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### REVIEW OF IMPLEMENTATION OF THE STRATEGY FOR RESOURCE MOBILIZATION

*Note by the Executive Secretary*

*Addendum*

### METHODOLOGICAL AND IMPLEMENTATION GUIDANCE FOR THE “INDICATORS FOR MONITORING THE IMPLEMENTATION OF THE CONVENTION’S STRATEGY FOR RESOURCE MOBILIZATION”

*Note by the Executive Secretary*

#### BACKGROUND

1. Article 20 of the text of the Convention addresses the issue of financial resources and should be considered in all issue relating to resource mobilization. In particular paragraph 4 highlights that 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.

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\* UNEP/CBD/COP/11/1.

2. In 2008, the Conference of the Parties, at its ninth meeting, adopted a resource mobilization strategy to assist Parties in establishing national targets, goals as well as action for enhancing international financial flows and domestic funding for biological diversity (decision IX/11). In 2010, the tenth meeting of the Conference of the Parties decided to adopt targets for resource mobilization at the eleventh meeting of the Conference of the Parties based on an assessment (decision X/3) and to conduct a specific assessment on the funding needs for the sixth replenishment of the Global Environment Facility (GEF-6) (decision X/23). Decisions X/2 and X/3 also reiterate that national implementation of the Strategic Plan for Biodiversity 2011-2020 and the strategy for resource mobilization should include the elaboration of country-specific resource mobilization strategies in the framework of updated national biodiversity strategies and action plans.

3. Through decision X/3, the Conference of the Parties adopted fifteen indicators for monitoring the implementation of the strategy for resource mobilization (paragraph 7) and also set the steps in a process to be carried out prior to the eleventh meeting of the Conference of the Parties, making use of these indicators (paragraph 8). Specifically, the Secretariat is requested to develop methodological guidance, and guidelines for the application of the indicators and the establishment of a baseline year. Through paragraph 8 (i) of decision X/3, the Conference of the Parties also decided to adopt an effective reporting framework at the eleventh meeting of the Conference of the Parties to allow Parties at that meeting to review baseline information and establish targets for the strategy for resource mobilization (paragraphs 8 (h),(i)).

4. In response to the requests in decision X/3, the Secretariat prepared a Preliminary Reporting Framework (UNEP/CBD/WG-RI/4/6/Add.1) which was made available to the fourth meeting of the Ad Hoc Open-ended Working Group on Review of Implementation of the Convention (WGRI-4). In paragraph 2 of recommendation WGRI 4/2, the Working Group requested the Executive Secretary to elaborate the further development of the preliminary reporting framework and invited Parties to use the preliminary reporting as a flexible and tentative framework to monitor resources and provide the information to the Executive Secretary by the end of June 2012. Following this request, and based on submissions from Parties related to its use, the preliminary reporting framework has been revised.

5. The present document has been revised drawing upon a range of information inputs, including:

(a) Submissions from Parties – in response to a notification<sup>1</sup> issued in March 2011, transmitting the invitation of the Conference of the Parties to Parties, other Governments and relevant organizations to submit information pertinent to the indicators;

(b) The Ad Hoc Technical Expert Group on Indicators for the Strategic Plan for Biodiversity 2011-2020 which met in June 2011 (<https://www.cbd.int/doc/meetings/ind/ahteg-sp-ind-01/official/ahteg-sp-ind-01-03-en.pdf>);

(c) Informal consultations with national focal points, *inter alia*, through an electronic consultation in July/August 2011;

(d) A report prepared by the World Conservation Monitoring Centre of the United Nations Environment Programme (UNEP-WCMC) “Assessing the adopted indicators for the implementation of the Strategy for Resource Mobilization of the Convention on Biological Diversity – A scoping study;”

(e) Discussions of a team of experts convened to develop an assessment of the funding needs for GEF-6 in line with decision X/26;

(f) Submissions from Parties – in response to a notification issued on 30 September 2011, submitting the Methodological and Implementation Guidance for the use of indicators to monitor implementation of the Convention’s strategy for resource mobilization and the Preliminary Reporting Framework: Application of indicator methodology for the strategy for resource mobilization (UNEP/CBD/SRM/Guidance/1) (CBD/ITS/YX/77665).

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<sup>1</sup> SCBD/ITS/RS/fb/75381 (2011-061) issued according to decision X/3, paragraph 8(b). A second notification (SCBD/ITS/YX/75558 (2011-069)) on innovative financing mechanisms was issued in line with paragraph 8 (c).

(g) Submissions from Parties – in response to notifications issued on 3 February 2012 and 11 June 2012 inviting Parties to provide information on the resources mobilized for biodiversity by making use of the preliminary reporting framework.<sup>2</sup>

6. This note is based on the preliminary reporting framework which was made available to the fourth meeting of the Ad Hoc Open-ended Working Group on Review of Implementation of the Convention as document UNEP/CBD/WG-RI/4/6/Add.1. This note has been divided into five sections: section II reviews the indicators adopted in decision X/3 noting the types of data needed and potential overlaps; section III discusses the data needed for the application of the indicators, presenting this according to the Preliminary Reporting Framework (annex I); section IV proposes a classification of biodiversity activities for optional use; and section V provides additional methodological guidance.

## II. REVIEW OF THE INDICATORS ADOPTED IN DECISION X/3

7. The fifteen indicators adopted in decision X/3 cover a variety of issues. Some, outcome-oriented, indicators require data to be provided in monetary units (dollars, or other currencies), while other process oriented indicators require a count of the number of countries that have undertaken certain steps with regard to the strategy for resource mobilization, while yet others elucidate information about more specific aspects concerning, for example, innovative financial mechanisms, technical cooperation and South-South cooperation. This last group uses a mix of monetary units and counts of initiatives. Of the indicators which require data to be provided in monetary units some focus directly on the amount of resources which are available to Parties to undertake activities related to biodiversity domestically while others relate to the transfer of resources to developing countries to assist them in the implementation of the Convention (international financial flows).

8. Many of the indicators agreed in decision X/3, particularly those which require data to be provided in monetary units, rely on overlapping information for their calculation. For this reason a limited set of “data fields” required to provide the information needed for the entire set of indicators has been identified, to clarify the data required, minimize the reporting burden on Parties, and reduce the risk of double-counting. A Preliminary Reporting Framework has been developed, based on these data fields to facilitate the collection of information from Parties in the period 2011-2012 in line with decision X/3, paragraph (f). Information gathered directly from international organizations will complement the data collected from Parties through the Preliminary Reporting Framework.

9. This section of the note contains a brief description of the indicators adopted in decision X/3. The scope of each of the indicators is presented and overlaps among the different indicators are highlighted.

*Indicator 1: Aggregated financial flows, in the amount and where relevant percentage, of biodiversity-related funding, per annum, for achieving the Convention’s three objectives, in a manner that avoids double counting, both in total and in, inter alia, the following categories:*

- (a) *Official Development Assistance (ODA);*
- (b) *Domestic budgets at all levels;*
- (c) *Private sector;*
- (d) *Non-governmental organizations, foundations, and academia;*
- (e) *International financial institutions;*
- (f) *United Nations organizations, funds and programmes;*
- (g) *Non-ODA public funding;*
- (h) *South-South cooperation initiatives; and*

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<sup>2</sup> SCBD/ITS/RS/78858 (2012-02-03) issued in response to decision X/3 and SCBD/ITS/RS/DC/KNM/fb/80164 (2012-06-11) issued in response to WGRI recommendation 4/2 SCBD/ITS/RS/78858 (2012-02-03).

*(i) Technical cooperation.*

10. This indicator tracks biodiversity related funding from a range of different sources and combines them to create an aggregated picture of financial flows. The data are required in monetary units.

11. The aggregate indicator consists of the total sum of financial resources from each of the components “in a manner that avoids double counting”. Some of the components are sub-categories of others. For example multilateral ODA includes funding through international financial institutions and United Nations organizations, funds and programmes. Further some of the components overlap one another. For example technical cooperation overlaps with all of the other sub-categories.

12. Some components of the indicator consider the end use of the funding, which requires identifying the mechanism through which resources are spent for biodiversity in a country. Other components of this indicator relate to international resource flows, that is the flow of resources from developed countries to developing countries. Therefore, as the components of indicator 1 relate to both the end use and international flows of resources, there is an additional risk of double-counting. For example, domestic budgets (1 (b)), the private sector (1 (c)), and non-governmental organizations, foundations and academia (1 (d)) could each originate, in part, through international financial flows. Similarly international flows through ODA and other public funding are accounted for in official development assistance (1 (a)), non-ODA public funding (1 (g)) and south-South cooperation (1 (h)) while international private and charitable flows are not separately identified.

13. Lastly many of the components of this indicator overlap, completely or partially, with the other indicators contained in decision X/3, as noted in the subsequent paragraphs. The data fields in the Preliminary Reporting Framework described in the next section have been developed in light of the considerations above in order to reduce the risk of double-counting.

14. The individual components of this indicator are explained in more detail in the following section of this note and in the Preliminary Reporting Framework.

*Indicator 2: Number of countries that have:*

*(j) Assessed values of biodiversity, in accordance with the Convention;*

*(k) Identified and reported funding needs, gaps and priorities;*

*(l) Developed national financial plans for biodiversity; and*

*(m) Been provided with the necessary funding and capacity building to undertake the above activities.*

15. This indicator contains several components, each of which consists of a count of the number of countries which have undertaken the actions identified above (or have been provided with the necessary resources to do so). Since the activities listed cannot simply be added together, as they relate to different issues and countries can undertake one or more of the listed activities, the total number of countries undertaking each relevant activity will need to be counted separately. Using a simple “yes” or “no” approach to each of the activities would be sufficient to report on this indicator. However additional information, such as a description of the actions taken and/or the outcomes achieved would allow for a more detailed assessment.

*Indicator 3: Amount of domestic financial support, per annum, in respect of those domestic activities which are intended to achieve the objectives of this Convention;*

16. This indicator is the total *domestic* support for activities to achieve the objectives of the Convention nationally. It overlaps largely with the sum of sub-indicators 1 (b), 1 (c) and 1 (d), except that funds provided or received as ODA or other international flows would be excluded (i.e. developed countries would not include the amount of resources provided to developing countries as these resources would not be available for domestic use, and developing countries would not include any resources received from developed countries, as this would not constitute domestic support).

*Indicator 4: Amount of funding provided through the Global Environment Facility and allocated to biodiversity focal area;*

17. This indicator measures the total amount of funding provided by the Global Environment Facility (GEF) to eligible countries through its biodiversity focal area. As the information is available from the GEF there is no need for Parties to report on this indicator. The information will be gathered by the Secretariat and made available to Parties for their review.

*Indicator 5: Level of CBD and Parties' support to other financial institutions that promote replication and scaling-up of relevant successful financial mechanisms and instruments;*

18. This indicator is interpreted to mean the level of political support to other financial institutions as issues related to financial support would be covered by other indicators. One measure would be the number of decisions adopted by the Conference of the Parties to promote replication and scaling-up of relevant successful financial mechanisms and instruments. Given that this indicator is global in scope, information will be gathered by the Secretariat and made available to Parties for their review.

*Indicator 6: Number of international financing institutions, United Nations organizations, funds and programmes, and the development agencies that report to the Development Assistance Committee of Organisation for Economic Co-operation and Development (OECD/DAC), with biodiversity and associated ecosystem services as a cross-cutting policy;*

19. The indicator is a direct measure of the number of institutions, organizations, funds, programmes and development agencies that report to OECD/DAC on issues related to biodiversity. One measure would be the number of organizations which have reported on the Rio marker for biodiversity. Given that this information is available directly from the OECD there is no need for Parties to report against this indicator. The information can be gathered by the Secretariat and made available to Parties for their review.

*Indicator 7: Number of Parties that integrate considerations on biological diversity and its associated ecosystem services in development plans, strategies and budgets;*

20. The indicator consists of a count of the number of countries which have integrated considerations on biological diversity and its associated ecosystem services in development plans, strategies and budgets. However additional information, such as a description of the actions taken and/or the outcomes achieved would allow for a more detailed assessment. In a sense, the indicator is similar in form to those under indicator 2, and the information could be gathered in a similar way.

*Indicator 8: Number of South-South cooperation initiatives conducted by developing country Parties and those that may be supported by other Parties and relevant partners, as a complement to necessary North-South cooperation;*

21. This indicator is a count of the number of cooperation initiatives among developing countries and a separate count of South-South cooperation initiatives which are supported by developed countries through "triangular cooperation". This indicator overlaps with indicator 9 (the number of South-South and North-South cooperation initiatives), and is complementary to indicator 1 (h) (financial investment in South-South cooperation initiatives) which would provide data in monetary units.

*Indicator 9: Amount and number of South-South and North-South technical cooperation and capacity building initiatives that support biodiversity;*

22. This indicator consists of separate counts of the total number of South-South and North-South technical cooperation and capacity building initiatives that support biodiversity, which overlaps with indicator 8. The indicator also calls for the amount of these initiatives, which is taken to mean the amount of resources invested in these initiatives, overlapping with indicators 1 (h) and 1 (i).

*Indicator 10: Number of global initiatives that heighten awareness on the need for resource mobilization for biodiversity;*

23. This indicator consists of a count of the number of global initiatives to heighten awareness on the need for resource mobilization. The necessary information can be collected at the global level. Therefore there is no need for Parties to report on it. Instead, the information will be gathered by the Secretariat and made available to Parties for their review.

*Indicator 11: Amount of financial resources from all sources from developed countries to developing countries to contribute to achieving the Convention's objectives;*

24. This indicator relates to the total monetary amount transferred from developed countries to developing countries to contribute to achieving the Convention's objectives. The indicator overlaps with several components of indicator 1 and common data can be used for its calculation. It would include 1 (a) and 1 (g) plus the international flow components of 1 (c) and 1 (d). (Note that 1 (e) and 1 (f) are already included within 1 (a)). This indicator also overlaps with indicator 12.

*Indicator 12: Amount of financial resources from all sources from developed countries to developing countries towards the implementation of the Strategic Plan for Biodiversity 2011-2020;*

25. This indicator relates to the total monetary amount transferred from developed countries to developing countries to contribute to the implementation of the Strategic Plan for Biodiversity 2011-2020. As with indicator 11, this indicator overlaps with several components of indicator 1 and common data can be used for its calculation. It would include 1 (a) and 1 (g) plus the international flow components of 1 (c) and 1 (d). (Note that 1 (e) and 1 (f) are already included within 1 (a)). While, from a strict perspective, indicator 12 does not apply to the period prior to 2011, in practical terms the indicators may be regarded as equivalent to indicator 11, at least for the period 2011-2020, as any funding towards the implementation of the Strategic Plan can be argued to contribute to the achievement of the Convention's objectives.

*Indicator 13: Resources mobilized from the removal, reform or phase-out of incentives, including subsidies, harmful to biodiversity, which could be used for the promotion of positive incentives, including but not limited to innovative financial mechanisms, that are consistent and in harmony with the Convention and other international obligations, taking into account national social and economic conditions;*

26. This indicator requires two measures. The first measure relates to the total financial resources mobilized from the removal, reform or phase-out of incentives, including subsidies, harmful to biodiversity. The second measure is the amount of resources mobilized from the removal, reform or phasing out of harmful incentives which are used for the promotion of positive incentives for biodiversity. The latter might include, but are not limited to innovative financial mechanisms. It is important to note that the resources mobilized from the removal, reform on phasing out of incentives harmful to biodiversity do not necessarily need to be used for the promotion of positive incentives for these resources to be counted as part of the first measure.

*Indicator 14: Number of initiatives, and respective amounts, supplementary to the financial mechanism established under Article 21, that engage Parties and relevant organizations in new and innovative financial mechanisms, which consider intrinsic values and all other values of biodiversity, in accordance with the objectives of the Convention and the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of the Benefits Arising out of Their Utilization;*

27. This indicator has two elements: firstly, the number of initiatives that engage Parties and relevant organizations in new and innovative financial mechanisms and, secondly, the monetary value associated with these initiatives. The text specifies that the initiatives should be supplementary to the financial mechanism established under Article 21, and consistent with the Convention and the Nagoya Protocol. Additional information, such as a description of the initiatives would allow for a more detailed assessment.

*Indicator 15: Number of access and benefit sharing initiatives and mechanisms, consistent with the Convention and, when in effect, with the Nagoya Protocol on Access to Genetic Resources and the Fair*

*and Equitable Sharing of the Benefits Arising out of Their Utilization, including awareness-raising, that enhance resource mobilization;*

28. This indicator is a measure of the total number of access and benefit sharing initiatives. As such the number of initiatives can simply be added. However additional information, such as a description of the initiatives would allow for a more detailed assessment.

### **III. INFORMATION NEEDS FOR THE INDICATORS AND RATIONALE FOR THE REPORTING FRAMEWORK**

29. The indicators in decision X/3, as well as the strategy for resource mobilization and Aichi Target 20 require some key types of information. This information may be grouped into following four sections:

- (a) International flows of financial resources;
- (b) Financial resources available for biodiversity in each country;
- (c) Steps countries are taking to implement the strategy for resource mobilization; and
- (d) Specific initiatives including those relating to technical cooperation, and innovative financing mechanism.

30. The Preliminary Reporting Framework is divided into sections<sup>3</sup> which solicit the information required in each of these four groups, which are examined in more detail below. For each of the sections, the main information needs are explained, the use of terms is clarified and the indicators served by the date fields are noted. Additionally, some information will be collated from international organizations as indicated below.

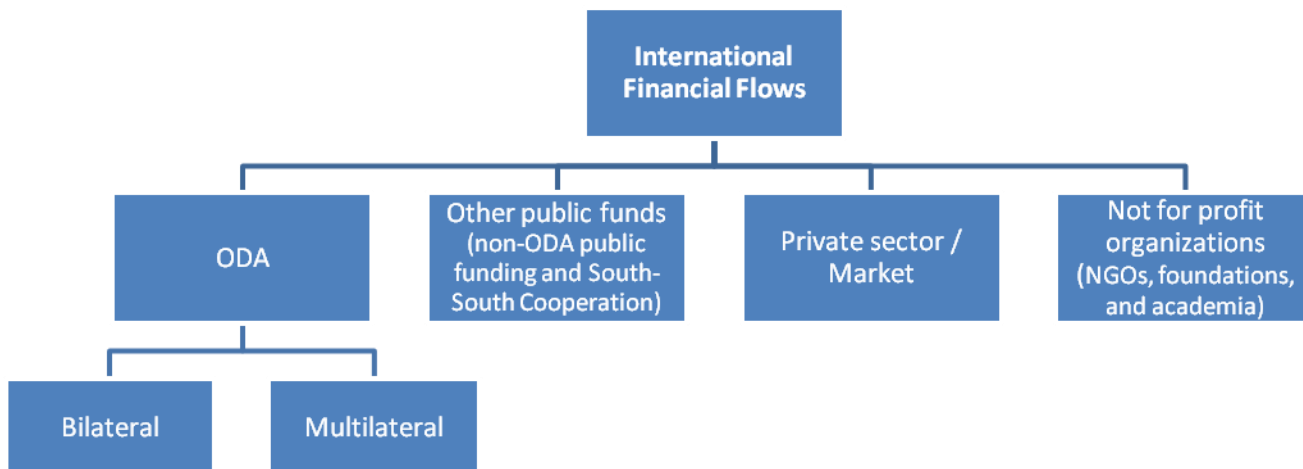
#### **Section one: International Flows of Financial Resources**

31. International flows of financial resources originate from several sources (see figure 1). Official development assistance (ODA) is one of these sources. ODA can be either bilateral (directly from a donor country to a recipient country) or multilateral (resources channelled through international financial institutions and United Nations organization, funds and programmes). International financial flows can also include non-ODA public funding (North-South) and cooperation among developing countries (South-South cooperation), as well as flows through private companies and through international not-for-profit organizations. With information on the size of the funding provided from each of these different types of flows it will be possible to calculate components 1 (a), 1 (g) and 1 (h) and a combined figure for 1 (e) and 1 (f) as well as total flows relating to indicators 11 and 12. In addition indicator 4 and additional estimates for 1 (e) and 1 (f) can be gathered directly by the Secretariat from the relevant institutions and made available to Parties for their review.

*Figure 1: Types of international financial flows*

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<sup>3</sup> Note that the fifth section of the Preliminary Reporting Framework addresses the scope of biodiversity funding that is considered in the Preliminary Reporting Framework (see next section).

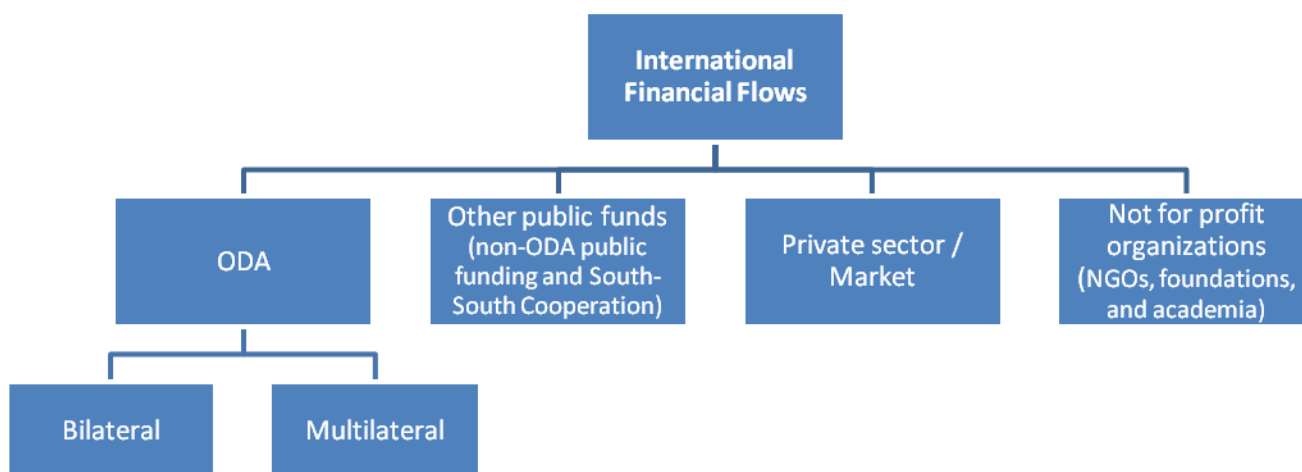


32. Note the following use of terms:

(a) Official Development Assistance (ODA) refers to flows of official financing administered with the purpose of promoting economic development and welfare of developing countries as the main objective, and which are concessional in character with a grant element of at least 25 per cent (using a fixed 10 per cent rate of discount). ODA can be bilateral or multilateral. Where resources are provided or received for general budget support rather than for specific activities, an estimate of resources provided/received for biodiversity may be calculated from the proportion of the recipient country’s budget devoted to such activities. Bilateral ODA refers to contributions of donor government agencies, at all levels, to developing countries. Multilateral ODA refers to funds provided through international financial institutions such as the Global Environment Facility, the World Bank and United Nations funds and programmes;

(b) The category “other public funds” includes non-ODA public funding, also called “other official flows” (OOFs), which refers to transactions by the official sector with countries on the List of Aid Recipients which do not meet the conditions for eligibility as Official Development Assistance. The category also includes resources provided from other “non-donor” countries i.e. through “South-South Cooperation”.

33. Additionally, as noted in paragraph 16 above, indicator 3 is equal to the sum of sub-indicators 1 (b), 1 (c) and 1 (d), except that funds provided or received as ODA or other international flows would be excluded. It can thus be calculated from data in sections one and two.

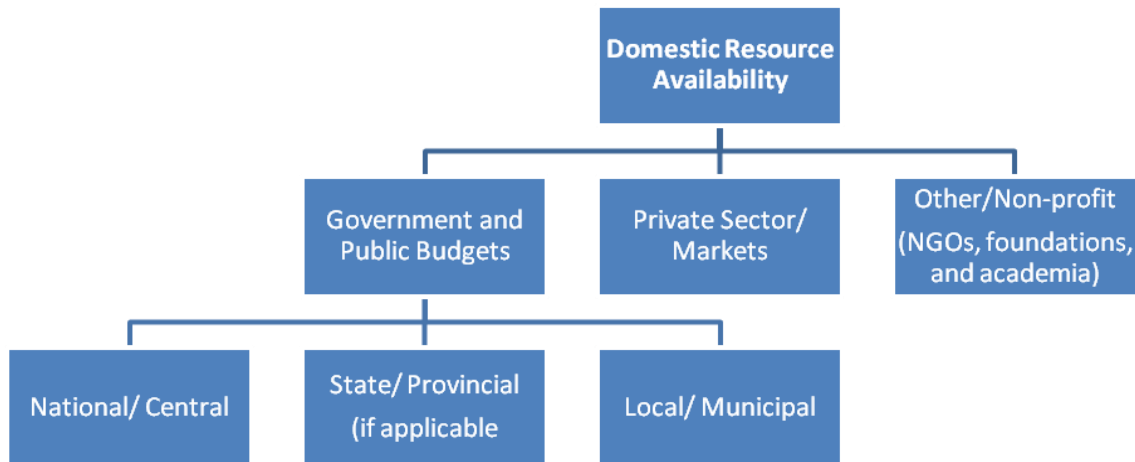




## Section two: Availability of financial resources in each country

34. The financial resources available for biodiversity in each country are provided through three main channels: the public sector (public budgets for government departments and agencies at all levels), the private (for-profit) sector (mediated through markets) and NGOs, foundations and academia (the non-profit sector) (see figure 2). For donor countries, those resources transferred to other countries through mechanisms such as ODA, non-ODA public funding, and private mechanisms would not be counted in this category as these resources would not be available for domestic use. Conversely, recipient countries would include resources received from outside as they would be available for domestic use. With information on the amount of domestic resources available for biodiversity it will be possible to calculate indicators 1 (b), 1 (c), 1 (d). Combined with information on international flows (see the previous subsection) it would also be possible to calculate indicator 3.

Figure 2: Sources of domestic funding for biodiversity



35. Note the following use of terms:

(a) Government and public budgets include public money spent by government or government agencies to address domestic biodiversity issues. Resources from the different levels of government: central (national, federal); state/provincial (if applicable); and local/municipal should be included;

(b) The private sector comprises private corporations or transaction mediated through a market;

(c) Other/non-profit represents funding that is neither public nor mediated through a market. Non-governmental organizations include non-profit organizations representing major groups and that are legally constituted organizations that operate independently from government. Foundations are non-profit organizations that typically either donate funds, provide support to other organizations, and/or directly provide funding for their own charitable purposes. Academia refers to all institutions aimed at advancing knowledge development, including educational and research institutions.

## Section three: Steps being taken to implement the strategy for resource mobilization

36. There are a variety of enabling activities which can facilitate access to and efficient use of financial resources. These initiatives include assessments of biodiversity, the identification and reporting of funding needs, gaps and priorities, the development of national financial plans for biodiversity, and the integration of biodiversity and ecosystem services considerations into national budgets and development plans and strategies. With information on these types of initiatives it will be possible to calculate indicators 2 and 7. At a minimum knowing the number of these initiatives being under taken will be required. However more detailed information on the resources which have been made available to

developing countries to undertake these activities as well as any results achieved will allow for a more detailed assessment of the issue.

37. Note the following use of terms:

(a) Assessments of the values of biodiversity and ecosystem services comprise assessments at the national, local and/or project levels, which may be undertaken by national or international experts, to estimate the value of biodiversity;

(b) Funding needs, gaps and priorities are identified and reported at the national level, on the basis of the Convention and is often part of a national biodiversity strategy and action plan process;

(c) National financial plans for biodiversity refer to financial plans developed as part of national biodiversity strategies and action plans;

(d) Development plans and strategies may take various forms in different countries, such as national poverty reduction strategies or national sustainability strategies;

(e) A national budget which integrates biodiversity considerations would normally contain a section or paragraph dealing with biodiversity.

#### **Section four: Specific initiatives related to resource availability**

38. The indicators in decision X/3 require information on a number of specific initiatives related to resource availability. These include North-South and South-South technical cooperation and capacity building, new and innovative financial mechanisms, incentives harmful to biodiversity, and access and benefit sharing initiatives. In order to calculate the indicators called for in decision X/3 the number of such initiatives and their value is required in most cases. This information is relevant to indicators 1 (h), 5, 6, 8, 9, 13, 14, and 15.

39. Note the following use of terms:

(a) North-south technical cooperation and capacity building initiatives are those in which resources and/or expertise are provided by a developed country to a developing country;

(b) South-South Cooperation describes the exchange of resources, technology, and knowledge between developing countries. Developing countries participating in these types of initiatives can be recipients and/or providers of resources. While South-South cooperation and capacity-building is by definition between developing countries, in some instances developed countries may provide resources and expertise which play a catalytic role in such initiatives. This type of support is commonly referred to as “triangular cooperation”.

#### **Indicators to be assessed from global data sets and international organizations**

40. For some of the indicators, the information is primarily available from international organizations and therefore, taking into account the need to reduce the reporting burden on Parties, there is no need for Parties to report on these indicators directly. The information will be gathered by the Secretariat and made available to Parties for their review.

### **IV. CATEGORIZATION OF BIODIVERSITY ACTIVITIES TO IDENTIFY FUNDING**

41. For those indicators which require data in monetary units, it is necessary to clarify what is included as “finance for biodiversity”. In practice the boundaries of what should be included may not always be distinct. It may also sometimes be challenging to obtain good estimates of funding for some types of finance that while relevant to the objectives of the Convention and the Strategic Plan have a different primary purpose. With this in mind, the reporting framework relies on two different categories

of actions: actions which are directly related to biodiversity<sup>4</sup> and actions which are indirectly related to biodiversity.<sup>5</sup>

42. Actions directly related to biodiversity consist of actions which are, by design, intended to protect biodiversity and to support biodiversity planning. Activities under this category would include such things as *in situ/ex situ* conservation, protected areas, maintaining genetic diversity, addressing threats from invasive alien species (in situations where the primary purpose is to protect biodiversity), and addressing threats to specific ecosystems and/or species. Also included within this category would be funding related to human resources, policy development and administration related to these activities including the development of NBSAPs, other types of frameworks, and clearing-house mechanisms. As the budgets for these types of actions are often managed by environmental organizations of one type or another it should be possible to gather funding information with a relatively high level of confidence for them.

43. The second category of actions relates to initiatives which have a positive impact on biodiversity but for which biodiversity conservation and sustainable use is not the main focus. These activities include initiatives across a range of sectors that benefit biodiversity but which have other primary purposes (e.g. ecosystem-based approaches to climate-change mitigation and adaptation). Activities under this category would include sectoral measures which benefit biodiversity conservation and sustainable use within productive sectors (agriculture, forestry, aquaculture, fisheries, etc), sectoral measures to conserve water and prevent pollution, managing land use to mitigate climate change and increase resilience, planning, fiscal and regularity measures to promote sustainable consumption and production and broad scale public awareness and education measures. Also included in this category would be economy-wide and society-wide measures that address the underlying causes of biodiversity-loss. Activities under this category would generally be led by agencies outside of the environmental sector or where responsibility lies with multiple sectors and as such funding for these activities would not traditionally be regarded as biodiversity finance. Given that a wide range of funding sources would be typical for the activities under this category, funding estimates would generally have a lower level of confidence compared to actions directly related to biodiversity.

44. Categorizing biodiversity funding into these two categories would help to ensure the comparability of information. Further information on this categorization is provided in table 5 of the reporting framework. This table also allows respondents to indicate the type of activities they have included under each category in order to further encourage data comparability. However, recognizing that government budgets may be organized differently and that data may be available in different forms, the reporting framework also allows respondents to provide undifferentiated totals for biodiversity funding. Further, each table of the reporting framework contains a section where comments and further explanatory information can be provided to qualify the information which is being provided.

## V. IMPLEMENTATION GUIDANCE

45. In completing the preliminary reporting framework there are four overarching issues which should be considered. These are ensuring that all relevant information is considered, the need to avoid double counting, efficiency in information collection and ensuring data quality.

46. **Consideration of all relevant information** – In the context of this process, the term “biodiversity activity” refers to all activities that have a positive impact on biodiversity regardless of whether they take the form of direct benefits or indirect benefits. In order to assist Parties in accounting for the various types of information which should be considered a proposed categorization of biodiversity resources is provided in this document (see section 5 of the reporting framework).

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<sup>4</sup> Activities directly related to biodiversity broadly correspond to the activity categories A and B used in UNEP/CBD/WG-RI/4/6/Add.1.

<sup>5</sup> Actions which indirectly relate to biodiversity broadly correspond to the activity categories C and D used in UNEP/CBD/WG-RI/4/6/Add.1.

47. **Avoiding double counting** – The Conference of the Parties noted the need to avoid double counting in indicator 1 of decision X/3. Double counting has the potential to artificially inflate any assessment of resource availability and so it is important to reduce the likelihood of it occurring. One tool for avoiding double counting is institutional mapping. Institutional mapping can be an effective method for organizing information about various biodiversity systems and different sources of funding. Such mapping helps to ensure that resources are appropriately accounted for and that funding information can be more easily compared. It also helps to support the interpretation of information. However, recognizing that establishing an institutional mapping system may be costly and a long term process, the preliminary reporting framework has been developed in order minimize the risk of double counting and to facilitate Parties in providing the necessary information by focusing on the data fields which are necessary to calculate the indicators. Nonetheless when completing the reporting framework it will be important that Parties ensure that they are not counting financial resources more than once. In addition, providing information on the types of actions which are being accounted for will further reduces the likelihood of double counting.

48. **Efficiency in information collection** - In completing the reporting framework Parties are encouraged to interact with their respective statistical offices or other relevant departments. Some of the information needed for this process is likely already available and it should be used, where possible, in order to reduce the reporting burden and the duplication of efforts. Efforts to work with statistical offices and other relevant departments could also lead to an improvement in information and data collection. In this respect this exercise should also be viewed in relation to Target 2 of the Strategic Plan for Biodiversity which calls for the integration of biodiversity values into national planning processes and in relation to mainstreaming more broadly.

49. Information availability differs between countries, and a wide range of information sources may be used as long as they provide reasonable assurances for data reliability. Domestic sources of information may include budgets, survey data, reports, information obtained directly from the funding sources, and so on. In addition to government sources of information there are also a variety of international initiatives which may provide information in situations where it is not readily available. For example the Development Assistance Committee (DAC) of the Organization for Economic Cooperation and Development monitors aid directed toward the objectives of the Rio conventions through its Creditor Reporting System (CRS) using the Rio markers, and can be an important source of information on foreign assistance for biodiversity. In addition relevant information is also available from the Government Finance Statistics of the International Monetary Fund and the United Nations Statistics Division.

50. **Data quality** - Dedicated staff at both the national and global levels that are empowered, both politically and financially, to collect and communicate indicator information would greatly help in ensuring data quality and the successful complementation of this process more generally. With this in mind the resource mobilization focal points at the national level, together with national focal points of the Convention, should be mobilized to ensure that national biodiversity activities and associated entities of biodiversity financing can be clearly identified, mapped and documented, and to establish national methodologies for aggregating financial flows and regular data collection. Data quality and precision may evolve over time therefore it is important that data systems be marked in terms of degree of certainty.

51. When providing information on biodiversity expenditures ideally Parties should consider opportunity costs. Opportunity cost is the value of the next best alternative that is not chosen (the action which is forgone). For example the opportunity cost for creating a strict nature reserve would be the potential revenue forgone from forestry, agriculture or other applications that the area could be used for. The integration of opportunity costs into conservation planning can result in more efficient and more effective conservation investments. However measuring opportunity costs can be complicated because of the additional information which is required. Given this Parties may wish to not consider this issue in their assessments at this stage.

52. Parties should try also to account for the difference between capital investments and recurring expenditures. Capital investments are non-recurring long lived investments and usually relate to the

purchase of land, infrastructure or equipment. By comparison recurring expenditures or “operating expenditures” are ongoing expenditures which are incurred regularly and are related to the normal operation or management of an organization or the implementation of an activity. Some biodiversity activities may have both capital investments and recurring expenditures which should be distinguished in order to allow for more accurate accounting. If Parties chose to provide information for one year they should try to ensure that capital costs are appropriately accounted for so that the estimates are not overly inflated. This is less of an issue if estimates are given for several years.

53. When completing the preliminary reporting framework Parties are encouraged to provide information for as many of the data fields as possible. However, recognizing that it may be difficult for Parties to provide some of the information, there is no need to complete all of the data fields before submitting the information to the Secretariat. Further, where precise information is not available, Parties are encouraged to use their best estimates and to appropriately reflect this in the level of confidence associated with the value and in the comments field accompanying each section of the reporting framework.

*Annex***PRELIMINARY REPORTING FRAMEWORK****I. INTRODUCTION**

The Preliminary Reporting Framework is intended for use by Parties for providing data on resource mobilization according to the indicators adopted in decision X/3. Data provided for the 2006-2010 will be used for the calculation of a baseline while data provided after 2010 will be used to monitor progress. The relationship between each of the indicators agreed in decision X/3 and the data fields contained in the Framework is provided in Appendix 1.

**II. OVERVIEW OF THE PRELIMINARY REPORTING FRAMEWORK**

The indicators in decision X/3, as well as the strategy for resource mobilization and Aichi Target 20 require certain types of information:

- (a) Data, in monetary units, on flows of financial resources for biodiversity from developed to developing countries;
- (b) Data, in monetary units, on financial resources available for biodiversity;
- (c) Information on the steps countries are taking to implement the strategy for resource mobilization; and
- (d) Information (both qualitative and quantitative, including in monetary terms) on the role of specific initiatives including those relating to technical cooperation, and innovative financial mechanisms.<sup>6</sup>

The Preliminary Reporting Framework has been structured to correspond with these categories. Further the framework contains a fifth section which addresses the scope of biodiversity funding. Funding for biodiversity includes not only funding for direct actions to protect biodiversity but also funding related to actions across different sectors (e.g. agriculture, forestry, tourism) to promote biodiversity-friendly initiatives that have other primary purposes (e.g. ecosystem-based approaches to climate-change mitigation and adaptation) where a wider range of funding sources is typical. In addition, economy-wide and society-wide measures that address the underlying causes of biodiversity-loss are relevant, even if they are not traditionally regarded as biodiversity finance. With this in mind, the reporting framework has been developed to distinguish two general types of biodiversity funding. Funding related to activities which are intended to directly affect biodiversity and activities which focus on other issues but which have an indirect positive effect on biodiversity. In order to facilitate comparison, ideally Parties would provide funding information according to these two categories. In order to facilitate the classification of activities, in section five, Parties have the opportunity to fine-tune this categorization according to their own needs. However the Preliminary Reporting Framework also allows respondents to provide overall totals.

**III. GUIDANCE FOR THE USE OF THE PRELIMINARY REPORTING FRAMEWORK**

For those sections which ask for monetary figures (1, 2, and 4):

- (a) For the calculation of the baseline, please provide data for 2010 or the most recent year prior to that. If data is available for more than one year please reproduce the table and provide the information for each year. If possible, provide data for the period 2006 to 2010 and other years that may be available. If specific annual data is not available you may provide the best estimate of an average figure for a range of years (e.g. 2006-2010). For the purposes of monitoring progress please provide data for years after 2010;

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<sup>6</sup> The indicators requiring this type of information should be completed at the discretion of Parties. Some of the data used to calculate the information required for (1) and (2) may be used to provide information for this type of indicators as well.

(b) If your financial year does not correspond to the calendar year, please indicate the calendar year in which the financial year begins; (For example if the financial year is 1 April 2010 until 30 March 2011, please record the year as “2010”.);

(c) In order to facilitate compilation of data, please provide either: the figures in 2010 US dollars (preferred), or ensure that the currency and the relevant year are indicated;

(d) Please provide the best estimate of the data and also indicate the confidence level of your estimate (“high”: data mostly derived from published sources; “medium”: data represents expert judgment based on good information; or “low”: data is a best but risky estimate with very incomplete data). As an alternative to indicating the confidence level, you may provide a range of estimates.

In completing the reporting framework Parties are encouraged to interact with their respective statistical offices or other relevant departments when gathering information. Some of the information needed for this process is likely already available and it should be used where possible in order to reduce the reporting burden and the duplication of efforts. At the end of each question a comments field is provided where respondents can provide additional information to further substantiate responses, highlight any assumptions or qualifications linked to the data, or to raise any other related issues.

When completing the preliminary reporting framework respondents are encouraged to provide information for as many of the data fields as possible. However, recognizing that it may be difficult for Parties to provide some of the information, there is no need to complete all of the data fields before submitting information to the Secretariat. Further, where precise information is not available, respondents are encouraged to use their best estimates.

### **Identification of respondent**

**Please complete the following table:**

Country:	Name of respondent:
Please indicate on whose behalf this is being completed:	<input type="checkbox"/> National Focal Point <input type="checkbox"/> Focal point for resource mobilization <input type="checkbox"/> Other. Please specify:
Title and Department of respondent:	
Organization of respondent:	
Email address:	
Telephone contact:	
Date of completion and submission of completed framework:	

### **1. Information on international flows of financial resources**

This section of the Framework relates to the flows of financial resources from all sources to developing countries.

For ***developed countries*** (members of OECD-DAC): **Please indicate the amount of resources provided in support of biodiversity in developing countries through ODA, other public funds, private/market mechanisms and through not-for profit organizations.** For ***developing countries*** (countries, not members of OECD -DAC): **Please indicate the amount of resources received from external sources through ODA, other public funds, private/market mechanisms and through not-for profit organizations.**

For each of the expenditure sources listed please indicate the total amount of financial resources spent as well as an assessment of your confidence in the estimated amount (high, medium low; alternatively provide a range of estimates). ***Please take care to avoid double counting; expenditure included in one row of the table should not also be included in another.*** You may indicate expenditures according to the two categories, or provide an estimate of the total without categorization. A list of indicative activities for each of the categories is provided in section 5. Please provide data for multiple years if possible (duplicate the table as necessary).

Year:		Currency:					
Type of financial flows		Activity categories <sup>2</sup>				Total	
		Directly related		Indirectly related			
		Amount	Confidence	Amount	Confidence	Amount	Confidence
1.1 Official Development Assistance <sup>8</sup>	1.1.1 Bilateral <sup>9</sup>						
	1.1.2 Multilateral <sup>10</sup>						
1.2 Other public funds <sup>11</sup>							
1.3 Private/ Market <sup>12</sup>							
1.4 Not for profit organizations							
Comments:							

### **2. Information on the availability of financial resources in each country**

This section of the Framework relates to the financial resources available to implement the Convention and its Strategic Plan in your country. It relates specifically to the end use of financial resources regardless of whether the source of the funds is domestic or external.

<sup>7</sup> See section 5 of the reporting framework for a description of the categories.

<sup>8</sup> **Official Development Assistance** (ODA) refers to flows of official financing administered with the purpose of promoting economic development and welfare of developing countries as the main objective, and which are concessional in character with a grant element of at least 25 per cent (using a fixed 10 per cent rate of discount). ODA can be bilateral or multilateral. Where resources are provided or received for general budget support rather than for specific activities, an estimate of resources provided/received for biodiversity may be calculated from the proportion of the recipient country's budget devoted to such activities.

<sup>9</sup> **Bilateral ODA** refers to contributions of donor government agencies, at all levels, to developing countries

<sup>10</sup> **Multilateral ODA** refers to funds provided through international financial institutions such as the Global Environment Facility, the World Bank and United Nations funds and programmes.

<sup>11</sup> This category includes **non-ODA public funding**, also called "other official flows" (OOFs), which refers to transactions by the official sector with countries on the List of Aid Recipients which do not meet the conditions for eligibility as Official Development Assistance. The category also includes resources provided from other "non-donor" countries i.e. through "**South-South Cooperation**".

<sup>12</sup> The **private sector** comprises private corporations or transaction mediated through a market.



Please indicate the financial support to domestic activities intended to achieve the objectives of this Convention from all sources. For each of the expenditure sources listed please indicate the total amount of financial resources spent as well as an assessment of your confidence in the estimated amount (high, medium low; alternatively provide a range of estimates). You may indicate expenditures according to the two categories, or provide an estimate of the total without categorization. A list of indicative activities for each of the categories is provided in section 5. Please provide data for multiple years if possible (duplicate the table as necessary).

*Please take care to avoid double counting; expenditure included in one row of the table should not also be included in another.* As this question specifically relates to domestic expenditures *if you are representing a developed country (members of OECD-DAC) please do not include any funding provided to other countries.* However, *if you are representing a developing country (not a members of OECD -DAC) please include the money received from other countries.*

Year:		Currency:					
Source		Activity categories <sup>13</sup>				Total	
		Directly Related		Indirectly Related			
		Amount	Confidence	Amount	Confidence	Amount	Confidence
2.1: Government budgets <sup>14</sup>	2.1.1 Central						
	2.1.2 State/Provincial						
	2.1.3 Local/ Municipal						
2.2 Private/ Market <sup>15</sup>							
2.3 Other (NGOs, foundation, and academia) <sup>16</sup>							
Comments:							

<sup>13</sup> See section 5 of the reporting framework for a description of the categories.

<sup>14</sup> **Government budgets** include public money spent by government or government agencies to address domestic biodiversity issues. Resources from the different levels of government: central (national, federal); state/provincial (if applicable); and local/municipal should be included. All countries should include estimates for “central” and for “local/municipal”. When providing information on government budgets Parties should ensure that funds transferred between the different levels of government are only counted once.

<sup>15</sup> The **private sector** comprises private corporations or transactions mediated through a market.

<sup>16</sup> **Other** represents funding that is neither public nor mediated through a market. **Non-governmental organizations** include non-profit organizations representing major groups and that are legally constituted organizations that operate independently from government. **Foundations** are non-profit organizations that typically either donate funds, provide support to other organizations, and/or directly provide funding for their own charitable purposes. **Academia** refers to all institutions aimed at advancing knowledge development, including educational and research institutions. The unifying factor between these three types of organizations is their not for profit status.

### **3. Information on the steps being taken to implement the strategy for resource mobilization**

This section of the Framework addresses initiatives which are important in enabling access to financial resources for biodiversity activities. The information sought in this section does not require response in monetary units.

**Please indicate whether your country has undertaken any of the following steps to enable implementation of the strategy for resource mobilization and provide additional information as appropriate.**

If your country has undertaken any of the activities below please indicate the results which have been achieved if possible. If you are representing a developing country (not a member of the OECD - DAC) please also indicate whether external funding and/or capacity building support was received by your country to undertake the initiatives (if applicable). Please also indicate the results and year initiated and completed (where applicable).

<b>Steps</b>		<b>Description of initiative (including support received, results achieved, year initiated/ completed)</b> <i>(if applicable)</i>
<b>3.1</b> Assessment of values of biodiversity <sup>17</sup>	No <input type="checkbox"/> Yes <input type="checkbox"/>	
<b>3.2</b> Identification and reporting funding needs, funding gaps and funding priorities <sup>18</sup>	No <input type="checkbox"/> Yes <input type="checkbox"/>	
<b>3.3</b> Development of national financial plans for biodiversity <sup>19</sup>	No <input type="checkbox"/> Yes <input type="checkbox"/>	
<b>3.4</b> Integrated consideration of biodiversity and ecosystem services in development plans and strategies <sup>20</sup>	No <input type="checkbox"/> Yes <input type="checkbox"/>	
<b>3.5</b> Country integrated consideration of biodiversity and ecosystem services in national budgets <sup>21</sup>	No <input type="checkbox"/> Yes <input type="checkbox"/>	

### **4. Information on specific issues related to resource availability**

This section of the Framework contains questions related to several specific issues including: technical cooperation; South-South cooperation; innovative financial mechanisms; and access and benefit-sharing.

#### ***4.1: Technical cooperation, capacity-building and South-South cooperation***

For ***developed countries*** (members of OECD -DAC): **Please indicate if your country is participating in technical cooperation and capacity-building initiatives in support of biodiversity that are financed**

<sup>17</sup> Assessments of the values of biodiversity and ecosystem services comprise assessments at the national, local and/or project levels, which may be undertaken by national or international experts, to estimate the value of biodiversity.

<sup>18</sup> Funding needs, gaps and priorities are identified and reported at the national level, on the basis of the Convention and is often part of a national biodiversity strategy and action plan process.

<sup>19</sup> National financial plans for biodiversity refer to financial plans developed as part of national biodiversity strategies and action plans.

<sup>20</sup> Development plans and strategies may take various forms in different countries, such as national poverty reduction strategies or national sustainability strategies.

<sup>21</sup> A **national budget** which integrates biodiversity considerations would normally contain a section or paragraph dealing with biodiversity.

**by your country or providing support to South-South cooperation through triangular cooperation.** You may also provide a description of the types of initiatives supported.<sup>22</sup>

Type of initiative		Description (including the value of initiatives)
4.1.1 North-South technical cooperation and capacity building provided <sup>23</sup>	No <input type="checkbox"/> Yes <input type="checkbox"/>	
4.1.2 Support to South-South technical cooperation & capacity-building through triangular cooperation <sup>24</sup>	No <input type="checkbox"/> Yes <input type="checkbox"/>	
<b>Comments:</b>		

For *developing countries* (countries, not members of OECD -DAC): **please indicate if your country is participating in technical cooperation and capacity-building initiatives that support biodiversity from which you have received resources as well as if initiatives have been financed by your country.** You may also provide a description of the types of initiatives.

Type of initiative		Description (including the value of initiatives)
4.1.3 North-South technical cooperation and capacity building received <sup>15</sup>	No <input type="checkbox"/> Yes <input type="checkbox"/>	
4.1.4 South-South technical cooperation & capacity building received from other developing countries <sup>25</sup>	No <input type="checkbox"/> Yes <input type="checkbox"/>	
4.1.5 South-South technical cooperation and capacity building - Provided <sup>17</sup>	No <input type="checkbox"/> Yes <input type="checkbox"/>	
<b>Comments:</b>		

<sup>22</sup> Note that your response to section 2 would already include such resources within the totals provided; this question is intended to elucidate specific information for indicators (8) and (9) of decision X/3.

<sup>23</sup> **North-south technical cooperation** and capacity-building initiatives are those in which resources and/or expertise are provided by a developed country to a developing country.

<sup>24</sup> While **South-South cooperation** and capacity building is by definition between developing countries, in some instances developed countries may provide resources and expertise which play a catalytic role in such initiatives. This type of support is commonly referred to as “triangular cooperation” and should be noted.

<sup>25</sup> **South-South Cooperation** describes the exchange of resources, technology, and knowledge between developing countries. Developing countries participating in these types of initiatives can be recipients and/or providers of resources. In this field developing countries are asked to indicate separately the **resources they have provided and received** through such initiatives.

#### 4.2 Resources raised through reform of incentives and subsidies

Please indicate if your country has removed, phased out or reformed incentives, including subsidies, harmful to biodiversity<sup>26</sup> and if positive incentives have been introduced.

Incentives	Value	Description
4.2.1 Removed, reformed or phased-out	No <input type="checkbox"/> Yes <input type="checkbox"/>	
4.2.2 Positive incentives <sup>27</sup> introduced	No <input type="checkbox"/> Yes <input type="checkbox"/>	
Comments :		

#### 4.3 New and innovative financial mechanism

Please identify the new and innovative financial mechanisms that have been implemented by your country or in which your country has participated.

Please indicate the type of initiative and the amount of financial resources generated (where known; order of magnitude estimates are better than none). Please also indicate whether and how the intrinsic and all other values of biodiversity were considered and provide a brief description of the initiative, including the year of its establishment and operation.

Type of Initiative <sup>28</sup>	Resources generated (If known)	Description (including how the intrinsic and all other values of biodiversity have been reflected)
Comments:		

#### 4.4 Access and benefit sharing of genetic resources initiatives and mechanisms consistent with the Convention

Please indicate the number of access and benefit-sharing of genetic resources initiatives and mechanisms your country has undertaken that enhance resource mobilization:

Initiative	Description (including how resource mobilization is enhanced)
Comments:	

<sup>26</sup> **Incentives** harmful to biodiversity emanate from policies or programmes that induce unsustainable behaviour harmful to biodiversity, often as unanticipated and unintended side effects of policies or programmes designed to achieve other objectives. Types of possibly harmful incentives include production subsidies and consumer subsidies while policies and laws governing resource use, such as land tenure systems and environmental resource management, can also have harmful effects.

<sup>27</sup> **Positive incentive** measures are economic, legal or institutional measures designed to encourage beneficial activities.

<sup>28</sup> **Types of initiatives** might include: payment for ecosystem services; biodiversity offset mechanisms; environmental fiscal reforms; markets for green products; business-biodiversity partnerships; new forms of charity; integrating biodiversity and ecosystem services in the development of new and innovative sources of international development finance and funding mechanisms for climate change which consider biodiversity and ecosystem services.

### 5. Activity classification

For the resource classification mentioned in sections 1 and 2 above a brief description of each of the categories as well as an indicative list of the actions that could be considered under each category is provided below. **Please list any additional activities considered under each category.**

	Activity classification	
	Directly related to biodiversity <sup>29</sup>	Indirectly related to biodiversity <sup>30</sup>
<b>Default Description</b>	<p>Funding for activities directly related to biodiversity such as:</p> <ul style="list-style-type: none"> <li>• <i>In situ/ex situ</i> conservation</li> <li>• Protected areas</li> <li>• Maintaining genetic diversity</li> <li>• Addressing threats from invasive alien species (in situations where the primary purpose is to protected biodiversity)</li> <li>• Addressing threats to specific ecosystems and/or species</li> </ul> <p>Also included within this category would be funding related to human resources, policy development and administration for these activities including the development of NBSAPs, frameworks, and CHM.</p> <p>Generally funding considered under this category would be provided by environmental agencies that directly and purposely consider biodiversity within their mandates.</p>	<p>Funding for activities which have benefits for biodiversity but for which biodiversity conservation and sustainable use is not the main focus.</p> <p>Activities under this category would generally be led by agencies outside of the environmental sector or where responsibility lies with multiple sectors.</p> <p>Activities under this category would include:</p> <ul style="list-style-type: none"> <li>• Sectoral measures which benefit biodiversity conservation and sustainable use within productive sectors (agriculture, forestry, aquaculture, fisheries, etc)</li> <li>• Sectoral measures to conserve water and prevent pollution</li> <li>• Managing land use to mitigate climate change and increase resilience</li> <li>• Planning, fiscal and regularity measures to promote sustainable consumption and production</li> </ul> <p>Broad scale public awareness and education measures</p>
<b>Additional activities</b> <i>(To ensure information comparability please add any additional activities not already included in the row above. Please also indicate if any of the above activities are included in different a category)</i>		

<sup>29</sup> Activities directly related to biodiversity broadly correspond to the activity categories A and B used in UNEP/CBD/WG-RI/4/6/Add.1.

<sup>30</sup> Actions which indirectly relate to biodiversity broadly correspond to the activity categories C and D used in UNEP/CBD/WG-RI/4/6/Add.1.

## Appendix

**HOW THE INDICATORS CONTAINED IN DECISION X/3 ARE COVERED BY THE DATA FIELDS IN THE PRELIMINARY REPORTING FRAMEWORK**

Indicators from decision X/3	Relevant data field in the reporting framework	Explanation and further notes	
1. Aggregated financial flows, in the amount and where relevant percentage, of biodiversity-related funding, per annum, for achieving the Convention's three objectives, in a manner that avoids double counting, both in total and in, <i>inter alia</i> , the following categories:	(a) Official Development Assistance (ODA);	1.1	Includes bilateral (1.1.1) and multilateral (1.1.2)
	(b) Domestic budgets at all levels;	2.1	Includes government agencies and other publically funded entities at three levels of government: central/national/federal (2.1.1), state/provincial (2.1.2) and local/municipal (2.1.3).
	(c) Private sector;	2.2 and 1.3	2.2 indicates total available from private/market sources; 1.3 indicates international flows of private/market resources
	(d) Non-governmental organizations, foundations, and academia;	2.3 and 1.4	2.3 indicates total available from non-profit organizations not already included above; 1.4 indicates international flows of such resources
	(e) International financial institutions;	1.1.1	Included within multilateral ODA. This date from countries will be supplemented by information to be gathered by the CBD Secretariat from the organizations concerned and made available to Parties for their review
	(f) United Nations organizations, funds and programmes	1.1.1	
	(g) Non-ODA public funding;	1.2	
	(h) South-South cooperation initiatives;	4.1	
	(i) Technical cooperation;	4.1	
2. Number of countries that have:	(a) Assessed values of biodiversity, in accordance with the Convention;	3.1	
	(b) Identified and reported funding needs, gaps and priorities;	3.2	
	(c) Developed national financial plans for biodiversity;	3.3	
	(d) Been provided with the necessary funding and capacity building to undertake the above activities	3	
3. Amount of domestic financial support, per annum, in respect of those domestic activities which are intended to achieve the objectives of this Convention;	2 (less 1)	Includes all domestic sources (2.1 + 2.2 + 2.3) less, for developing countries, that received from other countries (1)	
4. Amount of funding provided through the Global Environment Facility and allocated to biodiversity focal area;	None	Global indicator – Information to be gathered by the CBD Secretariat from GEF Secretariat and made available to Parties for their review	
5. Level of CBD and Parties' support to other financial institutions that promote replication and scaling-up of relevant successful financial mechanisms and instruments;	None	Global indicator – Information to be gathered by the CBD Secretariat and made available to Parties for their review	

Indicators from decision X/3	Relevant data field in the reporting framework	Explanation and further notes
6. Number of international financing institutions, United Nations organizations, funds and programmes, and the development agencies that report to the Development Assistance Committee of Organisation for Economic Co-operation and Development (OECD/DAC), with biodiversity and associated ecosystem services as a cross-cutting policy;	None	Global indicator – Information to be gathered by the CBD Secretariat from the institutions concerned and made available to Parties for their review
7. Number of Parties that integrate considerations on biological diversity and its associated ecosystem services in development plans, strategies and budgets;	3.4 and 3.5	
8. Number of South-South cooperation initiatives conducted by developing country Parties and those that may be supported by other Parties and relevant partners, as a complement to necessary North-South cooperation;	4.1	Specifically 4.1.4, 4.1.5 and 4.1.2
9. Amount and number of South-South and North-South technical cooperation and capacity-building initiatives that support biodiversity;	4.1	
10. Number of global initiatives that heighten awareness on the need for resource mobilization for biodiversity;	None	Global indicator – Information to be gathered by the CBD Secretariat and made available to Parties for their review
11. Amount of financial resources from all sources from developed countries to developing countries to contribute to achieving the Convention's objectives;	1	These two indicators are regarded as equivalent for the period of Strategic Plan 2011—2020
12. Amount of financial resources from all sources from developed countries to developing countries towards the implementation of the Strategic Plan for Biodiversity 2011-2020;	1	
13. Resources mobilized from the removal, reform or phase-out of incentives, including subsidies, harmful to biodiversity, which could be used for the promotion of positive incentives, including but not limited to innovative financial mechanisms, that are consistent and in harmony with the Convention and other international obligations, taking into account national social and economic conditions;	4.2	
14. Number of initiatives, and respective amounts, supplementary to the financial mechanism established under Article 21, that engage Parties and relevant organizations in new and innovative financial mechanisms, which consider intrinsic values and all other values of biodiversity, in accordance with the objectives of the Convention and the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of the Benefits Arising out of Their Utilization;	4.3	
15. Number of access and benefit-sharing initiatives and mechanisms, consistent with the Convention and, when in effect, with the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of the Benefits Arising out of Their Utilization, including awareness-raising, that enhance resource mobilization;	4.4	