodologies on how to conduct a risk assessment (Annex III of the Protocol). In case of insufficient relevant scientific information and knowledge, the Party of import may use precaution in making their decisions on import. Parties may also take into account, consistent with their international obligations, socio-economic considerations in reaching decisions on import of LMOs (Article 26).

Parties must also adopt measures for managing any risks identified by the risk assessment (Article 16), and they must take necessary steps in the event of accidental release of LMOs (Article 17).

To facilitate its implementation, the Protocol establishes a Biosafety Clearing-House for Parties to exchange information, and contains a number of important provisions, including capacity-building, financial mechanism (Article 28), compliance procedures and public awareness and participation.

### III. Background and Status

COP I	<b>At its first meeting, the COP decided to establish an open-ended ad hoc group of government-nominated experts to consider the need for and modalities of a protocol under Article 19(3) setting out appropriate procedures, including, in particular, advance informed agreement, in the field of the safe transfer, handling and use of any living modified organism resulting from biotechnology that may have adverse effect on the conservation and sustainable use of biological diversity [decision I/9].</b>
COP II	COP 2 recognized that modern biotechnology has great potential for human well-being if developed and used with adequate safety measures for the environment and human health, and that, although considerable knowledge has accumulated, significant gaps in knowledge have been identified, specifically in the field of interaction between living modified organisms (LMOs) resulting from modern biotechnology and the environment, taking into account the relatively short period of experience with releases of such organisms, the relatively small number of species and traits used, and the lack of experience in the range of environments, specifically those in centres of origin and genetic diversity [decision II/5]. It noted that guidelines on biosafety, including the proposed United Nations Environment Programme International Technical Guidelines on Safety in Biotechnology, may be used as an interim mechanism during the development of the protocol and to complement it after its completion, for the purposes of facilitating the development of national capacities to assess and manage risks, establish adequate information systems and develop expert human resources in biotechnology. The COP decided to establish an Open-ended Ad Hoc Working Group (BSWG) to develop a protocol on biosafety.
COP III	In decision III/20, the COP reviewed the report and recommendations of the first meeting of the Open-ended Ad Hoc Working Group (BSWG), and instructed that it shall endeavour to complete its work in 1998. As part of a two-track approach, the COP also endorsed the realization of activities to promote the application of the UNEP International Technical Guidelines for Safety in Biotechnology.
COP IV	COP 4 considered the report of the fourth meeting of BSWG, and accepted the recommendation in the report that BSWG should hold two further meetings to complete its work, and that the final meeting should be convened not later than February 1999 [decision IV/3]. It also decided that an extraordinary meeting of the COP would be held in February 1999 to address all matters relating to the adoption of the protocol on biosafety and preparation for the first meeting of the parties to the protocol [decision IV/3].

EMI	The first extraordinary meeting of the Conference of the Parties was held from 22 to 23 February 1999 in Cartagena, Colombia, immediately after the sixth meeting of the BSWG. Since a number of issues remained unresolved before the adoption of the protocol, the COP decided that its extraordinary meeting should be suspended, and that it should be resumed as soon as practicable, and in any event, no later than COP 5. The COP decided that the protocol shall be called the Cartagena Protocol on Biosafety to the Convention on Biological Diversity [ <i>decision EM-1/1</i> ]. The resumed session of the extraordinary meeting of the COP was held in Montreal from 24 to 28 January 2000 and the Cartagena Protocol on Biosafety was adopted on 29 January 1999. [ <i>decision EM-3/1</i> ]. The extraordinary session also decided to establish an open-ended ad hoc Intergovernmental Committee for the Cartagena Protocol on Biosafety (ICCP) to undertake the preparations necessary for the first meeting of the Parties to the Protocol. The COP also established a regionally balanced roster of experts nominated by Governments, in fields relevant to risk assessment and risk management related to the Protocol, to provide advice and other support, as appropriate and upon request, to developing country Parties and Parties with economies in transition, to conduct risk assessment, make informed decisions, develop national human resources and promote institutional strengthening, associated with the transboundary movements of living modified organisms.
COP V	In decision V/1, the COP endorsed the work plan for the Intergovernmental Committee for the Cartagena Protocol on Biosafety, and emphasized the priority of launching the Biosafety Clearing-House no later than the entry into force of the Protocol, and also the need to engage in capacity-building as soon as possible.
COP VI	COP 6 considered the reports of the two meetings of the Intergovernmental Committee for the Cartagena Protocol on Biosafety, and decided to convene a third meeting of the ICCP. The COP decided on the necessary preparations for the first meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol, and made provisions for possible further meetings of the ICCP.
COP/MOP I	At its first meeting, the COP/MOP adopted an Action Plan for Building Capacities for the Effective Implementation of the Protocol [ <i>decision BS-I/5</i> ], and established several processes to advance certain provisions of the Protocol, including the roster of experts on biosafety [ <i>decision BS-I/4</i> ], an Open-ended Technical Expert Group on Identification Requirements of Living Modified Organisms Intended for Direct Use as Food or Feed, or for Processing [ <i>decision BS-I/6</i> ], the Biosafety Clearing-house [ <i>decision BS-I/3</i> ], a Compliance Committee [ <i>decision BS-I/7</i> ], an Open-ended Ad Hoc Working Group of Legal and Technical Experts on Liability and Redress in the Context of the Protocol [ <i>decision BS-I/8</i> ]. It also developed a recommendation on guidance to the financial mechanism, focusing in particular on eligibility criteria for funding and on the need to support capacity building.

#### IV. Funding needs

Possible funding needs might be derived from the following requests from the COP:

<b>Decision I/9. Medium term programme of work of the Conference of the Parties</b>
<b>Decision II/5. Consideration of the need for and modalities of a protocol for the safe transfer, handling and use of living modified organisms</b>
<b>Decision III/20. Issues related to biosafety</b>
<b>Decision IV/3. Issues related to biosafety</b>

<b>Decision EM-1/1. Decision on the continuation of the first extraordinary meeting of the Conference of the Parties to the Convention on Biological Diversity</b>
<b>Decision EM-1/3. Adoption of the Cartagena Protocol and interim arrangements</b>
<b>Decision V/1. Work plan of the Intergovernmental Committee for the Cartagena Protocol on Biosafety</b>
<b>Decision VI/1. Intergovernmental Committee for the Cartagena Protocol on Biosafety</b>
<p>Para. 5.  <u>Invites</u> Parties and States to make contributions for the supplementary budget for biosafety to the Special Voluntary Trust Fund (BE) for Additional Voluntary Contributions in support of any inter-sessional activities and the meetings of the Intergovernmental Committee for the Cartagena Protocol on Biosafety referred to in paragraph 4 above</p> <p>Para. 6.  <u>Urges</u> Parties to renew efforts to facilitate agreement on paragraph 1 of rule 40 of the rules of procedure for meetings of the Conference of the Parties to the Convention, in light of potential implications for the effective operation of the Conference of the Parties serving as the meeting of the Parties to the Protocol</p> <p>Para. 7.  <u>Urges</u> Parties to designate national focal points and competent national authorities pursuant to the provisions of paragraph 2 of Article 19 of the Cartagena Protocol on Biosafety.</p>
<b>Decision BS-I/3. Information-sharing and the Biosafety Clearing-House (Article 20): modalities of operation of the Biosafety Clearing-House</b>
<p>Para. 4.  Encourages Parties, governments and other users to develop national, regional, sub-regional and institutional nodes that are interlinked with the Central Portal, in accordance with minimum standards for partnership as outlined in Section F of the Annex hereto. It is suggested that these nodes and/or partnerships would focus initially on:</p> <p>(a) Providing searchable access to information to facilitate decision-making, particularly that required under the Advance Informed Agreement procedure and information required to implement Article 11 on the procedure for living modified organisms intended for direct use as food or feed, or for processing;</p> <p>(b) Providing searchable access to any other information required by the Protocol to be made available to Parties through the Biosafety Clearing-House as outlined in section A of the Annex to the present decision ; and</p> <p>(c) Facilitating access to and dissemination of scientific, technical, environmental and legal information on, and experience with, living modified organisms.</p> <p>Para. 5.  Urges all Parties, governments and other users to provide relevant information to the Biosafety Clearing-House as soon as possible, including information pertaining to decisions on the release or import of living modified organisms taken prior to entry into force of the Protocol</p> <p>Para. 7.  Calls upon each Party that has not yet done so to designate an appropriate national focal point for the Biosafety Clearing-House</p>

<b>Decision BS-I/4. Capacity-building (Roster of experts)</b>
<p>Para. 2. <i>Invites</i> Parties and Governments to use the Interim Guidelines for the Roster of Experts on Biosafety</p> <p>Para. 8. <i>Invites</i> Parties and Governments to use the Interim Guidelines for the Pilot Phase of the Voluntary Fund for the Roster of Experts on Biosafety</p>
<b>Decision BS-I/5. Capacity-building</b>
<p>Para. 2. Invites Parties, other Governments, international and regional organizations, non-governmental organizations, private sector and scientific organizations and other relevant bodies to support the effective implementation of the Action Plan, taking into account the potential roles as contained in annex II to the present decision, of different entities in facilitating capacity-building, and recognizing the need for synergies between the capacity-building activities of the private sector and civil society and national programmes and priorities</p> <p>Para. 3. Welcomes the progress made in implementing the Action Plan, summarized in the note by the Executive Secretary on capacity-building (UNEP/CBD/BS/COP-MOP/1/6), and invites Parties, other Governments and relevant organizations to take further measures towards its effective implementation</p> <p>Para. 4. Takes note of the gaps in the implementation of the Action Plan identified in the initial analysis in the note by the Executive Secretary (UNEP/CBD/BS/COP-MOP/1/6), and invites Parties, other Governments and relevant organizations to take collaborative actions to address those gaps</p> <p>Para. 6. Invites Parties and other Governments that have not yet submitted their capacity-building needs and priorities to the Biosafety Clearing-House to do so as soon as possible</p> <p>Para. 7. Urges Parties and other governments to review their needs and priorities periodically and update their records in the Biosafety Clearing-House accordingly</p> <p>Para. 8. Encourages Parties and other Governments to develop national strategic plans and programmes to address their identified needs and priorities</p> <p>Para. 9. Invites Parties, other Governments and relevant organizations in a position to provide assistance to developing country Parties, in particular the least developed and the small island developing States among them, and Parties with economies in transition to, as an initial step, review the information on the needs and priorities submitted by those countries to the Biosafety Clearing-House when developing assistance programmes</p> <p>Para. 10.</p>

Urges Parties, other Governments and relevant organizations to register in the Biosafety Clearing-House relevant information on their existing biosafety capacity-building initiatives, including reports on the achievements, lessons learned and opportunities for cooperation as well as suggestions on how to enhance capacity building for the effective implementation of the Protocol

Para. 11.

Invites Parties, other Governments and organizations to use, as appropriate, the implementation tool kit contained in annex III to the present decision

Para. 20.

Urges Parties, Governments and relevant organizations to register and update information on their biosafety capacity-building activities in the Biosafety Clearing-House, including capacity-building projects, opportunities, and other relevant information

Para. 22.

Invites Parties, other Governments and relevant organizations to actively participate in and to support the implementation of the Coordination Mechanism and to share their expertise and resource materials through the Mechanism

Para. 23.

Urges Parties, other Governments and relevant organizations to establish or strengthen, as appropriate, corresponding national or regional-level coordination mechanism in order to promote synergies between existing capacity-building initiatives

Para. 27.

Invites Parties, other Governments, and relevant organizations to use, as appropriate, the indicators referred to in the paragraph 26 above to monitor their biosafety capacity-building initiatives being implemented in support of the Action Plan

Para. 28.

Invites Parties, other Governments, and relevant organizations to submit to the Executive Secretary, and to share through the Biosafety Clearing-House, their experience in using the preliminary set of indicators

#### **Decision BS-I/6. Handling, transport, packaging and identification of living modified organisms (Article 18)**

A. Paragraph 2 (a) of Article 18

Para. 1.

Requests Parties to the Protocol and urges other Governments to take measures to require the use of a commercial invoice or other document required or utilized by existing documentation systems, as documentation that should accompany living modified organisms that are intended for direct use as food or feed, or for processing, for the purpose of identification by incorporating the information requirements of the first sentence of paragraph 2 (a) of Article 18, and the requirements established under paragraph 4 below, pending a decision on detailed requirements for this purpose by the Conference of the Parties serving as the meeting of the Parties to the Protocol, which could include the use of a stand-alone document

Para. 2.

Requests Parties to the Protocol and urges other Governments to take measures ensuring that documentation accompanying living modified organisms that are intended for direct use as food

or feed, or for processing clearly identifies that the shipment may contain living modified organisms intended for direct use as food or feed, or for processing, and states that they are not intended for intentional introduction into the environment

Para. 3.

Further requests Parties to the Protocol and urges other Governments to take measures ensuring that the documentation accompanying living modified organisms that are intended for direct use as food or feed, or for processing, provides the details of a contact point for further information: the exporter, the importer, or any appropriate authority, when designated by a Government as the contact point

Para. 4.

Further urges Parties to the Protocol and other Governments to require that the documentation referred to in paragraph 1 above includes: (i) the common, scientific and, where available, commercial names, and (ii) the transformation event code of the living modified organisms or, where available, as a key to accessing information in the Biosafety Clearing-House, its unique identifier code

Para. 5.

Encourages Parties to the Protocol and other Governments to require exporters of living modified organisms that are intended for direct use as food or feed, or for processing under their jurisdiction to declare, in documentation accompanying transboundary movements known to intentionally contain living modified organisms that are intended for direct use as food or feed, or for processing, that the shipment contains living modified organisms that are intended for direct use as food or feed, or for processing, the identity of the living modified organism, and any unique identification, where possible

#### B. Paragraphs 2 (b) and 2 (c) of Article 18

Para. 1.

Requests Parties to the Protocol and urges other Governments to take measures to ensure the use of a commercial invoice or other documents required or utilized by existing documentation systems, with consideration given to the formats outlined in the example templates annexed hereto, as documentation that should accompany living modified organisms for contained use and living modified organisms for intentional introduction into the environment of the Party of import, incorporating the information required under paragraphs 2 (b) and 2 (c) of Article 18 of the Protocol, as appropriate, with a view to fulfil the identification requirements of these paragraphs

Para. 3.

Requests Parties to the Protocol and urges other Governments to take measures ensuring that documentation accompanying living modified organisms contains the following information and declaration:

(a) Living modified organisms for contained use (Article 18, paragraph 2 (b)):

(i) Clear identification as "living modified organisms" including common and scientific names of the organisms and as "destined for contained use";

(ii) The name and address of the consignee, and exporter or importer, as appropriate, including contact details necessary to reach them as fast as possible in case of emergency;

(iii) Any requirements for the safe handling, storage, transport and use of the living modified organisms under applicable existing international instruments, such as the United Nations



Recommendations on the Transport of Dangerous Goods, the International Plant Protection Convention and the Organisation Internationale des Epizooties, domestic regulatory frameworks or under any agreements entered into by the importer and exporter. In the event that there is no requirement, indicate that there is no specific requirement;

(iv) Where appropriate, further information should include the commercial names of the living modified organisms, if available, new or modified traits and characteristics such as event(s) of transformation, risk class, specification of use, as well as any unique identification, where available, as a key to accessing information in the Biosafety Clearing-House;

(b) Living modified organisms for intentional introduction into the environment of the Party of import and any other living modified organisms within the scope of the Protocol (Article 18, paragraph 2 (c)):

(i) Clear identification as "living modified organisms" and a brief description of the organisms, including common and scientific name, relevant traits and genetic modification, including transgenic traits and characteristics such as event(s) of transformation or, where available and applicable, a reference to a system of unique identification;

(ii) Any requirements for the safe handling, storage, transport and use of the living modified organisms as provided under applicable existing international requirements, domestic regulatory frameworks, or under any agreement entered into by the importer and exporter. In the event that there is no requirement, indicate that there is no specific requirement;

(iii) The name and address of the exporter and importer;

(iv) The details of the contact point for further information, including an individual or organization in possession of relevant information in case of emergency;

(v) A declaration that the movement of the living modified organisms is in conformity with the requirements of the Cartagena Protocol on Biosafety applicable to the exporter;

(vi) Where appropriate, further information should include the commercial name, risk class, and import approval for the first transboundary movement of living modified organisms

#### C. Unique identification system(s)

##### Para. 1.

Invites Parties and other government to take measures to apply, as appropriate, the OECD Unique Identifiers for Transgenic Plants to living modified plants under the Protocol, without prejudice to the possible development and applicability of other systems

#### **Decision BS-I/9. Monitoring and reporting under the Protocol (Article 33): format and timing for reporting**

##### Para. 4.

*Recommends* that Parties prepare their reports through a consultative process involving all relevant stakeholders, as appropriate

##### Para. 5.

*Requests* Parties to submit their reports:

(i) On a general frequency of every four years, but in the initial four-year period to submit an interim report two years after the entry into force of the Protocol;

(ii) Twelve months prior to the meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol that will consider the report;

(iii) In an official language of the United Nations;

(iv) In both hard copy and electronic format

## V. Useful documents

### **Report of the First Meeting of the Open-Ended Working Group on Biosafety (UNEP/CBD/BSWG/1/4)**

Background Document on Existing International Agreements Related to Biosafety  
(UNEP/CBD/BSWG/2/3)

Potential Socio-Economic Effects of Biotechnology: a Bibliography (UNEP/CBD/BSWG/2/4)

Overview and Annotated Draft Negotiating Text of the Protocol on Biosafety  
(UNEP/CBD/BSWG/6/8)

Report of the first meeting of the Conference of the Parties serving as the meeting of the Parties  
to the Protocol on Biosafety (UNEP/CBD/BS/COP-MOP/1/15)

## **Appendix: Overview of Biodiversity Finance**

International financial assistance for biological diversity comes from both official development finance and flow of private resources. The World Bank and OECD have undertaken to publish statistical information concerning aid flows, and many donors and their agencies have begun to make their biodiversity-related funding information available on their institutional websites. Reports from governments and their funding agencies to the Convention on Biological Diversity also contain funding information in varied details. This chapter has reproduced pertinent contents of the document UNEP/CBD/COP/7/18 (Additional financial resources) with one addition on protected areas. Several estimates of funding needs are provided at the end in order to give a sense of the extent of funding gaps in the biodiversity field.

### **A. Overall trend of international development finance**

#### **1. World Bank data on disbursements**

The World Bank publication *Global Development Finance 2003: Striving for Stability in Development Finance* indicated that net disbursements from official sources (including grants) fell to an estimated US\$ 46 billion in 2002, down from US\$ 57 billion in 2001. According to the publication, the sum of net private debt and equity and net official flows was US\$ 192 billion, or 3.2 per cent of developing countries' nominal gross domestic product (GDP) in 2002, down from US\$ 210 billion in 2001 (3.6 per cent of GDP) and US\$ 215 billion in 2000 (3.7 per cent of GDP), well below the peak \$ 325 billion (5.5 per cent of GDP) in 1997. The decline since 1997 has occurred primarily in net capital from the private sector, particularly in the debt component (both banks and bonds), and developing countries overall have become net capital exporters to the developed world.

#### **2. OECD data on commitments**

On 22 April 2003, the OECD Development Assistance Committee (DAC) announced that its member countries increased their official development assistance (ODA) to developing countries by 4.9 per cent in real terms, accounting for inflation, from 2001 to 2002. The total ODA amounted to US\$ 57 billion, equivalent to 0.23 per cent of their combined gross national income (GNI). Twelve of the twenty-two DAC member countries reported an increase in ODA in real terms; for nine of them the increase was over 10 per cent.

#### **3. The Monterrey Consensus**

Donor countries committed to increasing their official development assistance to developing countries at the International Conference on Financing for Development held in Monterrey, Mexico in March 2002. According to OECD and World Bank estimates, fulfilling these promises would raise ODA in real terms by 31 per cent (about US\$ 16 billion) and the ODA/GNI ratio to 0.26 per cent by 2006 –still well below the ratio of 0.33 per cent consistently achieved until 1992 and far below the United Nations ODA target of 0.7 per cent of GNI.

#### **4. International private grant resources**

According to *Global Development Finance 2003*, grants from non-governmental organizations rose from more than US\$ 6 billion in 1995 to about US\$ 10 billion in 2001—an amount equal to more than one sixth the size of official aid. More than half of total grants came from non-governmental organizations in the United States, where such contributions represented one fourth the size of concessional aid flows from the United States. Most international and regional conservation organizations, even the biggest international non-governmental organizations, rely on financial contributions from the private sources.

## **B. Assistance to biological diversity**

Taken together, biodiversity-related funding from various sources would amount to around US\$ 2 billion in 2002, but only a portion was for pure biodiversity projects and an even smaller portion was in response to the calls of the Conference of the Parties. This would imply that over 97 per cent of official development finance is not considered to directly or indirectly contribute to the implementation of the Convention. An analysis of 5,438 biodiversity-related projects covered by an OECD special study indicated that 16.5 percent of them were reported as pure biodiversity projects. Another analysis of 1,489 biodiversity projects contained in the OECD Credit Reporting System (OECD/CRS) database showed that 60 per cent of them could be identified to correspond to thematic areas or cross-cutting issues of the Convention.

### **1. Global Environment Facility**

In the year 2002/03, the GEF Council approved three work programmes with 32 projects in the focal area of biodiversity and 17 projects that have significant biodiversity components. The funding for biodiversity-only projects was US\$ 143 million from GEF allocations and US\$ 307 million from co-financing, and the projects that have significant biodiversity components received US\$ 108 million from the GEF and US\$ 355 million from co-financing. The GEF Chief Executive Officer approved 29 medium-sized biodiversity projects with US\$ 26 million from the GEF and US\$ 67 million from co-financing, as well as 30 biodiversity enabling activity projects and 27 enabling activity projects in multiple focal areas with total budget of US\$ 7.6 million. In total, the GEF allocations to biodiversity in the past year were in the range of US\$ 177 million to US\$ 285 million with co-financing of between US\$ 324 million and US\$ 729 million.

### **2. The World Bank**

The World Bank biodiversity portfolio is composed of stand-alone biodiversity projects as well as biodiversity-related sectoral projects which explicitly describe and include biodiversity activities funded by the International Bank for Reconstruction and Development (IBRD), the International Development Association (IDA), the Trust Fund for the Pilot Program to Conserve the Brazilian Rainforest (RFTF), and the GEF. According to its website, the cumulative IBRD biodiversity funding between 1988 and 2002 was over US\$ 1 billion, with around US\$ 300 million provided in 2002 alone, and the cumulative IDA biodiversity funding was around US\$ 800 million for the same period, with about US\$ 250 million for the year 2002. The RFTF peaked in 1995 with funding of nearly US\$ 150 million. The World Bank has been also strong in stimulating co-financing and donor coordination.

The World Bank biodiversity portfolio has fluctuated over time hinging upon availability of a few large projects in such sectors as agricultural extension/adjustment/ research/rural development, community action programmes, environment adjustment/institutions, fisheries and aquaculture,

forestry, irrigation and drainage, natural resources management, oil and gas adjustment, industry, transportation including ports, waterways and shipping, rural roads, urban development/environment/management, water, sanitation and flood protection, and pollution control/waste management. This would demonstrate that biodiversity is being mainstreamed into projects not necessarily focused on the environment, but it appears impossible to conduct a meaningful historic quantitative analysis or comparative analysis concerning the World Bank overall biodiversity performance.

### **3. Regional development banks**

In contrast to the early 1990s, when the World Bank was the largest source of multilateral finance for developing countries, the major regional development banks (the African Development Bank (AfDB), the Asian Development Bank (AsDB), the European Bank for Reconstruction and Development (EBRD), and the Inter-American Development Bank (IADB)) together now provide about the same level of resources as the World Bank. According to their websites, AsDB and IADB each have cumulative biodiversity-related project portfolios of over US\$ 1 billion, but biodiversity does not feature prominently in the project portfolios of EBRD and AfDB. In 2002, AsDB was estimated to provide around US\$ 250 million to biodiversity-related projects in water resources development/management, irrigation, flood control, natural resources management, and forestry, and IADB provided nearly US\$ 500 million to biodiversity-related projects prominently in tourism and also in agriculture, natural resources management, sustainable development and social programs.

### **4. Bilateral assistance**

According to the 2002 OECD publication *Aid Activities Targeting the Objectives of the Rio Conventions 1998-2000*, 19 donors that are members of the OECD/DAC reported a total of 5,439 individual biodiversity-related aid activities with the total value of nearly US\$ 3 billion for the three-year period, and, on average, biodiversity-related aid accounted for 2.7 per cent of total bilateral official development assistance, with one donor having 12 per cent. Five donors accounted for 75 per cent by value of the total biodiversity-related aid. Two donors consistently increased aid to biodiversity-related activities, but in other three donors, the committed biodiversity-related aid decreased and showed no sign of recovery.

Bilateral biodiversity-related aid activities can be broken down sectorally. More than 90 per cent of the total bilateral biodiversity-related aid was found in the following sectors: water supply (22 per cent), agriculture (12 per cent), forestry (15 per cent), fishing (5 per cent) and general environmental protection (1/3), and rural development (3 per cent). Biodiversity-related aid represented a significant share of aid activities in forestry (65 per cent), general environmental protection (32 per cent), fishing (25 per cent), water supply (9 per cent) and agriculture (7 per cent). In terms of the number of aid activities, general environmental protection accounted for nearly one-half of the reported total activities, and forestry and agriculture combined represented more than one-third of the total number. The average size of a biodiversity-related project was over US\$ 1 million in water supply and rural development, and US\$ 0.56 million in fishing. The project size for biodiversity-related activities in other sectors was well below half a million dollars.

### **5. United Nations system**

Information concerning financial support to biodiversity from the United Nations system is dispersed and the overall level of funding appears to be relatively modest, focusing on capacity-building and technical cooperation. The United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP), Food and Agriculture Organization of the United Nations (FAO), the United Nations Educational, Scientific and Cultural Organization (UNESCO), the International Fund for Agricultural Development (IFAD), International Tropical Timber Organization (ITTO) and other organizations have been actively involved in supporting the implementation of the Convention.

## **6. International private resources**

There are a great number of grant-making foundations and multinational corporations providing financial support to biodiversity, but their level of funding is relatively small and often location and issues-sensitive. In the first five years up to 2002, the United Nations foundation's Biodiversity program has provided \$32 million for 21 World Heritage projects with a view towards strengthening the conservation of Natural World Heritage sites, and to promote the replication of best practices learnt from these initiatives. It has also catalysed a major initiative targeted at reversing the decline of coral reefs, called the International Coral Reef Action Network (ICRAN). The BP conservation programme has given over 200 awards to biodiversity activities in over 60 countries. In 2003 alone, the BP conservation programme awards amounted over US\$ 500 million dollars.

## ***C. Overview of Financial Support to the Programme of work of the Convention***

Funding issues have been reflected in many decisions adopted by the Conference of the Parties. While developing new directions for implementing various aspects of the Convention, the Conference of the Parties normally requests the Secretariat and Parties to pursue certain tasks to follow up and invites funding institutions and development agencies to provide corresponding financial support. In decision VI/16, the Conference of the Parties requested the Executive Secretary to identify gaps in activities, and identify necessary activities and funding. The present section focuses on the issues for which the Conference of the Parties has requested financial support, and attempts to provide information concerning how financial support has been organized and monitored in response to respective funding requests.

Financial allocations to biodiversity have been unevenly distributed across thematic areas and crosscutting issues of the Convention. In terms of funding size and also numbers of projects, forest and marine and coastal biodiversity have come before inland waters and agrobiodiversity. Dry and sub-humid land and mountain biodiversity have received much less attention from donors. Direct investment in conservation and sustainable use has dominated all donors' biodiversity portfolio, and only small share of biodiversity allocations has gone to other crosscutting issues, such as biodiversity planning, incentive measures, identification and monitoring, training and research as well as public education and awareness. Other issues, including *ex situ* conservation, impact assessment, matters related to genetic resources, exchange of information, technical and scientific cooperation and biosafety, have not featured visibly in donors' funding policies or project portfolio. For most thematic areas, partner organizations have already established technical cooperation programmes to provide technical support, compile funding information and facilitate project development. Most cross-cutting issues and mechanisms for implementation have resulted from the Convention, and thus relevant financial

support depends largely on overall development and evolution within the Convention process and monitoring of such support would depend upon accessibility of the Convention Secretariat to information of donors and their agencies.

### **1. Agricultural biodiversity**

In decisions III/11, IV/6, V/5 and VI/5, the Conference of the Parties called upon funding agencies to provide support for the implementation of the activities of the programme of work on agricultural diversity, for the implementation of the Plan of Action for the International Initiative for the Conservation and Sustainable Use of Pollinators, for participation in the preparatory process for the first Report on the State of World's Animal Genetic Resources and implementation of follow-up actions. Bilateral donors increasingly integrate agricultural biodiversity into their agriculture and natural resources management programmes. The GEF has a separate operational programme on agricultural biodiversity. FAO, IFAD, International Plant Genetic Resources Institute (IPGRI), International Livestock Research Institute (ILRI) and other international agricultural research centres of the Consultative Group on International Agriculture Research (CGIAR) all have technical cooperation programmes/projects that are also in support of the objectives of the Convention.

In general, biodiversity-related projects feature less significantly in agriculture than in forestry and fishing. There is great scope for further integrating biodiversity into the agricultural sector. In this regard, the Conference of the Parties in decision VI/5 called for a review of funding for the implementation of the programme of work on agricultural biodiversity in the context of decision V/5.

### **2. Forest biological diversity**

In decisions IV/7 and VI/22, the Conference of the Parties urged donors to contribute through financing and technology transfer to country- or regionally-identified priorities for forest biodiversity. Several donors have established specific funding programmes for forestry, in particular tropical forestry, and the GEF established a specific operational programme on forest ecosystems. Donor policies on forests are increasingly concentrating on the global aspect of forestry and increased awareness of social and environmental issues. The World Bank's involvement in the forest sector accounts for 2 per cent of its lending. All regional development banks have their own forest policies and make investments in the forest sector. Technical assistance in forestry is provided by a number of international agencies, including FAO, ITTO, UNDP, United Nations Industrial Development Organization (UNIDO), and UNESCO. A large number of non-governmental organizations also provide technical support to forest biodiversity. Only a few foundations specifically target forest biodiversity, and the issue is often accommodated under more general environmental headings. The initiation of the Sourcebook on Funding Sustainable Development by the Collaborative Partnership on Forests provides a useful mechanism to monitor financing for forest biodiversity.

### **3. Inland waters ecosystems**

In decision IV/4, the Conference of the Parties invited all relevant organizations to support efforts concerning the conservation and sustainable use of the biological diversity of inland water ecosystems. The GEF supports inland water ecosystems through its operational programme on coastal, marine and freshwater ecosystems, and other donors sometimes mention wetlands in their overall development assistance programme. Inland waters biodiversity projects are often found in

the environmental sector, as well as in water resources, forestry, agriculture and other sectors. According to the assessment commissioned by the Ramsar Bureau, the World Bank, IADB, the Netherlands, Australia (AusAID), Sweden (Sida), Canada (CIDA), Denmark (DANIDA), seem to be more active in financing for wetlands than other donors. The Ramsar Bureau administers a small but critical Small Grants Fund for Wetland Conservation and Wise Use (SGF). In decision IV/4, in which it adopted the programme of work on biological diversity of inland water ecosystems, the Conference of the Parties set to consider ways for mobilizing financial resources from other sources.

#### **4. Marine and coastal biodiversity**

In decisions II/10 and IV/5, the Conference of the Parties urged relevant organizations and donor agencies to contribute to the implementation of specific elements of the programme of work on marine and coastal biological diversity. Marine and coastal biodiversity constitutes a significant portion of the GEF operational programmes on coastal, marine and freshwater ecosystems, and the GEF operational programs on international waters and integrated ecosystem management include coastal/marine water related projects also supporting the objectives of the Convention on this thematic area. Financial support to marine and coastal biodiversity from other donors is often related to their projects in aquaculture, fishing, flood prevention and tourism, etc. Other international processes, such as the FAO Code of Conduct for Responsible Fisheries, the United Nations Convention on the Law of Sea, the UNEP Global Programme of Action for the Protection of the Marine Environment from Pollution from Land-based Activities (GPA), the International Coral Reef Initiative (ICRI) and the Global Coral Reef Monitoring Network (GCRMN), etc. have contributed to facilitating financial support to marine and coastal biodiversity. The United Nations Division for Ocean Affairs and the Law of the Sea executes a technical assistance programme by providing advisory services, training, fellowship, studies and guidelines, reference collection and database.

#### **5. Dry and sub-humid lands**

In decision V/23, the COP invited bilateral and international funding agencies to provide support for the implementation of the activities of the programme of work on the biodiversity of dry and sub-humid lands, in particular for capacity-building in developing countries and countries with economies in transition. The GEF accommodated this guidance in its existing operation program on arid and semi-arid ecosystems and recently introduced a new operational program on sustainable land management. The World Bank, IFAD, UNDP, AfDB, Islamic Development Bank, the OPEC Fund for International Development, among others, and certain bilateral development agencies, provide financial resources to support the biodiversity of dry and sub-humid lands through their desertification, soil and water conservation programmes. The Global Mechanism provided in the Convention to Combat Desertification was to collect and disseminate information, provide technical assistance and analysis, promote actions leading to cooperation and coordination, and facilitate the mobilization and channeling of financial resources. It has established the Financial Information Engine on Land Degradation (FIELD) for searching, collecting and disseminating information related to land degradation financing.

#### **6. Mountain biodiversity**

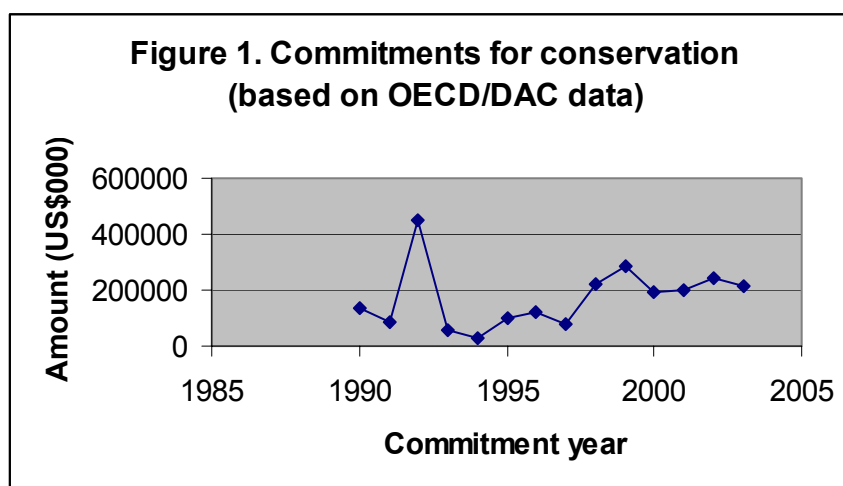
The Conference of the Parties is expected to consider mountain biodiversity at its seventh meeting, and thus to provide guidance on funding matters. The GEF channels its funding through an operational program on mountain ecosystems, and the GEF support to mountain biodiversity is



often related to the support to other ecosystems such as agricultural, inland waters or forest ecosystems. The International Partnership for Sustainable Development in Mountain Regions may lead to an approach to facilitating further financial support to mountain ecosystems. The Mountain Program of the FAO and the International Centre for Integrated Mountain Development (ICIMOD), among others, have implemented projects specifically focused on mountain biodiversity. Like dry and sub-humid lands biodiversity, mountain biodiversity has received relatively small amount of financial support from official development assistance.

## 7. Protected areas

Protected areas or in-situ conservation are very often taken as equivalent to biodiversity in many donor activities, and this has featured into the OECD DAC/CRS system. CRS Code 41030 (Biodiversity) was designed to capture funding activities including natural reserves and actions in the surrounding areas; other measures to protect endangered or vulnerable species and their habitats (e.g. wetland preservation). Although the system has not been able to capture complete information on all funds committed to protected areas, the overall aggregated figures generated from that system, however, provide a good demonstration of general trends in financing for protected areas over time. Figure 1 was based on the information from the OECD DAC/CRS. It has shown that the commitments to protected areas fluctuated dramatically over time, and tend to stabilize at slightly above US\$200 million in recent years. The level of funding for conservation experienced significant increase around the Summit years (1992 and 1999), signifying that highest-level attention and awareness has been indeed key to efforts to mobilize financial resources for conservation purposes.



## 8. Ecosystem approach

The Conference of the Parties in decision V/6 invited relevant organizations to provide technical and financial support for capacity-building to implement the ecosystem approach. The GEF established its operational programmes based on ecosystems, namely arid and semi-arid zone ecosystems, coastal, marine, and freshwater ecosystems, forest ecosystems, mountain ecosystems, conservation and sustainable use of biological diversity important to Agriculture, as well as integrated ecosystem management. Other donors normally apply a sectoral approach to

organizing their financial programmes. Few examples have been found to support application of ecosystem approach. There is a need to examine the relationship between the sectoral approach and the ecosystem approach, and ensure that the sectoral approach can be utilized to support implementation of the ecosystem approach.

## **9. Identification, monitoring, indicators and assessments as well as the Global Taxonomy Initiative.**

Although the programme of work for the Global Taxonomy Initiative has identified a number of areas requiring financial support by funding institutions and development agencies, the COP has so far focused its request for financial support on the financial mechanism. The GEF supports monitoring, indicators and assessments mainly as project components, and also a few standing alone projects, such as the medium-sized project “Biodiversity Indicators for National Use”. The GEF also support projects directly related to the Global Taxonomy Initiative, examples of such projects includes the Costa Rica’s Biological Resources project, the Southern African Botanical Network (SANONET) and some recently completed projects such as the Indonesia Collections project and the Lake Malawi project. Other donors have supported species and ecosystems study and analysis, survey, review and evaluation, investigation of status and threats, assessments and monitoring, knowledge building, database, directories, mapping, information systems and capacity building, with a focus not only on ecological processes but also on socio-economic aspects. Relevant donor-supported processes include the Global Biodiversity Information Facility and BioNET International.

## **10. Global Strategy for Plant Conservation**

In decision VI/9, the Conference of the Parties invited funding organizations to provide adequate and timely support to the implementation of the Global Strategy for Plant Conservation. GEF supports a number of projects that indirectly address the objectives, goals and targets of the Strategy for Plant Conservation. For example one of the targets of the Strategy is in situ-conservation of plant species. The GEF portfolio is substantively financing protected areas of different types, sizes and in different kinds of ecosystems, substantively contributing to this objective of the Strategy and its targets. The same is the case for sustainable use targets as many of the GEF forestry projects, for example, would be helpful in achieving those targets. Support to plant conservation has begun to feature in bilateral official assistance, but no major projects seem to have direct link to the Global Strategy for Plant Conservation. The Secretariat of the International Plant Protection Convention (IPPC) facilitates technical assistance with focuses on understanding and implementing trade-related principles of plant protection under the IPPC, support for FAO technical cooperation programmes, multidisciplinary and multinational collaboration through FAO or other organizations. The International Treaty on Plant Genetic Resources for Food and Agriculture establishes a funding strategy for the implementation of that Treaty, and an appropriate mechanism, such as a Trust Account, will be established for receiving and utilizing financial resources that will accrue to it. It also provides for possibility for the Convention to participate in the funding strategy.

## **11. Alien species that threaten ecosystems, habitats or species**

In decision VI/23, the Conference of the Parties invited international organizations to develop financial and other measures for the promotion of activities aiming to reduce the harmful effects of invasive alien species, and urged bilateral donors and other funding sources to provide, as an urgent priority, funding for the development and implementation, at national and regional levels,

of the invasive alien species strategies and action plans and with a particular priority for those strategies and actions related to geographically and evolutionarily isolated ecosystems. The GEF has integrated alien species issues into its operation programs, and several projects have been supported specifically targeting at invasive alien species. For instance, the GEF has financed the Global Invasive Species Programme (GISP), the products and approaches of which substantially influenced the policy discussion on this issue in the Conference of the Parties. Bilateral donors have supported planning, meetings and removal measures concerning invasive alien species. The International Maritime Organization has developed a Technical Co-operation Programme which is designed to assist Governments which lack the technical knowledge and resources that are needed to operate an efficient, safe and environmentally-friendly shipping industry. In decision VI/23, the Executive Secretary was requested to identify mechanism(s) for providing Parties with access to financial support for rapidly responding to new incursion by alien species in collaboration with the GISP, GEF, FAO and OECD.

## **12. Liability and redress**

In decision VI/11, the Conference of the Parties urged Parties, Governments and relevant international organizations to cooperate and provide financial resources with a view to strengthening capacities at the national level with regard to measures for the prevention of damage to biological diversity, establishment and implementation of national legislative regimes, and policy and administrative measures on liability and redress. There are workshops on liability and redress financed by a few donors, and a few projects are found to support environmental impact assessments.

## **13. Article 8(j) and related provisions**

In decisions V/16 and VI/10, the Conference of the Parties requested international funding and development agencies to provide financial support for the implementation of the programme of work on the implementation of Article 8(j) and related provisions. A number of donors including the GEF, the World Bank and UNDP have been active in promoting projects targeted at indigenous and local communities. Examples of bilateral support to Article 8(j) and related provisions include indigenous biodiversity information networks, indigenous people's biodiversity research programmes, traditional medicinal knowledge, conservation efforts, and participation of indigenous peoples in international meetings. A roundtable and workshop "Indigenous Peoples & Biodiversity Governance: Donor Best Practices Supporting Civil Society and Conservation" was held by the Biodiversity Support Program with participation of most donor agencies in 2001, and developed the Hundested recommendations for donor best practice.

## **14. Access and benefit-sharing as related to genetic resources**

In decisions III/15, IV/8 and VI/24, the Conference of the Parties invited relevant organizations to support efforts to develop and promote legislative or administrative measures, policies and programmes, and support the implementation of the Action Plan on Capacity-building for Access and Benefit-sharing in support of the Implementation of the Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of the Benefit Arising out of their Utilization. The GEF has supported projects including benefit sharing arrangements, and also enabling activities related to access and benefit-sharing. UNEP is developing an Initiative on Access and Benefit-Sharing of Genetic Resources to mobilize resources to assist with the implementation of the Action Plan. The United Nations University has started a programme on access and benefit-sharing with focus on national policy and legislation, user measures, science and technology, and

enhanced stakeholder participation. FAO provides assistance to develop national legislation and regulations consistent with the International Treaty on Plant Genetic Resources for Food and Agriculture, as well as with the Convention and its Bonn Guidelines. Only a few donors are supporting the development of national biodiversity access legislation. The Open-ended Expert Workshop on Capacity-building for Access to Genetic Resources and Benefit-sharing, held in Montreal in December 2002, called for the assessment of resource requirements and the development of a funding strategy.

## **15. Incentive measures**

In decision VI/15, the Conference of the Parties requested relevant organizations to provide financial support for the programme of work on incentive measures. The GEF supports incentive measures through both its operational programmes and enabling activity projects. Other donors have supported a good number of economics measures as well, including development of trust funds or endowment funds, economic valuation, control in species trade, bio-trade initiatives, enabling environment for increased private-sector growth, commercialization, and workshops.

## **16. Sustainable use and tourism**

In decision V/24, the Conference of the Parties invited relevant organizations to assist in increasing capacities to implement sustainable-use practices, programmes and policies at regional, national and local levels. A large number of biodiversity projects related to sustainable use and/or focused on tourism have been supported not only by GEF but also by many multilateral, regional and bilateral donors. Sustainable-use projects are often found in such areas as tourism, forest, agriculture, medicine, energy, and hunting, and cover measures from development of planning tools and infrastructure to promotion of eco-development, natural products development, economic alternatives or substitutes for over-exploited wildlife.

## **17. Biodiversity strategies and action plans**

In decision VI/27, the Conference of the Parties called upon official and private donors and institutions to support implementation of nationally identified priority actions in biodiversity strategies and action plans. The GEF has been instrumental in supporting development of national biodiversity strategies and action plans through its enabling activity and regular work programs, and many bilateral donors have also been active in supporting biodiversity planning processes, including species conservation strategies and broad sustainable development strategies. UNDP and UNEP implemented the biodiversity planning support programme with core financing from the GEF, and co-financing from Norway and Switzerland.

## **18. Scientific and technical cooperation and the clearing-house mechanism**

In decisions III/4 and IV/2, the Conference of the Parties requested all Governments and bilateral and multilateral funding institutions to provide funding for the development and implementation of the clearing-house mechanism. The GEF has been the single important donor in supporting the establishment of national components of the clearing-house mechanism through its enabling activity module as well as through certain regular projects. Belgium has demonstrated its leadership role in developing clearing-house mechanisms in 20 developing countries, most of them least developed countries, and provided a good example of how a bilateral donor could establish direct link between its funding programme and the requirements of the Convention.

## **19. Communication, education and public awareness**

In decisions IV/10 and VI/19, the Conference of the Parties urged relevant organizations and donor agencies to support local, national, subregional and regional public education and awareness initiatives. Financial support to communication, education and public awareness from the GEF has been mainly associated with biodiversity projects. Other donors have also supported conservation, education, environmental education and communication, public relations and awareness programmes, scholarship and travel, social mobilization, school groups and kids for environment, wildlife week, awards programmes, international biodiversity fairs/exhibitions/forums, and participation in meetings, education materials, and incorporation of environmental education into official curricula. Many private donors, especially business sectors, are active in biodiversity education and public awareness. However, no projects appear to have direct link to the Global Initiative on Communication, Education and Public Awareness.

## **20. National reporting**

Financing for national reporting has relied heavily on the financial mechanism of the Convention. Only very few reports have been prepared with support from other donors. In decision VI/25, the Conference of the Parties took note of the difficulty experienced by some developing countries and countries with economies in transition in accessing funding for preparing their second national reports, and requested an exploration of innovative funding modalities for facilitating the preparation of future national reports and thematic reports.

## **21. Biosafety**

The Conference of the Parties has limited its guidance on biosafety to the financial mechanism. The GEF approved an Initial Strategy for biosafety that is under implementation, and the GEF document on strategic directions set aside indicative figures for financial support of this important priority. The GEF-funded UNEP biosafety projects will likely have more than 129 participating countries, and the GEF also supports several pilot projects to assist countries implementing their national biosafety frameworks, including a project in the pipeline to support the biosafety clearing-house. A number of donors are known to have supported biosafety capacity building projects. International organizations with biosafety programmes include UNEP, FAO, UNIDO, and the United Nations Institute for Training and Research (UNITAR). The Biosafety Clearing-House has made efforts to establish a capacity-building project database in order to capture fast growing funding activities in this field.

## ***D. Estimates of funding needs***

The Conference of the Parties has not undertaken to estimate funding needs of the Convention and its decisions. However, other intergovernmental and major international processes have carried out such exercises as to determine the level of funding required for purposes of the Convention.

The United Nations Development Programme commissioned an International Conservation Financing Project to the World Resources Institute in late 1980s. The project examined how ongoing conservation financing mechanisms, assessed the prospects for expanding their scope, and proposed four additional initiatives based on the results of intensive study and consultation in Asia, Africa, Europe, and the Americas. The project report “Natural endowments: Financing

Resource Conservation for Development” (1989) states: “This study defines conservation as maintaining natural resources as the basis for meeting the needs of current and future generations. While unmet conservation financing needs in developing countries are difficult to gauge precisely, indicators are that as much as \$20-\$50 billion per annum will be needed over the next decade.”

During the negotiations for the Convention on Biological Diversity, many estimates of funding needs were circulated. In its address to the negotiators at the first day of the fourth negotiating session in 1991, Dr. Mostafa K. Tolba, the then Executive Director of the United Nations Environment Programme, informed the Intergovernmental Negotiating Committee (INC) that the World Bank had estimated that the cost of biodiversity conservation ranged from \$500 million to \$50 billion per year. These figures were based on the experience which the GEF had in biological diversity conservation projects. The GEF biological diversity conservation projects cost approximately \$35,000 per square kilometre.

Another estimate was proposed by the Secretariat of the United Nations Conference on Environment and Development (UNCED) (3-14 June 1992, Rio de Janeiro, Brazil). Agenda 21, Chapter 15, stated: “The Conference secretariat has estimated the average total cost (1993-2000) of implementing the activities of this chapter to be about \$3.5 billion, including about \$1.75 billion from the international community on grant or concessional terms. These are indicative and order-of-magnitude estimates only and have not been reviewed by Governments. Actual costs and financial terms, including any that are non-concessional, will depend upon, inter alia, the specific strategies and programmes Governments decided upon for implementation.”

The Vth IUCN World Parks Congress (8-17 September 2003, Durban, South Africa) released a more recent estimate. Recommendation 5.07 (Financial Security for Protected Areas) adopted by the Congress noted a significant funding gap, and declared: “As an indicator of this need, it is estimated that protected area budgets in the early 1990’s totalled only about 20 percent of the estimated US\$20-30 billion annually over the next 30 years required to establish and maintain a comprehensive protected area system including terrestrial, wetland, and marine ecosystems.”