

**Convention on  
Biological Diversity**

Distr.  
GENERAL

UNEP/CBD/SBI/1/INF/6  
31 March 2016

ENGLISH AND SPANISH  
ONLY

---

**SUBSIDIARY BODY ON IMPLEMENTATION**

First meeting

Montreal, Canada, 2-6 May 2016

Item 9 of the provisional agenda\*

**REPORT OF THE DIALOGUE WORKSHOP ON ASSESSMENT OF COLLECTIVE ACTION  
IN BIODIVERSITY CONSERVATION**

*Note by the Executive Secretary*

1. The Executive Secretary is circulating herewith, for the information of participants in the first meeting of the Subsidiary Body on Implementation, the report of the Dialogue Workshop on Assessment of Collective Action in Biodiversity Conservation held in Panajachel, Guatemala, from 11 to 13 June 2015.
2. The document is being circulated in the form and language in which it was received by the Secretariat.

---

\* UNEP/CBD/SBI/1/1/Rev.1.

# Dialogue Workshop on Assessment of Collective Action in Biodiversity Conservation

**Panajachel, Guatemala | 11-13 June, 2015**

## Co-Chairs' Summary Report



## Co-Chairs

Edgar Selvin Pérez and Maria Schultz.

## Conveners

Government of Guatemala and the Secretariat of the Convention on Biological Diversity (SCBD).

## Organisers

SwedBio at Stockholm Resilience Centre and the Secretariat of the Convention on Biological Diversity together with local hosts in Guatemala National Council of Protected Areas (CONAP) and Asociación Sotz'il.

## Funding

Economic support was provided by the Swedish International Development Cooperation Agency (Sida) through SwedBio at Stockholm Resilience Centre, European Commission and Japan Biodiversity Fund.

*Citation:* Edgar Selvin Pérez and Maria Schultz, 2015. *Co-chairs' summary Dialogue Workshop on Assessment of Collective Action in Biodiversity Conservation, Panajachel, Guatemala – 11-13 June 2015.* Montreal: Secretariat of the Convention on Biological Diversity.

*Layout:* Niclas Hällström

*Printing:* E-Print

*ISBN:* 9789292256272

For presentations, background documents, biodiversity financing relevant literature and further information about the dialogue seminar, visit the seminar website: <https://www.cbd.int/financial/collectiveworkshop.shtml> and <https://www.cbd.int/financial/collectiveaction.shtml>

The views reported in this publication do not necessarily represent those of the Convention on Biological Diversity nor of conveners, organisers or donors.

*Front page: Collective action in San Juan la Laguna, Lago Atitlán. Cultivation of traditional maize, and the Chinimaya Women's Weaving Association. Photo: L: Maria Schultz R: Pernilla Malmer*

*Version November 24, 2015*



Convention on  
Biological Diversity

**SwedBio**

A programme at Stockholm Resilience Centre

Stockholm Resilience Centre  
Sustainability Science for Biosphere Stewardship



# Table of Contents

|   |    |
|---|----|
| Preface   | 3  |
| Executive Summary   | 4  |
| About the Dialogue Workshop   | 9  |
| Summary of Presentations and Discussions  | 13 |
| <b>SESSION I: Welcoming session</b>   | 13 |
| <b>SESSION II: Introductory session</b>   | 17 |
| <b>SESSION III: Panel on values, valuation and measuring the benefits of collective action and the contribution to biological diversity</b> | 23 |
| <b>SESSION IV: Panel on methods for measuring and aggregating data related to Collective Action</b>   | 27 |
| <b>SESSION V: Working Groups on Methods</b>   | 36 |
| <b>SESSION VI: Panel on Indicators and equivalents – how can collective action be reported in the financial reporting framework?</b>        | 38 |
| <b>SESSION VII: Working Groups on Indicators for Financial Resources Framework</b>  | 43 |
| <b>SESSION VIII: Field Trip to San Juan la Laguna</b>   | 47 |
| <b>SESSION IX: Continuation – how to proceed</b>  | 51 |
| <b>CONCLUDING SESSION: Synthesis and way forward</b>  | 55 |
| <br>  |    |
| <b>Annexes</b>  |    |
| <b>Annex 1. Relevant CBD Articles and Decisions</b>   | 56 |
| <b>Annex 2. Workshop Agenda</b>   | 61 |
| <b>Annex 3. List of Participants</b>  | 67 |
| <b>Annex 4. The Dialogue ‘Road Map’</b>   | 70 |
| <b>Annex 5. SwedBio dialogues</b>   | 71 |
| <b>Annex 6. Evaluation of the dialogue by the participants</b>  | 72 |
| <b>Annex 7. Acronyms and Glossary</b>   | 73 |



## Preface

The co-chairs – Edgar Selvin Pérez, Central American and Dominican Republic Program ABS/CCAD-GIZ & Fundación Junej T'inam, Guatemala, and Maria Schultz, SwedBio at Stockholm Resilience Centre, Sweden, take full responsibility for this Co-chairs' Summary of The Dialogue Workshop on Assessment of Collective Action in Biodiversity Conservation. The report has been produced by the co-chairs, and Pernilla Malmer, SwedBio at Stockholm Resilience Centre, and the rapporteurs Sarah Cornell, Stockholm Resilience Centre, and Caroline de Jong, Forest Peoples Programme, with contributions from participant rapporteurs from the Working Group and Buzz sessions.

## A note on terminology

Many terms and concepts central to this report have been the subject of careful debate and negotiation. Important examples relate to indigenous peoples and local communities, and to traditional knowledge. These concepts are associated with complex issues, often featuring power imbalances and political tensions. As a result, different contexts of debate, both formal and informal, have developed different terms and abbreviations.

Within each context, these abbreviations and expressions can be useful signals of awareness and familiarity with the complex issues. However, in other contexts, the differences in terminology can create confusion. To avoid such confusion, abbreviations are only used in this report where they make the text flow more smoothly, and where an organization or project is best known by its acronym. Where speakers use a particular term to refer to specific policy elements, this is made clear in the report.

*"Indigenous peoples and local communities"* is, from CBD COP12 onward, the agreed terminology that the CBD uses in decisions and secondary documents. See CBD Decision XII/12. In the CBD and other UN fora, lower case letters are generally used in the spelling of the term "indigenous peoples and local communities". As this report is part of the CBD process, we keep to the CBD practice, and write the term in full using lower case letters, respecting and fully aware of the variation in different texts.

Similarly, *"Traditional knowledge"* is used to reflect the common language of the CBD related to traditional knowledge, innovation and practices, such as referred in article 8(j), CBD.

# Executive Summary

## Dialogue overview

The Dialogue Workshop on Assessment of Collective Action in Biodiversity Conservation took place from 11-13 June 2015 in Panajachel, Lake Atitlán, Guatemala. The conveners were the Government of Guatemala through the National Council of Protected Areas (CONAP) and the Secretariat of the Convention on Biological Diversity. The workshop was organized by SwedBio at Stockholm Resilience Centre, with economic support from the European Commission, Japan Biodiversity Fund and Swedish International Development Cooperation Agency (Sida) via SwedBio. The local host in Guatemala was Asociación Sotz'il. Edgar Selvin Pérez and Maria Schultz co-chaired the Dialogue and are responsible for the workshop outcome report.

78 participants from over 30 countries took part in the dialogue workshop. They included representatives of indigenous peoples, academics, government representatives and policy-makers, and members of civil society organizations. Participation was based on nominations received from Parties and Non-Parties through the CBD Secretariat.

The purpose was to seek to enhance the visualization, understanding and recognition of the value of collective action. In particular, the overarching aim was to identify concrete ways to describe and measure collective action, in ways that are recognized and understood by a diversity of actors, in the context of resource mobilization for biodiversity conservation under the CBD Financial Reporting Framework, as well as through National Biodiversity Strategies and Action Plans (NBSAP). The dialogue was not intended to draft formal recommendations, but rather sought to enhance understanding among participants and contribute to further work in crafting useful models for assessment of collective action.

The objectives were to share and discuss various methodologies and conceptual frameworks to document and evaluate the contribution of collective action; to take into account the needs, values and perspectives of different actors, including indigenous peoples and local communities, governments and academics; to create a link with ongoing efforts to connect diverse knowledge systems, among others, through a Multiple Evidence Base approach based on equity and reciprocity, in order to create outcomes that are legitimate, credible and useful for all actors involved; and to share experiences and lessons learnt in applying such methodologies, exploring possibilities for better responses and adaptations to information needs.

**The program** consisted of panel sessions and working group discussions on:

- » Values, valuation and measurement of the benefits of collective action and its contribution to biological diversity
- » Methods for measuring and aggregating data related to collective action
- » Indicators and equivalents for reporting collective action in the financial reporting framework

Participants also took part in a field visit to San Juan la Laguna, a Mayan Tzutujil town where many community activities – such as crab (*Roddaus bocourti*/*Potamocarcinus magnus*) and (*Typha sp.*) cultivation, textile production using endemic strains of cotton (*Gossypium hirsutum*), and cross-generation knowledge sharing – gave tangible examples of collective action supporting biological and cultural diversity.

## Key outcomes

The opportunity for information and experience exchange about collective action was considered valuable by participants.

The concept of collective action was discussed as being “two or more people working cooperatively together towards a specific common goal”. It was strongly affirmed that collective actions by indigenous peoples and local communities are important in contributing to conservation and sustainable use of biodiversity framed in their own cultures and worldviews.

The Parties to the CBD have agreed that collective action shall be reported in the resource mobilization framework that is established under CBD. Participants thought however, that collective action can contribute to the achievement of all the Aichi Targets, not only Target 20 on financial resource mobilization. So collective action should be addressed and visualized under all Targets as embedded in the bundle of contributions towards their achievement.

Many tangible examples of collective action were presented, from all continents, ranging from very local to large regional levels, spanning centuries in time, with different degrees of collectivity.

#### **Key outcomes related to values, valuation and measurement of the benefits of collective action and its contribution to biological diversity.**

It was stressed that multiple values need to be recognized in assessing collective action. In some cases the benefits of collective action can be reported in monetary terms provided that it results in sustainable use of biodiversity, but in most cases they will need to be reported as non-monetary contributions.

It was stressed by many participants that socio-cultural values cannot be measured adequately through monetary valuation, since they are conceived within a cultural framework. This constitutes a different perspective on values through many social roles and social-biological relationships that are specific for each territory and knowledge system.

The need to revalue and protect traditional knowledge was expressed. It was stressed that traditional knowledge can provide an important contribution on an equal level to scientific knowledge in decision-making and reporting processes, and that this implies that the many ways of holding and transmitting traditional knowledge need to be included and recognized on equal terms in these processes. This is especially important when reporting on collective action by indigenous peoples and local communities related to their contribution to the conservation of biological diversity.

Some participants commented that it is essential for assessments to address the actual contribution of collective action to biodiversity conservation and sustainable use.

#### **Key outcomes related to methods for measuring and aggregating data related to collective action.**

Many useful examples, experiences, and methods were shared during the dialogue that show how valuation, measurement and aggregation of data (that can be considered valuable to financial reporting under the Convention) for reporting of collective action can be done in specific cases or countries.

These included the Multiple Evidence Base approach, which sets out a process of knowledge mobilization that can bring together scientific and traditional knowledge systems side by side on equal terms, to co-formulate problem issues and responses. This approach is now being applied, in various “bottom-up” contexts. For example, in eco-cultural mapping activities, this approach can provide data suitable for reporting, at the same time as supporting communities’ mobilization and revival of their traditional knowledge.

Different experiences that are being developed in countries from academic institutions and civil society are underway, such as by the Charles Darwin University that is leading a



project, “Intensity of land use in indigenous and non-indigenous lands across the globe”, using a map of “anthromes” (human-modified biomes), to make a global assessment of contributions of indigenous peoples and local communities to Aichi Biodiversity Targets.

Community Based Monitoring and Information Systems (CBMIS) is the bundle of methods developed by local communities based on their own monitoring needs. CBMIS are now also, on the initiative from indigenous peoples and local communities, used for monitoring the indicators for traditional knowledge under the CBD. Spatial mapping and modeling are quantitative techniques that can be scaled up to national level in ways that can support consistent reporting. In combination with Earth observation (satellite data), these methods potentially fill knowledge gaps where local data are lacking.

The Indigenous and Community Conserved Areas (ICCA) Consortium has many tools and methods for capturing the contribution of collective action: participatory mapping and GIS, video and photo stories, bio-cultural community protocols, and toolkits for environmental monitoring and assessment of threats to their indigenous and community conserved areas.

Participants noted that top-down methods present particular methodological and ethical challenges in application, such as regarding free prior informed consent (FPIC), and they risk failing to capture important local considerations.

There are also experiences of hybrid modes of working, where knowledge from local monitoring is collated into larger-scale information resources (aggregation). Integrated methodologies for monitoring are created in co-development processes both from and for the local and larger scales.

### **Key outcomes related to indicators and equivalents for reporting collective action in the financial reporting framework.**

Participants discussed a great variety of potential measures that could be used as indicators. Both quantitative and qualitative measures can be used as indicators for reporting collective action in the financial reporting framework.

A framework that has been suggested and recognized in Decision XII/3 is the “*Conceptual and Methodological Framework for Evaluating the Contribution of Collective Action to Biodiversity Conservation*” (UNEP/CBD/COP/12/INF/7) of the Bolivian Government with the support of the Amazon Cooperation Treaty Organization (ACTO). It proposes a three-module approach, linking geospatial modelling, institutional analysis and ecological assessment. See Table 1.

It was discussed that aggregated reporting could be based on resources. When the sustainable use of biodiversity has a monetary dimension, aggregated reporting could be based on this value. Other examples mentioned were the time invested or the numbers of people involved in collective action, and the investments and benefits from innovations made by indigenous people and local communities in the use and good management of genetic resources, such as seeds, associated with traditional knowledge.

Participants also said that aggregated reporting could be based on assessments of the effects of collective action in the natural environment, for example the extent of areas under customary sustainable use and conservation, the biodiversity elements of these areas, and status and trends of restoration projects and traditional management of forest and aquatic systems including their ecosystem services and functions. These indicators and measurement processes can be based on a wide range of tools.

They also noted that reporting could be based on metrics relating to process, such as trends in praxis on community based monitoring and information systems, and the existence and implementation of regulations or policies relating to conservation and sustainable use of biodiversity.

Participants thought that multiple values and units and “process-oriented” assessments are essential for reporting collective action – and they affirmed that experiences of such assessments are being developed and performed nationally and locally.

| Module                        | Criteria  | Examples of indicators for resource mobilization  |
|-------------------------------|---|---|
| <b>Geospatial Modelling</b>   | Local resource users are able to conserve natural resources under increasing pressures from growing population and market opportunities   | Area conserved by local communities (km <sup>2</sup> )<br>Regional environmental functions and resource inventories   |
| <b>Institutional Analysis</b> | The active involvement of local resource users in the creation, monitoring and enforcement of rules associated with natural resource use and environmental functions improves the cost-effectiveness of conservation efforts both inside and outside protected areas. | Labor-equivalent indicators<br>Collective action indicators correlated to conservation<br>Contributions to local living well/human wellbeing<br>Intangible cultural and social values<br>Local environmental functions and resource inventories |
| <b>Ecological Assessment</b>  | Local protection efforts, individual or collective, improve the condition of the natural resource base.   | Resource provisioning and food security<br>Species richness<br>Conservation status  |

Table 1. The proposed metrics for quantifying local people's contribution to the conservation of biological diversity (Source: UNEP/CBD/COP/12/INF/7).

### How assessments of collective action are made is as important as what the assessments are expected to visualize and verify in reporting.

It can be difficult to assess the relationships between the different kinds of possible measures, and it should not be assumed that a robust and universal equivalence between the monetary and non-monetary measures exists. Participants expressed that qualitative and quantitative data are complementary sources of information, and both should be used.

Participants expressed concern that simplistic reporting would fail to disaggregate the many aspects that affect costs, benefits and the diverse values of collective action to indigenous peoples and local communities, and society as whole. There is no “universal guideline” on how to address or monitor the important non-monetary issues that most participants view as essential for biodiversity conservation and sustainable use, including worldviews and systems of indigenous peoples and local communities assigning their own form of non-monetary value.

Indigenous peoples and local communities need to be involved in equal, transparent and useful ways in the process of developing assessment methods, as well as the processes of measuring and assessing of collective action. Participants noted that in some countries, there are still gaps in the recognition of the rights of indigenous peoples and local communities.

### Continuation – how to proceed

Participants suggested ideas on how to make concrete progress on this complex issue for the CBD COP13 scheduled for December 2016.

Participants stressed that indigenous peoples and local communities are confident and familiar with the concept of collective action; it is at the heart of their livelihoods, and is of cross-cutting relevance for compliance all of the 20 Aichi Biodiversity Targets. Committed engagement across scales is needed for making its importance visible and respected. It was expressed that inter-cultural meeting spaces are required for this exchange, informing and engaging indigenous peoples and local communities in ways that are relevant and useful for them, so they can contribute effectively.

However, many participants stressed that more time is needed for the process of including collective action, in particular in the resource mobilization framework, and for analysis of its contribution to Aichi Targets. There were concerns expressed that haste in this process might bring risks for inadequate monetization and misleading financial estimates.

It was expressed that there is a need to support, including with technical and financial assistance, indigenous peoples and local communities and developing countries Parties for measuring and reporting collective action, and establish pilot projects to generate multiple methodologies.

It was suggested that effective bridging methods should be developed, that bring together data on larger scales with bottom-up assessments that transmit significant aspects of the local cultural contexts and worldviews.

Discussion should continue about Bolivia's *"Conceptual and Methodological Framework for Evaluating the Contribution of Collective Action to Biodiversity Conservation"* (UNEP/CBD/COP/12/INF/7). It was also stressed that this is not the only framework but that other frameworks can also be used.

Participants suggested that at the international level, this process would yield a range of indicators for evaluating indigenous peoples' and local communities' achievements by their collective actions, characterized by cultural diversity. These would contribute to all the 20 Aichi Biodiversity Targets and provide legitimate responses to the recommendations of COP12 on collective actions, and the post-2020 phase of CBD implementation.

It was also expressed that it is necessary and urgent to increase national efforts to protect and promote intergenerational transfer of traditional knowledge, innovations and practices based on collective actions related to customary sustainable use and conservation of biodiversity.

Participants noted that from the perspective of governments, assessing collective actions may require investments. However, it will also have many benefits, such as strengthening public policies regarding indigenous rights, poverty reduction, food security and food sovereignty, maintenance of biodiversity and ecosystem services and functions, cultural heritage and other aspects of sustainability. This is also important for policies under which the private sector has to operate in relation to ecosystem services and functions, and related public good, that is under collective management, in the framework of conservation and sustainable use of biodiversity.

It was also indicated that it is necessary to create a list of non-monetary indicators. And it was suggested that at International (CBD) level, after 2020, we need non-monetary units and non-monetary evaluation as a key component of next phase of CBD and implementation.

It was also suggested that other kinds of resource mobilization, related to collective action, are worth recognizing and supporting. For example, the upcoming implementation of the Action Plan on Customary Sustainable Use adopted by COP12 in 2014 could be said to be an investment based on collective action.

In the closing statement made by the Secretariat of CBD, the CBD Executive Secretary Bráulio de Souza Dias acknowledged that *"the range of perspectives on evaluating the contributions of indigenous peoples and local communities to biodiversity conservation remains a challenge, while this meeting had been a crucial first step that advanced the thinking around the issues"*.

# About the Dialogue Seminar

## Background

On every continent, large areas that have been under traditional territorial management for generations continue to provide habitat for biodiversity and maintain the ecosystem functioning that sustains life. Some of these areas have been incorporated into national protected area systems, others are outside protected areas but continue to be used and managed collectively by indigenous peoples and local communities in a manner that is consistent with biodiversity conservation.

Collective action is the action taken by a group in pursuit of its members' perceived shared interests.<sup>1</sup>

Growing attention is being given to collective action by indigenous peoples and local communities. Their customary sustainable governance and management contributes to biodiversity conservation, and to the utilization and maintenance of biodiversity as a resource. This has been recognized in several CBD decisions (see Annex 1 for CBD texts relating to collective action). In particular, at COP12, Decision XII/3 on Resource mobilization recognizes the role of collective action and resolves to include activities that encourage and support collective action approaches into reporting; notes the report "Conceptual and Methodological Framework for Evaluating the Contribution of Collective Action to Biodiversity Conservation" and invites consideration of its further development; and requests the Executive Secretary of the CBD to make information about views and experiences on collective action of indigenous and local communities available through the CBD Clearing House Mechanism and to the Subsidiary Body for Implementation for its consideration of relevant guidelines.

This dialogue workshop has been organized in partial response to Decision XII/3, giving the opportunity to discuss available methodologies for assessing the contribution of collective action, including lessons learnt in applying such methodologies, to guide Parties in providing information through the CBD Financial Reporting Framework.

There are many synergies between Decision XII/3 and recent COP decisions on Article 8(j) (on Traditional Knowledge, Innovations and Practices) and Article 10(c) (to Protect and encourage customary use of biological resources in accordance with traditional cultural practices that are compatible with conservation or sustainable use requirements). The dialogue workshop took advantage of relevant advances in the work on Articles 8(j) and 10(c), including the adoption of the Global Plan of Action on Customary Sustainable Use in COP12, and the welcoming and encouragement of the further development of Community Based Monitoring and Information Systems (CBMIS) in Decision XII/12 under Article 8(j) and related provisions. The dialogue workshop was also expected to contribute to the implementation of Decision XII/5 on Biodiversity for poverty eradication and sustainable development, and Decision XII/1 on the Mid-term review of progress in implementation of the Strategic Plan for Biodiversity 2011-2020 including the fourth edition of the Global Biodiversity Outlook.

<sup>1</sup> This definition is from Marshall, G. (1998). A dictionary of sociology. Oxford University Press, New York

## Collective Action

(From UNEP/CBD/COP/12/INF/7 Conceptual and Methodological Framework for Evaluating the Contribution of Collective Action to Biodiversity Conservation.)

The term “collective action” is used in the framework to mean the cooperation among two or more individuals to try to achieve outcomes that none of these individuals could achieve on their own. As such, collective action involves different types of cooperation among individuals and/or groups of individuals to solve collective problems and choices at different levels. Collective action theory (based on Olson 1965)<sup>2</sup> poses that cooperation among individuals can lead to better results in the management and provisioning of public and common goods by reducing tendencies of individual short-term profit maximization and ‘free-riding’ problems [i.e., individual benefits at the expense of the efforts of the collective]. It also recognizes that collective action is difficult in proportion to the scale of the problem as well as to the size and heterogeneity of the group of actors: the larger and more diverse the group, the harder it is to act collectively. Collective action may take different forms depending on the level of analysis and the type of problem involved, from international to national to regional to local. Collective action influences and mediates the rules, norms, and forms of natural resource use, management, control, and monitoring in relation to the observable outcomes of change in landscapes, biodiversity, different ecosystem functions, as well as social conditions.

Institutions are understood as formal and informal rules and norms that structure human interactions so as to reduce the uncertainties inherent in interactions (Ostrom 1990, 2005).<sup>3</sup>

## The dialogue workshop and related events

The Dialogue Workshop on Assessment of Collective Action of Indigenous Peoples and Local Communities in Biodiversity Conservation and Resource Mobilization was held on the 11-13 June 2015 at Panajachel, Guatemala. The Conveners were the Government of Guatemala through CONAP and the CBD Secretariat. The local host in Guatemala was Asociación Sotz’il - Centro para la Investigación y Planificación del Desarrollo Maya. Sotz’il is a Mayan organization with the main objective of strengthening the development of the indigenous movements in Guatemala, within the framework of their collective rights and values of their identity, cultures and cosmovisions. The dialogue workshop was organized with the contribution from SwedBio at Stockholm Resilience Centre and with financial support from the Japan Biodiversity Fund, Swedish International Development Cooperation Agency (Sida) through SwedBio, and the European Commission.

The dialogue was held back-to-back with the International Training Workshop on *Community Based Monitoring, Indicators on Traditional Knowledge and Customary Sustainable Use and Community Protocols within the Strategic Plan for Biodiversity 2011-2020*, 8-10 June 2015. This training workshop gathered indigenous peoples and local communities with important knowledge and experiences of monitoring that relates to collective action. The dialogue workshop on collective action was then followed by *The Expert*

2 Olson, M. (1965). The logic of collective action: Public goods and the theory of groups. Harvard University Press.

3 Ostrom, E. (1990). Governing the commons: The evolution of institutions for collective action. Cambridge University Press, New York; Ostrom, E. (2005). Understanding Institutional Diversity. Princeton University Press, Princeton, NJ.

*Meeting on The Repatriation of Traditional Knowledge Relevant to the Conservation and Sustainable Use of Biological Diversity*, 14-15 June 2015. Many of the participants attended two or all three of the workshops.

Literature and supporting documents relevant to this dialogue have been gathered at <https://www.cbd.int/financial/collectiveaction.shtml>. This online forum was arranged by the Secretariat of the CBD prior to the workshop in order to obtain a comprehensive view of how the concept of collective action has emerged and been used over time.

## Purpose of the dialogue workshop

The purpose of the workshop was to seek to enhance the visualization, understanding and recognition of the value of collective action among participants, with a view to facilitating discussions at SBSTTA19 and related discussions in WG 8(j) 9 in Montreal, Canada, November 2015, at SBSTTA 20 and the Subsidiary Body of Implementation (SBI)-1 in Montreal, April/May 2016 and finally in COP13, December 2016 in Cancún, Mexico.

The general aim was to identify possible ways to describe and measure collective action in ways that are recognized and understood by a diversity of actors, from the local governance level to global fora, in the context of biodiversity conservation, poverty alleviation and integrated development, and customary sustainable use, to mobilize resources under the CBD.

The focus of the dialogue workshop was on presenting and discussing various methodologies and conceptual frameworks to document and evaluate the contribution of collective action, taking into account the needs, values and perspectives of different actors, including indigenous peoples and local communities, governments and academics. The dialogue linked to ongoing efforts to connect diverse knowledge systems, such as indigenous, traditional, local and scientific knowledge systems, based on equity and reciprocity, in order to create outcomes that are legitimate, credible and useful for all actors involved as in a Multiple Evidence Base approach.<sup>4</sup> The purpose was also to share and analyze synergies, experiences and lessons learnt in applying methodologies, from local to global. The intention was also that the workshop would explore possibilities to develop, adapt and respond to information needs through the CBD Financial Reporting Framework, as well as through National Biodiversity Strategy and Action Plans (NBSAPs).

The intention with the dialogue was not to draft formal recommendations, but rather to contribute to further work on crafting useful models for cross-scale aggregation.

## Participants

Participants were constituted by diverse actors including government representatives, UN organizations, civil society including indigenous peoples and local communities, and scientists. Government and non-government participation was based on nominations received from Parties and Non-parties including civil society organizations through the CBD Secretariat. The conveners also identified additional resource persons. The participant list is included in Annex 2.

Participants were expected to be familiar with the concept of collective action and its practical and theoretical base. Further, they were expected to be well informed about main issues related to the decision on Resource Mobilization on collective action including the reporting framework, and decisions under 8(j) and 10(c) and related processes and method developments.

<sup>4</sup> A Multiple Evidence Base approach emphasizes the complementarity of knowledge systems, without assigning any one knowledge system as the dominant one. See Tengö et al. 2014, *Ambio* 43, 579-591, [http://www.stockholmresilience.org/download/18.3110ee8c1495db744326109/1421247654519/Connecting+Diverse+Knowledge+Systems\\_MEB.pdf](http://www.stockholmresilience.org/download/18.3110ee8c1495db744326109/1421247654519/Connecting+Diverse+Knowledge+Systems_MEB.pdf)



## Workshop methodology

The dialogue included a mix of keynote presentations, case studies, field practice and small group discussions. See further the agenda, Annex 3.

All plenary sessions were simultaneously translated into Spanish and English. Working groups were in either Spanish or English; so all participants could contribute in the language that they were comfortable to express themselves in.

The organizer SwedBio applied a methodology developed for multi-actor dialogues, see Annex 5. The dialogue was based on the Chatham House Rule. Under the Chatham House Rule, participants are free to use the information received during the meeting, but neither the identity nor the affiliation of participants expressing a view may be revealed. The Chatham House Rule allows people to speak as individuals and to express views that may not be those of their organizations, and therefore encourages free discussion.

In SwedBio's Dialogue Seminars, this implies that panel session presentations are public information, but what the presenters themselves express in discussions is not. Speakers are therefore free to voice their own opinions, without concern for their personal reputation or their official duties and affiliation.



Inaguration of the workshop with a blessing for the day. Photo: Pernilla Malmer

# Summary of presentations and discussions<sup>5</sup>

## Session I

### Welcoming session

*The facilitators for this session were Edgar Selvin Pérez and Maria Schultz.*

*The expected outcomes of the session were to get participants united as a group, and defining a comprehensive view of individual and collective perceptions of what collective action is from their different starting points, such as indigenous peoples and local communities, governments, UN organizations and scientists.*

*The dialogue workshop started with a ceremony of blessing for the day by Maya Quiché spiritual leaders from Sololá district in Guatemala. Participants were invited to reflect on the great diversity of ways that exist for viewing the relationship between people and nature.*

Co-chair Edgar Selvin Pérez then made opening remarks, thanking the organizers Sotz'il and CONAP and invited newcomers to introduce themselves.<sup>6</sup> Gloria Apén, CONAP's director for indigenous peoples, made a welcoming statement on behalf of the hosts, warmly welcoming people to Guatemala. Yibin Xiang – representing the CBD Secretariat – shared a message from CBD Executive Secretary Braulio de Souza Dias, who thanked all the funders for providing the financial support for the workshop, and stressed the importance of collective actions for conservation of biodiversity. He said that this workshop provided an opportunity to consolidate the efforts so far on collective action. These include the important decisions taken in CBD COP12, the "Online Forum on Collective Action of Indigenous Peoples and Local Communities", and several workshops designed to sensitize and engage Parties in the issues of financial reporting. Braulio de Souza Dias affirmed that the CBD would welcome the inputs from the dialogue workshop into generating important guidance materials on how collective action can be accounted for. He extended his wishes for a successful workshop.

Co-chair Maria Schultz thanked the hosts, sponsors, and organizers and also thanked all participants for their presence. She reminded participants that collective action has strong relevance for several CBD Articles and is explicitly mentioned in several recent Decisions (see Background above, Box 2 and Annex 1).

Maria Schultz then outlined the goals of the seminar, and she explained how a dialogue workshop differs from a usual workshop or conversation, emphasizing the request for respectful and active listening<sup>7</sup> and that the workshop was going to be performed under Chatham House Rule (see also Annex 5). Then she introduced the agenda, which was itself developed through a dialogue process from the initial planning phase, and explained the 'road map' for the dialogue workshop (Annex 4). She presented the workshop rapporteurs and note-takers for the sessions, and described the procedures for buzz groups and working groups.

<sup>5</sup> All powerpoint presentations are available as pdf-files online at [www.cbd.int/doc/?meeting=DS-FB-02](http://www.cbd.int/doc/?meeting=DS-FB-02)

<sup>6</sup> The Dialogue Workshop on Assessing Collective Action was the second of a series of three related international events held back-to-back at the Panajachel venue (see the CBD Notification <https://www.cbd.int/meetings/>). Many participants at the Dialogue Workshop had attended the previous training workshop, and were already acquainted with each other.

<sup>7</sup> Yankelovich, D.(1999). The magic of dialogue; transforming conflict into cooperation, Simon & Schuster, New York.



## Collective Action and the Convention on Biological Diversity in summary

More details, including the text of relevant Articles and Decisions, are given in Annex 1. The main Articles of the CBD that relate to collective action are:

- » Article 8(j): Article 8 deals with In Situ Conservation, and Article 8(j) with the role of traditional knowledge in this. Parties should “respect, preserve and maintain knowledge, innovations and practices of indigenous and local communities”, “promote their wider application with the approval and involvement of the holders of such knowledge”, and “encourage the equitable sharing of the benefits”. Since COP5 in 2000, Art 8(j) has a cross-cutting Program of Work, an important point of departure for the progress made in the CBD on these matters, with spill-over and inspiration for other UN bodies also, in terms of procedures and involvement of indigenous peoples and local communities in international processes.
- » Article 10(c): Article 10 deals with Sustainable Use of Components of Biological Diversity. Article 10(c) aims to “Protect and encourage customary use of biological resources in accordance with traditional cultural practices that are compatible with conservation or sustainable use requirements”.
- » Article 15 on Access to Genetic Resources introduces the principles of “mutually agreed terms” for access to genetic resources for environmentally sound uses, “subject to prior informed consent”.

The main COP Decisions relating to collective action are:

- » Decision X/32 on sustainable use.
- » Decision X/41 on elements of sui generis systems for the protection of traditional knowledge.
- » Decision X/42, the Tkarihwaí:ri Code of Ethical Conduct to Ensure Respect for the Cultural and Intellectual Heritage of Indigenous and Local Communities.
- » Decision XI/3 B, on indicators relevant to traditional knowledge and customary sustainable use
- » Decision XII/1 (h) highlights “the need for better ways to include relevant indigenous and traditional knowledge systems and the collective actions of indigenous and local communities”.
- » Decision XII/3 on Resource mobilization, para 29 recognizes the role of collective action and resolves to include activities that encourage and support collective action approaches into reporting; para 30 notes the report “Conceptual and Methodological Framework for Evaluating the Contribution of Collective Action to Biodiversity Conservation” and invites consideration of its further development; and para 31 requests the Executive Secretary of the CBD to make information about views and experiences on collective action of indigenous and local communities available through the CBD Clearing House Mechanism and to the Subsidiary Body for Implementation for its consideration for relevant guidelines.
- » Decision XII/12, agreed on an Action Plan for Customary Sustainable Use, aiming at ensuring the efficient implementation of Art 10(c) in all the Convention’s Programmes of Work, has a strong and explicit relevance for collective action.

- » Decision XII/18, para 4, on community conservation and holistic integrated planning for ecosystem conservation, taking into account customary use.
- » Decision XII, para B-5, on support for indigenous peoples and local communities to organize themselves, including for ICCAs etc.

These welcoming remarks were followed by the first “round table buzz”. A buzz is a group discussion involving groups of around 6-8 people, focusing on guiding questions that probe deeper into the issues raised in each session. At the end of the allocated time, the group’s note-taker reports back to plenary on the issues that were discussed.

Summary notes of all the group reports are available on the Dialogue website.

## Summary of buzz and discussion session I: Welcoming session

In the buzz session participants were asked to individually answer questions, and then discuss with the others in the group. The questions for round table buzz 1 were:

- » What is collective action for you?
- » What are your personal experiences of collective action, and what would you like the concept to embrace, from your horizon?
- » What is your expectation of the workshop?

### Main outcomes

Participants discussed the definition of the term ‘collective action’ as being “two or more people working cooperatively together towards a specific common goal”.

Participants also highlighted that a real understanding of collective action for conservation of biodiversity must recognise that it has many important facets. Some of the key principles and concepts associated with collective action that were shared by the groups include:

- » **Commonality** – where goals, values, decisions, resources, and efforts are shared by a group of people.
- » **Cooperation** – actively working together, seeking to find benefits for the collective group, not just for the individual. Unity and interdependence are valued more than the differences between people.
- » **Support for the dynamics of the group** – a willingness to find mutual agreements, compromising where needed, and a recognition of mutual needs and reciprocity.
- » **Long-term vision** – commitment to the process and the group, respect for culture, traditional institutions and customary law.
- » **Voluntary, not coerced**, supporting a spirit of solidarity and empathy. Often where there is a situation of conflict or struggle, collective action can help bring people together and provide strength to face external pressures.
- » **Beneficial and rewarding in itself** – collective action supports buen vivir and sumak kawsay (‘good living’, or living well). It is linked closely to people’s values, feelings of wellbeing and identity, especially in terms of the relationships among people, and between people and Mother Nature.



Figure 1: A word cloud showing the main concepts as expressed by participants

People shared examples of collective action practices and the principles underlying them. Experiences ranged from the very local and informal up to the international and formal.

It was discussed that most indigenous communities have traditions of doing “local teamwork”, and examples of many different activities were provided from around the world. For instance, the Quechuas in Peru assert that if actions are not collective, no action can be carried out. Among the Aymara in the Andean region, the communities together build the new houses for newly-wed couples. This is called Yana’pa. In Colombia, collective activities, referred to as Minga, have also existed since ancient times, for instance related to joint seed collection, water collection, and other activities. There are also many African examples: community self-organization to build schools, for example, but also joint actions in response to outside threats, such as mining.

It was expressed that indigenous communities also have strong rules, or principles, of reciprocity. The Aymara people of the Andes have reciprocal trade systems between residents of the highlands and valleys for the exchange of their products (no money is involved). This is referred to as Aini/Michá = “today for me, tomorrow for you”. In recent times these principles and practices are sometimes under pressure, as people are tending to become more individualistic, and focus more on monetary values. As people move to the city, their traditional practices are reconfigured to meet the needs there. An important reason for the loss of traditional and local knowledge is the linked loss of traditional values as communities become fragmented.

Different aims for collective action were also expressed. The rationale for deciding to take action together often involves using it to maintain identity (often at local level) and to develop policy (in larger processes). And often, communities develop an appropriate mode of collective action depending on what needs to be achieved. Sometimes collective action involves just a few families, and sometimes it is a much larger collectivity. Agreeing on which is the collectivity that is being talked about is critical, because the smaller ones are also often nested into wider realities.

Participants thought that these experiences raise many questions in the CBD context:

- » **How should collective action be related to geography or ecosystems?** Collective action does not always relate to specifically located communities. In some countries, communities can be identified as language groups (for example, over 250 groups exist in Australia). In other countries, the collective identity is more likely to be defined along different cultures and traditions. Further, collective action can be done by more than one group or could also be carried out by all language groups or indigenous peoples together.
- » **Do we need to agree on a definition of collective action?** (“Anything voluntarily done by between two and 7 billion people with a goal to achieve something.”)

Another important factor to consider is the group dynamics, because this is what makes an action succeed or fail. Many participants emphasized the need to think afresh about the common good. Recovering a sense of collective community well-being, beyond just the individual or household perspective, is an urgent need.

- » **How is political action for indigenous people's rights linked to collective action for conservation and sustainable use?** Power issues and empowerment operate at multiple scales, and need to be given consideration.

In these discussions it became clear that the relationship of collective action with power can present serious problems as well as important social and environmental benefits. It was noted that women play an important role in collective actions, and in maintaining and promoting community values such as solidarity, reciprocity, and taking care of each other. At the same time, much of this work is not visible in political processes. Also, support for collective action can, in some circumstances, turn itself around into actions of corruption that ultimately erode culture and local knowledge, with negative impacts on biological diversity. This means that it is vital to keep in mind (in the Dialogue workshop and beyond) the following questions:

- » Who is the assessment and evaluation of collective action for?
- » By whom is it being done?
- » How is it being done?
- » And what will be the ultimate outcome of the assessments of collective action for local community management systems and ecosystems?

## Session II

# Introductory session

*The facilitators for this session were Edgar Selvin Pérez and Maria Schultz.*

*The expected outcome was that participants should have a common understanding of the background, policy framework, and theoretical framework; and of the conclusions of the previous days' training on community monitoring and information systems and customary sustainable use.*

*The session began with key presentations.*

**Joji Cariño, Forest Peoples Programme, Philippines and UK** gave a keynote speech to update newcomers on the outcomes of the International Training Workshop on Community Based Monitoring, Indicators on Traditional Knowledge and Customary Sustainable Use and Community Protocols within the Strategic Plan for Biodiversity 2011-2020. This workshop was held right before the dialogue on Collective Action, and could contribute with important insights. Indigenous peoples and local communities have reciprocal relationships with biodiversity and there are inextricable linkages between biological and cultural diversity.

She outlined the CBD provisions and obligations relevant to collective action, such as Article 8(j) and Article 10(c). She reflected on differences in definitions of traditional knowledge. In the CBD, this refers to knowledge, innovations and practices of indigenous peoples and local communities. Developed from the experience of centuries, and adapted to local culture and environment, it can take many forms, such as stories, songs, or activities, and it is collectively owned. In the Intergovernmental Platform on Biodi-

versity and Ecosystem Services (IPBES), there is a fundamental agreement to “*Recognize and respect the contribution of indigenous and local knowledge to the conservation and sustainable use of biodiversity and ecosystems*”.<sup>8</sup> The IPBES Task Force on Indigenous and Local Knowledge<sup>9</sup> is developing principles and approaches based on diverse worldviews.

Joji Cariño explained that the Nagoya Protocol provides that access to traditional knowledge should be based on Prior Informed Consent of indigenous peoples and local communities. This principle has broader application beyond the Nagoya Protocol. In this regard, Decision NP 1/8<sup>10</sup> recognizes the importance of developing Community Protocols as a supportive tool.

Joji Cariño shared some information about how progress on Target 18 of the Strategic Plan for Biodiversity 2010-2020 is currently being assessed. Target 18 provides relevant guidance on collective action<sup>11</sup> including the adopted indicators on language diversity, traditional occupations, land use change and land tenure, and the integration of traditional knowledge and customary sustainable use in all work of the Convention. She highlighted the Working Group on Indicators of the International Indigenous Forum on Biodiversity (IIFB) and the work done on CBMIS. She also introduced the ‘Local Biodiversity Outlook’ (LBO) initiative, a community-focused publication to complement the CBD’s Global Biodiversity Outlook (GBO). There are efforts to include community-based contributions more effectively in the National Biodiversity Strategies and Action Plans (NBSAPs) and National Reports. There is a need for fuller inclusion of these contributions in other targets of the Strategic Plan, e.g. on Protected Areas, Nagoya Protocol, and Resource Mobilization.

She stressed that traditional knowledge and customary sustainable use are core elements of collective action, and indigenous peoples and local communities are critical subjects and actors of collective actions. As such their role in making their own assessments of collective action, through CBMIS, must be recognized.



Joji Cariño, Forest Peoples Programme in keynote speech. Photo: Emmerson Miguel Pastás Cuastumal

<sup>8</sup> UNEP/IPBES.MI2/9 Appendix 1, para 2d

<sup>9</sup> [www.ipbes.net/images/documents/plenary/third/information/INF\\_2/IPBES\\_3\\_INF\\_2.doc](http://www.ipbes.net/images/documents/plenary/third/information/INF_2/IPBES_3_INF_2.doc)

<sup>10</sup> <https://www.cbd.int/doc/decisions/NP-MOP-01/np-mop-01-dec-08-en.pdf>

<sup>11</sup> <https://www.cbd.int/sp/targets/rationale/target-18/>



**John Scott, Mainstreaming, Partnerships and Outreach Division, SCBD** made a brief presentation on CBD decisions relevant to collective actions, and spoke about the importance of collective action for conservation. He mentioned Articles 8(j) and 10(c) as crosscutting issues.

He explained that CBD is a legally binding treaty with a clear sustainable development angle, in which indigenous peoples and local communities are major players. For millennia, indigenous peoples and local communities have managed and protected ecosystems for different reasons; worldwide 400-800 million hectares of forest are owned or administered by communities. In the CBD, there is a growing recognition of indigenous people's and community conserved territories and areas (ICCAs), and acknowledgement of their role – for instance ICCAs were recognized in the Program of Work on Protected Areas and accepted as legitimate Protected Areas (see Decision X/31). The Aichi Targets 11 and 18 are key targets in this respect. He highlighted some recent relevant CBD decisions for collective action:

- » Decision XII/18, para 4, on community conservation and holistic integrated planning for ecosystem conservation, taking into account customary use.
- » Decision XII, para B-5, on the support for indigenous peoples and local communities to organize themselves, including for ICCAs etc.

John Scott referred to the recently launched 4th Global Biodiversity Outlook (GBO4), which has measured and reported on progress towards the achievement of the Aichi Targets for 2020. According to GBO4, the world is on track to achieve Target 11 in terms of the percentage of Protected Area coverage worldwide. However, he warned that the quality of these areas still needs attention, in terms of whether they are effectively and equitably managed, and ecologically representative and adequately connected. On Target 18, although significant actions are being taken on support for traditional knowledge, with growing recognition of its value, putting mechanisms in place to protect traditional knowledge is not the same as actually seeing results.

**Yibin Xiang, Technical Support for Implementation Division, SCBD**, focused on collective action in the context of the financial reporting under the CBD. He noted that in Decision XII/3, the Parties to the CBD adopted the revised financial reporting framework, which obliges the Parties to report by 31 December 2015. This framework involves a specific request to report on collective actions under the domestic biodiversity expenditures - question 4.3.1. asks: "Have you assessed collective actions?"

Yibin Xiang briefly took the audience through the evolving perspectives on indigenous peoples and local communities actions, starting from the early pessimism about collective action in the 1960s (exemplified in Garrett Hardin's 1968 *Tragedy of the commons*<sup>12</sup>), via the idealistic view of community-based conservation initiatives in the 1990s, to the general view that community-based management regimes may be appropriate in some circumstances, but not in others in the 2000s.

He spoke about the relevance of collective action in many contexts, including seed collection, natural resource management by communities, forest ownership, and tourism, and pointed at the linkages between property rights and collective action. He shared the experience of being able to be more efficient and effective in the UN system when working in a crosscutting manner, also in terms of co-financing. While pointed to the rationale of historical responsibility referred to in article 20, paragraph 4 of the Convention, he cited two recent studies showing that countries are increasingly reliant upon each other's ecosystem services and indicated that further studies might reveal that the Convention is not only about historical responsibility, but also more importantly about increasing mutual dependence of biodiversity and ecosystem services between coun-

12 Garrett Hardin (1968), *Science* 162, p1243-1248, <http://www.sciencemag.org/content/162/3859/1243.full>



Yibin Xiang and John Scott, SCBD in the introductory session. In the background the co-chairs Maria Schultz and Edgar Selvin Pérez. Photo: Emmerson Miguel Pastás Cuastumal

tries. He also considered the issue of “valuation”, referring to mechanisms like Payment for Ecosystem Services (PES), Biodiversity Offsetting, green markets, etc., and stressed the need to take into account intrinsic values (which are greater than economic values).

**Sorka J. Copa Romero, Ministry of Foreign Affairs, Bolivia**, shared the evaluation framework developed through an initiative of the Bolivian Government with the support of the Amazon Cooperation Treaty Organization (ACTO) “Conceptual and Methodological Framework for Evaluating the Contribution of Collective Action to Biodiversity Conservation” (UNEP/CBD/COP/12/INF/7).<sup>13</sup>

Sorka Romero explained why Bolivia wanted to put this forward in COP11 and COP12. The proposal outlines a way that collective action can be visualized. Bolivia’s Law No. 300 provides for “protection of Mother Earth through the integral development in conservation of biological and cultural diversity”. She said that indigenous peoples’ contributions towards biodiversity protection have so far been invisible. Indigenous peoples and local communities are frequently viewed as “the problem” instead of considering their collective action to be part of the solution, that they can manage their resources sustainably and do better conservation.

The methodological proposal, see Fig. 2, consists of three modules: (1) A geospatial modeling module to estimate the rate, extent, direction, spatial pattern, and the area of terrestrial ecosystems that is protected by indigenous and local communities; (2) An institutional analysis module, which includes elements to be used with the geospatial module and a field-based protocol for measuring characteristics of institutional arrangements related to the protection of biodiversity in a sample of measurement areas, and (3) An ecological assessment module that includes field-based protocols and sampling to validate the geospatial model, to understand how collective action and institutional arrangements influence the conservation of biological diversity and resources.<sup>14</sup> Sorka Romero explained the steps of analysis using a case from Bolivia. Information about locations of different socio-cultural units or groups has been mapped using Geographic Information Systems (GIS). These maps were overlain with maps of priority

<sup>13</sup> Available at <https://www.cbd.int/doc/meetings/cop/cop-12/information/cop-12-inf-07-en.pdf>

<sup>14</sup> A summary of the framework is available at <https://www.cbd.int/financiamicro/bolivia-cartilla.pdf>

**OTCA - CBD National Reports and Resource Mobilization Strategies**  
**A Framework for Evaluating the Contribution of Collective Action to Biodiversity Conservation**

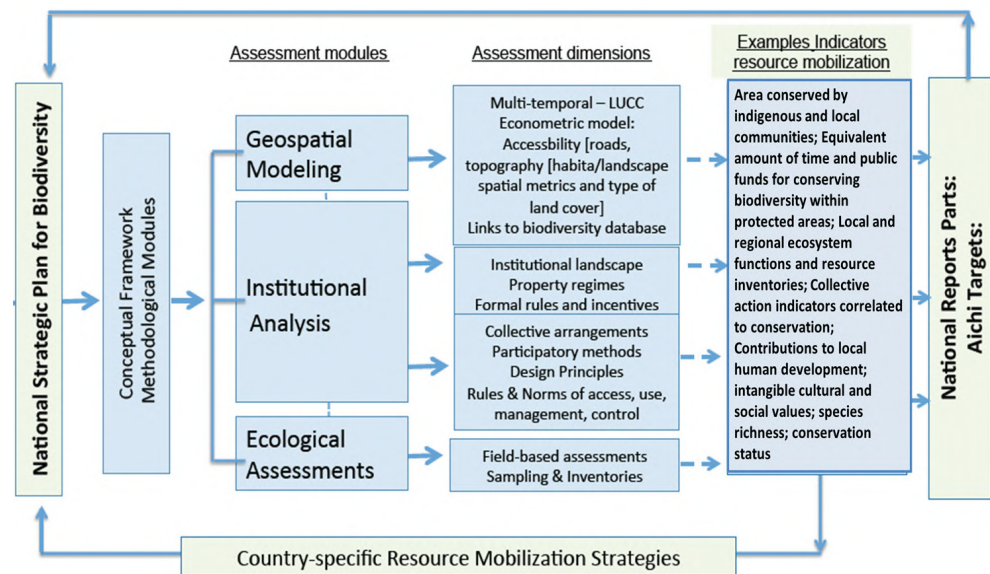


Figure 2: Overall approach and methodology for the assessment of the contribution of collective action to the conservation of biodiversity suggested in the Bolivian framework. (Source: UNEP/CBD/COP/12/INF/7).

conservation units identified in Bolivia, prioritized according to biodiversity status. Quantitative results from this exercise (Figure 3) showed that the original inhabitants and indigenous peoples lived in the areas with greatest biodiversity (with co-benefits for climate and water resources). This clear pattern suggests that they have a higher level of success in conserving biodiversity than other groups. In this way, spatially resolved indicators can be developed to quantify and qualify collective action in the national territory. Sorka Romero closed by noting that in Bolivia, biodiversity is not merchandised, and intrinsic values are more important than economic value - "We cannot put a number on spiritual values".

## Discussion

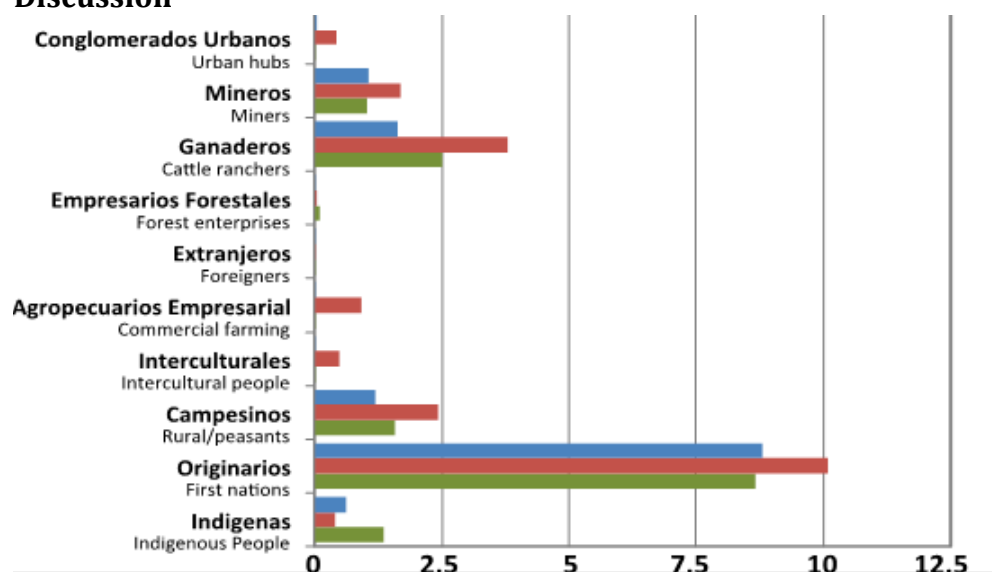


Figure 3. Quantitative assessment of land status under the influence of different socio-cultural groups.



In the discussions that followed these presentations, a major theme was Payment for Ecosystem Services (PES) and challenges related to its use. Known risks that were mentioned related to behavioral change, where economic incentives can push away other incentives for action; cultural change, where the payment system can displace reciprocal values among people; and the problem of financial corruption. Often implementation of PES systems will be strongly resisted, if they imply that traditional methods should be changed. Participants discussed how financial benefits are not seen as superior to the non-economic values of traditional activities. An example was shared from Northern Territory in Australia, where avoided greenhouse gas emissions from burning practices are calculated by scientists, and from this scheme communities receive financial rewards for their traditional burning of savannahs. At present, the communities in this area tolerate the “interference” involved in the scientific calculation methodologies, and see the financial compensation as a co-benefit, but the traditional authorities caution that consequent incentives could potentially change traditional practices so that people can get increased payments.

The pros and cons of economic approaches were discussed. It was mentioned that economic valuation is more advanced than assessment of other values of biodiversity. Of the four categories of ecosystem services proposed in the Millennium Ecosystem Assessment, the cultural, intangible, and spiritual services receive much less attention than the provisioning, regulating and supporting services, in terms of the publications available on ecosystem services.

The relationship between poverty and biodiversity was also brought up. The overlap of Protected Areas and indigenous people’s territories has been analyzed, as well as linkages between poverty and Protected Areas. However, this assessment is strongly dependent on the measurement of poverty and conceptions of poverty, which are created at country level, not necessarily on local quality of life.

Another theme raised was the relevance of cultural and linguistic research, which shows that people who speak different languages have different embedded values and preferences associated with those languages. This highlights the importance of indigenous peoples’ languages when addressing issues of reciprocity, biodiversity values, etc. There were also discussions around conservation “effectiveness”, who determines it, and how. Effectiveness should not only refer to biodiversity conservation, but also reflect how much it is efficient for the lives of communities and their wider cultural and spiritual needs. It is difficult to condense this value into numbers, but the challenge that the CBD has presented is to find more and better ways to assess this value.

## Session III

## Panel on values, valuation and measuring the benefits of collective action and the contribution to biological diversity

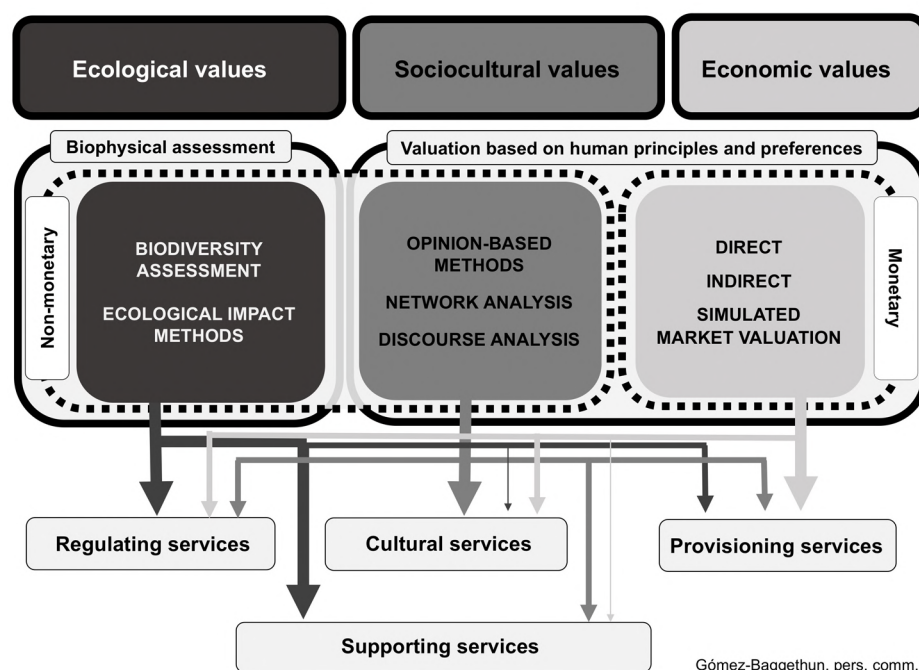
*The facilitators for this session were Edgar Selvin Pérez and Maria Schultz.*

*The expected outcomes were that the session should serve to place issues, perspectives and worldviews on the table and clarify issues of divergence and convergence as necessary; and set the basis for continued dialogue through presentations and appreciation of pluralistic views. The session should reflect on underlying values, how to value, and what kinds of metrics could be used for measuring the contribution that collective action by IPLCs makes to biodiversity, for diverse purposes. The morning's activities began with the ceremony of blessing for the day by the Maya Quiche spiritual leaders. In the Maya calendar, this day was a time for renewal, transformation and creativity. Participants were invited to reflect on the importance of continuity with long-held traditions and wisdoms, and to look ahead at the day's discussions with openness to the new opportunities that can be created. Panel presentations followed.*

**Erik Gómez-Baggethun, Norwegian Institute of Nature Research and Environmental Change Institute, University of Oxford**, talked about economic valuation of ecosystems and biodiversity in relation to collective action. The value of most ecosystem services and the costs of their loss are neglected by conventional economic, and hence often also in decision-making. However ecosystem services represent very significant benefits to society (e.g., pollution remediation, climate regulation, water and air purification). The invisibility of the values also is a contributing factor to the destruction of ecosystems and loss of biodiversity. Studies like the Millennium Ecosystem Assessment (2005) have emphasized the links between ecosystems and human wellbeing and the report *The Economics of Ecosystems and Biodiversity (TEEB)* assessed costs of inaction in relation to biodiversity loss.

He stressed that there is a need to recognize more broadly the societal value of biodiversity in policy and planning but that the notion of value is often used in a very reductionist way by equating it to monetary value. He noted that, beyond monetary value, the notion "value" means "importance" and does not only reflect individual preferences (in the economic domain), but also peoples' principles and convictions towards nature. Multiple valuation languages are needed – and many do actually exist, including symbolic, intrinsic, ecological, cultural and economic values. Academically, market theory, social and political science, resilience theory, and industrial ecology are among the fields that have studied the values of biodiversity and developed methods by which they can be quantified or qualified (Figure 4).

Erik Gómez-Baggethun noted that the economic approach attempts to capture the values of nature through two major types of economic instruments: Markets for Ecosystem Services (based on the polluter-pays principle) and Payments for Ecosystem Services (based on the provider-gets principle). Increasing reliance on market-oriented instruments are leading to mounting commodification of ecosystem services. However, ecosystem services often resist commodification. Most ecosystem services are best regarded as public goods. This makes it very difficult to create discrete tradable units and to create the institutions where trade could happen. Indigenous peoples (and many other people) present an even more fundamental challenge. The issue is not only that markets



Gómez-Baggethun, pers. comm.

Figure 4: Different kinds of assessment are appropriate for different kinds of values. (Figure courtesy of E. Gómez-Baggethun)<sup>15</sup>

or payments are difficult to devise and implement but also that it is not appropriate to apply commodification and a narrowly utilitarian worldview to Mother Earth. CBD should keep acknowledging multiple values and worldviews. Shared, relational and collective values are missing from the traditional focus of nature valuation. Behavioral and motivational changes add even more complexity: payments and markets for ecosystem services can erode or destroy intrinsic motivations for their protection. Transparency is needed about what are the boundaries of money and markets in environmental policy. He said that given that most ecosystem services have a public good nature, markets are unlikely to be an effective tool for their protection. In contrast, the protection of ecological life-support systems and the environmental commons will involve much higher levels of international cooperation, public regulation and collective action.

**Thinley Dorji, National Environment Commission, Bhutan**, presented Bhutan's experience of applying national development indicators. This small country with approximately 700,000 inhabitants has become world-renowned for a development philosophy centered around Gross National Happiness (GNH), where non-economic aspects of wellbeing are as important as economic ones for a good life. This is intended as a more holistic measure of the quality of a country than the narrowly economic GNP.

He explained that the four pillars of GNH are: good governance, sustainable socio economic development (living standards, education, health), cultural preservation (time use, community vitality, cultural resilience and wellbeing), and environmental conservation. Biodiversity matters greatly in Bhutan's culture: over 72% of its area is under forest cover, and its historic name "Lhomenjong" refers to the medicinal herbs of the area.

Dorji explained that GNH is further classified into 9 domains, with 33 indicators (Figure 5), measured using 124 variables that emphasize different aspects of wellbeing and the many different ways of meeting the underlying human needs for a happier life. The

<sup>15</sup> See also Gómez-Baggethun, E., et al. (2016, forthcoming) Concepts and methods in ecosystem services valuation. In: Potschin, M. et al. (eds.) Routledge Handbook of Ecosystem Services. Routledge, London and New York.

overall GNH Index has both a sufficiency threshold (for each indicator) and a happiness threshold (for the domains). In terms of the national use of the index, all government policies and plans are screened for GNH, and projects aligned with the plans that contribute to national happiness. People are surveyed regularly, so that measures can be taken to improve performance against the GNH Index.



Figure 5: The domains and indicators of the GNH index. From: *A Short Guide to Gross National Happiness Index*, Ura, K. et al, The Centre for Bhutan Studies, 2012, [www.grossnationalhappiness.com](http://www.grossnationalhappiness.com)

**Yolanda Terán Maigua, *Organization of the Indigenous Andes Chinchasuyo of Ecuador***, Red de Mujeres Indígenas sobre Biodiversidad para América Latina Y El Caribe, RMIB-LAC, and Division for Equity and Inclusion of the University of New Mexico, described how indigenous people's worldviews and perspectives could shape collective action. At the heart of these worldviews is an intrinsic relationship to Mother Earth, where interconnection and interdependence are recognized, leading to a holistic management of local ecosystems. Rights and rules based on customary use form the basis of indigenous governance. Both individual and collective rights are significant, and the social roles of men and women are seen as complementary in enabling indigenous peoples to continue to serve as guardians and protectors of their ancestral lands, territories and waters.

Yolanda Terán explained that indigenous epistemologies differ from those of science and technology, and shape traditional practices. Mother Earth is the fundamental basis for the development of all the diversity of life, and of cultures. Community activities, especially those that engage elders and women, play a vital role in maintaining harmonious relationships with Mother Earth. These activities manage both the visible surroundings and the invisible ones and the sacred places. Indigenous time is circular and cyclical. The indigenous people's life is based on the calendar and the Cycles of Life and the Cycle of Agriculture. Each cycle is full of different activities and ceremonies.

She outlined some important principles, mandates, cultural foundations and values held by the Kichwa indigenous people in her region:

- » Principles: *Ama Shua* - Do not steal; *Ama Killa* - Do not be lazy or wasteful; *Ama Llulla* - Do not lie
- » Mandates: *Shuk shungulla* – one heart; *Shuk yuyailla* – one mind; *Shuk maquilla* – one hand

- » Cultural foundations: *Yachay* – knowledge; *Munay* – wanting, striving; *Ruray* – achieving; *Ushay*: physical and spiritual capacity to act; and – life and origins.

She explained that these all contribute to important ancestral practices that play an important role in indigenous people's voluntary contribution by collective action towards the CBD Aichi Biodiversity Targets. Examples are: *Minga* – community work; *Trueque* – exchange and barter; *Maquipurarina* – joint achievements; *Ranti-ranti* – a chain of exchanges of products, work, etc.; *Uniguilla* – exchange of products, livestock and crafts from different ecological zones; and *Uyanza* – donations of an animal, as 'seed funding'. Yolanda Terán stressed that mechanisms for resource mobilization (PES, in particular) need to be aligned with ILO Convention 169<sup>16</sup> and the UN Declaration on the Rights of Indigenous Peoples,<sup>17</sup> and should be directed towards meeting indigenous people's basic needs (education, health, food security, water security, a decent life) as well as the design of community protocols that respect people's values and customary practices. She said that important safeguards already exist and can be applied to protect the life, unity and survival of indigenous peoples, including these characteristic values and practices, including respect for ancestral land tenure and respect for sacred sites. Important references are CBD's Articles 8(j), 10(c), 15, the Akwé:kon Guidelines, the Bonn Guidelines, and the community protocols.<sup>18</sup>

She called for full and effective participation of indigenous peoples in the process of resource mobilization, and throughout the entire processes of the CBD. The role of women she thought is fundamental for biodiversity conservation, and must get higher attention in the CBD processes. Collective action is everyone's responsibility – it leads to Sumak Kawsay (well-being) for all humanity, the resilience of indigenous peoples and the care, respect and protection of Pachamama.

**Valentin Dagoberto Sic, representing Maya Quiche people, Totonicapán, Guatemala,** shared experiences of collective management of the 48 Cantons of Totonicapán, an area with 339,000 inhabitants, mostly indigenous.

He explained the system of traditional authorities that make up the communal government managing the department. According to the earliest records, the Quiche peoples' organizational structure dates back to 1783 –before the state of Guatemala was established. They have a general assembly made up of leaders from the 48 Cantons, and they are the voice of the people. People are selected into the roles of authority based on the knowledge they have. He explained that the role of the indigenous Maya authorities is to defend the territory and guide the people. The territory has 11,000 hectares of communal forest and the Natural Resource Board is in charge of protecting this territory. They also reinvigorate culture and language, and maintain equilibrium between the people. Valentin Dagoberto highlighted a few principles that guide the organization. They recognize the close relationship between humans and Mother Earth; they practice honesty when managing monetary funds; and they work with principles of respect, dialogue, and consensus.

Valentin Dagoberto stressed that the communities face many challenges, like forest fires, plagues, and deforestation leading to a decrease of water. He shared how the Maya conserve the forest according to their traditional practices. They ask permission and perform a ceremony before entering the forest. The communities have developed a monitoring program for the communal forest, checking for illegal logging activities, and making sure all is well maintained, in collaboration with CONAP. To illustrate collective action, he shared examples of the communal planting of new trees for territory reforestation.

16 <http://www.ilo.org/indigenous/Conventions/no169/lang-en/index.htm>

17 [www.un.org/esa/socdev/unpfii/documents/DRIPS\\_en.pdf](http://www.un.org/esa/socdev/unpfii/documents/DRIPS_en.pdf)

18 Information about CBD Objectives: <https://www.cbd.int/convention/articles/default.shtml?a=cbd-01>; CBD Articles: <https://www.cbd.int/convention/text/default.shtml>; The Akwé:kon Guidelines <https://www.cbd.int/doc/publications/akwe-brochure-en.pdf>; The Bonn Guidelines <https://www.cbd.int/abs/infokit/revised/print/factsheet-bonn-en.pdf>; and community protocols: <http://www.community-protocols.org/about/community-protocols-in-law>.

He explained that the Maya authorities are not being paid for this activity. Their position of leadership is seen as they are serving their communities. Where there is no money involved, there is no financial corruption, and this integrity is an important part of the role. He reflected on the “vara negra”, a ceremonial Maya Quiche staff that represents the authority of the collective community of these Cantons. Features of the staff are important daily reminders of the nature of authority. The holders of the staff have authority because they are servants of their people. The staff is made of wood and metal, reminding of the strength that comes with diversity. Its color is a reminder of the suffering of living under oppression, challenging the holder to strive for conditions where their people can live fully.

## Session IV

# Panel on methods for measuring and aggregating data related to Collective Action

*The facilitators for this session were Pernilla Malmer and Joji Cariño.*

*The expected outcomes were achieving a common understanding of diverse bottom-up and top-down methods and processes for measuring collective action and existing practices, and of linked ethics (for whom, by whom), as well as collecting ideas on how aggregation can be done in the CBD reporting framework for resource mobilization, and elsewhere. In addition, the session should look into how methods link to policy frameworks, legitimacy, credibility and usefulness, perspectives on top-down and bottom-up approaches, such as GIS mapping and Community Based Monitoring, and combinations thereof. The session was also expected to contribute to a common understanding of terminology and practices related to customary sustainable use and community based monitoring, and to identify critical knowledge gaps to enhance the applications.*

*This session consisted of two panels. The first four speakers dealt with bottom-up approaches, and the second set of four speakers took a top-down approach.*

## Bottom-up approaches

**Pernilla Malmer, SwedBio at Stockholm Resilience Centre, Sweden**, introduced the session, and raised the questions: why do we want to measure and aggregate data on collective action across scales, and how should this be done, and by whom? What kind of risks and opportunities are involved? And how can this work have a positive impact on customary sustainable use?

She mentioned top down versus bottom up approaches, illustrated by the CBD Aichi Biodiversity Targets, IPBES, and other international processes (e.g. ILO, UNESCO, FAO), and how information flows in both directions can be used for monitoring across international, national and local scales. She particularly focused on introducing the Multiple Evidence Base Approach (MEB)<sup>19</sup> to the participants. The point of departure of this

19 <http://stockholmresilience.org/download/18.d4ae509138dcbb8a2b87/1381790176161/knowledge-21century-malmer.pdf>; The Multiple Evidence Base approach emphasizes the complementarity of knowledge systems, without assigning any one knowledge system as the dominant one. See Tengö et al. 2014, *Ambio* 43, 579-591, [http://www.stockholmresilience.org/download/18.3110ee8c1495db744326109/1421247654519/Connecting+Diverse+Knowledge+Systems\\_MEB.pdf](http://www.stockholmresilience.org/download/18.3110ee8c1495db744326109/1421247654519/Connecting+Diverse+Knowledge+Systems_MEB.pdf)



approach is that indigenous and local knowledge and scientific knowledge are equally valid and complement each other.

She explained that the process of exploring the MEB approach started a few years ago from the Guna Yala Dialogue on connecting diverse knowledge systems, initiated by SwedBio and IIFB.<sup>20</sup> This dialogue took place in Panama in 2012, in preparation for the meeting that established the IPBES. In this process, one of the identified challenges was about validation. She explained three general approaches to connect across knowledge systems: integration, parallel approaches, and co-production of knowledge. Instead of focusing on any of these three, the MEB emphasizes a process that creates an enriched picture, based on evidence from a diversity of knowledge systems, that together contributes to enhanced understanding.

Pernilla Malmer gave the example of participatory plant breeding, where farmers' traditional knowledge about characteristics, varieties and seed selection together with scientists' knowledge about plant breeding are contributing to better seed varieties. All who are involved provide their skills on an equal level. MEB is therefore a good illustration of how the evidence for monitoring of Aichi Biodiversity Targets can be achieved.

**Gathuru Mburu, Institute of Culture and Ecology, Kenya**, presented an eco-cultural mapping process in Kenya, along the Kathita River.<sup>21</sup> The objective of this ongoing process is to recover and mobilize the communities' traditional knowledge of their river, and take collective action to recover it on their own terms. The restoration of the social-ecological system along the river, and the support of initial dialogues between knowledge systems are parts of the overall objective. The MEB approach has inspired the outline of the process.

He explained that the preparatory stage of the process consisted of community dialogues for consensus, distilling traditional ecological law, and stimulation of cross-generational learning. The next step was the development of the eco-cultural maps and a seasonal eco-cultural calendar. This involved joint problem identification and planning for monitoring the Kathita River. The participative process involved different clans who have different management responsibilities related to the sacred sites along the river.

He reported that the National Museum of Kenya has been involved in documenting the stories of the river. The communities were working with lawyers and social scientists to document traditional ecological law relevant for the governance of the river. Through their documentation, the river can be gazetted as a sacred river in the future.

Gathuru Mburu shared some initial results. The monitoring of the river is done by the community in a process also involving all concerned, including government institutions. The community now has maps of the river for the past, as well as the present and the future. It has eco-cultural calendars, important for the revival of the communities' culture, rituals, cosmovision, etc. They now have a digitized map of the river, which will potentially contribute to national aggregation of data. Other gains are that lost indigenous seeds are being recovered, and that elders and young people worked together in the eco-cultural mapping process, and areas of collaboration between genders could be highlighted.

Among his reflections were that eco-cultural mapping is a community-driven process for mobilization of people and knowledge, which leads to people believing in the potency of their traditional knowledge and builds trust among actors, making joint problem definition and analysis easier. Also, maps manifest the knowledge and understanding of territory, and enable articulation of a set of rights and responsibilities for communities that are reflected in the actions. Eco-cultural calendars support community research to

20 <http://stockholmresilience.org/download/18.d4ae509138dcbb8a2b87/1381790176161/knowledge-21century-malmer.pdf>

21 <http://www.gaiafoundation.org/mapping-sacred-sites-kathita-river-kenya>



Eco-calendar from Tharaka eco-cultural mapping. Photo: Pernilla Malmer

revive social-ecological systems as they embrace the whole “universe”, and they support the development of community ecological governance.

Gathuru Mburu also touched on future work to be done, such as the further digitizing of the maps, to contribute to the aggregation of data. Also needed is support for communities to publish materials, especially on ecological laws, and further strengthening of dialogues across the different actors with an interest in the river.

**Carmen Miranda, ICCA Consortium and SAVIA, Bolivia**, focused on the methods and tools used by the ICCA Consortium ([www.iccaconsortium.org](http://www.iccaconsortium.org)) for documentation and visualizing of Indigenous and Community Conserved Areas (ICCAs) and measurement of their contribution to conservation. She explained that ICCAs are found everywhere in the world and are extremely diverse. Yet, they have three main common characteristics:

- » A strong relationship of a community with its territory (e.g. for livelihood, history, culture, spiritual needs)
- » Communities have a governing institution in place, capable of exercising de facto (if not de jure) decision-making and implementation of decisions about how to manage the territory.
- » The community decisions and practices lead to the conservation of nature, biodiversity and associated ecological functions and cultural values.

She said that methodologies to visualize ICCA contributions involved various steps. Many grassroots discussions on ICCAs were held to find processes and indicators to allow community self-evaluation of these three characteristics. In 2007, these were tested in 20 countries and regional analyses were carried out. Since then, many more processes have been accompanied, most using visual tools for mapping ICCAs, like 3D mapping and participatory GIS.

Carmen Miranda also spoke about tools to assess the resilience and security of ICCAs. The main recording tool is a form, used as part of community discussions, to measure internal factors interfering with the three defining ICCA characteristics as well as external factors. The process has been tested in several continents and in different languages.



She further mentioned that the consortium has developed a toolkit for environmental monitoring and threats assessment. This toolkit mostly relates to the impacts of extractive industries, causing loss of knowledge, and loss of ICCAs. Bio-cultural community protocols are part of this work. Participatory video and photo stories and interactive radio programs in local languages are also produced on the threats to ICCAs and the community responses.

She explained that the ICCA consortium also helped to improve the ICCA registry, established in 2009 and now in process being fully integrated with the Protected planet database hold by UNEP-WCMC. The ICCA communities can send in their information via a simple peer review process within national ICCA networks with advice and facilitation of the ICCA Consortium and on the basis of some standard forms. The communities are the owners of the submitted information, and decide if the information is visible or hidden, and may withdraw it at any time.

She said that among the key lessons learned is that appropriate methods and tools help communities to better manage and govern their territories and resources, and to strengthen the history, culture, and self-determination processes. These tools can also better connect different communities and strengthen coordinated actions with allies.

**Celia Mahung, Toledo Institute for Environment and Development (TIDE), Belize**, an Equator Initiative prize-winner, spoke about collective action in fisheries management in Belize. Her case study was the Port Honduras Marine Reserve co-management scheme, in which TIDE and the government's fisheries departments were involved.

She first addressed why there was a need for collective action in this area. She explained that in 2009, local fishers reported an increased pressure on fish and depleting fish stocks. The Port Honduras region was an open access fishery, and more and more fishers were coming. It was clear that the local fisher folk had to do something and work together to address the problem.

She explained that community researchers, with assistance of TIDE, began monitoring the fisheries. A 'managed access' (instead of open access) committee was formed. Local leaders, fishing departments, and other partners were involved and several meetings were held to establish criteria for a fishing license. Only persons with a historical connection could get a license for commercial fishing, and they had to submit their catchment data. Also, only those who reside in Belize and sell their products in Belize would get a license. The role of the committee was to manage the license applications. After two years, this framework was presented to the government for approval and is now used for national roll-out. There is now also a cabinet paper on this. It required partnerships, including for financial and technical support, and collaboration between local and other knowledge. CBMIS also plays a role: young people are trained in monitoring.

## Discussion – Bottom-up approaches

The discussions addressed the tensions between science and traditional knowledge. Participants stressed that scientists usually say that indigenous and local knowledge needs to be "validated". Because indigenous peoples and local communities do not have that written validation, traditional knowledge is seen as a lower category of knowledge. How can we strengthen the validity of this knowledge, so that it may also be recognized on the global level by academy? Some felt that indigenous people's knowledge is just as scientific as conventional science, so should be considered as science. Others felt that traditional knowledge is already valid, and validated, under its own terms, and those terms should be accepted. One response was that recognition of traditional knowledge takes time, and requires repeating of the message many times. IPBES can be a window of opportunity for the necessary dialogue between knowledge systems given its initially promising approaches, although it is still not clear whether it is successful in managing equity in relation to indigenous and local knowledge in practise.

Other comments related to how knowledge mobilized through a Multiple Evidence Base approach could contribute to the enriched picture, still ensuring Free Prior Informed Consent. Indigenous peoples may not want to reveal all their practices or all the details of their knowledge, beliefs and actions – and there is no need for them to be revealed. Proxy indicators can be identified that show the conservation benefit of collective actions, without revealing the knowledge itself. It was agreed that choosing (proxy) indicators carefully could avoid problems and risks of exploitation.

There were more discussions about the bottom-up examples presented. The transparent way that local decisions were made about the fisheries licensing process in Belize meant that it was seen as fair and legitimate, even though some fishers were excluded as a result. Similarly, respectful dialogue helped to manage the different values addressed in the Kathita River mapping, and to bridge the different knowledge systems involved. The map of the past showed the community how the territory was before destruction set in, and this was compared to the map of the current situation. The government agreed that the river was diminishing, which meant that everyone had a common interest, and a common goal to protect the river. Mapping the vision of the future involved agreeing a set of collective actions to achieve that.

## Top-down and aggregate approaches

**Maurizio Ferrari, Forest Peoples Program, UK**, presented a comparative experience on data aggregation of customary sustainable use, noting that his presentation focused mainly on qualitative aggregation.

He briefly introduced Article 10(c) of the CBD and explained the methodology of the 10(c) Project, a process that has evolved organically over the last decade, which has centered on documentation of customary sustainable practices of indigenous peoples and local communities in seven countries. He emphasized that although this project had started off with a link to an Article in the CBD, the main reason for doing it was because it was useful for the communities, who wanted to collect this information for their own purposes. The process started with identification of researchers, discussions of ethical considerations, and determining what kinds of methods were most appropriate, such as questionnaires, mapping, interviews and historical timelines. After this, local researchers were trained and carried out fieldwork using the various selected tools. In addition, an analysis of laws and policies relevant to 10(c) and its enhanced implementation was done in all countries. The local research teams produced draft reports which were validated and presented in community meetings, and later presented to governments, civil society at national levels, and also internationally in the CBD process.

He said that locally and nationally, the case studies have been used in many ways. For example, they provide educational material, and they serve as evidence of traditional occupations, as a basis for dialogue with governments and others, and as a basis for territorial management planning, negotiations on protected areas, and the recognition of land titles. The information has also been used to engage in national discussions about better implementation of 10(c). Internationally, the studies have contributed to the development of the Plan of Action on Customary and Sustainable Use, finally adopted at CBD COP12 in October 2014. A synthesis report has been made, drawing out common elements from the different case studies. This synthesis is an example of how data aggregation can be carried out. It describes main customary uses and practices (farming, hunting, etc.) and it also focuses on the role of customary laws guiding sustainable use. It has also looked at deep values and spiritual beliefs, roles and rights underpinning customary sustainable use, and issues of decision-making, enforcement, and institutional structures.

Maurizio Ferrari noted that the handling of spatial information and data presents technical challenges. All of the partners prepared their own maps as part of the case study

documentation. The project team is now discussing how best to aggregate all the maps. Where the same technology is used, maps can be collated easily, but aggregation is more difficult when different countries and communities use different software, resolution and specifications.

**Sarah Cornell, Stockholm Resilience Centre, Sweden**, noted that assessing the role of people in shaping environmental processes is a challenge shared by the CBD and other fora dealing with global change. Lessons can be learned from fields such as climate science, where top-down modeling, large-scale geographic mapping, and satellite remote sensing methods for Earth observation are the norm. A key lesson is that although these technical approaches are now highly sophisticated ways of predicting and tracking change, the need to deal with the complexity of people's real needs and behavior remains.

She focused on Bolivia's proposed framework for assessing collective action (UNEP/CBD/COP/12/ INF/7,<sup>22</sup> see session II), viewing it through a resilience lens,<sup>23</sup> which helps in understanding change and stability of societies and ecosystems. Social systems and ecological systems are not viewed as separate; change in one component system has consequences that play out in the other.

From this academic viewpoint, a key strength of Bolivia's framework is that it combines local and large-scale methods that provide information about both social and ecological systems. In the framework, a large-scale analysis of social institutions is linked with local-scale participatory community mapping. Similarly, the large-scale physical ecosystem analysis (GIS models and maps of predicted land cover change, and observations of actual land cover) is linked with a range of options for local ecological assessment. If ecosystem degradation is predicted while observations show landscape conservation, this can be a powerful and quantifiable top-down measure of the success of collective action by communities in serving conservation objectives.

Sarah Cornell said that the framework can also be viewed from a policy process perspective. Responses to ecosystem change can target different stages:

- » The initial driving pressures in wider society – whose effects on ecosystems can be tracked remotely (nationally and internationally) using geospatial techniques;
- » The actions of resource users;
- » The impacts on local social-ecological systems themselves – that can be evaluated using a range of local surveys, interviews and assessment methods.

Changes in social and ecological processes are shaped by formal governance institutions that are already recognized, and by collective action institutions that need to be recognized. Viewed in this way, it is clear that both formal and collective action institutions need to work together for the best outcomes to be achieved.

Sarah Cornell closed by saying that the actual interactions of people with their local environment are not visible in top-down methods, but they still need to be understood so that these approaches do not introduce new unexpected risks and unwanted impacts. This means that ultimately there is no substitute for real engagement with local communities. Better, more sensitive methods are still needed to really understand the local interface.

**Beau Austin, Charles Darwin University, Australia**, spoke about the ongoing pilot project "Intensity of land use in indigenous and non-indigenous lands across the globe" headed by Stephen Garnett from Charles Darwin University, researching and collecting data on the contributions of indigenous peoples and local communities globally

<sup>22</sup> Conceptual and methodological framework for evaluating the contribution of collective action to biodiversity conservation. 2015. <https://www.cbd.int/doc/meetings/cop/cop-12/information/cop-12-inf-07-en.pdf>

<sup>23</sup> <http://www.stockholmresilience.org/21/research/what-is-resilience.html>

towards the Aichi biodiversity targets. Although indigenous peoples contribute to conservation of biodiversity, this contribution is not being adequately accounted for. The project team is therefore addressing this data and knowledge gap. The team is putting together a database on land and sea areas that mainly belong to indigenous peoples, or are managed effectively by them. The project is also studying the overlap of indigenous managed lands with the different categories of the Protected Planet database held by UNEP-WCMC ([www.protectedplanet.net](http://www.protectedplanet.net)). By improving the global evidence base for this, they aim to provide a global estimate of the contributions of indigenous peoples and local communities to biodiversity conservation.

Beau Austin explained that they are using areas of land and sea managed by indigenous peoples and local communities as a proxy of effective control, and are collecting estimates for each nation in the world. The team is using publicly available documents that give an overview of the land titles and tenure situation. The team then makes a “best guess” of the percentages or hectares, based on lowest and highest estimates. This best guess is reviewed by others, but a lot of uncertainty remains. It is very challenging to gather information on land tenure, but 234 out of 254 countries have already been assessed.

He said that a significant point is that a large proportion of indigenous people’s lands are outside official protected areas. On the other hand, one fifth of the high-protection parks have extensive use by indigenous peoples and local communities. The conclusion from the research so far is that most indigenous land and sea areas are compatible with good conservation status, and this is thus far not accurately accounted for yet on a global scale.

Beau Austin noted that ethical issues are complex to resolve in large-scale aggregation efforts, and require extensive discussion. A key issue is that the team is using publicly available national data, raising the question of whether this mapping is ethical without the specific Free Prior Informed Consent of the indigenous peoples concerned.

***Pedro Constantino, Participatory Monitoring and Management Partnership, Brazil,*** talked about the scaling up of local biodiversity monitoring to national management programs of protected areas. His point of departure was that communities are more often involved in monitoring initiatives designed to respond to local needs, and supporting local management and decision-making. As initiatives scale up, the roles of communities tend to diminish.

He addressed challenges of scaling up community-based monitoring to national management, in two ways:

- » How is (or can) information produced by participatory monitoring be used and included in management at larger scales?
- » And how can the local monitoring model be recognized by other institutions and adopted for larger-scale biodiversity monitoring?

Pedro explained that in Brazil, land and natural resource use rights for local communities are secured through the national system for demarcation of protected areas. Local communities living and using resources in protected areas share management responsibilities with the state government. Other protected areas are demarcated for strict protection, with the main goal of nature conservation. In parallel, Indigenous Lands are titled to guarantee indigenous peoples’ rights, and in these areas they have full management authority. Indigenous Land is a category of protected area that is not managed by the state, although the national government plays an important role in supporting indigenous peoples and protecting the area against encroachment.

First, Pedro Constantino shared an example from Indigenous Lands in Acre state, in Brazilian Amazonia, where the Kaxinawa community was observing a decline in abun-





Instances of dialogue. Photos, from top left: Pernilla Malmer, Pernilla Malmer, Pernilla Malmer, Eva Gurria, Pernilla Malmer, Eva Gurria, Eva Gurria, Pernilla Malmer, Eva Gurria, Maria Schultz.

dance of some key species. Supported by a local NGO but without any involvement from the state, the indigenous peoples put their internal hunting norms together and set up their own monitoring of hunting initiative. Although institutions at larger scales could benefit of having this kind of information available, there was no initial intention to scale-up. After 7 years, the initiative created local capacity and empowered the indigenous communities, but the use of information was limited to their local areas.

Secondly, Pedro Constantino spoke about the Brazilian National Program for Biodiversity Monitoring, which was developed in 2012 to monitor the biodiversity in the conservation units. This program has learned from the case of the Indigenous Lands in Acre, and from a few other participatory community-based monitoring initiatives in the country, and has followed two approaches:

The first example started with a more top-down approach, where the government together with scientific partners decided what to monitor and how. The communities participated in collecting data, but others developed the methodologies. The information produced flows from each protected area to the national office.

The second example used a more bottom-up approach, based on the formal co-management agreements with the communities in the different conservation units. The communities took the lead in the design of the monitoring program, defined the problems, and what they wanted to monitor. The methodology was developed with the support of scientists and government staff and validated by the local communities. There is now a system in which this information will be integrated to support decisions at the regional and national level, beyond the expected local application.

Pedro Constantino concluded that it is possible and necessary to scale up both the model of participatory monitoring and the information produced, but there is a need for dialogue facilitators in this process, building the bridge between the different actors and how they think and work.

## **Discussion – scaling up and aggregating**

The discussion highlighted the importance of ensuring that monitoring initiatives include tools and processes for ensuring protection and promotion of traditional knowledge and customary sustainable use, and do not just focus on the benefit of the data. It is important to recognize that mainstream policy interventions can have detrimental impacts on traditional knowledge and related practices.

The “middle space” was seen as very important. This is where dialogue happens between indigenous peoples and local communities and others, who want to figure out ways of working together around different issues, from different backgrounds. It can provide space for alternative views on what the real problems are, and for co-generation of new knowledge, supporting an enriched picture. Often there is a focus on consensus, but consensus is not always needed; different perspectives can also be helpful. The critical factor is that this dialogue takes place in good faith. An example of bad faith is when one person from one knowledge system is trying to prove to the other actors that they are wrong, exemplified with a story about a scientist that told an aboriginal woman that her way of classifying plants according to uses was wrong according to scientific taxonomy.

## Session V

# Working Groups on Methods

*The facilitators for this session were Pernilla Malmer and Joji Cariño.*

*The expected outcomes were to explore proposals on possible ways of aggregating contributions of collective action to biodiversity conservation, and how to make the values visible in a way that is ethically and methodologically feasible.*

*The questions for the working groups were:*

- » *What have participants learned that is new?*
- » *What are the possible methods for aggregation of data at different scales?*
- » *How may bottom-up and top-down methods complement each other?*
- » *What are key risks and key opportunities related to aggregating data on collective action?*

## Main outcomes

Insights from the group discussions and exchange in plenary included:

### Community monitoring

Indigenous cultures are diverse but their strengths, challenges, and needs are similar. These similarities help make their collective actions visible also when monitoring systems differ. There are valuable ecological ethics and conservation principles that indigenous peoples share, but these are generally not expressed in international contexts. These could be discussed and made visible more broadly. Here, community-based monitoring is an opportunity.

Valuing ecosystem services will always be complex, whether monitoring is done top-down or bottom-up, reflecting monetary, social, spiritual, cultural and other dimensions. The search for indicators should be rooted in human perceptions of good living, good life or happiness, such as in Bhutan (see session III).

It was noted that many methods and indicators for monitoring ecosystems and their services do not take into account traditional knowledge, even when it would be important for the result. Greater involvement of indigenous peoples in monitoring processes needs to be promoted on local, national, and international levels.

### Aggregation

Reciprocity is critical for any attempt of aggregation. The monitoring, and the sharing of data must always have a meaning for the community. In the discussion, groups put much emphasis on ensuring the respect, time, space and empowerment of the local level.

Participants saw many possible methods for aggregation of data at different scales. Groups suggested that methods should build on encouraging communities to organize, network and work together towards a common goal, to scale up community work to the national level. Aggregation based on landscape approaches include the use of bio-corridors connecting areas of high biodiversity or conservation status.

In cases where monitoring in the communities already exists, their community-level data could potentially be used as input to national level. It is always important to first



consider the needs of the community for monitoring, and based on that, find the right approach for data aggregation together with them. The resulting data may then be available, based on Free Prior and Informed Consent.

The use of GIS in many creative ways by communities and scientists alike was seen as mainly positive, and knowledge sharing about these methods for monitoring and aggregation was considered important. There are practical issues that need to be resolved. Software is different from region to region, which complicates aggregation. Also, participation and time are ongoing concerns. Bottom-up processes cannot be rushed.

### **Linking top-down and bottom-up methods**

The groups saw many opportunities for bottom-up and top-down methods to complement each other. As one group put it: the ideal method is circular, generating a dialogue of feedback and information-exchange. This was exemplified in several ways: "The top has resources and the bottom has ideas and local solutions for global problems"; "Top down can build on what has been happening at local level, and national laws can be used to leverage back at the local level"; "Bottom-up methods can validate top-down methods" and "Top down must consider the diversity of data and experiences communities are representing".

What is "legitimate" and "credible" can be points of conflict between bottom-up and top-down methods for aggregation. There is a need to ensure legitimate channels of consultation and consent processes for all stages of data collection and use.

Positive opportunities related to aggregating data from local monitoring were identified. In particular if there is interest in local community issues at the national level, this can result in confidence-building and social cohesion. It might create flows of national resources to support collective action and monitoring at the local level. Aggregation might lead to new inter-cultural space for dialogues between traditional knowledge and scientific knowledge. Exchanges could build capacities amongst all involved groups, and strengthen relationships and mutual learning between indigenous peoples and local communities, scientists and governments.

Participants also identified several risks relating to aggregation of data on collective action. Concern was expressed about how an increased emphasis on aggregation at the national level could impact the spirit and dynamics of community monitoring as such. The local communities put their heart and soul into monitoring which supports their livelihoods. There might also be vested monetary and political interests. There is a danger of misuse and misappropriation of knowledge. At the local level, the communities and their elders must have Free Prior and Informed Consent on certain information. This power risks being lost once the data is aggregated at a national level.

Misrepresentation of data in the aggregation process was also seen as a risk. The cultural context is an essential part of the knowledge, so there is a risk in taking data out of context and interpreting it using different values. In particular, scientific valuation and validation methods are not necessarily an appropriate approach for traditional knowledge. Relevant information can also easily get lost when aggregated to very general or very particular, depending on the scale and the questions. Further, the community involved in the monitoring may become invisible and not taken into account. For instance, information relating to native languages and oral tradition might not be brought back to its original language after aggregation.



## Session VI

## Panel on Indicators and equivalents – how can collective action be reported in the financial reporting framework?

*The facilitators for this session were Edgar Selvin Pérez and Maria Schultz.*

*The expected outcome was a common understanding (including of convergence and divergence in views) of how metrics and indicators could be used for including collective action in the reporting framework for national monitoring in general and the financial resource framework under the CBD in particular.*

**Yibin Xiang, Technical Support for Implementation Division, SCBD**, presented the CBD's Strategy for Resource Mobilization and Financial Reporting, recognizing that these are debated issues and the Strategy is evolving. First adopted in the 2008 COP9, there are currently fifteen indicators, with specified global funding targets with national domestic dimensions. For the period 2015-2020, the targets are to double international financial resource flows, and ensure that at least 75% of Parties have prepared national financial plans, reporting on domestic biodiversity expenditures, needs and priorities. Of these Parties, a further target is that 30% should have assessed the values. However, the trends in funding for biodiversity since 2008 have not shown the steady increase that is needed.

Yibin Xiang looked back at the Decision X/3 indicators, pointing out that no indicator exists for the contribution of collective action of indigenous peoples and local communities, although there are several places where collective action could be assessed.

He pointed to Section 4 of the Financial Reporting Framework, which requires reporting of domestic biodiversity expenditures on collective action, and requests qualitative descriptions of assessment of collective action and non-market approaches. It is apparent that it is still at the critical information-scoping stage rather than routine monitoring, because issues of the baseline, timescale, confidence level, and even the basic approach to assessment remain unclear.

He said that a CBD workshop held in Mexico City in May 2015<sup>24</sup> on financial resources and reporting emphasized the importance of assessing the contribution of collective action. The Bolivian-developed framework was presented there, with examples of potential indicators for resource mobilization (see table 2).

The inclusion of collective action means recognizing the importance of traditional knowledge for biodiversity stewardship and highlighting further sources of resources for biodiversity conservation and sustainable use.

Yibin Xiang stressed that there is currently often tension between formal policies for biodiversity resource mobilization and collective action by indigenous peoples and local communities. Channeling monetary resources into poorly understood contexts may present risks to important conservation and sustainable use activities. However, there are also many opportunities for mutually supportive approaches, where promoting collective action can make formal policies more effective and cost-efficient. These opportunities need to be harnessed.

<sup>24</sup> <https://www.cbd.int/doc/?meeting=RMEM-2015-01>; <https://www.cbd.int/doc/notifications/2015/ntf-2015-040-rm-en.pdf>. See also Online Forum on Collective Action of Indigenous People and Local Communities (1-15 May 2015) <https://www.cbd.int/financial/forumtk.shtml>.

| Module                        | Criteria  | Examples of indicators for resource mobilization  |
|-------------------------------|---|---|
| <b>Geospatial Modelling</b>   | Local resource users are able to conserve natural resources under increasing pressures from growing population and market opportunities   | Area conserved by local communities (km <sup>2</sup> )<br>Regional environmental functions and resource inventories   |
| <b>Institutional Analysis</b> | The active involvement of local resource users in the creation, monitoring and enforcement of rules associated with natural resource use and environmental functions improves the cost-effectiveness of conservation efforts both inside and outside protected areas. | Labor-equivalent indicators<br>Collective action indicators correlated to conservation<br>Contributions to local living well/human wellbeing<br>Intangible cultural and social values<br>Local environmental functions and resource inventories |
| <b>Ecological Assessment</b>  | Local protection efforts, individual or collective, improve the condition of the natural resource base.   | Resource provisioning and food security<br>Species richness<br>Conservation status  |

Table 2. Proposed metrics for quantifying local people's contribution to the conservation of biological diversity (Source: UNEP/CBD/COP/12/INF/7).

Similarly, he said, monetization can be an important way to raise the visibility of the benefits of collective action for biodiversity objectives, strengthening arguments for increased national support. However, monetization is not always culturally appropriate even if it may be useful, so care is needed to identify possible approaches for monetization that accommodate cultural needs and sensitivities.

He thought that adequate policy responses to assessments of collective action should include measures that enable indigenous peoples and local communities to maintain traditional lifestyles, strengthening Indigenous and Community Conserved Areas (as included in the UNEP-WCMC ICCA registry).<sup>25</sup> As part of these responses, traditional systems and sacred sites need formal recognition and reward – although not necessarily monetary reward.

Yibin Xiang said that in this context, the CBD Secretariat currently welcomes as much information as possible about the values of collective action,<sup>26</sup> to incorporate these values better within the financial reporting framework. Especially for non-monetary reporting, further guidance is needed so that all Parties can report more simply and consistently. Submissions are invited for the remainder of 2015, so that guidance can be developed that reflects the various levels of details that need to be considered at different stages in the reporting process, and the differences in capacity that exist among Parties.

**Viviana Figueroa, Mainstreaming, Partnerships & Outreach Division, SCBD**, set out several important ways that resource mobilization, traditional knowledge and collective action by indigenous peoples and local communities feature in the Aichi Targets:

- » The mobilization of financial resources needs to increase substantially, in line with national resource needs assessments (Target 20)
- » The full and effective participation of indigenous peoples and local communities is needed at all relevant decision-making levels, and traditional knowledge, innovations and practices of those communities should be respected (Target 18)

<sup>25</sup> [http://apps.unep.org/publications/pmtdocuments/-A%20handbook%20for%20the%20indigenous%20and%20community%20conserved%20areas%20registry-2010ICCA\\_Handbook.pdf](http://apps.unep.org/publications/pmtdocuments/-A%20handbook%20for%20the%20indigenous%20and%20community%20conserved%20areas%20registry-2010ICCA_Handbook.pdf)

<sup>26</sup> <https://www.cbd.int/financial/collectiveaction.shtml>



Mayan blessings for the dialogue. Photo: Maria Schultz

- » The values of biological diversity should be integrated into planning and poverty-reduction processes and into national accounting systems (Target 2)
- » Positive incentives for conservation and sustainable use of biodiversity should be developed (Target 3)
- » Target 4 calls for support for sustainable production and consumption within ecological limits
- » Target 13 highlights the socioeconomic and cultural values of genetic diversity
- » Target 14 is explicit about the need to take account of the needs of indigenous peoples and local communities (along with women, the poor and other vulnerable people) in ecosystem protection and restoration
- » Knowledge advances are needed about values of biological diversity (Target 19).

She said that this sequence of issues highlights several information and participation challenges for tracking progress against the Targets and enabling adequate and effective resource mobilization.

Viviana Figueroa said that important indicators relating to collective action have been included in CBD Decisions. Decision X/43 adopted as indicators the status and trends in land use change and land tenure in traditional territories of indigenous peoples and local communities, and also the status and trends in the practice of traditional occupations. Measures of respect for traditional knowledge and practices can also be evidenced through their integration, safeguarding and participation in the national applications of the Strategic Plan for Biodiversity. Trends in linguistic diversity and the numbers of speakers of indigenous languages are also useful indicators for the retention and use of traditional knowledge (Decisions VII/30 and VIII/15). Both qualitative and quantitative indicators are important for providing a rich picture of the role of traditional knowledge in biodiversity conservation and sustainable use, reflecting the realities of indigenous peoples and local communities.

**William Dunbar, United Nations University Institute for the Advanced Study of Sustainability**, presented some work of the Satoyama Initiative and described its relationship to the Resource Mobilization Framework. The Satoyama Initiative is a global effort to realize “societies in harmony with nature” through mainstreaming biodiversity into production landscapes and seascapes around the world.

Its *Indicators of Resilience* project<sup>27</sup> is an international collaborative activity, which has developed, field-tested and applied a set of 20 indicators in over 20 countries. The resilience of production landscapes depends on many interacting factors. On the social side, these include effective governance, infrastructure, social equity, income diversity, local knowledge, and other factors, in addition to biological and ecological factors. Together these confer “the capacity ... to deal with change and continue to develop ...the capacity to use shocks and disturbances to spur renewal and innovative thinking”.<sup>28</sup> The Indicators of Resilience project has developed a toolkit for local communities, to enable them to understand the status of their landscapes and seascapes, identify ways to increase the resilience of the systems, and enhance participation and communication among different stakeholders in the community. It is targeted at the local level, as a tool for local communities to use themselves – which presents questions about how local approaches can apply to global resource mobilization (Figure 7).

He explained that two indicators adopted in CBD Decision X/3 paragraph 7 are relevant. Indicator 5 mentions the “replication and scaling-up of relevant successful financial mechanisms and instruments”. Indicator 10 mentions “global initiatives that heighten awareness on the need for resource mobilization for biodiversity”.

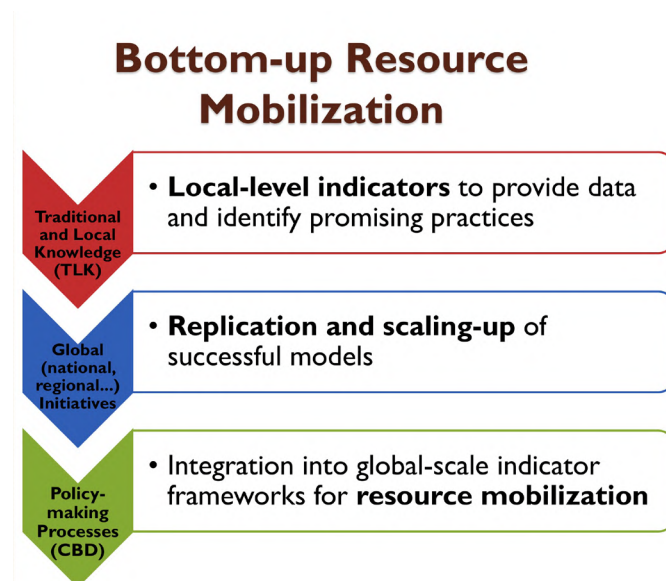


Figure 7: Bottom-up resource mobilization. Example of how local approaches to collective action can be reported in the financial reporting framework. Illustration from presentation at the seminar by William Dunbar, United Nations University Institute for the Advanced Study of Sustainability.

William Dunbar explained that a collaborative activity of the International Partnership for the Satoyama Initiative (IPSI), the Community Development and Knowledge Management (COMDEKS) Program has proven to be a successful model for replication. COMDEKS uses indicators as one step in developing a “Landscape Strategy”. This indicators assessment leads to the identification and prioritization of project opportunities,

27 <http://satoyama-initiative.org/en/developing-a-toolkit-for-indicators-for-resilience-in-socio-ecological-production-landscapes-and-seascapes/>

28 From “What is resilience? An introduction to social-ecological research”, Stockholm Resilience Centre, [http://www.stockholmresilience.org/download/18.10119fc11455d3c557d6d21/1398172490555/SU\\_SRC\\_whatresilience\\_sidaApril2014.pdf](http://www.stockholmresilience.org/download/18.10119fc11455d3c557d6d21/1398172490555/SU_SRC_whatresilience_sidaApril2014.pdf)

where small-grant funding has been available through the GEF Small Grants Program implemented by UNDP. At the start, Landscape Strategies were developed for ten countries. This has currently expanded to 20, and the model will soon also be further broadened to 32 countries.

He said that the Satoyama Development Mechanism<sup>29</sup> is another successful IPSI model for scaling up, providing seed funding of up to USD 10k to six promising projects each year. He explained that recipients are helped to develop and mobilize additional resources for their activities. This model of working has been replicated in a new GEF-Satoyama Project,<sup>30</sup> another funding mechanism launched in 2015 that aims to strengthen partnerships and generate incentives and “knock-on effects” for resource mobilization for the sustainable use of socio-ecological productive landscapes and seascapes.

**Oscar Villagrán, BIOFIN Guatemala, UNDP**, presented the Biodiversity Finance Initiative (BIOFIN) that was launched in 2012 as a global response to the challenges of delivering integrated and systematic financing for biodiversity. It provides guidance to countries about how to evaluate finance needs and how to mobilize financial resources for implementing their national strategies for biodiversity.

The Guatemala NBSAP (2012-2022)<sup>31</sup> was developed through a three-stage process. Guatemala’s National Council for Protected Areas, CONAP, and the Technical Office for Biodiversity, OTECBIO, first defined the national priority themes, in line with the Aichi Targets. Consultation workshops in cities and rural areas provided essential inputs to the final development, editing and systematic validation of the National Strategy for Biological Diversity and its Plan of Action. Guatemala’s NBSAP sets out activities under five operative strategies:

- » Territorial institutionality and the articulation of governance actors
- » Awareness and valuation
- » Sustainable productive landscapes and territorial planning for conservation
- » Attention to threats to biological diversity
- » Restoration of biological diversity and ecosystem services

He thought that an important aspect is that national progress can be seen against the Aichi Targets. In 2010, there was insufficient or non-comparable data for more than half of the Targets, and the situation was deteriorating for Targets 4, 5 and 9. By 2014, the information gaps were serious for just four targets, and good progress was made on Target 9. Three linked strands of work are currently underway to contribute to the development of the Strategy and Action Plan for Resource Mobilization, involving a review of policies, institutions and expenditure, an assessment of NBSAP costs and a finance gap analysis, and a mapping of potential actors, opportunities, mechanisms and resources.

Oscar Villagrán said that Guatemala is tackling the challenge of mobilizing resources from all sources (Aichi Target 20). In 2014, private expenditure totaled USD 31 Million, compared with public funding of USD 41 Million. The five-year plan identifies a need for USD 198 Million for the 30% of the territory that is in protected areas.

He explained that in terms of the wider policy context of biodiversity conservation and sustainable use in Guatemala, 13 national laws and 11 national policies relate to biodiversity, and the NBSAP is one of six National Strategic Objectives. Guatemala recognizes the important place of collective action of indigenous peoples and local communities in these strategic contexts.

29 <http://www.iges.or.jp/en/natural-resource/bd/sdm.html>

30 Mainstreaming Biodiversity Conservation and Sustainable Management in Priority Socio Ecological Production Landscapes and Seascapes, [https://www.thegef.org/gef/project\\_detail?projID=5784](https://www.thegef.org/gef/project_detail?projID=5784)

31 <https://www.cbd.int/doc/world/gt/gt-nbsap-v2-es.pdf>



## Session VII

# Working Groups on Indicators for Financial Resources Framework

*The facilitators for this session were Edgar Selvin Pérez and Maria Schultz.*

*The expected outcome was to find proposals of possible ways for reporting collective action in the Financial Reporting Framework.*

*The questions for the working group were:*

- » *Taking account of earlier sessions, how can collective action by indigenous peoples and local communities be reported?*
- » *Can collective action by indigenous peoples and local communities be reported as costs (expenditures) and benefits?*
- » *What units (monetary and non-monetary) can be measured and reported?*
- » *What types of relevant data can be analyzed and aggregated? For what purposes, and by whom?*

## Main outcomes

### How can collective action be measured and reported in the CBD's financial reporting framework and in national accounting, national indicators or elsewhere?

Multiple reasons for reporting mean that various measures are needed. Since COP12, Parties are requested to include collective action by indigenous peoples and local communities within the financial resource mobilization reporting under Aichi Biodiversity Target 20. In addition, Parties need to address collective action under other targets. Participants noted that some of these Targets have relevant indicators already, but additional work is needed where these indicators cannot capture collective action for the financial reporting framework.

Participants also noted the need for clarity about what resources will be reported. For example, national resources are mobilized for indigenous peoples' language, culture, and other social objectives. These also benefit biodiversity, but the links are complex. Participants reiterated the view that the resource mobilization framework should include qualitative measures as well, not only monetary and quantitative ones.

Participants also reiterated that methodological developments are needed, such as related to non-monetary measures, and linking trends in biodiversity to changes in social, cultural, spiritual, financial and other values.

Participants also reiterated that the processes of information provision and aggregation hinge on trust, at all levels, especially relating to financial issues. Locally, people will give information about their practices if they can trust the whole process. Reporting should always be subject to prior consultation and Free Prior and Informed Consent.

### Can collective action be reported as costs and benefits?

It was suggested that both costs and benefits should be reported. Costs arise (to both local and global communities) in terms of reduced biodiversity. But resource mobilization is not simply about expenditure. Related to collective action there are important opportunity costs and avoided costs, but also unrecognized benefits, given that collective actions contribute to the household economy, which benefits the national economy.



Others disagreed about reporting costs, that “cost” evokes something negative, and framing collective action this way could obstruct positive results for communities and biodiversity.

### **In what units (monetary or non-monetary, and beyond) can it be reported/measured?**

A major challenge is how to measure these costs and benefits for indigenous communities. Participants discussed techniques for arriving at indicators of quality of life, well-being and happiness, noting that these generally show the importance of human-nature relationships. But multiple reporting units are possible to develop. See table 3, regarding units discussed by the participants. Participants recognized that monetary units can be included in national financial reporting, but emphasized that these are just part of the broader economic values and other values such as cultural and social values. It was pointed out that both baseline and trends need to be analysed.

It was emphasized that cultural and social values can shape and mobilize a society’s activities completely independently of the money economy. Some argued that some aspects of collective actions can neither be assessed in monetary nor numeric terms. Cultural values and norms keep people acting collectively and respecting customary sustainable use, which shows the need for attention to what happens when cultural values are lost, in comparison with when these values are in place and supported.

It was suggested that social, cultural and other intangible values are better assessed using qualitative measures. Narratives (experiences, lessons learned) should be developed in the financial reporting framework process. They can be monitored and evaluated over time using participatory methods. Participants noted that in “process-oriented” processes (in contrast with “output-oriented” ones), this exercise of multiple-value evaluation is helpful. Bhutan shows how alternative measures can be given their due authority and legitimacy.

Participants thought that justice concerns will always arise when there is an emphasis on monetization, and therefore safeguards are needed.’



Engaged group discussions. Photo: Eva Gurria

| <b>Monetary measures – appropriate where there is direct resource use, and where the value of protected resources can be quantified</b> |   |
|---|---|
| <b>Revenue generating initiatives</b>   | Ecotourism, artisanal production, village medicine, cooperatives, community zoos, herbal parks/botanical gardens, and village medicine  |
| <b>Co-financing by indigenous peoples and local communities</b>   | Mostly in-kind, for activities such as reforestation, monitoring, recovery of traditional knowledge, etc.   |
| <b>Benefits of customary sustainable use</b>  | Food and materials from hunting, gathering, etc.  |
| <b>Replacement values</b>   | Examples: cost of ecological knowledge generation if it was done by academic researchers rather than through traditional knowledge, ecosystem service valuation   |
| <b>Quantified resource commitments – not necessarily monetised</b>  |   |
| <b>Time and effort invested</b>   | Hours of labour in collective action; potential earnings sacrificed by people engaging in traditional knowledge processes; frequency of collective actions, numbers of meetings   |
| <b>Material resources</b>   | Land area maintained, materials and equipment used, numbers of permits requested by indigenous peoples and local communities to satisfy their needs, permits issued   |
| <b>Social cohesion, which can represent both gains and losses</b>   | Costs: public costs of dealing with consequences of community displacement (e.g., health, education, slum infrastructure), costs avoided by resettlement ("Healthy country, healthy people")<br><br>Benefits: numbers of people involved in traditional knowledge and customary use, degree of participation, e.g., proportion of the community, the age profiles of participants |
| <b>Assessment of results of collective action – both quantitative and qualitative measures</b>  |   |
| <b>Community assessments</b>  | Community Based Monitoring, Community surveys (with community review), multi-criteria value assessments, measures of ecosystem services generated (e.g. water security)   |
| <b>Process indicators</b>   | Numbers of communities with community plans with a biodiversity component; existence of regulations/policies supporting community development plans and community monitoring; area of community-managed ecosystems with good conservation/sustainable use status, etc.  |

Table 3. Measures of resource mobilization.

This is an interpretation compiled by the rapporteur Sarah Cornell of the many approaches and examples mentioned by participants in their group notes. The summary group reports for the buzz sessions are available on the Dialogue website.)

### What kind of aggregation is relevant, for what purpose and for whom?

Participants noted that aggregation is challenging because it involves putting together various kinds of measurements and assessments. One approach is to seek to measure the same things in the majority of communities in the country. Countries can begin to pilot assessment with some communities.

Systematic data aggregation is important (e.g. Australia's State of the Environment Re-

port, every 5 years). Maps aggregation requires a balance between (technical) standardization and local self-determination and capacity in the mapping process.

Participants also talked about disaggregation of data, giving statistics relating to particular local issues or gender. They also noted that not all the data obtained will be analysable by means of aggregation to national levels. National metrics may not be meaningful locally, while that some locally critical issues (affecting basic survival, even) may not be visible at the aggregate level. Process indicators could be an important measure instead if e.g. one particular process exists in a country.

### What are the session conclusions?

Many groups noted that it takes time to deal with the complexity of the issues, and processes are still lacking for this. Many approaches to measuring components exist, but not for assessing the whole issue, and aggregation is a challenge. Non-monetary values should be made more visible, and the monetary values should be linked to sustainable use of biodiversity for a healthy and worthy life, in harmony and balance of Mother Earth.

Participants were clear that the money-economy is just one component of a holistic worldview. The spiritual cosmovision of indigenous peoples is highly important for conserving biodiversity, and it is not quantifiable. The right to question a methodology is vital.

They also thought that policy support is needed. Groups noted that the exercising of traditional knowledge related to conservation is tightly coupled to the territory, and territorial rights. They called for policy to enhance traditional knowledge in resource mobilization, with clear steps and guidance for state parties to engage indigenous peoples in assessing and mobilizing resources.

Biodiversity is lagging behind in resource mobilization – climate change has managed more effectively. Participants highlighted the need for indicators to show links between various national goals, like climate change, food security, conservation, land tenure, etc. This is data-heavy work, but it must be done.



View over Lago Atitlán. Photo: Polina Shulbaeva

## Session VIII

## Field Trip to San Juan la Laguna

*The facilitator for this session was José Luis Echeverría Tello.*

*The expected outcomes from the field trip were to get ideas from the group and plenary discussions from the previous days that were connected to and anchored within community realities. By interaction with indigenous peoples and local communities practicing collective action in their customary sustainable use, and contributing to biodiversity conservation, the participants were expected to get a community perspective regarding the metrics and methods discussed. It was also expected to get further progress of ideas within the group in an environment that reflects reality on the ground.*

### The field trip

The *ABS Guatemala Project* hosted a field trip to San Juan la Laguna. Guatemala was already in its rainy season, but the sun shone on Saturday morning as workshop participants took a boat journey across Lake Atitlán to the small indigenous Maya Tz'utujil town of San Juan la Laguna. The boat trip was an opportunity for everyone to experience the awe-inspiring volcanic landscape and to enjoy companionship and conversations beyond the topic of the workshop.

Participants were able to see and experience collective action in practice as their groups toured the local community of San Juan. As the boat approached the quay, local fishers came alongside in their traditional boats (photo), and described how the lake provides essential ecosystem resources for traditional Tz'utujil life. Tulle (*Typha domingensis*, or *Ch'upup*) is a wetland plant that is vital in maintaining water quality, and also has important uses as a fiber and structural material (e.g., for baskets and crafts), and for traditional medicine. The tulle also provides habitat for two species of edible crab. Collective ecosystem management systems are in place, with traditional crab and tulle harvesting areas allocated to families in the community and passed from generation to generation. The local fishers also explained that this linked social-ecological system has been vulnerable to change. Recent changes in the lake level (likely due to both climatic and geological change) affected the tulle beds, and disrupted traditional roles and practices in the community. The high level of lake pollution is also a serious external threat to the community.

When people arrived at San Juan la Laguna, groups visited several different places that demonstrated how closely traditional knowledge, culture and local biodiversity are linked.

The *Chinimaya Women's Weaving Association* demonstrated the various stages involved in creating their traditional fabrics, and explained how important weaving is to Maya cultural heritage and to everyday social life. They showed the different varieties of cotton that are used, including beige and brown colored locally endemic cotton. They demonstrated the process of creating natural dyes from diverse local plants and minerals, including some obtained by trade with other indigenous communities elsewhere. They showed how cotton is spun into yarn, dyed and then skillfully woven using traditional back-strap looms (*telar de cintura*).

At the *Community Library*, participants met community elders who shared stories of their life. These personal windows into the history of the community gave people a tangible reminder of the great depth of environmental knowledge and wisdom that elders possess. It also served as a reminder of the importance of providing opportunities and



places for traditional knowledge to be transmitted. These opportunities are at risk as communities worldwide become caught up in the rapid pace of global development. Participants also met young members of the community who are involved in learning traditional language, stories, skills and handicrafts from the elders. The cross-generational activity that the Community Library supports is seen as an important part of retrieving, respecting and valuing traditional knowledge.

On the edges of the town are *collectively managed coffee and avocado plantations*. The avocado trees provide shade and microclimate conditions that are necessary for the cultivation of coffee, a commercially important crop for the community. The avocado trees also provide many direct social benefits – food (and income), wood, the cultural value of working together and sharing goods. The plantations are biodiverse ecosystems themselves, and play an important role in maintaining the genetic diversity of the avocado.

At the community learning centre participants learned about the community seed bank of corn (maize) and cotton, seeing for themselves how many varieties exist in Guatemala alone of these globally important crops. A local community representative also talked about the ways that other local plants are used for every aspect of daily life, and how indigenous knowledge is central to the local biocultural heritage. As Lake Atitlán has become a tourist destination with a steady flow of potential customers, people are adapting some of their traditional craft skills to create products for sale.

The highlight of the day was when all participants gathered for the midday meal with community members and many of the Tz'utujil people involved in these various projects and initiatives. An elder member of the community led the music that welcomed everyone to the hall. Examples of the different food ingredients were on display, with information about them. Indigenous women in the community had prepared a plentiful traditional feast: various kinds of corn tamales, some flavored with local herbs; local leafy greens prepared in different ways using traditional seasonings; stews made with the crabs from the tulle wetlands at the lake margin; fish stews; tortillas made with local maize, and delicious local coffee. Participants extended very heartfelt gratitude to the local hosts for a memorable banquet and for an important and enjoyable cultural learning experience.

## Participant feedback

Upon return from the fieldtrip, the group reconvened for the last sessions of the dialogue workshop. First, the participants were invited to share their impression from the trip. In advance, three questions had been circulated for people to reflect on particularly during the fieldtrip:

- » What set of values do you observe connected to community life and possibly collective action in San Juan la Laguna?
- » What governance structures do you see connected to collective action? And what gender and age roles can you identify?
- » What opportunities and problems do you understand the community has, and what is the relation to collective action of contribution to sustainable use and conservation of biodiversity?

Below are some of the reflections that were shared by participants:

Participants called the trip “a holistic experience”, because they saw so many different, inter-connected activities and practices, and how collaboration and organization was performed. They reflected on the community’s production system, seed and plant conservation, communal management, and efforts to preserve their culture and knowledge. Men, women, kids, each developed their complementary role, for instance in re-

lation to the traditional food: who fetches the plants, who cooks them, serves them, etc. All this showed that collective actions contribute to a diversity of purposes in biodiversity conservation as well as to cultural values; the economic benefit is not the primary motivation.

The library made a major impression, where elders were teaching the skills to the children, that builds children's self-esteem and contributes to the protection of knowledge. It was said it is important to have a public place for this. For example the girls weaving with the elders had a big impact on many participants; it illustrated the significance of inter-generational transmission of knowledge, the continuation of practices.

Concerning examples of multiple values and collective action, participants referred to the dyeing factory, the work of the women's groups, among others, around the cotton seeds. The identification of species and varieties by the community is an example of collective action and it demonstrates the various values of genetic resources to the local people.

In particular the indigenous participants noted the striking similarities between indigenous peoples – they recognized practices in San Juan that resembled their own experiences. For instance they noted the management system for catching crab; the area is divided into individual, but not private, catching areas. For instance the Guna from Panama have a similar system: they have a plot of land, but cannot sell it, it is not private property. People were also impressed by the tree species in the fields (mango, plums, avocado etc.) and the holistic approaches: avocado is not only for eating, but the avocado also serves as shade for coffee plants and people. People recognized the areas where the crabs are growing and lay their eggs.

The organizers explained that the community went through a process of genetic and traditional resources identification and revived gastronomy. Participants praised the variety of food in San Juan. They stressed that if we can recover our food we can change poverty and shortage in nutrition. In San Juan the participants ate natural foods, prepared in clay pots. It was an inspiration for more sustainable living and eating. It was for example stressed that the home gardens are important gene banks. The organizers of the fieldtrip confirmed that in the vegetable garden, there are a diversity of useful varieties and species. This practice has a strong value for the conservation of resources, which are both important for the families and for biodiversity. Collective actions have a very unconscious nature: often people don't realize they are doing collective actions, yet they are. The community has a very intimate relation with their environment, this is an aspect of lifestyle integrated in the culture. Some participants stressed the importance of having access to resources, which is problematic for many indigenous peoples and local communities.

In conclusion, participants emphasized that there were many activities taking place in the community, that are collective actions even if people might not be conscious of that. The visit also highlighted the dilemmas of measuring or counting the contributions of collective actions. What should be counted: the number of avocados, clothes produced, intergenerational transmissions? Also, it became clear that each of the individual actions contributes to many of the Aichi Targets. We should not only focus on Target 20 on resource mobilization as a starting point. The group clearly saw a bundle of values in San Juan la Laguna, and different motivations, relating to cultural identity, economic, and others. This is well visible at the local level, but when we are moving across scales it is not so visible. For example, for some negotiators at a CBD COP meeting this local level might be distant and there might be a lack of understanding of these realities.





Memories from field trip to San Juan la Laguna.

## Session IX

## Continuation – how to proceed

*The facilitators for this session were Edgar Selvin Pérez and Maria Schultz.*

*The expected outcomes were to have explored participants' views on how to proceed with the diverse approaches, or with one methodology specifically, for CBD reporting frameworks comprising the different methodologies which could be tested and applied for the reporting framework of financial resources under CBD, and for other purposes. Another expected outcome was to explore principles and values related to the work with the frameworks methodology.*

*Session IX started with a panel of six people who shared their brief reflections on conclusions and continuation.*

**Kosalai Pargunam Raghuram, National Biodiversity Authority, Government of India**, talked about the process with the field trip to San Juan la Laguna in mind. His thought was that tourism should be encouraged in Xuanchiyoga village in order to market the products made out of the local biological resources by the community (dye and cotton weaving process). He also thought that Community Conserved Areas need to be strengthened by the community with the support of Government authorities. In addition, documentation of biological resources and associated traditional knowledge in the villages should be done. He further thought that valuing the genetic resources and traditional knowledge would benefit management and sustainable use of the resources.

**Maria Eugenia Choque, UN Permanent Forum on Indigenous Issues, and Bolivia**, said that reflections on the last few days of the work in the dialogue seminar and on the values of traditional knowledge that were discussed show that it is important to see the potential and meaning of traditional knowledge, both for indigenous peoples and for society at large. Traditional knowledge is an inter-generational knowledge, which has been transmitted amongst generations, passed on in different ways, and shared through collective action. Traditional knowledge has a collective character. Traditional knowledge can help to renovate and rescue indigenous peoples' cultures. She thought that this is a blessing, and that we have to appreciate what we have. Maria Eugenia Choque said that there is a need to develop interactive methodologies that help indigenous peoples to maintain their activities and languages as well. We all need to value indigenous people's traditional knowledge and cultures. When traditional products are sold, the prices are lower than what they should be. Traditional knowledge should also have an economic value, although we cannot put a price on our spiritual value. She said that as indigenous peoples we have to strengthen our leadership and cosmovision, and keep on building our social well-being. She stressed that time needs to be dedicated to defining what is collective well-being. The access to traditional knowledge must be based on Free Prior Informed Consent. She concluded that if we are not careful, traditional knowledge will be deteriorated.

**Gathuru Mburu, Institute for Culture and Ecology, Kenya**, stressed how important it is that all these actions are recognized by law. In Kenya, they are in the process of passing a law on community land. It will be the first time Kenya will have such a category. There is a need to look for processes like ICCA's that continue to highlight initiatives of indigenous peoples and local communities, so that their activities can be included in the national perspective. Community processes need to keep moving on; but this needs to be linked with new technologies so that there is scope for connecting with other knowledge systems. Gathuru Mburu thought that one question to face is which other groups do we want to involve in our collective actions?



**Gloria Apén, CONAP, Government of Guatemala**, said that indigenous peoples have forms of governance to manage resources, and these management systems can be visualized in their daily lives. Indigenous peoples give thanks to the ancestors for the work they did. How can these contributions of collective actions be visualized? It is important to keep in mind that it is not something new; collective action has been in place since long ago. She stressed that both qualitative and quantitative evaluation is needed and that both indigenous peoples and states should be strengthened so that a real dialogue can take place.

**Erik Gómez-Baggethun, NINA, Norway**, concluding thoughts were that there are multiple important values in ecosystems and biodiversity, including cultural, social, symbolic, ecological, and educational values. It is fundamental to recognize this diversity of values rather than trying to reduce all of them to monetary metrics. Concerning the role of indigenous peoples and local communities in terms of collective action (including reporting and accounting for), the workshop outputs must continue pushing for recognizing bio-cultural diversity, and that there are many methods and tools to account for this diversity. There is also a need to develop additional indicators. Clearly, some things need to be measured to support policy and planning, and disaggregated data are needed, but there is a limit to what can be measured. Erik Gómez-Baggethun noted a clash between cosmovisions when there is a demand to measure what some peoples consider to be incommensurable. Those who are involved in the CBD collective action assessment debates must understand these limits, and not try to quantify certain values but rather recognize them and work to establish appropriate institutions for their protection.

**Joji Cariño, Forest Peoples Program, Philippines and UK**, first reflected on the fieldtrip. She said that participants had witnessed a collective action, and also the implementation of Target 18 in the community by the people themselves. She stressed that parties need to implement UNDRIP, so that people can exercise their self-determination and self-development. Strong implementation of the CBD Target 18 is the way forward, as well as the recognition of collective actions as contributions towards all the targets. Joji Cariño saw the “intercultural space” as an important place for learning. She valued this middle space, where different thoughts and values and ways of measuring come together to discuss the way forward. This dialogue workshop has been an example of intercultural space. It has created new understandings and new ways forward for CBD implementation. Participants have been putting together their best efforts to understand these issues and to give solutions. She also underlined the importance of community-based monitoring and information systems, unless this is brought into the national framework, indigenous peoples’ and local communities’ best effort of their own experiences will not be fully communicated and understood. Their own monitoring serves their purposes in important ways, but the information must also be shared in order to transform national frameworks.



Concluding session.. Photo: Pernilla Malmer

## Summary of working group session IX

### Continuation - how to proceed

In this last group exercise, participants were asked to reflect on outstanding issues, conclusions, synthesis and ways forward. The questions for the working groups were:

- » Where is there consensus?
- » Where is there disagreement, and why?
- » How to make progress up to and at COP13?

All groups stressed that collective actions are important in contributing to conservation and sustainable use of biodiversity. Participants expressed that assessing collective action will involve costs to governments, but also brings many benefits.

It was expressed that in relation to the resource mobilization strategy, collective action can in some cases be measured in monetary terms provided that it results in sustainable use of biodiversity, but in most cases it will be as a non-monetary contribution. There was a strongly expressed view by many participants that socio-cultural values should not be measured through monetary values. Recognizing and legitimizing different forms of values were considered important: both traditional and scientific knowledge are very important in decision-making processes. There is a need to value traditional knowledge more strongly, but this should transcend monetary indicators. Also, qualitative and quantitative data have complementarities between them, so there is a need for pilot projects to assess and support the generation of multiple methodologies for reporting collective action.

There were also a number of outstanding issues that required more discussion or where participants could not agree (yet) which mostly related to the methodologies of measurement, such as:

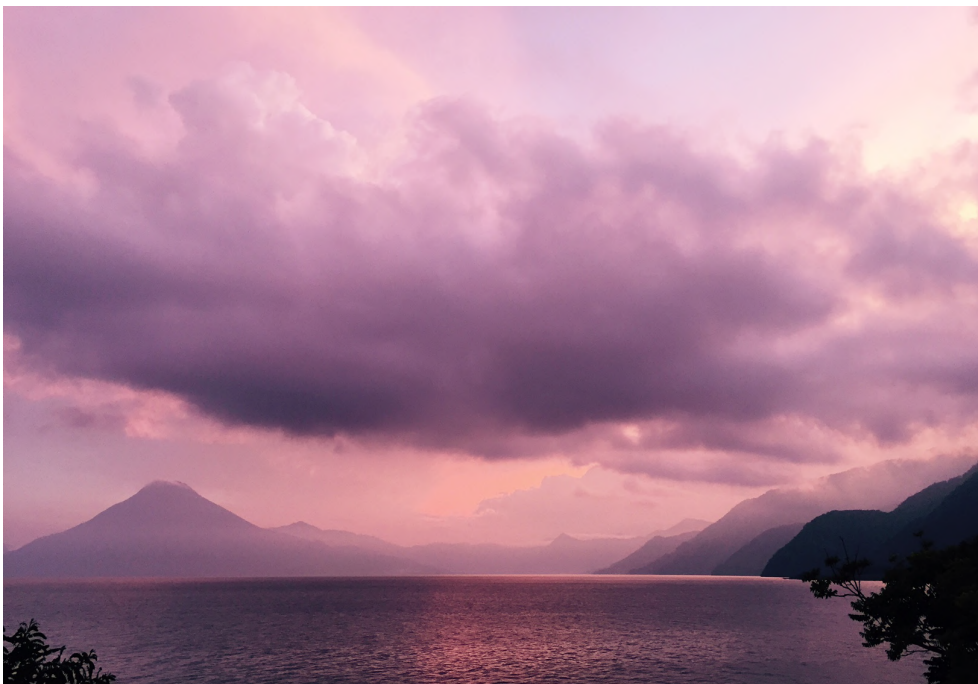
- » How can or should we measure the contribution of collective action exactly?
- » How to address the non-monetary issues and how to monitor this?
- » What potential monitoring structures and indicators to use?

Regarding how to make progress up to and at COP13, the general feeling in the seminar was that the COP12 decision should not stress and push the issue too quickly, but that more time is needed to clarify the issues. Participants thought another cycle of dialogue is needed, with involvement of more indigenous peoples and local communities participants.

It was considered that more discussion is needed on the conceptual and methodological framework suggested by Bolivia along with a diversity of other frameworks and models, a discussion that this seminar had started. It was suggested that rather than aggregating data on collective action just under Target 20 for resource mobilization, it should be addressed and visualized under all the targets in the Strategic Plan. Since the resource mobilization framework includes reporting on collective action, agreed upon in decision XII/3, technical and financial assistance is needed to indigenous peoples and local communities and for Parties in developing countries for measurement of collective action. Participants thought that it is important to support initiatives like communi-

ty-based monitoring, to help ensure that by 2016 there could be more evidence on collective actions.

It was suggested that a list of non-monetary indicators could be created, taking into consideration the difficulty, resistance or aversion to putting economic valuations on traditional knowledge, and also taking into account the difficulty to quantify it. The conceptual basis for this approach could be created with broad participation of indigenous peoples and local communities. It was considered important that internal leadership processes should be developed at the grass-roots community level, and that indigenous peoples should have clearer information at this level. At the national level, it was considered necessary to increase policy and advocacy efforts to revalue and protect traditional knowledge, and to strengthen local initiatives and processes. And at the international (CBD) level, it was considered that up to and after 2020, there is a need to develop non-monetary units and non-monetary, holistic and culturally appropriate assessments as a key component of CBD implementation.



Sunset over volcanoes. Photo: Maria Schultz



## Concluding Session

### Synthesis and way forward

In the closing session, the co-chairs of the dialogue workshop shared their reflections on the issues that had been discussed. Edgar Selvin Pérez noted that the participants broadly shared the sentiment that monetary valuation is not enough for capturing the value of collective action. He thought that the first Strategic Plan had shortcomings, and thought that there might be a need to change the way that COP is guiding the Parties, to allow more plural perspectives and values to be represented. Will the Parties continue to do business-as-usual with regard to collective action? If that is not what is wanted, then everyone involved in biodiversity conservation and sustainable use should do things differently. Edgar Selvin Pérez flagged the need to focus on the local level, and to take into account the range of holistic approaches that exist and that were discussed.

Maria Schultz clarified that the COP12 decision on collective action related to resource mobilization is open to other experiences of the assessment of collective action, and it is not suggesting that there is only one possible framework. Many questions have been placed on the table in this dialogue seminar, and these issues will be further discussed by WG8(j)-9, SBSTTA-19, and SBI-1. She thanked CONAP and Sotz'il for their hospitality, the interpreters, the note-takers, the CBD secretariat, and all participants. The hosts were given a small present, which was a greeting book about Sámi identity, written in Sámi, Swedish and English, from the Sámi people in Scandinavia.

Gloria Apén, CONAP, stressed that non-monetary indicators are needed in the Strategic Plan to effectively monitor the support of traditional knowledge. On behalf of the hosts, she also made some closing remarks, saying it had been a pleasure for the government of Guatemala to organize and host this event, and they felt proud and privileged that the meeting had taken place in Panajachel. She wished all participants safe travels home.

John Scott read out some closing remarks by CBD Executive Secretary Bráulio de Souza Dias, who expressed his regrets that he was not able to attend in person, but he was happy to receive feedback from his staff on the excellent progress. He extended his thanks to the facilitators and co-chairs and participants for their contributions. He reiterated this thanks to the 8(j) team, the Governments of Guatemala, Sweden and Japan, the European Commission, Sotz'il and CONAP. He believed it had been a productive workshop, in which over 22 presentations were made, by representatives from academia, indigenous peoples and international organizations, who all shared perspectives on values and valuation in relation to collective action. He appreciated the discussions around the resource mobilization framework, noting that it remains a challenging issue – some benefits can sometimes be measured straightforwardly, while others cannot. Further work is needed to resolve these issues, because there is a range of perspectives on costing or valuing the contributions of indigenous peoples and local communities, and clearly there is no “one size fits all” solution. Bráulio Dias commented that the good work of the participants in the dialogue workshop has advanced the thinking, and he noted that the range of options put forward by this meeting will be beneficial in many contexts. The workshop report will be made available at SBSTTA, 8(j), SBI and other upcoming CBD meetings. The information will also feed into the UN process on financing for sustainable development, as well as the Local Biodiversity Outlook process. He expressed his heartfelt thanks and said that the CBD Secretariat looks forward to the participants' continued participation.

# Annex 1: Relevant CBD Articles and Decisions

## Article 8(j)

Article 8 of the CBD<sup>32</sup> deals with In Situ Conservation, and Article 8(j) with the role of traditional knowledge in this. Subject to its national legislation, Parties should

*“respect, preserve and maintain knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity and promote their wider application with the approval and involvement of the holders of such knowledge, innovations and practices and encourage the equitable sharing of the benefits arising from the utilization of such knowledge, innovations and practices”.*

Since COP5 in 2000, Article 8(j) has a Program of Work that is crosscutting over the Convention. The PoW Article 8(j) meets every second year in between the COP meetings, in preparation of the various tasks. It has been an important point of departure for the progress made in the CBD on matters relating to traditional knowledge, with spill over and inspiration for other UN bodies also, for example in terms of procedures and the involvement of Indigenous people and local communities in international processes.

## Article 10(c)

Article 10 of the CBD<sup>33</sup> deals with Sustainable Use of Components of Biological Diversity. Article 10(c) aims to

*“Protect and encourage customary use of biological resources in accordance with traditional cultural practices that are compatible with conservation or sustainable use requirements”.*

The COP12, in its Decision XII/12, agreed on an Action Plan for Customary Sustainable Use, aiming at ensuring the efficient implementation of Article 10(c) in all the Convention's Programs of Work. This Action Plan has a strong and explicit relevance for collective action.

## Decisions from COP12

Relevant texts from key Decisions of COP12 are given below, with issues relating to Indigenous people highlighted:

### From XII/1.<sup>34</sup>

**Mid-term review of progress in implementation of the Strategic Plan for Biodiversity 2011-2020 including the fourth edition of the Global Biodiversity Outlook, and actions to enhance implementation**

13. *Emphasizing* that the specific actions needed to implement the Strategic Plan for Biodiversity 2011-2020 and to improve progress towards the Aichi Biodiversity Targets will vary with national circumstances and priorities, encourages Parties, other Governments and organizations, to make use of, in a flexible and voluntary manner, lists of key

32 <https://www.cbd.int/convention/articles/default.shtml?a=cbd-08>

33 <https://www.cbd.int/convention/articles/default.shtml?a=cbd-10>

34 <https://www.cbd.int/decision/cop/default.shtml?id=13364>

potential actions that could accelerate progress in the implementation of the Strategic Plan for Biodiversity 2011-2020, as contained in the fourth edition of the Global Biodiversity Outlook and to further develop lists of potential actions with additional key potential actions;

(h) *Traditional knowledge* – The need for better ways to include relevant indigenous and traditional knowledge systems and the collective actions of indigenous and local communities to complement scientific knowledge in support of the effective implementation of the Strategic Plan for Biodiversity 2011-2020, with the approval and involvement of the holders of such knowledge, innovations and practices;

16. *Invites* Parties, indigenous and local communities and other relevant stakeholders to collaborate with the Group on Earth Observations Biodiversity Observation Network and other relevant organizations that contribute to building observing systems and to biodiversity monitoring, to address the priority needs identified by Parties related to biodiversity observations and monitoring;

18. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice to review the main implications and findings of the fourth edition of the Global Biodiversity Outlook and its underlying technical reports as well as additional information from fifth national reports and other submissions with a view to identifying further opportunities and additional key actions, including, among others, the contributions of collective actions of indigenous and local communities for the achievement of the Strategic Plan for Biodiversity 2011-2020 and the Aichi Biodiversity Targets, and other actions for the targets where there has been the least progress at the global level, for consideration by the Conference of the Parties at its thirteenth meeting;

## From XII/3.<sup>35</sup>

### Resource mobilization

29. *Recognizes*, in the financial reporting framework, the role of collective action, including by indigenous and local communities, and non-market-based approaches for mobilizing resources for achieving the objectives of the Convention, including approaches such as community-based natural resource management, shared governance or joint management of protected areas, or through indigenous and community conserved territories and areas, and resolves to include activities that encourage and support such approaches into reporting under the Convention;

30. *Takes note* of the report “Conceptual and Methodological Framework for Evaluating the Contribution of Collective Action to Biodiversity Conservation” and its summary, and invites Parties, other Governments, and relevant stakeholder organizations to consider the following steps for its further development:

- a. To evaluate the contribution of collective action to biodiversity conservation and resource mobilization, including by establishing pilot projects, making use of, and further developing, as appropriate, the “Conceptual and Methodological Framework for Evaluating the Contribution of Collective Action to Biodiversity Conservation”, and other experiences;
- b. To provide, within available resources, financial and technical assistance to developing country Parties and Parties with economies in transition for undertaking activities referred to in subparagraph (a) above;

<sup>35</sup> <https://www.cbd.int/decision/cop/default.shtml?id=13366>

- c. To provide, through the Financial Reporting Framework and other means, information on the contribution of collective action to biodiversity conservation, including on experiences and lessons learned in applying pertinent methodologies;

31. *Requests* the Executive Secretary, subject to the availability of resources, to facilitate the exchange of views and experiences on collective action of indigenous and local communities as referred to in paragraph 30 (c) above, and make this information available through the clearing house mechanism of the Convention and to the Subsidiary Body for Implementation at its first meeting for its consideration for update and provision of relevant guidelines;

## **From XII/5.**

### **Biodiversity for poverty eradication and sustainable development**

17. Requests the Executive Secretary, subject to the availability of funding and human resources:

- a. To continue the work requested by the Conference of the Parties in decisions X/6 and XI/22, for the effective integration of biodiversity for poverty eradication and development, including the related decisions of the Conference of the Parties at its twelfth meeting;
- b. To assist Parties in disseminating and utilizing the Chennai Guidance for Implementation of the Integration of Biodiversity and Poverty Eradication contained in the annex to the present decision, and provide support in particular on cross-cutting issues, including those associated with integration of the plan of action on customary sustainable use of biological diversity in actions identified under section 3 (B) of the Chennai Guidance, and to report to the Subsidiary Body on Implementation of the Convention at its first meeting.

## **From XII/12A<sup>36</sup>**

### **Article 8(j) and related provisions**

#### *Indicators relevant to traditional knowledge and customary sustainable use*

6. *Welcomes* the work carried out under the Working Group on Indicators of the International Indigenous Forum on Biodiversity and other international organizations, and particularly the Community-Based Monitoring and Information System approach, to operationalize the indicators on the status of traditional knowledge, innovations and practices and customary sustainable use of biological diversity, to assess progress towards implementing the Strategic Plan for Biodiversity 2011-2020 and achieving the Aichi Biodiversity Targets;

7. *Requests* the Executive Secretary, in collaboration with Parties, other Governments, relevant international organizations, the Working Group on Indicators of the International Indigenous Forum on Biodiversity, the Biodiversity Indicators Partnership and interested stakeholders, and subject to the availability of resources, to continue to organize and facilitate international technical workshops and regional workshops on indicators on the status of traditional knowledge, innovations and practices and customary sustainable use and to further explore the added value of contributions from

<sup>36</sup> <https://www.cbd.int/decision/cop/default.shtml?id=13375>

indigenous and local communities' Community-Based Monitoring and Information Systems and of applying a Multiple Evidence Base approach when monitoring indicators on the status of traditional knowledge, innovations and practices and customary sustainable use, in order to assess progress towards implementing the Strategic Plan for Biodiversity 2011-2020 and achieving its Aichi Biodiversity Targets, and to inform Parties, organizations and stakeholders of progress through the Traditional Knowledge Information Portal;

8. *Requests* the Executive Secretary to transmit information on Community-Based Monitoring and Information Systems, as well as the note by the Executive Secretary on indicators relevant for traditional knowledge and customary sustainable use (UNEP/CBD/WG8J/8/9) to the IPBES Secretariat;

9. *Encourages* Parties and indigenous and local communities to consider how indigenous and local communities might effectively participate in the development, collection and analysis of data, including through Community-Based Monitoring, and further explore how indigenous and local communities' Community-Based Monitoring and Information Systems can contribute to monitoring of Aichi Target indicators, and how a Multiple Evidence Base approach be applied for validation of such data generated from diverse knowledge systems on equal terms. These efforts might contribute to future national reports and the review of the implementation of the Strategic Plan for Biodiversity 2011-2020 and achievement of its Aichi Biodiversity Targets in particular Target 18;

10. *Invites* the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES) to consider the potential contributions of Community-Based Monitoring and Information Systems (CBMIS) in meeting the objectives of the Platform when implementing work programmes of relevance such as work by the Task Force on Indigenous and Local Knowledge;

11. *Invites* the Executive Secretary of the Intergovernmental Platform Science-Policy Platform on Biodiversity and Ecosystem Services to inform the next meeting of the Working Group on Article 8(j) on their work related to traditional knowledge;

12. *Invites* members of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES) to consider the inclusion of indigenous and local community representatives, when making nominations to the Multidisciplinary Expert Panel (MEP) and other IPBES processes;

13. *Invites* Parties, Governments, relevant international organizations, indigenous and local communities, and interested stakeholders to submit information and data on status and trends in traditional occupations related to conservation and sustainable use of biological diversity and requests the Executive Secretary to make the compilation available for the consideration of the ninth meeting of the Working Group on Article 8(j) and Related Provisions;

## **From XII/12B**

### **Article 10, with a focus on Article 10(c), as major component of the program of work on Article 8(j) and related provisions of the Convention**

#### *The Conference of the Parties*

1. *Endorses* the plan of action on customary sustainable use of biological diversity, as annexed to this decision;

2. *Invites* Parties, other Governments, relevant organizations, indigenous and local communities and stakeholders to implement the plan of action on customary sustainable use of biological diversity, taking into account diverse national circumstances including



legal and policy regimes, and to report progress to the Secretariat as well as through the national reporting process;

3. *Decides* that the development and implementation of all activities of the Plan of Action on Customary Sustainable Use of Biological Diversity should be undertaken with the full and effective participation of indigenous and local communities, in particular women and youth, taking into consideration the United Nations Declaration on the Rights of Indigenous People;<sup>[1]</sup>

4. *Acknowledges* that other initiatives, such as the International Partnership for the Satoyama Initiative (IPSI), consistent with decisions X/32 and XI/25, and in accordance with other international obligations, are contributing to the facilitation of the customary sustainable use of biological diversity;

5. *Invites* Parties to include in requests to donors, support for indigenous and local communities to organize themselves, to develop community plans and protocols to document, map, and register their community conservation areas (ICCAs), as well as to prepare, implement and monitor their community conservation plans and provide support to countries to strengthen recognition of indigenous and local community conservation areas (ICCAs);

6. *Invites* Parties, other Governments, international organizations, programs and funds, [including the Global Environment Facility],<sup>[2]</sup> to provide funds and technical support to developing country Parties and indigenous and local communities for implementation of programs and projects that promote customary sustainable use of biological diversity;

7. *Requests* the Executive Secretary to compile and analyze the information received pursuant to paragraph 2 above and to make this information available to the next meeting of the Working Group on Article 8(j) and Related Provisions and through the Traditional Knowledge Information Portal of the Convention;

8. *Further requests* the Executive Secretary, in partnership with relevant organizations and subject to the availability of funding, to support implementation of the plan of action on customary sustainable use of biological diversity through organization of regional and sub-regional workshops and other capacity-building activities involving indigenous and local communities

[1] Refer to General Assembly resolution 61/295, including reservations put forward by Parties.

[2] Pending consideration of guidance to the financial mechanism under item 15.

## From XII/30.

### Financial mechanism

#### *Customary sustainable use*

1. *Invites* Parties, other Governments, international organizations, programs and funds, including the Global Environment Facility, to provide funds and technical support to developing country Parties and indigenous and local communities for implementation of programs and projects that promote customary sustainable use of biological diversity.

## Annex 2: Workshop Agenda

### Thursday, 11 June

2.00 p.m.

*Registration, coffee and tea being served*

2.30 p.m.

#### **SESSION I: Welcoming session**

*Facilitators:* Edgar Selvin Pérez and Maria Schultz

*Expected outcomes:* Participants united as a group and defining a comprehensive view of individual and collective perceptions of what collective action is from their different starting points, such as indigenous people and local communities, governments, UN organizations and scientists.

- » Opening Ceremony by Guatemalan hosts (15 min)
- » Welcome remarks, aim and overview of the workshop by Executive Secretary Braulio Dias, SCBD, and by Maria Schultz, SwedBio at Stockholm Resilience Centre, on behalf of the funders EC/Japan/Sweden (8 min)
- » Introduction of participants (10 min)
- » Explanation of the rules of the dialogue, Maria Schultz and Edgar Selvin Pérez (7 min)
- » Round table buzz: Questions: *What is collective action for you? What are your personal experiences of collective action, and what would you like the concept to embrace, from your horizon? What is your expectation on the workshop?* (50 min)

4.00 p.m.

*Leg stretching, coffee and tea*

4.15 p.m. to  
6.30 p.m.

#### **SESSION II: Introductory session**

*Facilitators:* Edgar Selvin Pérez and Maria Schultz

*Expected outcomes:* That participants have a common understanding of the background and policy framework; theoretical framework; and of conclusions in latest days training on community monitoring and information systems and customary sustainable use.

- » Key note speech, reflecting back on the outcomes of the workshop on Community Based Monitoring, Indicators on Traditional Knowledge and Customary Sustainable Use and Community Protocols within the Strategic Plan for Biodiversity 2011-2020. IPLC perspectives on the contribution by collective action to customary sustainable use, and other related contexts. (12 min)  
*Joji Cariño, Forest Peoples Programme, UK and the Philippines*
- » CBD Secretariat: Global overview of contribution of IPLCs by collective action to biodiversity conservation and the policy context. Relevant CBD decisions and reporting framework related to traditional knowledge, innovations and practices, and customary sustainable use. (7 min)  
*John Scott, Senior Programme Officer, Traditional knowledge, SCBD*

- » The policy context, relevant CBD decisions and reporting framework related to resource mobilization of the CBD.  
*Yibin Xiang, Senior Officer, SCBD (7 min)*
- » Conceptual and Methodological Framework for Evaluating the Contribution of Collective Action to Biodiversity Conservation. (12 min)  
*Sorka J. Copa Romero, Ministry of Foreign Affairs, Bolivia*
- » Discussion in plenary

Evening

*Dinner on own expenses*

## Friday, 12 June

8.30 a.m.

*Ceremony opening the day*

*Recap and introduction of the day*

8.45 a.m.

### **SESSION III: Panel on values, valuation and measuring the benefits of collective action and the contribution to biological diversity**

*Facilitators: Edgar Selvin Pérez and Maria Schultz*

*Expected outcomes:* The session will serve to place issues, perspective and worldviews on the table and if necessary clarify issues of divergence and convergence; set the basis for continued dialogue through presentations and appreciation of pluralistic views. The session will reflect on underlying values, how to value and what kind of metrics could be used for measuring collective action by indigenous peoples and local communities contribution to biodiversity, for diverse purposes.

#### **Panel Dialogue**

- » Valuation of ecosystems and biodiversity in relation to collective action.  
*Erik Gómez-Baggethun, Senior Researcher at the Norwegian Institute for Nature Research (NINA), Norway (15 min)*
- » Experience of national indicators in Bhutan.  
*Thinley Dorji, Bhutan, National Environment Commission, (8 min)*
- » Indigenous People worldviews and perspectives on collective action.  
*Yolanda Terán Maigua, ANDES CHINCHANSUYO, Ecuador (8 min)*
- » Pueblos Indígenas, Acción Colectiva y la Contribución a la Diversidad Biológica y Movilización de Recursos (Management and conservation of biodiversity in communal forests of the 48 Cantons of Totonicapán, Guatemala).  
*Valentin Dagoberto Sic, Guatemala (15 min)*

Q & A and discussion

10.15 a.m.

*Break*

10.40 a.m.

### **SESSION IV: Panel on methods for measuring and aggregating data related to collective action**

*Facilitators: Edgar Selvin Pérez and Maria Schultz*

*Expected outcomes:* Achieving a common understanding of diverse bottom up and top down methods and processes and linked ethics (for whom by whom) for measuring contribution of collective action and existing practices to biodiversity conservation, as well as exploring how aggregation of data can be done. We will look into how methods link to policy frameworks, legitimacy, credibility and usefulness, perspectives

on top down and bottom up approaches, such as GIS mapping and Community Based Monitoring, and combinations thereof. The session will also contribute to a common understanding of terminology and practices related to customary sustainable use and community based monitoring. The session would strive to identify critical knowledge gaps to enhance the applications.

**Bottom up panel (25 min presentation and 20 min discussion)::**

- » Introduction of the session, and presentation of the Multiple Evidence Base Approach to ensure legitimacy, credibility and usefulness while scaling up outcomes by collective action (6 min)  
*Pernilla Malmer, SwedBio at SRC, Sweden*
- » Eco-cultural mapping for mobilization of knowledge in a collective action for recovering Kathita River including its natural sacred sites, and its further recognition in local planning and national biodiversity conservation. (7 min)  
*Gathuru Mburu, ICE, Kenya*
- » Bottom up tools, methods and communication used by ICCA Consortium for documenting and visualizing Indigenous People and local communities' contribution to biodiversity conservation by their collective action in Indigenous and Community Conserved Areas (ICCAs). (7 min)  
*Carmen Miranda, ICCA Consortium and SAVIA, Bolivia*
- » Collective action in local biodiversity governance,  
*Celia Mahung, Toledo Institute for Development and Environment, Belize, and Equator Initiative, UNDP, (5 min)*

Plenary discussion Q & A (20 min)

**Scaling up and aggregating panel (25 min presentation and 20 min discussion):**

- » Comparative experiences on customary sustainable use and data aggregation. (7 min)  
*Maurizio Ferrari, Forest Peoples Programme and IIFB Working Group on Indicators*
- » GIS mapping and modeling as a top down method for aggregation of data related to collective action in biodiversity conservation. (4 min)  
*Sarah Cornell, Stockholm Resilience Centre, Sweden*
- » Contributions of Indigenous People to biodiversity conservation and global biodiversity targets. A pilot process of aggregation, including ethic considerations. (7 min)  
*Beau Austin, Charles Darwin University, Australia*
- » Scaling up local community-based monitoring and incorporating it in national management programs on biodiversity (7 min)  
*Pedro Constantino, Participatory Monitoring and Management Partnership. Brazil*

Plenary discussion Q & A (20 min)

12.10 p.m.

### **SESSION V: Working Groups on Methods (including lunch)**

*Facilitators:* Pernilla Malmer and Joji Cariño

*Expected outcomes:* Proposals on possible ways of aggregation of data on contributions by indigenous peoples and local communities' collective action to biodiversity conservation and sustainable use, and how to make this visible in a way that is ethically and methodologically feasible.

- » Questions prepared beforehand based on session IV two panels.
- » Questions around: Purpose of aggregation, methods to use, risks and opportunities, and conclusions. (60 min)
- » Feedback and plenary discussion (30 min)

2.00 p.m.

### **SESSION VI: Panel on Indicators and equivalents – how can collective action be reported in the financial reporting framework?**

*Facilitators:* Edgar Selvin Pérez and Maria Schultz

*Expected outcomes:* A common understanding (including convergence and divergence) of how metrics and indicators could be used for including collective action in the reporting framework for national monitoring in general and the financial resource framework under the CBD in particular.

**Panel Dialogue** (25 min presentation and 20 min discussion)

- » CBD Secretariat: Recapitulation on the financial resources framework under the CBD, and indicators for traditional knowledge, innovations and practices, and customary sustainable use (7 min)  
*Yibin Xiang, Senior Officer, SCBD; Viviana Figueroa, Programme Officer, SCBD*
- » Indicators of Resilience in Socio-Ecological Production Landscapes and Seascapes and the Resource mobilization framework,  
*William Dunbar, UNU (7 min)*
- » Biodiversity Finance Initiative, BIOFIN (7 min)  
*Oscar Villagran, Guatemala, UNDP*

Q & A (10 min)

3.30 p.m.

*Break*

4.00 p.m.

### **SESSION VII: Working Groups on Indicators for financial resources framework including coffee and tea in groups**

*Facilitators:* Edgar Selvin Pérez and Maria Schultz

*Expected outcomes:* Proposals on possible ways reporting collective action in the Financial Reporting Framework

- » Questions prepared beforehand based on panel in session VI. Questions around: How can collective action be reported in the Financial Reporting Framework, and also in national aggregated indicators, possible measurement units etc. (60 min)
- » Feed-back and plenary discussion on indicators for financial resources framework (30 min)

6.00 p.m.

Explanations about the field trip to San Juan la Laguna by Ing. Helmer Ayala, Director of ABS Project, Guatemala.

6.30 p.m.

*Dinner and cultural evening. All participants invited by the organisers*



## Saturday, 13 June

8.00 a.m. to  
3.45 p.m.

### **SESSION VIII: Field Trip to San Juan la Laguna including local lunch, practical group work and continued discussion**

*Facilitators:* José Luis Echeverría Tello

*Expected outcomes:* Getting the ideas established the days before in group and plenary discussion regarding metrics and methods from a community perspective on collective action connected and anchored with field realities, by interaction with indigenous peoples and local communities practicing collective action in biodiversity conservation in their daily life. Further progress and deepening ideas within the group in an environment that reflects reality on the ground.

- » When we arrive in the community, we will be introduced to local practices relevant to collective action, and have the opportunity to exchange with community members.
- » In the field, we will continue to discuss how, and what kind of metrics could be used for the reporting of collective action by indigenous peoples and local communities to biodiversity conservation through the resource mobilization framework under the CBD, and for national monitoring in general.
- » Participants will be divided into groups and discuss the diverse methodologies and apply them in different contexts.

4.00 p.m.

### **Feed-back from field trip and plenary discussion including coffee and tea**

Debriefing from field trip regarding exploration of metrics and methods from a community perspective on collective action, customary sustainable use and biodiversity conservation.

4.30 p.m.

### **SESSION IX: Continuation – how to proceed**

*Facilitators:* Edgar Selvin Pérez and Maria Schultz

*Expected outcomes:* To have explored participants views on how to proceed with the diverse approaches and or one methodology specifically for CBD reporting frameworks comprising the different methodologies that could be tested and applied for the reporting framework of financial resources under CBD, and other purposes, and to explore principles and values related to the work with the frameworks methodology.

#### **Panel with countries and IPLCs; 6 panelists**

- » Kosalai Pargunam Raghuram, Government of India
- » Maria Eugenia Choque; UNPFII, Bolivia
- » Gathuru Mburu, ICE, Kenya
- » Gloria Apén, CONAP, Government of Guatemala
- » Erik Gomez-Baggethun, NINA, Norway
- » Joji Cariño, Forest Peoples Programme, Philippines

Reflection in the plenary (10 min)

Working groups (60 min) Questions related to: Outstanding issues, Conclusions, Synthesis and Way Forward, Where is consensus? Where and why disagreement? How to make progress up to and at COP XIII?

Reporting by Working Groups and plenary discussion on continuation (25 min)

5.30 p.m.

**CONCLUDING SESSION: Synthesis and way forward**

---

- » Remarks/synthesis by co-chairs (6 min)
- » Way forward, John Scott, on behalf of SCBD Executive Secretary Braulio Dias (8 min)
- » Closing remarks by Guatemala on behalf of the hosts (6 min)

*Evening*

*Dinner on own expense*

## Sunday, 14 April

---

Departure day, or continuing to expert meeting on repatriation

The original agenda included a planned session, using the Open Space method to discuss any additional issues identified by participants throughout the seminar. For reasons of time and to accommodate deeper discussions in the main sessions, this session was cancelled.

## Annex 3: List of Participants

### Africa

**Edward Amankwah**

Centre for Environmental Governance  
GHANA  
ekyai@yahoo.co.uk

**George Gathuru Mburu**

Institute for Culture & Ecology  
KENYA  
gathurum@yahoo.com

**Lucy Mulenkei**

Indigenous Information Network  
KENYA  
mulenkei@gmail.com

**John Mayamiko Mawenda**

Environmental Affairs Department  
MALAWI  
mawendaj@gmail.com

**Zaninka Penninah**

UOBDU  
UGANDA  
zaninkapen@gmail.com

**Ephraim Mwepya Shitima**

Ministry of Lands, Natural Resources and  
Environmental Protection  
ZAMBIA  
emshitima40@gmail.com

### Asia and the Pacific

**Beau Austin**

Charles Darwin University  
AUSTRALIA  
Beau.Austin@cdu.edu.au

**Christine (Chrissy) Teresa Grant**

Jabalbina Yalanji Aboriginal Corporation  
AUSTRALIA  
chrissy@webone.com.au

**Thinley Dorji**

Compliance Monitoring Division National,  
Environment Commission Secretariat  
BUTHAN  
thinleydorji@nec.gov.bt;  
tdoji\_77@hotmail.com

**Kosalai Pargunam Raghuram**

National Biodiversity Authority  
INDIA  
techbs@nba.nic.in; tech@nbaindia.org

**Mrinalini Rai**

OISSI  
INDIA  
Mrinalini\_rai@yahoo.com

**Thingreiphi Lungharwo**

Asia Indigenous Peoples Pact  
INDIA  
lkthing@gmail.com

**Nik Musa'adah Mustapha**

Forest Research Institute Malaysia (FRIM)  
MALAYSIA  
musaadah@frim.gov.my

**Tui Shortland**

Nga Tirairaka o Ngati Hine  
NEW ZEALAND  
tui@repoconsultancy.maori.nz

**Florence Daguitan**

Tebtebba  
PHILIPPINES  
flor@tebtebba.org

**Jocelyn Cariño Nettleton**

Forest Peoples Programme  
PHILIPPINES  
joji@forestpeoples.org

### Central, Eastern and Western Europe

**Elena Makeyeva**

Biological and landscape diversity  
department  
BELARUS  
e.makeyeva@igc.bas-net.by

**Maurizio Ferrari**

Forest Peoples Programme  
ITALIA  
maurizio@forestpeoples.org

**Caroline de Jong**

Forest Peoples Programme  
NETHERLANDS  
caroline@forestpeoples.org

**Bente Herstad**

NORAD  
NORWAY  
Bente.Herstad@norad.no

**Erik Gómez-Baggethun**

Norwegian, Institute for Nature Research  
(NINA)  
NORWAY  
Erik.Gomez@nina.no

**Polina Shulbaeva**

Center for support of Indigenous Peoples of  
the North (CSIPN / RITC)  
RUSSIA  
pshulbaeva@gmail.com

**Maria Schultz**

SwedBio at Stockholm Resilience Centre  
SWEDEN  
maria.schultz@su.se

**Pernilla Malmer**

SwedBio at Stockholm Resilience Centre  
SWEDEN  
Pernilla.malmer@su.se

**Sarah Cornell**

SwedBio at Stockholm Resilience Centre  
SWEDEN  
Sarah.cornell@su.se

## Latin, Central America and the Caribbean

**Ruth Spencer**

Environment Division  
ANTIGUA AND BARBUDA  
ruthspencer5@gmail.com;  
rvspencer@hotmail.com

**Celia Mahung**

Equator Initiative/World Indigenous  
Network  
BELIZE  
cmahung@tidebelize.org

**Carmen Miranda**

ICCA Consortium  
BOLIVIA  
carmen.miranda@saviabolivia.org

**Maria Eugenia Choque**

Centro de Estudios, Multidisciplinarios  
Ayamara  
BOLIVIA  
maeucho@gmail.com

**Sorka Jannet Copa Romero**

Unidad Madre Tierra y Agua, de la Dirección  
General de Relaciones Multilaterales  
dependiente del Ministerio de Relaciones  
Exteriores del Estado Plurinacional de Bolivia  
BOLIVIA  
sorka.cr@gmail.com; scopa@rree.gob.bo

**Claudinei Nunes da Silva**

Interpreter  
BRAZIL  
claudinei\_nunes@yahoo.com

**Henry-Philippe Ibanez de Novion**

Genetic Heritage Department. Brazilian  
Ministry of Environment; ABS National  
Competent Authority. Genetic Heritage  
National Council – CGEN BRASIL  
henry.novion@mma.gov.br; novionh@gmail.com

**Lourdes Laureano**

Red Pacari  
BRASIL  
lourdes.pacari@terra.com.br;  
pacari@pacari.org.br

**Pedro de Araújo Lima Constantino**

Participatory Monitoring and Management  
Partnership  
BRASIL  
plconstantino@gmail.com

**Miguel Angel Pereira Guadalupe**

Organizaciones Mundo Afro  
URUGUAY  
miguelafro1@gmail.com

**Emmerson Miguel Pastás Cuastumal**

Instituto de Investigación de Recursos  
Biológicos “Alexander Von Humboldt”  
COLOMBIA  
epastas@humboldt.org.co

**Diego Lynch**

Equator Initiative/World Indigenous  
Network  
COSTA RICA  
diego@anaicr.org

**Esther Camac Ramírez**

Asociación Ixacavaa de Desarrollo e  
Información Indígena  
COSTA RICA  
ecamac@gmail.com

**Maria Alicia Eguiguren**

GEF SGP  
ECUADOR  
maria.alicia.eguiguren@undp.org

**Yolanda Teran**

ANDES CHINCHANSUYO  
ECUADOR  
yolanda.teran7@gmail.com

**Jose Lenin O'Connor**

Secretaría de Energía, Recursos Naturales,  
Ambientes y Minas  
HONDURAS  
leninoconnor@yahoo.com

**Emilia Blancarte**

MEXICO  
COP 13  
emilia.blancarte@cop13cbd.org

**Maria Andrea Pech Moo**

Equator Initiative/World Indigenous  
Network  
MEXICO  
mariandreapec22@hotmail.com

**Rosa Maricel Portilla Alonso**

CONABIO  
MEXICO  
maricel.portilla@conabio.gob.mx

**Florina Lopez Miro**

Red de Mujeres Indigenas sobre  
Biodiversidad de America Latina y el Caribe  
PANAMA  
florina.lopez@gmail.com

**Onel Masardule**

Fundacion para la Promocion del  
Conocimiento Indigena (FPCI)  
PANAMA  
masardule@gmail.com

## North America

**Myrle Ballard**

Native Women's Association of Canada  
CANADA  
myrle.ballard@umanitoba.ca

**Preston Hardison**

Tulalip Natural Resources Treaty Rights Office  
USA  
prestonh@comcast.net

**James Clark**

Interpreter  
USA  
ahora@ahoratranslations.com

## Host country

### Alvin Onofre Santos

Proyecto ABS  
GUATEMALA  
Alvin14santos@gmail.com

### Cleotilde Cu Caal

Instancia de Consenso del Pueblo Maya de  
Alta Verapaz  
GUATEMALA  
cleotildecaal@hotmail.com

### Felix Armando Sarazua

Sotz'il  
GUATEMALA  
armando.sarazua@gmail.com

### Helmer Ayala

Proyecto ABS /Conap  
GUATEMALA  
dagoayala@gmail.com

### Julia Tatiana Noack

Proyecto ABS/CONAP  
GUATEMALA  
tatiananoack@gmail.com

### Paola Coti Lux

Proyecto ABS  
GUATEMALA  
paoniz@gmail.com

### Valentin Dagoberto Sic

48 Cantones/Totonicapan  
GUATEMALA  
valentinsic@gmail.com

### Blanca Margarita Mucia

Sotz'il  
GUATEMALA  
margaritacanax@gmail.com

### Edgar Selvin Pérez

Fundacion Junej Tinam  
GUATEMALA  
chijunilito@gmail.com;  
fundacion.junej.tinam@gmail.com

### Francisco Ortiz

CONAP  
GUATEMALA  
lastiz22@hotmail.com;  
fortiz@conap.gob.gt

### Jose Fredy Quintanilla Chan

Equator Initiative/World Indigenous  
Network  
GUATEMALA  
quintanillafredy@hotmail.es

### Mauricio Jose Garcia

Proyecto ABS  
GUATEMALA  
mahuagarec@gmail.com

### Ramiro Batzin

Sotz'il  
GUATEMALA  
batzinr@gmail.com

### Yeshing Upun

Sotz'il  
GUATEMALA  
upunjuliana@gmail.com;  
sotzil@gmail.com

### Cesar Azurdia

CONAP  
GUATEMALA  
cesar.azurdia@gmail.com

### Felipe Gomez

Oxlajuj Ajpop  
GUATEMALA  
mayavisiongt@gmail.com

### Gloria Apén

CONAP  
GUATEMALA  
gloria.apen@gmail.com

### José Luis Echeverría Tello

CONAP  
GUATEMALA  
echeverriatello@gmail.com

### Oscar Villagran

BIOFIN  
GUATEMALA  
Oscar.estuardo.villagran@gmail.com

### Rosario Ujpan Pérez

Senior Program Proyecto ABS  
GUATEMALA

### Melissa Ojeda

CONAP  
GUATEMALA  
lmojedac@unal.edu.co

## UN Organisations

### Maynor Estrada

FAO  
Maynor.Estrada@fao.org

### Viviana Figueroa

SCBD  
vivifiguer@gmail.com;  
viviana.figueroa@cbd.int

### William Dunbar

UNU/IAS  
dunbar@unu.edu

### Djessy Monnier

SCBD  
Djessy.monnier@cbd.int

### Yibin Xiang

SCBD  
Yibin.xiang@cbd.int

### John Scott

SCBD  
John.scott@cbd.int

### Eva Gurria

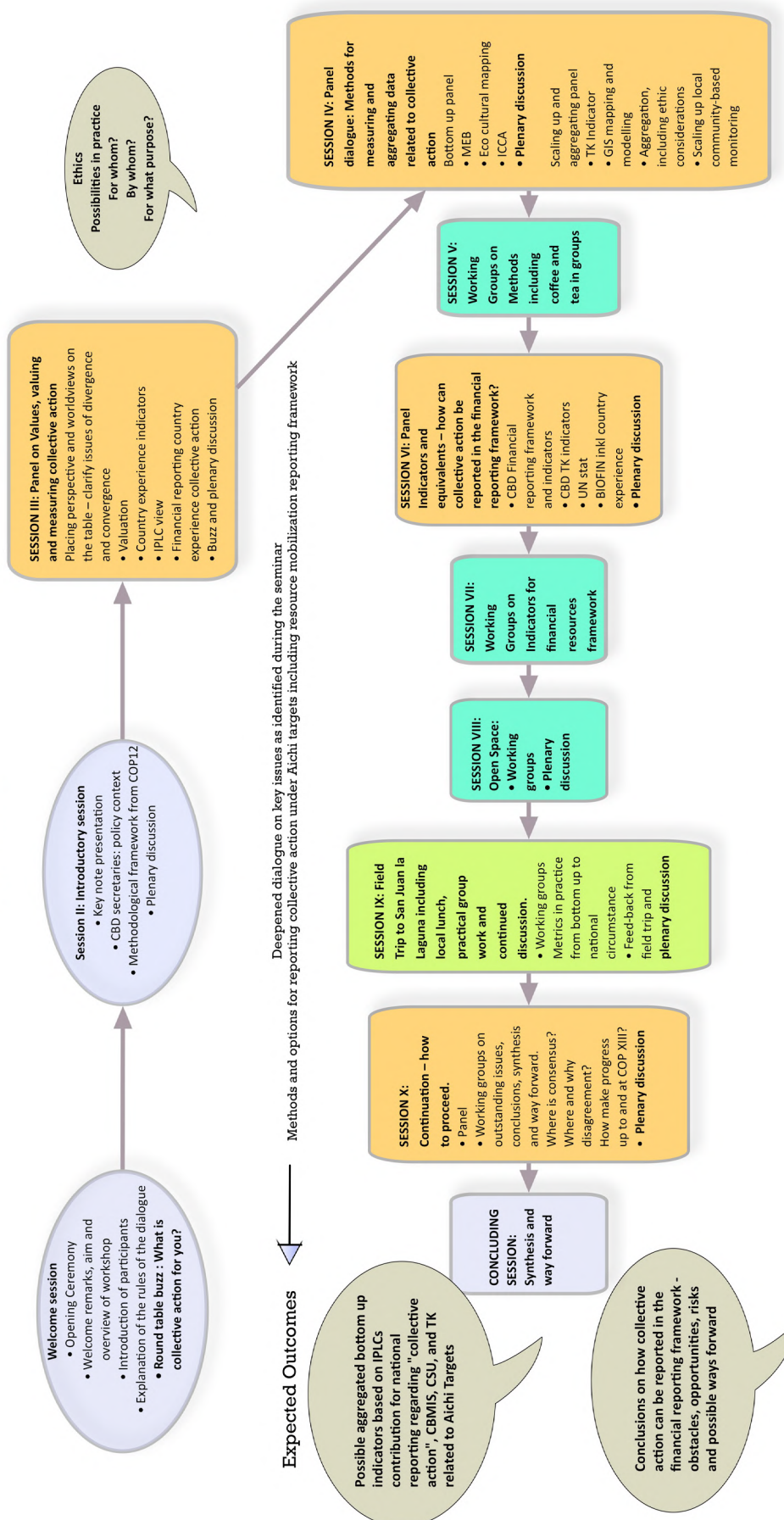
UNDP  
eva.gurria@undp.org



# Annex 4: The Dialogue 'Road Map'

## Dialogue Workshop on Assessment of Collective Action of Indigenous Peoples and Local Communities in Biodiversity Conservation and Resource Mobilization

11-13 June 2015  
Panajachel, Guatemala



## Annex 5: SwedBio dialogues<sup>37</sup>

### What is a dialogue?

The goal of SwedBio multi-actor dialogue workshops is to reach results in a specific process by contributing to enhanced dialogue and exchange of experiences and worldviews between diverse actors and knowledge systems. In most international processes and negotiations there are different views based in real differences, and knowledge gaps that have to be understood before solutions and results can be reached.

Multi-actor dialogues are based on the conviction that the participants together can craft a suite of solutions, rather than assuming there is a single answer that fits all. This approach encourages active listening with the intention to understand each other's viewpoints, find meaning and agreement, rather than listening in order to find flaws and make counterarguments. It is about revealing assumptions for re-evaluation. Three distinctive features differentiate a dialogue from a discussion; when all three are present, a conversation is transformed into a dialogue:

1. Equality and the absence of coercive influences;
2. Listening with empathy;
3. Bringing assumptions into the open.<sup>38</sup>

The dialogues are informal seminars, including their preparatory and follow-up processes. The method used involves a process with thorough consultations and interviews regarding the aim and agenda – the dialogue starts from day one in the planning process for ownership by the diverse actors involved. In other words, the inclusive planning process before a dialogue seminar and the planning of dissemination after the dialogue seminars are both vitally important.

The seminar itself consists of presentations from different views of an issue; roundtable discussions involving key actors mixing across ideological and language barriers in a well-designed manner; and open space sessions where new ideas that have not come up during the planning process are given space. The dialogues are normally held under the Chatham House rule.<sup>39</sup> Crucial elements of successful dialogues are that they are convened in a beautiful and relaxed environment that allows participants to get to know each other and build trust.

A dialogue seminar is made more widely available through a report, reflecting on the discussion without revealing the identity of the people who expressed particular ideas, except for the presentations by speakers that have agreed beforehand.

<sup>37</sup> <http://swed.bio/focal-areas/approaches/dialogues-learning/>

<sup>38</sup> Yankelovich, D.(1999). *The magic of dialogue; transforming conflict into cooperation*, Simon & Schuster, New York.

<sup>39</sup> Under the Chatham House Rule, participants are free to use the information received during the meeting, but neither the identity nor the affiliation of participants expressing a view may be revealed. The Chatham House Rule aims to encourage openness and the sharing of information by providing anonymity to speakers and allowing them to express views that may not be those of their organisations (Chatham House, 2013).

## Annex 6: Evaluation of the dialogue by the participants

30 participants answered the evaluation sheet.

### Responses on “What was positive with this dialogue?”

Generally, people expressed that the experience of learning from other participants from all over the world, with very different entrance points to collective action, was a very rich one. Many participants felt that they learned a great deal from the roundtable discussions, and from the process itself. The good quality of the presentations was also highly appreciated. The way that presentations of theories were combined with practical concrete examples was appreciated. The field trip and the interaction with the community on their experiences of collective action seem to have been the highlight of the dialogue for many. The dialogue appears also to have been a mind-opener in terms of visualizing collective action as contributing to biodiversity conservation. As one participant expressed it, *Clarification on ‘Collective action’ - which is something I have taken for granted – and dialogue with an international community of practice - have made me begin to think of ways to measure/value contributions from indigenous peoples and local communities to biodiversity conservation*

### Responses on “What could we have done better?”

On the negative side, the intense agenda over the 2,5 days was a challenge for many respondents. They expressed the view that too many presentations were squeezed in to the schedule, and more time should have been given to discussions in plenary after each presentation. The issues raised are very complex, and they need more time in order to allow more wide-ranging elaboration for each of the elements treated. Feedback also included a desire for more time for indigenous dialogue, and less time for the predefined questions. Noises from other activities taking place around the meeting room, such as music, were also mentioned, although the workshop venue as such was very much appreciated by many.

## Annex 7: Acronyms and glossary

|           |  |
|-----------|--|
| BIOFIN    | Biodiversity Finance Initiative  |
| CBD       | UN Convention on Biological Diversity                                  |
| CBMIS     | Community-Based Monitoring and Information Systems                     |
| CONAP     | Consejo Nacional de Áreas Protegidas, Guatemala                        |
| COP       | Conference of the Parties  |
| CSU       | Customary Sustainable Use of biodiversity                              |
| FAO       | Food and Agriculture Organization                                      |
| FPIC      | Free Prior Informed Consent  |
| GBO       | Global Biodiversity Outlook  |
| GIS       | Geographic Information System  |
| ICCA      | Indigenous Peoples' and Community Conserved territories and areas      |
| ICE       | Institute for Culture and Ecology                                      |
| IIFB      | International Indigenous Forum on Biodiversity                         |
| ILO       | International Labour Organization                                      |
| IP        | Indigenous Peoples   |
| IPBES     | Intergovernmental Platform for Biodiversity and Ecosystem Services     |
| IPLC      | Indigenous Peoples and Local Communities                               |
| LBO       | Local Biodiversity Outlook   |
| MAT       | Material Transfer Agreement  |
| NBSAP     | National Biodiversity Strategy and Action Plan                         |
| NIVA      | Nordic Institute for Advanced Training                                 |
| NP        | Nagoya Protocol  |
| OTCA      | Amazon Cooperation Treaty Organization                                 |
| PES       | Payment for Ecosystem Services   |
| PIC       | Prior Informed Consent   |
| REDD+     | Reducing Emissions from Deforestation and forest Degradation           |
| SBI       | Subsidiary Body on Implementation                                      |
| SBSTTA    | Subsidiary Body on Scientific, Technical and Technological Advice      |
| SCBD      | Secretariat of the Convention on Biological Diversity                  |
| SRC       | Stockholm Resilience Centre  |
| TIDE      | Toledo Institute for Environment and Development                       |
| TILC      | Traditional Indigenous and Local Communities                           |
| TK        | Traditional Knowledge  |
| UN DRIP   | UN Declaration on the Rights of Indigenous Peoples                     |
| UNEP      | UN Environment Programme   |
| UNEP-WCMC | UN Environment Programme World Conservation Monitoring Centre          |
| UNESCO    | UN Educational, Scientific and Cultural Organization                   |
| WG 8j     | Ad Hoc Open Ended Working Group on Article 8(j) and Related Provisions |
| WIPO      | World Intellectual Property Organization                               |



## Assessment of Collective Action in Biodiversity Conservation