



Convention on Biological Diversity

Distr.
GENERAL

UNEP/CBD/COP/12/13/Add.3
20 August 2014

ORIGINAL: ENGLISH

CONFERENCE OF THE PARTIES TO THE
CONVENTION ON BIOLOGICAL DIVERSITY
Twelfth meeting
Pyeongchang, Republic of Korea, 6 - 17 October 2014
Item 18 of the provisional agenda*

RESOURCE MOBILIZATION

Addendum

FINANCIAL REPORTING FRAMEWORK

Note by the Executive Secretary

I. INTRODUCTION

1. In its recommendation 5/10, the Ad Hoc Open-ended Working Group on Review of Implementation of the Convention at its fifth meeting, which took place in Montreal, from 16 to 20 June 2014, requested the Executive Secretary,

“further to paragraph 2 of decision VIII/14, to revise the preliminary reporting framework with a view to facilitating financial reporting, in consultation with Parties and on the basis of the task list contained in annex II to the present recommendation, in order to bring it into conformity with the targets for resource mobilization, to adapt the required scope and granularity of financial reporting, taking into account data quality and accessibility, the associated prospective cost and practicality of reporting, and other ongoing relevant statistical and environmental accounting processes” (paragraph 2).

2. Annex II of the same recommendation spelt out the tasks to be achieved by the Executive Secretary in the revision of the preliminary reporting framework:

(a) “Improve the guidance to the financial reporting framework, in close cooperation with Parties as well as relevant international organizations and initiatives, in order to improve transparency, reliability and consistency of data reported;”

(b) “Simplify reporting on flows from market/private sources and other sources (non-governmental organizations, foundations, academia) by integrating into the reporting framework the monitoring and reporting on measures taken by Parties to encourage these actors to provide support for the implementation of the Strategic Plan for Biodiversity 2011-2020;”

* UNEP/CBD/COP/12/1/Rev.1.

(c) “Cross-reference, in the financial reporting framework, pertinent sections of the guidelines for the fifth national report, with a view to enable Parties to use these reporting avenues, with amendments, as needed, in order to take into account financial considerations.”

3. The present document responds to this request. Section II below provides additional explanation on how the individual tasks, as enumerated above, were addressed in the revision. The revised financial reporting framework is included in annex I to the note.

4. A first version of the revised reporting framework was circulated by notification 2014-093 dated 15 July 2014, inviting comments and suggestion by 28 July 2014. Submissions were received from the Governments of Bolivia, Colombia, Honduras, India, Japan, and Switzerland, as well as the European Union.

5. The revised reporting framework, after consideration by the Conference of the Parties at its twelfth meeting, will be made available as an interactive online tool, on the clearing-house mechanism of the Convention.

II. REVISION OF THE PRELIMINARY REPORTING FRAMEWORK: ADDITIONAL EXPLANATIONS

6. Paragraph 2 of recommendation 5/10 requested the Executive Secretary to bring the reporting framework “in line with the targets for resource mobilization.” In the light of the ongoing negotiations on the targets,¹ this aspect of the revision was based on a number of assumptions; namely:

(a) That the targets as adopted by the Conference of the Parties at its twelfth meeting, would contain the targets of paragraph 7 of decision XI/4 in a shape or form that would require, for the sake on monitoring progress, the same reporting format;²

(b) That the targets as adopted by the Conference of the Parties at its twelfth meeting may contain a target on the mobilization of domestic financial resources;³

7. For the target on international financial flows,⁴ the revised framework continues to use section 1 of the preliminary reporting framework, entitled ‘Information on international flows of financial resources’, with changes as follows:

(a) In line with the request, contained in paragraph 2 of WGRI recommendation 5/10, “to adapt the required scope and granularity of financial reporting, taking into account data quality and accessibility, the associated prospective cost and practicality of reporting”, reporting was simplified towards total numbers, and indicating sources in general terms;⁵

(b) In line with paragraph 2 of annex II to WGRI recommendation 5/10, a question was introduced requesting Parties to report on measures taken to encourage market/private sector actors as well as non-governmental organizations, foundations, and academia, to provide support for the implementation of the Strategic Plan for Biodiversity 2011-2020, in order to simplify reporting on flows from these stakeholders along these lines;

¹ See section A of the draft decision in WGRI recommendation 5/10, in particular options 1 and 2 contained therein. Both options are bracketed.

² See paragraphs 1 (a) and (c), both under options 1 and 2, of section A of the draft decision in WGRI recommendation 5/10.

³ See paragraph 1 (b), both under options 1 and 2, of section A of the draft decision in WGRI recommendation 5/10.

⁴ See paragraph 1 (a), both under options 1 and 2, of section A of the draft decision in WGRI recommendation 5/10, as well as paragraph 7 (a) of decision XI/4.

⁵ Prior to the fifth meeting of the Ad hoc Open-ended Working Group on Review of Implementation of the Convention 30 submissions making use of the preliminary reporting framework were received. The submissions were in various stages of completion. No Party provided data on private flows, and only one Party (Denmark) provided data on not-for-profit financial flows. Denmark analysed the contributions of relevant non-governmental organizations using the OECD DAC Rio markers methodology, and included the pertinent contributions in the ODA numbers.

(c) In line with the request, contained in paragraph 2 of WGRI recommendation 5/10, to adapt the required scope and granularity of financial reporting taking into account “other ongoing relevant statistical and environmental accounting processes”, the guidance provided under this section has been revised accordingly.

8. The new question, as referred to in paragraph 7 (b) above, was organized in two parts:

(a) A simple scoring system was introduced, in form of a simple “traffic-light” scheme (red indicating no measures taken yet; yellow indicating some measures taken; and green indicating comprehensive measures taken), in order to enable establishing a baseline and reporting progress made against this baseline;

(b) An additional field was introduced for providing supplementary information on such measures taken, as appropriate.⁶

9. New questions were also introduced to reflect the contribution of collective action, including indigenous and local communities, and non-market approaches in mobilizing resources, as per paragraph 23 of decision XI/4 and paragraph 14 of the draft decision contained in WGRI recommendation 5/10.

10. For a proposed target on domestic resource mobilization,⁷ the revised reporting framework is based on the observation that both options 1 and 2, contained in section A of the draft decision in WGRI recommendation 5/10, include the phrase “to significantly reduce the gap between identified needs and available resources at domestic level.” In order to identify this gap, it would be necessary to identify resources currently available at domestic level, along the lines of section two of the preliminary reporting framework, and compare those against identified funding needs – for instance resulting from a costing of the revised national biodiversity strategy and action plan.

11. This creates a logical link to the process-oriented targets contained in paragraphs 7 (b) to (d) of decision XI/4, namely:

- (a) The reporting on domestic expenditures (paragraph 7 (c));
- (b) The reporting of finance needs, gaps, and priorities (paragraph 7 (c));
- (c) The preparation of national finance plans (paragraph 7 (d)).

12. Several questions enable reporting on these targets:

(a) The reporting on existing domestic expenditures, in accordance with paragraph 7 (c) of decision XI/4, follows the same logic as section 2 of the preliminary reporting framework, but reporting was again simplified towards total numbers, and indicating sources in general terms;

(b) Subsequent questions, newly introduced, enable reporting of finance needs, gaps, and priorities, as per paragraph 7 (c) of decision XI/4, as well as of national finance plans, as per paragraph 7 (d) of the same decision.

13. The relevant elements of targets 7 (c) and 7 (d) are conceptually linked and also correspond to critical steps in the BIOFIN methodology used by several Parties:⁸

(a) The assessment of domestic biodiversity expenditures will enable identifying baseline information that would be used for the estimation of the funding gap (see sub-paragraph (c) below);

(b) The funding need, which could be estimated for instance based on a costing of revised NBSAPs, would be the other critical input into the estimation of the funding gap;

⁶ In the submissions on the preliminary reporting framework, Germany for example provided illustrative examples of the international contributions of several non-governmental organizations, noting however that part of the international funding of these NGOs may actually come from public sources.

⁷ See paragraph 1 (b), both under options 1 and 2, of section A of the draft decision in WGRI recommendation 5/10.

⁸ See *Transforming Biodiversity Finance: The Biodiversity Finance (BIOFIN) Workbook for assessing and mobilizing resources to achieve the Aichi Biodiversity Targets and to implement National Biodiversity Strategies and Action Plans*. <http://www.cbd.int/doc/meetings/fin/rmws-2014-04/other/rmws-2014-04-workbook-biofin-en.pdf>

(c) The funding gap would be estimated by subtracting the funding need from the baseline information above (available financial resources);

(d) The national finance plan would spell out planned measures for closing the funding gap.

14. Monitoring and reporting on progress in resource mobilization from all sources, including domestic sources, can then be undertaken by monitoring implementation of the national finance plan. The pertinent question for reporting progress on resource mobilization is structured accordingly. It allows for the monitoring of progress made in reducing the gap between identified needs and available resources at domestic level, the relative contribution of individual funding sources, as well as an overall assessment as to whether the gap has been significantly reduced. The table provided may require further fine tuning in light of agreed language on the financial targets by the Conference of the Parties.

15. The interlinkages described above will be made explicit in the online version of the reporting framework, for instance by undertaking calculations and transferring relevant data across tables automatically. In the draft reporting framework provided in the annex, technical footnotes are provided in order to indicate where such features could be implemented.

16. For greater clarity, the reporting framework is divided in two substantive sections:

(a) The first section enables reporting relevant baseline information and progress made against the 2015 timeline referenced in some of the targets;

(b) The second section enables reporting progress made until 2020.

17. This would then correspond to two rounds of reporting:

(a) Reporting on the first section could take place by 31 December 2015, in accordance with paragraph 11 of the draft decision provided in WGRI recommendation 5/10;

(b) Reporting on the second section would take place in conjunction with the sixth national reports, as per paragraph 12 of the draft decision provided in WGRI recommendation 5/10.

*Annex***FINANCIAL REPORTING FRAMEWORK****I. INTRODUCTION**

This framework is intended for use by Parties for providing baseline information and reporting on their contribution to reach the global financial targets, under Aichi Biodiversity Target 20, as adopted by the Conference of the Parties to the Convention at its twelfth meeting.

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. Where precise information is not available, respondents are encouraged to use their best estimates.

II. REPORTING AGAINST 2015

This section provides the framework for providing necessary baseline information and reporting progress against the 2015 targets.

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. International financial resource flows

1.1 Please indicate the amount of resources provided by your country in support of biodiversity in developing countries, in particular least developed countries and small island developing States, as well as countries with economies in transition.

Please indicate, as appropriate, the amount of financial resources provided by source as well as the total amount. Please also indicate your degree of confidence in the estimated amount or, alternatively, provide a range of estimates.

1.1.1 Baseline information

For the calculation of the baseline, please provide data for 2010 or the most recent year prior to that. If possible, provide data for the period 2006 to 2010. If specific annual data is not available you may provide the best estimate of an average figure for 2006-2010.

Currency:				
Year	ODA (1)	OOF (2)	Other flows (3)	Total
2006				
2007				
2008				
2009				
2010				
Average (baseline)				

Methodological information:

(4) ODA includes: () bilateral; () multilateral

(5) ODA/OOF: () commitments; () disbursements

(6) ODA/OOF includes: () directly related; () indirectly related

Other flows include: () directly related; () indirectly related

(7) As applicable, methodology used to identify official resource flows: () OECD DAC ‘Rio markers’;
() other (please specify): ()

(8) As applicable, coefficient used for resource flows indirectly related to biodiversity, when calculating total numbers: ()%

(9) (Average) confidence levels (please indicate high, medium, low):

ODA: ()

OOF: ()

Other flows: ()

(10) Other methodological observations/comments: ()

Additional explanations:

- (1) 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).
- 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.
- (2) Other official flows (OOF) refers to non-ODA public funding, that is, 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”.

- (3) ‘Other flows’ refer to resources mobilized by the private sector as well as non-governmental organizations, foundations, and academia. If you do not have reliable data, please leave this row empty. See also question 1.2.
- (4) ODA can be bilateral or multilateral. 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. Please include both categories as feasible.
- Please tick the appropriate box if ODA numbers provided include bilateral and/or multilateral ODA related to biodiversity. If the numbers include both categories, tick both boxes.
- (5) You may report on either ODA/OOF commitments or actual disbursements, but please apply the same category for all years, including when reporting progress.
- (6) 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). See section 5 below for a compilation of descriptions of activities that relate to biodiversity as provided in different methodological frameworks. Please tick the appropriate box if numbers provided include resources directly related or indirectly related to biodiversity.
- (7) In past reporting under the preliminary reporting framework, many Parties that are members of the OECD DAC used the ‘Rio markers methodology’ under the OECD CRS database, to report on ODA directly related to biodiversity (‘principal’ marker) and indirectly related to biodiversity (‘significant’ marker). Please indicate if you did apply this methodology and, if not, please provide a brief explanation on the methodology you applied.
- (8) If you provided a total amount that includes resources indirectly related to biodiversity, indicate the coefficient used to aggregate amounts directly and indirectly related to biodiversity. Please use the same coefficient for all years, including when reporting progress.
- (9) Please provide (average) confidence levels (high, medium, low).
- (10) You may provide any other methodological observations or comments here.

1.1.2 Monitoring progress in mobilizing international financial flows

For the purposes of monitoring progress, please provide data for years after 2010:

Year	ODA	OOF	Other flows	Total
2011				
2012				
2013				
2014				
2015				
Methodological information: (Average) confidence levels (please indicate high, medium, low): ODA: () OOF: () Other flows: ()				

1.2 Has your country taken measures to encourage the private sector as well as non-governmental organizations, foundations and academia to provide international support for the implementation of the Strategic Plan 2011-2020?

- (1) no
- (2) some measures taken
- (3) comprehensive measures taken

If you ticked (2) or (3) above, please provide additional information here.

You may wish to provide cross-references, as applicable, to your reply to question 8 of the fifth national report guidelines, or on your report in achieving Aichi Biodiversity Targets 1, 2, 3, 4, 16, 18, and 19, under question 10 of the fifth national report guidelines:

()

2. Inclusion of biodiversity in priorities and plans

Has your country included biodiversity in national priorities or development plans?

- (1) Not yet started ()
- (2) Some inclusion achieved ()
- (3) Comprehensive inclusion ()

If you ticked (1) or (2) above, please provide additional information here.

You may wish to provide cross-references, as applicable, to your reply to question 8 of the fifth national report guidelines:

()

3. Assessment and/or evaluation of values

Has your country assessed and/or evaluated the intrinsic, ecological, genetic, socioeconomic, scientific, educational, cultural, recreational and aesthetic values of biological diversity and its components?

- (1) not yet started ()
- (2) some assessments/evaluations undertaken ()
- (3) comprehensive assessments/evaluations undertaken ()

If you ticked (2) or (3) above, please provide additional information here.

You may wish to provide cross-references, as applicable, to your reply to question 8 of the fifth national report guidelines, or on your report in achieving Aichi Biodiversity Target 2, under question 10 of the fifth national report guidelines:

()

4. Reporting current domestic biodiversity expenditures

4.1 Please indicate the annual financial support provided to domestic biodiversity-related activities in your country.

Please indicate the total amount of financial resources spent currently or in the recent past, before additional resource mobilization activities were undertaken. Please provide also an assessment of your confidence in the estimated amount (high, medium low; alternatively provide a range of estimates). Please cover as many sources as possible but provide at least central government budget outlays directly related to biodiversity. Use table 4.2 below to indicate which sources and expenditure categories were covered.

If possible, provide data for several years. If specific annual data is not available, you may provide the best estimate of an average figure for several years.

If your financial year does not correspond to the calendar year, please use the calendar year in which the financial year begins.

As this question specifically relates to domestic expenditures, please do not include any funding provided to other countries but please include expenditures that were financed by international sources.

Currency:		
Year	Domestic expenditures	Overall confidence
2006		
20xx		
20xx		
20xx		
20xx		
Average		

4.2 Information on sources and categories

Please indicate which sources and categories were covered under 4.1 above, by ticking the appropriate cells. For sources and categories not covered, please leave the cells empty.

Numbers above cover: (tick appropriate cells)	Expenditures directly related to biodiversity (1)	Expenditures indirectly related to biodiversity (1)
(2) Government budgets – central		
(2) Government budgets – state/provincial		
(2) Government budgets – local/municipal		
(3) Extra-budgetary		
(4) Private/market		
(5) Other (NGO, foundations, academia)		
(6) Collective action of indigenous and local		

communities		
(7) Additional methodological information: ()		

Additional explanations:

- (1) 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). Please tick the appropriate box if numbers provided include resources directly related or indirectly related to biodiversity.
- (2) Government budgets include public money spent by government or government agencies to address domestic biodiversity issues. You are encouraged to include information from all relevant levels of government but provide central budget information at a minimum. When providing information relating to different government levels, please ensure that funds transferred between the different levels of government are only counted once.
As the focus is on expenditures, budgetary support received by international flows should be included.
- (3) Extra-budgetary expenditures include project-related expenditures funded by ODA or OOF.
- (4) The private sector comprises private companies.
- (5) Other represents funding that is neither public sector nor private companies. 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.
- (6) The contribution of collective action of indigenous and local communities towards biodiversity conservation and customary sustainable use, insofar as it can be appropriately measured and expressed in monetary terms, can be reported here. For instance, the Conceptual and Methodological Framework for Evaluating the Contribution of Collective Action to Biodiversity Conservation suggests performing a conversion of the total land area conserved by local communities to the equivalent in public funds spent on conserving an equivalent area within the government's protected areas. See also question 4.3 below.
- (7) Please provide information on the methodologies applied to estimate these numbers, in particular those on expenditures indirectly related to biodiversity and those outside of central government budgets. The Biodiversity Finance (BIOFIN) Workbook provides methodological guidance. In past reporting under the preliminary reporting framework, Parties made reference to public expenditure review methodologies, and also pointed to the environmental protection expenditure accounts, under their environmental economic accounting (EEA) system. One methodology for estimating sub-national expenditures consists in calculating the ratio of biodiversity-related expenditures of a select sub-set of provincial governments or municipalities, and subsequent application of this ratio to total sub-national government budgets.

4.3 Role of collective action and non-market approaches

4.3.1 Has your country assessed the role of collective action, including by indigenous and local communities, and non-market approaches for mobilizing resources for achieving the objectives of the Convention?

- (1) no such assessment necessary ()
- (2) not yet started ()

(3) some assessments undertaken ()

(4) comprehensive assessments undertaken ()

If you ticked (3) or (4) above, please provide additional information under question 4.3.2 below.

4.3.2 Please provide additional information on your assessment of the role of collective action undertaken by your country. Please provide also an assessment of your confidence in the estimation (high, medium low; alternatively provide a range of estimates). If possible, provide data for several years.

Measurement Unit (1):		
Year	Contribution (1)	Overall confidence
20xx		
20xx		
20xx		
20xx		
20xx		
Average		
<p>Methodological information:</p> <p>As applicable, methodology used to assess the role of collective action and non-market approaches: () Conceptual and Methodological Framework for Evaluating the Contribution of Collective Action to Biodiversity Conservation; () other (please specify): ().</p> <p>Other methodological observations/comments: ()</p>		

Additional explanations:

- (1) For instance, the Conceptual and Methodological Framework for Evaluating the Contribution of Collective Action to Biodiversity Conservation suggests using, as a quantitative indicator, the total land area conserved by collective action within indigenous and local communities.

5. Reporting funding needs, gaps, and priorities

Please indicate your annual estimated funding need (for instance, based on your revised NBSAP) and calculate the estimated funding gap by subtracting estimated available resources. Indicate actions for priority funding.

Please start with the year which is most appropriate for your own planning purposes. Leave rows empty if not needed or if it is not yet possible to report thereon.

Currency:				
Year	(1) Funding need	(2) Estimated available resources	(3) Estimated funding gap	(4) Actions for priority funding
2014				
2015				
2016				
2017				
2018				
2019				
2020				
Additional methodological observation/comments: ()				

Additional explanations

- (1) The funding need could be calculated based on the revised National Biodiversity Strategy and Action Plan (NBSAP). You may wish to further differentiate into one-time investments and recurrent expenditures, and calculate annual resource requirements accordingly.
- (2) For estimating future resource availability, you may wish to extrapolate the average number provided under question 4.1 above. In undertaking this extrapolation, please do not include the additional resource mobilization activities that were already undertaken, or are planned to be undertaken, pursuant to your national finance plan.⁹
- (3) Estimate the funding gap by subtracting (2) from (1).
- (4) Indicate actions, for instance from among those covered by the revised NBSAP, for priority funding.

6. National finance plans

Please provide a brief synthesis of your finance plan, by indicating, in the table below, your planned resource mobilization, by source, and their respective planned contributions towards your identified finance gap.

Please add additional rows to the table as needed.

Please start with the year which is most appropriate for your own planning purposes. Leave columns empty if not needed or if it not yet possible to report thereon.

Currency:							
Year	2014	2015	2016	2017	2018	2019	2020
(1) Expected funding gap							
(2) Domestic sources (total)							
<i>Source 1</i>							
<i>Source 2</i>							
<i>Source 3</i>							

⁹The online version of the reporting framework could provide a tool for undertaking simple extrapolations using percentage increases, where percentage points could be freely chosen, and the resulting numbers would be inserted automatically.

(3) International flows (total)							
<i>Source a</i>							
<i>Source b</i>							
<i>Source c</i>							
(4) Remaining gap							
Additional methodological information/comments: ()							

Additional explanations

- (1) The expected funding gap would be taken from column (3) under question 5.¹⁰
- (2) The **planned** contribution towards the identified funding gap by domestic sources. You may wish to further specify the planned sources that you wish to mobilize and their respective contribution. In this case, please replace the ‘placeholders’ and add more rows as needed. Possible domestic sources may include: (i) additional government allocations; (ii) earmarked funds from environmental fiscal reform, including new forms of environmental taxation or fee structures; (iii) earmarked funds from the elimination, phase out or reform of harmful incentives, including subsidies; (iv) various biodiversity funding mechanisms such as payments for ecosystem services, offsets, markets for green products, business-biodiversity partnerships, etc. (v); the mobilization of collective action by indigenous and local communities; etc.
Possible concrete actions for mobilizing domestic resources are provided in annex x to decision XII/y.¹¹
- (3) The **planned** contribution towards the identified finance gap by international sources. You may wish to further specify the sources and their respective expected contribution. In this case, please replace the ‘placeholders’ and add more rows as needed. Possible sources may include: (i) bi- and multilateral ODA/OOF; (ii) REDD+ or similar initiatives, including alternative policy approaches such as joint mitigation and adaptation approaches; (iii) ABS agreements, etc.
- (4) The remaining gap is calculated by subtracting (3) and (2) from (1).¹²

7.2 Has your country taken measures to encourage the private sector as well as non-governmental organizations, foundations and academia to provide domestic support for the implementation of the Strategic Plan 2011-2020?

- (1) no**
- (2) some measures taken**
- (3) comprehensive measures taken**

If you ticked (2) or (3) above, please provide additional information here.

You may wish to provide cross-references, as applicable, to your reply to question 8 of the fifth national report guidelines, or on your report in achieving Aichi Biodiversity Targets 1, 2, 3, 4, 16, 18, and 19 under question 10 of the fifth national report guidelines:

()

¹⁰ The online version of the reporting framework could carry over the pertinent numbers automatically.

¹¹ To be amended based on the annex of document UNEP/CBD/COP/12/14.

¹² The online version of the reporting framework could undertake this calculation automatically.

8. Availability to financial resources for achieving targets

Please tick the appropriate boxes.

Did your country have adequate financial resources:

- **to report domestic biodiversity expenditures? () yes; () no;**
- **to report funding needs, gaps and priorities? () yes; () no;**
- **to prepare national finance plans for biodiversity? () yes; () no.**

III. REPORTING AGAINST 2020

This section provides the framework for reporting progress made in implementation of the financial targets until 2020.

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. Monitoring progress in mobilizing international financial flows

1.1 Please indicate the amount of resources provided by your country in support of biodiversity in developing countries, in particular least developed countries and small island developing States, as well as countries with economies in transition.

Please indicate, as appropriate, the amount of financial resources provided by source as well as the total amount. Please also indicate your degree of confidence in the estimated amount or, alternatively, provide a range of estimates.

In order to ensure data consistency and comparability, please make sure, as feasible, to apply the same methodology as under question 1.1 of section I above.

Currency:				
Year	ODA (1)	OOF (2)	Other flows (3)	Total
2016				
2017				

2018				
2019				
<p>Methodological information:</p> <p>(4) ODA includes: () bilateral; () multilateral</p> <p>(5) ODA/OOF: () commitments; () disbursements</p> <p>(6) ODA/OOF includes: () directly related; () indirectly related</p> <p> Other flows include: () directly related; () indirectly related</p> <p>(7) As applicable, methodology used to identify official resource flows: () OECD DAC ‘Rio markers’; () other (please specify): ()</p> <p>(8) As applicable, coefficient used for resource flows indirectly related to biodiversity, when calculating total numbers: ()%</p> <p>(9) (Average) confidence levels (please indicate high, medium, low):</p> <p> ODA: ()</p> <p> OOF: ()</p> <p> Other flows: ()</p> <p>(10) Other methodological observations/comments: ()</p>				

Additional explanations:

- (1) 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).
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.
- (2) Other official flows (OOF) refers to non-ODA public funding, that is, 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”.
- (3) ‘Other flows’ refer to resources mobilized by the private sector as well as non-governmental organizations, foundations, and academia. If you do not have reliable data, please leave this row empty. See also question 1.2.
- (4) ODA can be bilateral or multilateral. 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. Please include the categories that you used in completing question 1.1 under section I.
- (5) You may report on either ODA/OOF commitments or actual disbursements. Please apply the same category as used in question 1.1 of section I above.
- (6) 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). Please tick the appropriate box if

numbers provided include resources directly related or indirectly related to biodiversity. Please apply the same category as used in question 1.1 of section I above.

- (7) In past reporting under the preliminary reporting framework, many members of the OECD DAC used the 'Rio markers methodology' under the OECD CRS database, to report on ODA directly related to biodiversity ('principal' marker) and indirectly related to biodiversity ('significant' marker). Please indicate if you did apply this methodology and, if not, please provide a brief explanation on the methodology you applied.
- (8) If you provided a total amount that includes resources indirectly related to biodiversity, indicate the coefficient used to aggregate amounts directly and indirectly related to biodiversity. Please use the same coefficient as used in question 1.1 of section I above.
- (9) Please provide (average) confidence levels (high, medium, low).
- (10) You may provide any other methodological observations or comments here.

1.2 Has your country taken measures to encourage the private sector as well as non-governmental organizations, foundations and academia to provide international support for the implementation of the Strategic Plan 2011-2020?

- (1) no
- (2) some measures taken
- (3) comprehensive measures taken

If you ticked (2) or (3) above, please provide additional information here.

You may wish to provide cross-references, as applicable, to your reply to question 8 of the sixth¹³ national report guidelines, or on your report in achieving Aichi Biodiversity Targets 1, 2, 3, 4, 16, 18, and 19, under question 10 of the sixth national report guidelines:

()

2. Inclusion of biodiversity in priorities and plans

Has your country included biodiversity in national priorities or development plans?

- (1) Not yet started ()
- (2) Some inclusion achieved ()
- (3) Comprehensive inclusion ()

If you ticked (1) or (2) above, please provide additional information here.

You may wish to provide cross-references, as applicable, to your reply to question 8 of the sixth¹⁴ national report guidelines:

()

3. Assessment and/or evaluation of values

Has your country assessed and/or evaluated the intrinsic, ecological, genetic, socioeconomic, scientific, educational, cultural, recreational and aesthetic values of biological diversity and its components?

- (1) not yet started ()

¹³ To be amended as the six national report guidelines become available. See WGRI recommendation 5/10, paragraph 12 and 13 of the draft decision.

¹⁴ To be amended as the six national report guidelines become available. See WGRI recommendation 5/10, paragraph 12 and 13 of the draft decision.

(2) some assessments/evaluations undertaken ()

(3) comprehensive assessments/evaluations undertaken ()

If you ticked (2) or (3) above, please provide additional information here.

You may wish to provide cross-references, as applicable, to your reply to question 8 of the fifth national report guidelines, or on your report in achieving Aichi Biodiversity Target 2, under question 10 of the fifth national report guidelines:

()

4. Role of collective action and non-market approaches

4.1 Has your country assessed the role of collective action, including by indigenous and local communities, and non-market approaches for mobilizing resources for achieving the objectives of the Convention?

(1) no such assessment necessary ()

(2) not yet started ()

(3) some assessments undertaken ()

(4) comprehensive assessments undertaken ()

If you ticked (3) or (4) above, please provide additional information under question 4.2 below.

4.2 Please provide information on the quantitative assessment of the role of collective action undertaken by your country. Please provide also an assessment of your confidence in the estimation (high, medium low; alternatively provide a range of estimates). If possible, provide data for several years.

Measurement Unit (1):		
Year	Contribution (1)	Overall confidence
20xx		
20xx		
20xx		
20xx		
20xx		
Average		
Methodological information: As applicable, methodology used to assess the role of collective action and non-market approaches: () Conceptual and Methodological Framework for Evaluating the Contribution of Collective Action to Biodiversity Conservation; () other (please specify): (). Other methodological observations/comments: ()		

Additional explanations:

(1) For instance, the Conceptual and Methodological Framework for Evaluating the Contribution of Collective Action to Biodiversity Conservation suggests using the total land area conserved by collective action within indigenous and local communities.

5. Reporting progress in mobilizing resources

5.1 Please indicate, in the table below, the **achieved** resource mobilization for your country, by source, and their respective actual contribution towards your identified funding gap.

This question refers to the implementation of your national finance plan as provided in question 6 of section I above.

Please add additional rows to the table as needed.

Currency:

Year	2015	2016	2017	2018	2019	2020
(1) Funding gap						
(2) Domestic sources (total)						
<i>Source 1</i>						
<i>Source 2</i>						
<i>Source 3</i>						
(3) International flows (total)						
<i>Source a</i>						
<i>Source b</i>						
<i>Source c</i>						
(4) Remaining gap						
(5) Has the gap been reduced?						
(6) Has the gap been reduced overall? () no; () yes, somewhat; () yes, significantly						
Additional methodological information/comments: ()						

Additional explanations

- (1) The expected funding gap would be taken from column (3) under question 5 of section I.¹⁵ You may wish to update the estimates in light of additional information, including, for instance, a reduced funding need resulting from the elimination, phase out, or reform of harmful incentives.
- (2) The actual contribution towards the identified finance gap by domestic sources. You may wish to further specify the actual sources that were mobilized and their respective contribution. In this case, please replace the ‘placeholders’ and add more rows as needed.
- (3) The actual contribution towards the identified finance gap by international sources. You may wish to further specify the actual sources that were mobilized and their respective contribution. In this case, please replace the ‘placeholders’ and add more rows as needed.
- (4) The remaining gap is calculated by subtracting (3) and (2) from (1).¹⁶
- (5) Please provide your assessment as to whether the gap was reduced in the relevant year (no; yes, somewhat; yes, significantly)
- (6) Please provide your overall assessment as to whether the funding gap was reduced, by ticking one of the appropriate boxes.

5.2 Has your country taken measures to encourage the private sector as well as non-governmental organizations, foundations and academia to provide domestic support for the implementation of the Strategic Plan 2011-2020?

(1) no

¹⁵ The online version of the reporting framework could carry over the pertinent numbers automatically

¹⁶ The online version of the reporting framework could undertake this calculation automatically.

(2) some measures taken

(3) comprehensive measures taken

If you ticked (2) or (3) above, please provide additional information here.

You may wish to provide cross-references, as applicable, to your reply to question 8 of the sixth national report guidelines,¹⁷ or on your report in achieving Aichi Biodiversity Targets 1, 2, 3, 4, 16, 18, and 19 under question 10 of the sixth national report guidelines:

()

¹⁷ To be amended as the six national report guidelines become available. See WGRI recommendation 5/10, paragraph 12 and 13 of the draft decision.

Appendix

ACTIVITY CLASSIFICATIONS

The following is an indicative list of possible classifications of activities related to biodiversity:

Transforming Biodiversity Finance: The Biodiversity Finance (BIOFIN) Workbook for assessing and mobilizing resources to achieve the Aichi Biodiversity Targets and to implement National Biodiversity Strategies and Action Plans. Appendices I and J.

<http://www.cbd.int/doc/meetings/fin/rmws-2014-04/other/rmws-2014-04-workbook-biofin-en.pdf>

Aid targeting the objectives of the Convention on Biological Diversity. OECD Guidance on Rio markers:

<http://www.oecd.org/dac/stats/46782010.pdf>

The Multilateral Environmental Agreements and the Rio Markers. Information note prepared by EuropeAid E6 Unit – "Natural Resources", September 2010

http://capacity4dev.ec.europa.eu/system/files/file/15/01/2014_-

[_1445/eu_the_multilateral_environmental_agreementsand_the_rio_markers_en.pdf](http://capacity4dev.ec.europa.eu/system/files/file/15/01/2014_-1445/eu_the_multilateral_environmental_agreementsand_the_rio_markers_en.pdf).
