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### INDICATORS FOR MONITORING THE IMPLEMENTATION OF THE CONVENTION'S STRATEGY FOR RESOURCE MOBILIZATION AND THEIR APPLICATION

*Information note by the Executive Secretary*

#### I. BACKGROUND

1. In 2008, COP-9 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, COP-10 adopted the Strategic Plan for Biodiversity 2011-2020 including the twenty Aichi Targets (Decision X/2) and also decided to adopt targets for resource mobilization at its next meeting 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.
2. Through Decision X/3, COP adopted a set of indicators for monitoring the implementation of the strategy for resource mobilization (paragraph 7, reproduced in the annex to this note) and also set the steps in a process to be carried out prior to COP-11, making use of these indicators (paragraph 8, reproduced in the annex to this note). Paragraph 8 specifies that the process, and in particular the provision of methodological guidance “be informed by the work of the *ad hoc* technical expert group on indicators for the Strategic Plan for Biodiversity 2011-2020”.
3. The AHTEG may thus wish to provide technical comments on the indicators referred to in Decision X/3, paragraph 7, that may contribute to the elaboration of methodological guidance. As elaborated below (see paragraph 8 of this note), the methodological guidance on indicators will seek to provide definitions and explanations of techniques used to calculate, analyse and present indicator information. It should address several dimensions of an indicator, including basic definition, policy relevance, methodological description, and data needs.
4. The remaining section of this note outlines the process that the Secretariat proposes to follow to support the application of the indicators in preparation for COP-11.

## II. PROCESS FOR APPLYING THE INDICATORS IN PREPARATION FOR COP-11

5. Decision X/3 (paragraph 8 (a)) invites Parties and other Governments to implement the indicators set out in paragraph 7 of the decision and associated targets following collection of information from the Parties and advice of the Executive Secretary to the Conference of the Parties at its eleventh meeting, consistent with target 20 of the Strategic Plan for Biodiversity 2011-2020, in accordance with a process set out in the subsequent sub-paragraphs of Paragraph 8 (see Annex). The following indicates the steps, with timelines, the Secretariat proposes to carry out this process in line with the decision.
6. In March 2011, the Executive Secretary issued notification (SCBD/ITS/RS/fb/75381 (2011-061)), transmitting the invitation of the Conference of the Parties to Parties, other Governments and relevant organizations to submit information pertinent to the indicators by 31 July 2011 (Decision X/3 (paragraph 8(b)).<sup>i</sup>
7. The Secretariat will compile the information provided by countries and organizations, and drawing upon this information, as well as information and experience from the Biodiversity Indicators Partnership, the Development Assistance Committee of the Organisation for Economic Co-operation and Development (OECD/DAC), the ad hoc technical expert group on indicators for the Strategic Plan for Biodiversity 2011-2020, and other sources<sup>ii</sup>, develop methodological guidance (and guidelines for the use of such guidance) for the application of the indicators and the establishment of a baseline year. Following peer review including through electronic consultations, the guidance/guidelines will be made available to Parties by the end of September 2011 (Decision X/3, paragraphs 8(d) and (e)).
8. The methodological guidance on indicators will seek to provide definitions and explanations of techniques used to calculate, analyse and present indicator information. It should address several dimensions of an indicator, including basic definition, policy relevance, methodological description, and data needs. As appropriate the methodological guidance will be developed consistent with that developed for other CBD indicators, drawing upon relevant information from the AHTEG and other relevant sources such as CBD Technical Series 53.
9. The implementation guidelines will seek to provide a classification of relevant activities to facilitate reporting. They will seek to provide for comprehensive reporting while avoiding double counting. They will be reflected in a reporting framework prepared by the Secretariat. The guidelines and framework will seek to address the difficulties and limitations inherent in reporting on biodiversity finance. For example, while financing to biodiversity by the ministry of environment (or equivalent ministries) is usually known with sufficient accuracy, that of other ministries and departments which fund biodiversity at the different levels of government is much less well known. Information on foreign aid, often a substantial source of funding, is frequently incomplete and inaccurate; financing by non-governmental sources is evaluated very roughly; financing by businesses is almost always unavailable.
10. Baselines may refer to (i) the baseline period (year or years) and (ii) to the levels of resource mobilization in this baseline period (roughly speaking the “current expenditures”). The Secretariat is expected to propose a baseline period that then will be used for assessing the levels of resource mobilization. In order to avoid the results being overly influenced by conditions that may exist in any one year, a five or ten-year period up to and including 2010 might be used for the baseline period. It is important to bear in mind however that information on current expenditures, gaps and needs could also be provided against multiple baseline periods.
11. Parties will be invited to apply the guidance/guidelines during 2011-2012 to measure gaps and needs as well as progress in the increase in, and mobilization of, resources against the adopted indicators, using the baseline year established, and to this submit information in a timely manner to the Secretariat (Decision X/3, paragraphs 8(f) and (g)).
12. In line with paragraph 8(i), the Secretariat will compile and consolidate information for consideration by Parties on setting of targets (see Decision X/3, paragraph 8(i)). Where necessary it will provide information broken down by categories of activities depending on their relevance to objectives of the Convention and the Strategic Plan for Biodiversity 2011 – 2020. The report will use the framework of

the Strategic Plan for Biodiversity 2011-2020 and its Aichi Targets as well as the framework of the Strategy for Resource Mobilization.

13. The report will draw, inter alia, upon the following sources:
  - a. Information provided by Parties as referred to above;
  - b. Information arising from the development of country specific resource mobilization strategies and the updating of national biodiversity strategies and action plans;
  - c. Information arising from the assessment of needs for GEF-6;
  - d. Information provided by relevant international organizations and information arising other relevant processes; and
  - e. Published literature.
14. Drafts of the report will be made available by February 2012 for review by experts and Parties. Subject to the availability of resources, workshops will be organized to facilitate further review by Parties and experts.
15. The final report will be provided for the consideration of the fourth meeting of the ad hoc open-ended Working Group on the review of implementation of the Convention. If necessary the report will be revised for COP-11.
16. The aim of the report will for setting of targets (see Decision X/3, paragraph 8(i)). Where necessary it will provide information broken down by categories of activities depending on their relevance to objectives of the Convention and the Strategic Plan for Biodiversity 2011 – 2020.

## ANNEX

### Extracts from Decision X/3: Strategy for resource mobilization in support of the achievement of the Convention's three objectives

#### Part A: Concrete activities and initiatives including measurable targets and/or indicators to achieve the strategic goals contained in the strategy for resource mobilization and on indicators to monitor the implementation of the Strategy.

Paragraph 7. [The Conference of the Parties] Adopts the following indicators for monitoring the implementation of the strategy for resource mobilization, based on its mission and eight goals:

- (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;
  - (i) Technical cooperation;
- (2) Number of countries that have:
  - (a) Assessed values of biodiversity, in accordance with the Convention;
  - (b) Identified and reported funding needs, gaps and priorities;
  - (c) Developed national financial plans for biodiversity;
  - (d) Been provided with the necessary funding and capacity building to undertake the above activities;
- (3) Amount of domestic financial support, per annum, in respect of those domestic activities which are intended to achieve the objectives of this Convention;
- (4) Amount of funding provided through the Global Environment Facility and allocated to biodiversity focal area;
- (5) Level of CBD and Parties' support to other financial institutions that promote replication and scaling-up of relevant successful financial mechanisms and instruments;
- (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;
- (7) Number of Parties that integrate considerations on biological diversity and its associated ecosystem services in development plans, strategies and budgets;

- (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;
- (9) Amount and number of South-South and North-South technical cooperation and capacity-building initiatives that support biodiversity;
- (10) Number of global initiatives that heighten awareness on the need for resource mobilization for biodiversity;
- (11) Amount of financial resources from all sources from developed countries to developing countries to contribute to achieving the Convention's objectives;
- (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;
- (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;
- (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;
- (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.

Paragraph 8. [The Conference of the Parties,] Committed to substantially increasing resources (financial, human and technical) from all sources, including innovative financial mechanisms, balanced with the effective implementation of the Convention on Biological Diversity and its Strategic Plan for Biodiversity 2011-2020, against an established baseline:

- (a) Invites Parties and other Governments to implement the indicators set out in paragraph 7 and associated targets following collection of information from the Parties and advice of the Executive Secretary to the Conference of the Parties at its eleventh meeting, consistent with target 20 of the Strategic Plan for Biodiversity 2011-2020, in accordance with the process below;
- (b) Invites Parties, other Governments and levels of governments, relevant international organizations, and civil-society organizations, in response to the indicators contained in paragraph 7 above and other information pertinent to the indicators, to submit information not later than 30 June 2011 for the Executive Secretary to compile and present a synthesis of this information;
- (c) Invites Parties, relevant organizations and initiatives, such as the World People's Conference on Climate Change and the Right of Mother Earth, to submit information concerning innovative financial mechanisms that have potential to generate new and additional financial resources as well as possible problems that could undermine achievement of the Convention's three objectives, not later than 30 June 2011, for the Executive Secretary to compile and present a synthesis of this information;
- (d) Requests the Executive Secretary to compile information from all sources, including but not limited to the Biodiversity Indicator Partnership, to give methodological guidance to the above indicators, including collaborating with the Development Assistance Committee of the Organisation for Economic

Co-operation and Development (OECD/DAC) and informed by the work of the ad hoc technical expert group on indicators for the Strategic Plan for Biodiversity 2011-2020;

- (e) Requests the Executive Secretary to provide guidelines to the Parties during 2011 for the implementation of this methodology on the application of indicators and establishment of a baseline year;
- (f) Invites Parties to apply the methodology during 2011-2012 to measure gaps and needs as well as progress in the increase in, and mobilization of, resources against the indicators set out in paragraph 7 of the present decision, using the baseline year established above;
- (g) Invites Parties to present relevant information to the Secretariat in a timely manner;
- (h) Requests the Executive Secretary to compile and consolidate information from all relevant sources, and on this, determine baselines to be presented to the Conference of the Parties at its eleventh meeting for agreement by the Parties;
- (i) Decides to adopt targets at its eleventh meeting, provided that robust baselines have been identified and endorsed and that an effective reporting framework has been adopted. This will allow progress towards the targets set out in this decision and towards target 20 of the Strategic Plan, including an effective reporting framework, to be used in assessing the information provided by Parties as outlined in this decision for the consideration of the Conference of the Parties at its eleventh meeting;

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<sup>i</sup> 1. A second notification (.....) on innovative financing mechanisms was issued in line with paragraph 8(c).

<sup>ii</sup> For example, the UNEP-WCMC study funded by Finland