



Ref.: SCBD/ITS/RS/ESE/fb/77838

7 October 2011

## NOTIFICATION

### GEF-6 Questionnaire for Financial Needs Assessment

Dear Madam/Sir,

I am pleased to enclose herewith a simple questionnaire (<http://www.cbd.int/financial/doc/gef-6-needs-assessment-questionnaire-en.xls>) to assist you in assessing funds needed for the implementation of the Convention for the sixth replenishment period of the Global Environment Facility (GEF-6).

The questionnaire contains five main questions which we kindly request you to answer while providing the best estimates in the absence of precise figures. This questionnaire has been designed by the five member Expert-Team established in response to Decision X/26 to prepare a report on the full assessment of funding necessary and available for the implementation of the Convention for the period July 2014 to June 2018.

In accordance with paragraph 11 of the said decision, the Expert-Team was requested to design a questionnaire on funding needs and circulate it to all Parties to the Convention, the Secretariat, and the GEF. As this assessment takes into account the *Strategic Plan for Biodiversity 2011-2020* based on its Aichi Targets, and the *Strategy for Resource Mobilization* with its specific missions and goals (Decision X/3 and IX/11), the questionnaire has carefully included these aspects.

Your input to this assessment is extremely valuable for the Convention and its financial mechanism. You are therefore invited to submit your input and any comments or documents to the Expert-Team through the Secretariat at [GEF6.Needs@cbd.int](mailto:GEF6.Needs@cbd.int) at your earliest convenience but no later than **30 November 2011**.

Please accept, Madam/Sir, the assurances of my highest consideration.

Yours sincerely,

Ahmed Djoghlaif  
Executive Secretary

Enclosure

To all CBD National Focal Points

## ANNEX I

### A) The present document contains:

**1) Table 1: Indicative Classification of Biodiversity Activities (found in this document)**

- This document is useful for the first two and the last two questions of the questionnaire on financial needs assessment by the objectives of the Convention.

**2) Decisions COP-10 Decision X/26, X/3 and COP-9 Decision IX/11 (found in this document)**

**3) Articles mentioned in the Strategic Plan for Biodiversity 2011-2020 (found in this document)**

- These documents (2) and (3) are useful for the target by target financial needs assessment part of the questionnaire.

**4) For details about the Aichi Targets and technical rationale:**

<http://www.cbd.int/sp/targets/rationale/>

**5) For Incremental cost reasoning of GEF funding:**

[http://www.thegef.org/gef/policy/incremental\\_costs](http://www.thegef.org/gef/policy/incremental_costs)

**6) More COP decisions are found at: <http://www.cbd.int/decisions/>**

**7) Additional Articles are found at: <http://www.cbd.int/convention/text/>**

### B) Strategic Plan for Biodiversity 2011-2020 and National Biodiversity Strategies and Action Plans (Attached separately)

- In this document, each of the 20 Aichi Targets is specified avec examples of activities and what Parties and stakeholders can do to prepare for the achievement of the objectives by 2020;
- This document is useful for the target by target financial needs assessment part of the questionnaire.

## 1) Table 1: Activity Classification

Please use this table to fill questions 1-2 and 4-5. A brief description of each of the categories as well as an indicative list of the actions that could be considered under each category is provided below. Please select all that apply to your case and do not hesitate to add additional ones that apply to your case, by living us a note in the comment section.

Activity classification			
1. Biodiversity protection	2. Policy development and administration	3. Sustainable use and management	4. Sustainable production and consumption
<p>Activities where biodiversity protection is the main purpose, such as activities funded by environmental agencies that directly and intentionally impact biodiversity.</p> <p>Activities related to Articles 6-9 and 12-21 of the Convention as well Targets 9, 11-13 and 16-20 of the Strategic Plan</p>	<p>Activities related to policy development and administration carried out in part or entirely by environmental agencies</p> <p>Activities related to Articles 6-9 and 12-21 of the Convention as well Targets 9, 11-13 and 16-20 of the Strategic Plan</p>	<p>Activities related to sustainable use and sustainable management that have co-benefits for biodiversity. Activities under this category would generally be lead by agencies outside of the environmental sector</p> <p>Activities related to Articles 8, 10 and 11 of the Convention as well Targets 5-8, 10, 14 and 15 of the Strategic Plan</p>	<p>Activities related to sustainable production and consumption where the responsibility lies with multiple government entities, the private sector and the general public.</p> <p>Activities related to Articles 11 and 12-21 of the Convention as well Targets 1-4 of the Strategic Plan</p>
<p><b>1. 1. Safeguarding biodiversity</b></p> <p>1.1.1 in situ/ex situ conservation</p> <p>1.1.2 Protected areas</p> <p>1.1.3 Maintaining genetic diversity</p> <p>1.1.4 Addressing threats from invasive alien species</p> <p>1.1.5. Addressing threats to specific ecosystems and/or species</p>	<p><b>2.1. Biodiversity Planning</b></p> <p>2.1.1. NBASP development</p> <p>2.1.2. CHM related activities</p> <p><b>2.2. Access and Benefit Sharing</b></p> <p>2.2.1. ABS frameworks</p> <p><b>2.3. Biosafety</b></p> <p>2.3.1. Biosafety frameworks</p>	<p><b>3.1. Sustainable management of ecosystems</b></p> <p>3.1.1. Sectoral measures to promote biodiversity conservation and sustainable use within productive sectors (agriculture, forestry, aquaculture, fisheries, etc)</p> <p>3.1.2. Sectoral measures to conserve water and prevent pollution</p> <p><b>3.2. Land use and climate related activities</b></p> <p>3.2.1. Managing land use to protect biodiversity, mitigate climate change and increase resilience</p>	<p><b>4.1. Measures in the wider economy and society</b></p> <p>4.1.1. Planning, fiscal and regularity measures to promote sustainable consumption and production</p> <p>4.1.2. Broad scale public awareness and education measures.</p>

## 2) Decisions COP-10 Decision X/26, X/3 and COP-9 Decision IX/11 (found in this document)

### COP 10 Decision X/26

#### *X/26.The financial mechanism: Assessment of the amount of funds needed for the implementation of the Convention for the sixth replenishment period of the Global Environment Facility Trust Fund*

*The Conference of the Parties,*

1. *Adopts* the terms of reference for a full assessment of the amount of funds that are necessary to assist developing countries and countries with economies in transition, in accordance with the guidance provided by the Conference of the Parties, in fulfilling their commitments under the Convention for the sixth replenishment period of the Global Environment Facility Trust Fund, as contained in the annex to the present decision;

2. *Requests* the Executive Secretary to ensure completion of the assessment according to the terms of reference, in time for consideration by the fourth meeting of the Ad Hoc Open-ended Working Group on Review of Implementation of the Convention, and subsequently by the Conference of the Parties at its eleventh meeting;

3. *Invites* Parties to expedite the development of country-specific resource mobilization strategies as part of revised national biodiversity strategies and action plans in response to the Strategic Plan for Biodiversity 2011-2020, and, for developing country Parties and Parties with economies in transition, to identify related national funding priorities, including nationally prioritized funding needs that could be considered as eligible for funding under the financial mechanism specifically for the period July 2014-June 2018;

4. *Requests* the Executive Secretary to include the consideration of funding needs assessments in relevant regional and subregional workshops in order to facilitate regional and subregional consultations;

5. *Decides* to transmit to the Global Environment Facility the assessment of the amount of funds, as determined by the eleventh meeting of the Conference of the Parties, that are necessary to assist developing countries and countries with economies in transition, in accordance with the guidance provided by the Conference of the Parties, in fulfilling their commitments under the Convention over the sixth GEF replenishment cycle, for consideration by the Global Environment Facility, so that the Facility will in its regular report to the Conference of Parties indicate how it has responded during the replenishment cycle to the previous assessment by the Conference of the Parties.

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*Annex*

#### **TERMS OF REFERENCE FOR A FULL ASSESSMENT OF THE AMOUNT OF FUNDS NEEDED FOR THE IMPLEMENTATION OF THE CONVENTION FOR THE SIXTH REPLENISHMENT PERIOD OF THE TRUST FUND OF THE GLOBAL ENVIRONMENT FACILITY**

##### **Objective**

1. The objective of the work to be carried out under the present terms of reference is to enable the Conference of the Parties to make an assessment of the amount of funds that are necessary to assist developing countries and countries with economies in transition, in accordance with the guidance provided by the Conference of the Parties, in fulfilling their commitments under the Convention over the sixth GEF replenishment cycle, and determine the amount of resources needed, in accordance with Article 21, paragraph 1 and [decision III/8](#);

##### **Scope**

2. The assessment of funding needs for the implementation of the Convention should be comprehensive and primarily directed towards assessing total funding needs required to meet agreed full incremental costs of measures developing country Parties and Parties with economy in transition, in accordance with the guidance provided by the Conference of the Parties, shall implement to fulfil their obligations under the Convention for the period July 2014-June 2018.

### **Methodology**

3. The funding needs assessment should take into account:

- (a) Article 20, paragraph 2, and Article 21, paragraph 1, of the Convention, and the Strategic Plan for Biodiversity 2011-2020;
- (b) Guidance to the financial mechanism from the Conference of the Parties which calls for future financial resources;
- (c) All obligations under the Convention and relevant decisions adopted by the Conference of the Parties;
- (d) The information communicated to the Conference of the Parties in the national reports submitted in accordance with Article 26 of the Convention;
- (e) Rules and guidelines agreed by the GEF Council for determining eligibility for funding of projects;
- (f) National strategies, plans or programmes developed in accordance with Article 6 of the Convention;
- (g) National strategies, plans or programmes developed in accordance with Article 6 of the Convention;
- (h) Experience gained by those concerned in the implementation of projects, and those responsible for conducting needs assessment reports under the United Nations Framework Convention on Climate Change, the Montreal Protocol on Substances that Deplete the Ozone Layer and the Stockholm Convention;
- (i) Experience to date, including limitations and successes of projects funded by the Global Environment Facility, as well as the performance of the Facility and its implementing and executing agencies;
- (j) Synergies with other GEF-funded Conventions.

### **Procedures for implementation**

4. Under the authority and with the support of the Conference of the Parties, the Executive Secretary shall contract a team of five experts, with two from developing country Parties, two from developed country Parties, and one from international non-governmental organization, to prepare a report on the full assessment of funding necessary and available for the implementation of the Convention for the period July 2014 to June 2018, in accordance with the above objective and methodology.

5. In preparing the assessment report, the expert team should undertake such interviews, surveys, quantitative and qualitative analyses, and consultation, as may be required, including:

- (a) Compilation and analysis of the needs identified in national biodiversity strategies and action plans, including country-specific resource mobilization strategies, prepared by Parties pursuant to Article 6 of the Convention;
- (b) Review of reports submitted by Parties pursuant to Article 26 of the Convention to identify funding needs in fulfilment of their obligations under the Convention;
- (c) Estimated financial implications of guidance to the financial mechanism from the Conference of the Parties;
- (d) Experience to date in the provision of funds by the financial mechanism for each replenishment period;
- (e) Additional funding needs for the period July 2014-June 2018 arising out of the national implementation of the Strategic Plan for Biodiversity 2011-2020;

(f)Compilation and analysis of any supplementary information provided by Parties which are developing countries or countries with economies in transition on their funding needs for the implementation of their obligations under the Convention.

6. The Global Environment Facility and the Executive Secretary should conduct a review of the draft assessment reports of the expert team to ensure accuracy and consistency of approach and data.

7. The Executive Secretary shall strive to ensure that the assessment report of the expert team will be distributed to all Parties one month before the fourth meeting of the Ad Hoc Open-ended Working Group on Review of Implementation of the Convention.

8. The fourth meeting of the Ad Hoc Open-ended Working Group on Review of Implementation of the Convention should consider the expert team's assessment report and make recommendations for consideration by the eleventh meeting of the Conference of the Parties.

9. The Conference of the Parties at its eleventh meeting will make a decision on the assessment of the amount of funds that are necessary for the implementation of the Convention for the sixth replenishment period of the Trust Fund of the Global Environment Facility, and communicate the results to the Global Environment Facility accordingly.

#### **Consultation process**

10. In preparing the assessment report, the expert team should consult widely with all relevant persons and institutions and other relevant sources of information deemed useful.

11. The expert team shall design a questionnaire on funding needs for the period July 2014-June 2018 and circulate it to all Parties to the Convention, and the secretariat, Evaluation Office and agencies of the Global Environment Facility, and include the results in the assessment report.

12 Interviews and consultation meetings should be organized with participation of at least relevant key stakeholders, including major groups of Parties, the Convention Secretariat, as well as the secretariat, Evaluation Office and agencies of the Global Environment Facility

13.As far as possible, the expert team should endeavour to undertake regional and subregional consultations, taking advantage of regional and subregional workshops organized by the secretariats of the Convention and the Global Environment Facility during the study period.

14.The approaches to assessing the funding necessary and available for the implementation of the Convention should be transparent, reliable and replicable, and demonstrate clear incremental cost reasoning in accordance with Article 20, paragraph 2, taking into consideration information gathered from other international funds serving conventions and information submitted by Parties in the application of concept of incremental costs as well as current rules and guidelines of the Global Environment Facility as approved by Council of the Global Environment Facility.

15.The expert team should address additional issues that may be raised by the fourth meeting of the Ad Hoc Open-ended Working Group on Review of Implementation of the Convention during its consideration of the assessment report.

## **COP 10 Decision X/3**

### ***X/3.Strategy for resource mobilization in support of the achievement of the Convention's three objectives***

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

*The Conference of the Parties,*

*Recalling* the strategy for resource mobilization in support of the achievement of the Convention's objectives adopted in [decision IX/11 B](#),

*Having considered* [recommendation 3/8](#) of the third meeting of the Ad Hoc Open-ended Working Group on the Review of Implementation of the Convention,

*Reaffirming* the commitment of Parties to meet the obligations set out in the provisions of Article 20 of the Convention and in accordance with the Rio Principles,

*Emphasizing* that any new and innovative funding mechanisms are supplementary and do not replace the financial mechanisms established under the provisions of Article 21 of the Convention,

*Bearing in mind* the Strategic Plan for Biodiversity 2011-2020,

1.*Invites* Parties that have not done so to appoint a “resource mobilization focal point” to facilitate national implementation of the strategy for resource mobilization;

2.*Reiterates* that national implementation of the strategy for resource mobilization should include, as appropriate, the design and dissemination of a country-specific resource mobilization strategy, with the involvement of key stakeholders, in the framework of updated national biodiversity strategy and action plans;

3.*Requests* the Executive Secretary, subject to the availability of resources, to organize regional and subregional workshops to assist with the development of country-specific resource mobilization strategies, including for indigenous and local communities, as part of the process of updating national biodiversity strategy and action plans, to promote exchange of experience and good practice in financing for biological diversity, and to facilitate the national monitoring of the outcomes of country specific resource mobilization strategies;

4. *Requests* the Global Environment Facility to provide timely and adequate financial support for updating national biodiversity strategies and action plans, which may include the development of country-specific resource mobilization strategies;

5. *Decides* that the global monitoring reports on the implementation of the strategy for resource mobilization should be prepared in time for consideration by the Conference of the Parties at its ordinary meetings, with national and regional participation, and should provide essential information on the status and trends in biodiversity financing and help to disseminate funding knowledge and know-how as related to biodiversity;

6. *Requests* the Executive Secretary, within available resources, to undertake concrete activities and initiatives to achieve the strategic goals of the strategy for resource mobilization, which could include, *inter alia*, the following:

(a)Periodic global monitoring reports on the implementation of the strategy for resource mobilization;

(b)Regional or subregional workshops to assess funding needs and identify gaps and priorities;

(c)Global support to the development of national financial plans for biodiversity;

(d)Continuation of the Development and Biodiversity Initiative;

(e)Further activities on new and innovative financial mechanisms;

(f)Training for resource mobilization focal points;

(g)Global forums on biodiversity and associated ecosystem services;

7. *Adopts* the following indicators for monitoring the implementation of the strategy for resource mobilization, based on its mission and eight goals:

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

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

(2) Number of countries that have:

- (a) Assessed values of biodiversity, in accordance with the Convention;
- (b) Identified and reported funding needs, gaps and priorities;
- (c) Developed national financial plans for biodiversity;
- (d) Been provided with the necessary funding and capacity-building to undertake the above activities;

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

(4) Amount of funding provided through the Global Environment Facility and allocated to biodiversity focal area;

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

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

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

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

(9) Amount and number of South-South and North-South technical cooperation and capacity-building initiatives that support biodiversity;

(10) Number of global initiatives that heighten awareness on the need for resource mobilization for biodiversity;

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

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

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

(14) Number of initiatives, and respective amounts, supplementary to the financial mechanism established under Article 21, that engage Parties and relevant organizations in new and innovative financial mechanisms, which consider intrinsic values and all other values of biodiversity, in



accordance with the objectives of the Convention and the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of the Benefits Arising out of Their Utilization;

(15) Number of access and benefit-sharing initiatives and mechanisms, consistent with the Convention and, when in effect, with the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of the Benefits Arising out of Their Utilization, including awareness-raising, that enhance resource mobilization;

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

(a) Invites Parties and other Governments to implement the indicators set out in paragraph 7 and associated targets following collection of information from the Parties and advice of the Executive Secretary to the Conference of the Parties at its eleventh meeting, consistent with target 20 of the Strategic Plan for Biodiversity 2011-2020, in accordance with the process below;

(b) Invites Parties, other Governments and levels of governments, relevant international organizations, and civil-society organizations, in response to the indicators contained in paragraph 7 above and other information pertinent to the indicators, to submit information not later than 30 June 2011 for the Executive Secretary to compile and present a synthesis of this information;

(c) Invites Parties, relevant organizations and initiatives, such as the World People's Conference on Climate Change and the Right of Mother Earth, to submit information concerning innovative financial mechanisms that have potential to generate new and additional financial resources as well as possible problems that could undermine achievement of the Convention's three objectives, not later than 30 June 2011, for the Executive Secretary to compile and present a synthesis of this information;

(d) Requests the Executive Secretary to compile information from all sources, including but not limited to the Biodiversity Indicator Partnership, to give methodological guidance to the above indicators, including collaborating with the Development Assistance Committee of the Organization for Economic Co-operation and Development (OECD/DAC) and informed by the work of the ad hoc technical expert group on indicators for the Strategic Plan for Biodiversity 2011-2020;

(e) Requests the Executive Secretary to provide guidelines to the Parties during 2011 for the implementation of this methodology on the application of indicators and establishment of a baseline year;

(f) Invites Parties to apply the methodology during 2011-2012 to measure gaps and needs as well as progress in the increase in, and mobilization of, resources against the indicators set out in paragraph 7 of the present decision, using the baseline year established above;

(g) Invites Parties to present relevant information to the Secretariat in a timely manner;

(h) Requests the Executive Secretary to compile and consolidate information from all relevant sources, and on this, determine baselines to be presented to the Conference of the Parties at its eleventh meeting for agreement by the Parties;

(i) Decides to adopt targets at its eleventh meeting, provided that robust baselines have been identified and endorsed and that an effective reporting framework has been adopted. This will allow progress towards the targets set out in this decision and towards target 20 of the Strategic Plan, including an effective reporting framework, to be used in assessing the information provided by Parties as outlined in this decision for the consideration of the Conference of the Parties at its eleventh meeting;

9. *Considers* the following for the development of targets:

(a) Increase the annual international financial flows by 2020 to partner countries to contribute to achieving the Convention's three objectives.

(b) All Parties provided with adequate financial resources, will have, by 2015:

- (i) Reported funding needs, gaps and priorities;
  - (ii) Assessed and/or evaluated the intrinsic value, ecological, genetic, social economic, scientific, educational, cultural, recreational and aesthetic values of biological diversity and its components;
  - (iii) Prepared national financial plans for biodiversity;
- (c) Increase the number of initiatives for the removal, reform or phase-out of incentives, including subsidies harmful to biodiversity, which could be used for the promotion of positive incentives that are consistent and in harmony with the Convention and other international obligations;
10. *Invites* Parties to submit, through the Executive Secretary, information to the Working Group on Review of Implementation regarding their views about the basis upon which targets are to be adopted at eleventh meeting of the Conference of the Parties;
11. *Recognizing* that many developing countries have undertaken analyses of the values of their biodiversity and are working to close the financial gap to effectively conserve their biological resources, invites Parties to share their experiences and lessons learned, and calls upon developed countries to respond to the needs identified, and to create enabling conditions for those countries yet to undertake such analyses to identify their respective needs.
12. *Invites* the Development Assistance Committee of the Organization for Economic Co-operation and Development to revisit the Rio Markers with a view to provide methodological guidance and coherence in support of paragraph 7, indicator 1 (a);
13. *Notes with appreciation* the "Policy statement on the integration of biodiversity and its associated ecosystem services into development co-operation" by the Development Assistance Committee of the Organization for Economic Co-operation and Development at its senior-level meeting on 15 April 2010;<sup>22</sup>
14. *Stresses* the importance of mobilizing the necessary resources for mainstreaming biodiversity in national strategies for sustainable development and poverty reduction strategies in order to integrate biodiversity better in the national, regional and local decision-making processes, in the light of this strategy for resource mobilization;
15. *Invites* donor Parties to provide timely and adequate financial support to the realization of the concrete activities and initiatives to achieve the strategic goals of the strategy for resource mobilization.

***B. Review of implementation of the Convention's strategy for resource mobilization (goals 1, 3 and 4, as well as goals 6 and 8)***

*The Conference of the Parties [to the Convention on Biological Diversity]*

1. *Takes note*<sup>23</sup> of the note pertinent to goals 1, 3 and 4 as well as goals 6 and 8 of the resource mobilization strategy in support of the achievement of the Convention's three objectives, prepared by the Executive Secretary, in accordance with paragraph 5 of [decision IX/11 B](#);
2. *Decides* to continue the review of implementation of goals 1, 3 and 4 as well as goals 6 and 8 of the Convention's strategy for resource mobilization at the twelfth meeting of the Conference of the Parties, in accordance with [decision IX/11 B](#);
3. *Requests* the Ad Hoc Open-ended Working Group on the Review of Implementation of the Convention at its fourth meeting, with support of the Executive Secretary, to prepare for reviews of implementation of the Convention's strategy for resource mobilization to be undertaken by the eleventh meeting of the Conference of the Parties, in accordance with [decision IX/11 B](#);
4. *Invites* Parties and relevant organizations to submit views, information and experience on the implementation of the Strategy for Resource Mobilization, and requests the Executive Secretary to prepare a compilation of the information received for consideration by the Ad Hoc Open-ended Working Group on Review of Implementation of the Convention at its fourth meeting.

## COP 9 Decision IX/11

### Review of implementation of Articles 20 and 21

#### **A. In-depth review of the availability of financial resources**

*The Conference of the Parties,*

*Recalling* Articles 20 and 21 and related provisions of other Articles of the Convention,

*Recalling* that in decision VIII/13, the Conference of the Parties decided to conduct an in-depth review of the availability of financial resources, including through the financial mechanism, at its ninth meeting,

*Taking note* of the report of the Executive Secretary (UNEP/CBD/COP/9/16),

*Concerned* that the lack of sufficient financial resources continues to be one of the main obstacles to achieving the Convention's three objectives, including the 2010 biodiversity target, as well as the Millennium Development Goals,

*Underlining* that effective national systems and a supportive international regime on access and benefit-sharing could support sustainable use and conservation of biodiversity and its associated ecosystem services, including through generating financial returns,

*Recognizing* that local communities and governments in developing countries, in particular the least developed countries and small island developing States, may be subject to high conservation opportunity costs,

*Resolving* to significantly reduce the gaps in funding for biological diversity,

1. *Encourages* the Parties and relevant organizations to improve the existing financial information [13/](#) through enhancing accuracy, consistency and delivery of existing data on biodiversity financing and improved reporting on funding needs and shortfalls for the Convention's three objectives, and, in this context, *requests* the Executive Secretary to regularly update and further develop the Convention's online network on finance;

2. *Encourages* the Parties and relevant organizations to intensify efforts to assess, as appropriate, the economic costs of the loss of biodiversity and its associated ecosystem services and of the failure to take measures to fulfil the three objectives of the Convention, as well as the benefits of early action to reduce loss of biological diversity and its associated ecosystem services, in order to inform decision-making and awareness-raising, *inter alia* through contributing to the "Global Study on the Economics of Ecosystems and Biodiversity;" [14/](#)

3. *Urges* the Global Environment Facility to continue to mobilize co-financing and other modes of financing for its projects related to implementation of the Convention, and *requests* the Global Environment Facility to continue to leverage financial resources to support the Convention's objectives;

4. *Urges* Parties and Governments, where appropriate, to create the enabling environment to mobilize private and public-sector investments in biological diversity and its associated ecosystem services;

5. *Recommends* that Parties and relevant organizations identify, engage and increase South-South cooperation as a complement to North-South cooperation to enhance technical, financial, scientific and technological cooperation and innovations, for biological diversity;

6. *Urges* the Parties and Governments to continue to enhance national administrative and managerial capacities, thus enabling more efficient resource utilization and enhancing positive impacts;

7. *Urges* Parties, the Global Environment Facility, and relevant organizations to include gender, indigenous peoples and local communities perspectives in the financing of biodiversity and its associated ecosystem services;

8. *Invites* the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol to request the Adaptation Fund Board to consider the co-benefits of biodiversity and its associated ecosystem services in projects supported by the Adaptation Fund, where eligible Parties have identified it as a priority;
9. *Requests* the Executive Secretary to compile existing guidelines and best practices for mainstreaming financing of biodiversity and its associated ecosystem services into overall and sectoral planning as well as on financial needs assessment and make this information publicly available;
10. *Encourages* Parties and other Governments to build on existing knowledge of biodiversity and poverty alleviation mainstreaming [15/](#) to integrate biodiversity into national development policies and plans.

***B. Strategy for resource mobilization in support of the achievement of the three objectives of the Convention***

*The Conference of the Parties,*

*Recalling* its decision VIII/13,

*Noting* the inputs on the development of the strategy for resource mobilization provided by the secretariat of the Global Environment Facility (UNEP/CBD/COP/9/INF/14),

*Taking note* of the draft strategy for resource mobilization prepared by the Executive Secretary after informal consultations with the Parties and relevant organizations (UNEP/CBD/COP/9/16/Add.1/Rev.1, annex),

*Having considered* recommendation 2/2 of the second meeting of the Ad Hoc Open-ended Working Group on Review of Implementation, regarding options and a draft strategy for resource mobilization in support of the implementation of the Convention on Biological Diversity (UNEP/CBD/COP/9/4, annex I),

1. *Adopts* the strategy for resource mobilization in support of the achievement of the objectives of the Convention on Biological Diversity annexed to the present decision;
2. *Also invites* the Parties and relevant organizations, including United Nations development system, the World Bank, regional development banks and all other relevant international and regional bodies, as well as non-governmental organizations and business sector entities to take prompt actions to implement the strategy for resource mobilization in support of the achievement of the Convention's three objectives;
3. *Invites* Parties to come forward with early commitments of additional funding in support of the strategy for resource mobilization in accordance with Article 20 of the Convention;
4. *Invites* Parties to come forward with new and innovative financing mechanisms in support of the strategy for resource mobilization in accordance with Article 20 of the Convention, *requests* the Executive Secretary to support diffusion of such initiatives and *requests* the Global Environment Facility to support diffusion, and facilitate replication and scaling-up, of such initiatives that have proved to be successful;
5. *Decides* to review the implementation of the strategy for resource mobilization at its tenth meeting, and that the Executive Secretary shall prepare the necessary documentation pertinent to these goals for consideration by the Conference of the Parties;
6. *Invites* Parties to submit views on concrete activities and initiatives including measurable targets and/or indicators to achieve the strategic goals contained in the strategy for resource mobilization and on indicators to monitor the implementation of the strategy;
7. *Requests* the Executive Secretary to prepare a compilation of the information provided in accordance with paragraph 6 of the present decision, including options on monitoring progress towards the goals and objectives of the resource mobilization strategy, and make it available three months prior to the third meeting of the Ad Hoc Open-ended Working Group on Review of Implementation of the Convention;

8. *Requests* the Ad Hoc Open Ended Group on Review of Implementation of the Convention to prepare at its third meeting a list of concrete activities and initiatives to achieve the strategic goals of the strategy for resource mobilization and on indicators to monitor the implementation of the Strategy, and submit it for consideration of the Conference of the Parties, at its tenth meeting;

9. *Decides* to adopt the following process in preparing for the implementation of goal 4 of the strategy 16/:

(a) *Requests* the Executive Secretary to prepare a document on policy options concerning innovative financial mechanisms, with inputs from regional centers of excellence in a geographically balanced way and forward it to the Ad Hoc Working Group on Review of Implementation of the Convention;

(b) *Requests* the Ad Hoc Working Group on Review of Implementation of the Convention to identify a series of options and policy recommendations concerning innovative financial mechanisms, based on the above information and the submissions received from Parties in response to the invitation contained in paragraph 6 of the present decision;

(c) *Requests* the Ad Hoc Working Group on Review of Implementation of the Convention submit the results for consideration by the Conference of the Parties at its tenth meeting.

## ***Annex***

### **STRATEGY FOR RESOURCE MOBILIZATION IN SUPPORT OF THE ACHIEVEMENT OF THE CONVENTION'S THREE OBJECTIVES FOR THE PERIOD 2008-2015**

#### **I. THE URGENCY**

1. The loss of biological diversity and the consequent decline in ecosystem services is increasing at an unprecedented rate, and the causes of this loss are mostly steady or even increasing in intensity in the coming decades.

2. The loss of biological diversity has led to far-reaching environmental, social, economic and cultural impacts, exacerbated by the negative effects of climate change, and its consequences are harshest for the poor.

3. The loss of biological diversity and its associated ecosystem services poses a significant barrier to achieving sustainable development and the Millennium Development Goals.

4. The Convention on Biological Diversity is the foremost international legal instrument to address the loss of biological diversity and ensure attendant ecosystem services. The lack of financial resources is a major impediment to achieve the Convention's three objectives.

5. To achieve the Convention's three objectives can be financially affordable and feasible. In a multitude of decisions, the Parties have acknowledged the urgent need for adequate financing.

6. The resource mobilization strategy aims to assist the Parties to the Convention and relevant organizations to mobilize adequate and predictable financial resources to support the achievement of the Convention's three objectives including the achievement by 2010 of a significant reduction of the current rate of biodiversity loss at the global, regional and national level as a contribution to poverty alleviation and to the benefit of all life on Earth.

7. The strategy considers the full range of possible local, national, regional and international funding sources, both public and private. It is geared towards implementation during an initial period up to 2015, coinciding with the international development planning cycle, including the Millennium Development Goals.

## **II. MISSION**

8. The target of the strategy for resource mobilization is to substantially enhance international financial flows and domestic funding for biological diversity in order to achieve a substantial reduction of the current funding gaps in support of the effective implementation of the Convention's three objectives and the 2010 target. This target for global resource mobilization should be viewed as a flexible framework for the development of measurable targets and/or indicators addressing all relevant funding sources, according to national priorities and capacities, and taking into account the special situation and needs of developing countries.

## **III. GUIDING PRINCIPLES**

9. The strategy calls for special consideration to the following guiding principles during its implementation:

- (a) Promote efficiency and effectiveness;
- (b) Build synergies;
- (c) Support innovation;
- (d) Strengthen capacity;
- (e) Raise awareness;
- (f) Take into account gender and socio-economic perspectives.

## **IV. STRATEGIC GOALS AND OBJECTIVES**

10. Concrete activities and initiatives to achieve the following strategic goals should be developed as well as indicators to monitor the implementation of the Strategy, all within appropriate timeframes:

### **Goal 1: Improve information base on funding needs, gaps and priorities**

1.1. To improve the existing financial information base through enhancing accuracy, consistency and delivery of existing data and improved reporting on funding needs and shortfalls for the Convention's three objectives. Funding trends could be measured through the following indicators:

- (a) OECD DAC Rio markers on biodiversity;
- (b) National reports of Parties;
- (c) Trends in funding to GEF;
- (d) Funding flows through a selected number of the large international NGOs.

1.2. To assess economic costs of the loss of biodiversity and its associated ecosystem services, of the failure to take measures to fulfill the three objectives of the Convention, and benefits of early action to reduce loss of biological diversity and its associated ecosystem services.

1.3. To improve priority-setting for guiding resource allocation to biological diversity and its associated ecosystem services.

### **Goal 2: Strengthen national capacity for resource utilization and mobilize domestic financial resources for the Convention's three objectives**

2.1 To strengthen institutional capacities for effective resource mobilization and utilization, including strengthening capacities of relevant ministries and agencies to make the case for including biodiversity and its associated ecosystem services in discussions with donors and relevant financial institutions.

2.2. To prepare national financial plans in the context of national biodiversity strategies and action plans that can be implemented by local, national, regional and international stakeholders.

2.3 To strengthen capacity for integration of biodiversity issues and its associated ecosystem services into national and sectoral planning, and promote budgetary allocations for biological diversity and its associated ecosystem services in national and relevant sectoral budgets.

2.4. To develop and implement economic incentives that are supportive of the Convention's three objectives at local and national levels, consistent and in harmony with the other relevant international obligations.

2.5 To consider the enhancement of existing, or the establishment of new, domestic funds and funding programmes through voluntary contributions, including for official development assistance, where biodiversity is identified as a priority by developing country Parties in poverty reduction strategies, national development strategies, United Nations development assistance frameworks and other development assistance strategies, that include innovative financing instruments to achieve the Convention's three objectives.

2.6. To establish enabling conditions for private sector involvement in supporting the Convention's three objectives, including the financial sector.

**Goal 3: Strengthen existing financial institutions and, promote replication and scaling-up of successful financial mechanisms and instruments**

3.1. To enhance efforts in mobilizing co-financing and other modes of project financing for biological diversity.

3.2 To strive to increase official development assistance associated with biological diversity, where biodiversity is identified as a priority by developing country Parties in poverty reduction strategies, national development strategies, United Nations development assistance frameworks and other development assistance strategies and in accordance with priorities identified in national biodiversity strategies and action plans.

3.3. To mobilize public sector investments in biological diversity and its associated ecosystem services.

3.4 To establish, as appropriate, new and additional funding programmes through voluntary contributions to support the three objectives of the Convention.

3.5 To fulfil the implementation of the provisions of the Monterrey Consensus on mobilizing international and domestic funding as related to biodiversity.

3.6. To continue to support, as appropriate, domestic environmental funds as essential complements to the national biodiversity resource base.

3.7. To promote biological diversity in debt relief and conversion initiatives, including debt for-nature swaps.

**Goal 4: Explore new and innovative financial mechanisms at all levels with a view to increasing funding to support the three objectives of the Convention**

4.1. To promote, where applicable, schemes for payment for ecosystem services, consistent and in harmony with the Convention and other relevant international obligations.

4.2. To consider biodiversity offset mechanisms where relevant and appropriate while ensuring that they are not used to undermine unique components of biodiversity.

4.3. To explore opportunities presented by environmental fiscal reforms including innovative taxation models and fiscal incentives for achieving the three objectives of the Convention.

4.4 To explore opportunities presented by promising innovative financial mechanisms such as markets for green products, business-biodiversity partnerships and new forms of charity.

4.5. To integrate biological diversity and its associated ecosystem services in the development of new and innovative sources of international development finance, taking into account conservation costs.

4.6 To encourage the Parties to United Nations Framework Convention on Climate Change and its Kyoto Protocol to take into account biodiversity when developing any funding mechanisms for climate change.

**Goal 5: Mainstream biological diversity and its associated ecosystem services in development cooperation plans and priorities including the linkage between Convention's work programmes and Millennium Development Goals**

5.1. To integrate considerations on biological diversity and its associated ecosystem services into the priorities, strategies and programmes of multilateral and bilateral donor organizations,

including sectoral and regional priorities, taking into account the Paris Declaration on Aid Effectiveness.

5.2 To integrate considerations on biological diversity and its associated ecosystem services in economic and development plans, strategies and budgets of developing country Parties.

5.3. To integrate effectively the three objectives of the Convention into the United Nations development system, as well as international financial institutions and development banks.

5.4. To strengthen cooperation and coordination among funding partners at the regional and subregional levels, taking into account the Paris Declaration on Aid Effectiveness.

5.5. To enhance financial, scientific, technical and technological cooperation with international organizations, non-governmental organizations, indigenous peoples' organizations and public institutions for biological diversity and its associated ecosystem services.

**Goal 6: Build capacity for resource mobilization and utilization and promote South-South cooperation as a complement to necessary North-South cooperation**

6.1. To build local, national and regional capacities on resource mobilization skills, financial planning and effective resource utilization and management, and support awareness raising activities.

6.2. To identify, engage and increase South-South cooperation as complement to North South cooperation to enhance technical, technological, scientific and financial cooperation.

6.3 To promote exchange of experience and good practice in financing for biological diversity.

**Goal 7 Enhancing implementation of access and benefit-sharing initiatives and mechanisms in support of resource mobilization**

7.1 To raise awareness and build the capacity of different stakeholders to implement access and benefit-sharing initiatives and mechanisms.

7.2 To promote exchange of experiences and good practices in access and benefit sharing.

**Goal 8: Enhance the global engagement for resource mobilization in support of the achievement of the Convention's three objectives**

8.1. To raise public awareness of the importance of biological diversity and the goods and services that it provides at all levels in support of resource mobilization.

## **V. IMPLEMENTATION**

11. The effective implementation of the strategy for resource mobilization will require an unremitting effort of all relevant stakeholders of the Convention at all levels. Political will and commitment to better recognize the importance of biological diversity in sustainable development must be reinforced in order to achieve the funding target.

12. The strategy for resource mobilization is intended to assist Parties in establishing national targets, goals and objectives as well as actions and timeframes, and in considering the establishment of financial mechanisms and other options, to implement the financial provisions of the Convention at all levels, based on success stories and good practices. Each Party should consider appointing a "resource mobilization focal point" to facilitate national implementation of the strategy for resource mobilization. National implementation should include, as appropriate, the design and dissemination of a country-specific resource mobilization strategy, with the involvement of key stakeholders such as non-governmental organizations, indigenous peoples and local communities, environmental funds, businesses and donors, in the frame of updated national biodiversity strategies and action plans.

13. The Global Environment Facility, in collaboration with the Executive Secretary, is invited to consider how it can contribute to the implementation of the strategy for resource mobilization, and report back to the Conference of the Parties through the third meeting of the Working Group on Review of Implementation of the Convention, including consideration of a plan to address the strategy for resource mobilization, in consultation with the GEF implementing agencies;

14. The Conference of the Parties will review the implementation of the strategy for resource mobilization at its regular meetings, with the following focus:



	Focus issues	Standing issues
COP 9	Adoption of the strategy	
COP 10	Goals 1, 3 and 4	Goals 6 and 8
COP 11	Goals 2, 5 and 7	Goals 6 and 8
COP 12	Comprehensive review of the implementation of the strategy	

15. The Executive Secretary should prepare periodic global monitoring reports on the implementation of the strategy for resource mobilization, for consideration by the Conference of the Parties, and promote, in collaboration with the Global Environment Facility, exchange of experience and good practice in financing for biological diversity.

***C. Message on biological diversity and finance to the Follow-up International Conference on Financing for Development to Review the Implementation of the Monterrey Consensus***

*The Conference of the Parties,*

*Noting* General Assembly resolution 62/187 of 19 December 2007 on Follow-up International Conference on Financing for Development to Review the Implementation of the Monterrey Consensus adopted by the General Assembly of the United Nations,

*Highlighting* the need for a full integration of financing for biodiversity and its associated ecosystem services at the above-mentioned Follow-up International Conference on Financing for Development,

*Having considered* recommendation II/2, paragraph 3, of the Ad Hoc Open-ended Working Group on Review of Implementation of the Convention that, at its ninth meeting, the Conference of the Parties should mandate its President to transmit a message on biodiversity and financing for development to the Follow-up International Conference on Financing for Development,

*Taking note* of the draft of the message prepared by the Executive Secretary after informal consultations with Parties and relevant organizations,

1. *Adopts* the message on finance and biological diversity annexed to the present decision, as an input of the Convention on Biological Diversity to the Follow-up International Conference on Financing for Development to Review the Implementation of the Monterrey Consensus to be held in Doha from 29 November to 2 December 2008;

2. *Requests* the President of the ninth meeting of the Conference of the Parties to transmit the message on finance and biological diversity to the President of the United Nations General Assembly for consideration by the Follow-up International Conference on Financing for Development;

3. *Instructs* the Executive Secretary to promote awareness of the message on finance and biological diversity and participate actively in the process of the Follow-up International Conference on Financing for Development, and report thereon to the Conference of the Parties at its tenth meeting.

***Annex***

**BONN MESSAGE ON FINANCE AND BIOLOGICAL DIVERSITY**

*We, the participants in the ninth meeting of the Conference of the Parties to the Convention on Biological Diversity,*

*Recalling* that the Convention on Biological Diversity is the foremost international legal instrument for the conservation of biological diversity, the sustainable use of its components and the fair and equitable sharing of the benefits arising out of the utilization of genetic resources, including by appropriate access to genetic resources and by appropriate transfer of relevant technologies, taking into account all rights over those resources and to technologies, and by appropriate funding,

*Deeply concerned* by the unprecedented rate of loss of biodiversity and associated decline in ecosystem services of our planet and its far-reaching environmental, social, economic and cultural impacts, exacerbated by the negative impacts of climate change,

*Deeply concerned also* that the consequences of biodiversity loss and ecosystem disruption are harshest for the poor and that biodiversity loss and degradation of ecosystem services pose a significant barrier to achieving sustainable development and the Millennium Development Goals, *Recalling* the urgent need to redouble efforts to meet the 2010 biodiversity target of achieving, by 2010, a significant reduction in the rate of loss of biodiversity,

*Emphasizing* that the enhanced phase of implementation of the three objectives of the Convention requires that biodiversity considerations be mainstreamed into national development and poverty reduction plans, policies and strategies, as well as into development-cooperation planning,

*Highlighting* the need to integrate financing for biodiversity and its associated ecosystem services into the decisions of the Follow-up International Conference on Financing for Development to Review the Implementation of the Monterrey Consensus, to be held in Doha from 29 November to 2 December 2008,

*Hereby declare* that its elements should include the following:

1. Governments and relevant organizations should increase financial resources for the effective and efficient implementation of national biodiversity strategies and action plans, in particular to achieve the 2010 biodiversity target as part of Goal 7, on environmental sustainability, of the Millennium Development Goals, taking into account the strategy on resource mobilization in support of the Convention's three objectives, as adopted by the ninth meeting of the Conference of the Parties, in Bonn;
2. The international development and financial cooperation system, including the World Bank, the International Monetary Fund, regional development banks and bilateral development agencies, as well as the United Nations funds, programmes and agencies, are invited to increase direct investment and technical assistance in biodiversity projects and strive to mainstream biodiversity and its associated ecosystem services considerations into their overall programme of work to maximize potential for synergy;
3. Governments and relevant organizations should integrate into their strategies for poverty reduction and development the contribution of biodiversity and its associated ecosystem services, to poverty eradication, national development and human well-being, as well as the economic, social, cultural, and other values of biodiversity as emphasized in the Convention on Biological Diversity;
4. Governments and relevant organizations should support the development and completion for adoption of an international regime on access and benefit-sharing, by 2010, in the framework of the Convention on Biological Diversity;
5. Governments and relevant organizations should develop and implement effective and innovative mechanisms, at local, national and international levels to promote the three objectives of the Convention, taking into account the value of biodiversity and the ecosystem services it generates, and the contribution of indigenous peoples and local communities in maintaining it, including their rights to use their natural resources;
6. The business community, including the financial-services sector, should be encouraged to fully engage in the implementation of the three objectives of the Convention;
7. South-South cooperation should be encouraged as an effective complementary tool to North South cooperation, to promote the transfer of technology and new flows of technical and financial resources to achieve the three objectives of the Convention.

### 3) Articles mentioned in the Strategic Plan for Biodiversity 2011-2020

ARTICLE	TITLE	DETAILS
<b>Article 6</b>	<b>General Measures for Conservation Sustainable Use</b>	<p>Each Contracting Party shall, in accordance with its particular conditions and capabilities:</p> <p>(a) Develop national strategies, plans or programmes for the conservation and sustainable use of biological diversity or adapt for this purpose existing strategies, plans or programmes which shall reflect, inter alia, the measures set out in this Convention relevant to the Contracting Party concerned; and</p> <p>(b) Integrate, as far as possible and as appropriate, the conservation and sustainable use of biological diversity into relevant sectoral or cross-sectoral plans, programmes and policies.</p>
<b>Article 8(j)</b>	<b>Traditional Knowledge, Innovations and Practices</b>	<p>Each contracting Party shall, as far as possible and as appropriate: Subject to national legislation, 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.</p>
<b>Article 10</b>	<b>Sustainable Use of Components of Biological Diversity</b>	<p>Each Contracting Party shall, as far as possible and as appropriate:</p> <p>(a) Integrate consideration of the conservation and sustainable use of biological resources into national decision-making;</p> <p>(b) Adopt measures relating to the use of biological resources to avoid or minimize adverse impacts on biological diversity;</p> <p>(c) Protect and encourage customary use of biological resources in accordance with traditional cultural practices that are compatible with conservation or sustainable use requirements;</p> <p>(d) Support local populations to develop and implement remedial action in degraded areas where biological diversity has been reduced; and</p> <p>(e) Encourage cooperation between its governmental authorities and its private sector in developing methods for sustainable use of biological resources.</p>
<b>Article 20</b>	<b>Financial Resources</b>	<p>1. Each Contracting Party undertakes to provide, in accordance with its capabilities, financial support and incentives in respect of those national activities which are intended to achieve the objectives of this Convention, in accordance with its national plans, priorities and programmes.</p> <p>2. The developed country Parties shall provide new and additional financial resources to enable developing country Parties to meet the agreed full incremental costs to them of implementing measures which fulfil the obligations of this Convention and to benefit from its provisions and which costs are agreed between a developing country Party and the institutional structure referred to in Article 21, in accordance with policy, strategy, programme priorities and eligibility criteria and an indicative list of incremental costs established by the Conference of the Parties. Other Parties, including countries undergoing the process of transition to a market economy, may voluntarily assume the obligations of the developed country Parties. For the purpose of this Article, the Conference of the Parties, shall at its first meeting establish a list of developed country Parties and other</p>

		<p>Parties which voluntarily assume the obligations of the developed country Parties. The Conference of the Parties shall periodically review and if necessary amend the list. Contributions from other countries and sources on a voluntary basis would also be encouraged. The implementation of these commitments shall take into account the need for adequacy, predictability and timely flow of funds and the importance of burden-sharing among the contributing Parties included in the list.</p> <p>3. The developed country Parties may also provide, and developing country Parties avail themselves of, financial resources related to the implementation of this Convention through bilateral, regional and other multilateral channels.</p> <p>4. The extent to which developing country Parties will effectively implement their commitments under this Convention will depend on the effective implementation by developed country Parties of their commitments under this Convention related to financial resources and transfer of technology and will take fully into account the fact that economic and social development and eradication of poverty are the first and overriding priorities of the developing country Parties.</p> <p>5. The Parties shall take full account of the specific needs and special situation of least developed countries in their actions with regard to funding and transfer of technology.</p> <p>6. The Contracting Parties shall also take into consideration the special conditions resulting from the dependence on, distribution and location of, biological diversity within developing country Parties, in particular small island States.</p> <p>7. Consideration shall also be given to the special situation of developing countries, including those that are most environmentally vulnerable, such as those with arid and semi- arid zones, coastal and mountainous areas.</p>
<b>Article 21</b>	<b>Financial Mechanism</b>	<p>1. There shall be a mechanism for the provision of financial resources to developing country Parties for purposes of this Convention on a grant or concessional basis the essential elements of which are described in this Article. The mechanism shall function under the authority and guidance of, and be accountable to, the Conference of the Parties for purposes of this Convention. The operations of the mechanism shall be carried out by such institutional structure as may be decided upon by the Conference of the Parties at its first meeting. For purposes of this Convention, the Conference of the Parties shall determine the policy, strategy, programme priorities and eligibility criteria relating to the access to and utilization of such resources. The contributions shall be such as to take into account the need for predictability, adequacy and timely flow of funds referred to in Article 20 in accordance with the amount of resources needed to be decided periodically by the Conference of the Parties and the importance of burden-sharing among the contributing Parties included in the list referred to in Article 20, paragraph 2. Voluntary contributions may also be made by the developed country Parties and by other countries and sources. The mechanism shall operate within a democratic and transparent system of governance.</p>

		<p>2. Pursuant to the objectives of this Convention, the Conference of the Parties shall at its first meeting determine the policy, strategy and programme priorities, as well as detailed criteria and guidelines for eligibility for access to and utilization of the financial resources including monitoring and evaluation on a regular basis of such utilization. The Conference of the Parties shall decide on the arrangements to give effect to paragraph 1 above after consultation with the institutional structure entrusted with the operation of the financial mechanism.</p> <p>3. The Conference of the Parties shall review the effectiveness of the mechanism established under this Article, including the criteria and guidelines referred to in paragraph 2 above, not less than two years after the entry into force of this Convention and thereafter on a regular basis. Based on such review, it shall take appropriate action to improve the effectiveness of the mechanism if necessary.</p> <p>4. The Contracting Parties shall consider strengthening existing financial institutions to provide financial resources for the conservation and sustainable use of biological diversity.</p>
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**REGIONAL WORKSHOP ON BIODIVERSITY  
AND FINANCE IN SUPPORT OF  
THE NAGOYA OUTCOMES**

Fourth meeting

Da Lat City, 8 April 2011

Item 4 of the provisional agenda\*

**STRATEGIC PLAN FOR BIODIVERSITY 2011-2020 AND NATIONAL BIODIVERSITY  
STRATEGIES AND ACTION PLANS**

1. In October 2010, the tenth meeting of the Conference of the Parties adopted the Strategic Plan for Biodiversity 2011-2020. The mission of the Strategic Plan is to take effective and urgent action to halt the loss of biodiversity in order to ensure that by 2020 ecosystems are resilient and continue to provide essential services, thereby securing the planet's variety of life, and contributing to human well-being, and poverty eradication.

2. The Strategic Plan for Biodiversity 2011-2020 includes 20 headline targets for 2020, organized under five strategic goals. The goals and targets comprise both: (i) aspirations for achievement at the global level; and (ii) a flexible framework for the establishment of national or regional targets. Parties are invited to set their own targets within this flexible framework, taking into account national needs and priorities, while also bearing in mind national contributions to the achievement of the global targets. Not all countries necessarily need to develop a national target for each and every global target. For some countries, the global threshold set through certain targets may already have been achieved. Others targets may not be relevant in the country context.

3. The tenth meeting of the Conference of the Parties further urged Parties and other Governments, with the support of intergovernmental and other organizations, as appropriate, to implement the Strategic Plan for Biodiversity 2011-2020 and in particular to develop national and regional targets, using the Strategic Plan as a flexible framework, in accordance with national priorities and capacities and taking into account both the global targets and the status and trends of biological diversity in the country, and the resources provided through the resource mobilization strategy, with a view to contributing to collective global efforts to reach the global targets, and report thereon to the Conference of the Parties at its eleventh meeting. Parties are expected to review, and as appropriate update and revise, their national biodiversity strategies and action plans (NBSAPs), in line with the Strategic Plan, including by integrating their national targets into their national biodiversity strategies and action plans, adopted as a policy instrument. The Global Environment Facility has been requested to provide adequate, timely and predictable financial support to enable the implementation of the new Strategic Plan.

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\* UNEP/CBD/RW-BF/4/1.

4. The following note provides a briefing on the 20 headlines biodiversity targets (or Aichi Targets), with a view to stimulating consideration and discussions on national and regional implementation of the Strategic Plan for Biodiversity 2011-2020.

**Participants are invited to consider:**

- (i) National and regional relevance of the 20 headline targets;**
- (ii) Elaboration of national or regional targets in light of the Aichi Targets;**
- (iii) Updating national biodiversity strategy and action plans in light of the Strategic Plan for Biodiversity 2011-2020 as well as the strategy for resource mobilization of the Convention;**
- (iv) Identifying national or regional funding priorities for the period 2011-2020;**
- (v) Estimating national or regional funding needs for the period 2011-2020.**

**I. ADDRESS THE UNDERLYING CAUSES OF BIODIVERSITY LOSS BY MAINSTREAMING BIODIVERSITY ACROSS GOVERNMENT AND SOCIETY**

**Target 1:** By 2020, at the latest, people are aware of the values of biodiversity and the steps they can take to conserve and use it sustainably.

5. This target is related to Article 13 of the Convention and relevant decisions on communication, education and public awareness (CEPA). Examples of activities include: implementation of CEPA programmes; active engagement of citizens; development of citizen action lists; and principles and messages of education for sustainable development. Parties could consider carrying out national baseline surveys and preparing and adopting comprehensive national strategies to promote awareness of the value of biodiversity, for instance by 2014.

**Target 2:** By 2020, at the latest, biodiversity values have been integrated into national and local development and poverty reduction strategies and planning processes and are being incorporated into national accounting, as appropriate, and reporting systems.

6. This target is related to Articles 6(b) and 11 of the Convention as well as relevant decisions on economics, trade and incentive measures and biodiversity for development. Examples of activities are: to value biodiversity and ecosystem services; to apply environmental accounting; to mainstream biodiversity in poverty reduction and development strategies and development cooperation; and to develop and apply payment for ecosystem services. Parties may first work on bio-physical inventories of biodiversity and ecosystem services, for instance by 2012, and then develop a work programme for reflecting biodiversity and ecosystem values in national accounts, for instance by 2014.

**Target 3:** By 2020, at the latest, incentives, including subsidies, harmful to biodiversity are eliminated, phased out or reformed in order to minimize or avoid negative impacts, and positive incentives for the conservation and sustainable use of biodiversity are developed and applied, consistent and in harmony with the Convention and other relevant international obligations, taking into account national socio-economic conditions.

7. This target is related to Article 11 of the Convention as well as relevant decisions on economics, trade and incentive measures as well as impact assessment. Examples of activities include: application of

CBD guidance on SEA and incentive measures; application of relevant guidance from the Organisation for Economic Co-operation and Development (OECD); implementation of national or regional measures to remove perverse incentives, including subsidies, harmful to biodiversity; and completion of World Trade Organization (WTO) negotiations on fishery subsidies and agricultural domestic support.

**Target 4:** By 2020, at the latest, Governments, business and stakeholders at all levels have taken steps to achieve or have implemented plans for sustainable production and consumption and have kept the impacts of use of natural resources well within safe ecological limits.

8. This target is related to Article 10 of the Convention as well as relevant decisions on Business and Biodiversity Initiative, sustainable use of biodiversity, and impact assessment. Examples of activities include: inter-ministerial committees; nationally-developed guidelines; development of sector guidelines; ecosystem management in city districts; development of production and consumption-related sector plans; promotion of dialogue among sectors and stakeholders; and SEA and economic tools. Governments and major private sector actors, at sector or company level, can develop, for instance by 2014, assessments of their ecological footprint, and sustainability plans, and can demonstrate, for instance by 2018, progress towards sustainability.

## **II. REDUCE THE DIRECT PRESSURES ON BIODIVERSITY AND PROMOTE SUSTAINABLE USE**

**Target 5:** By 2020, the rate of loss of all natural habitats, including forests, is at least halved and where feasible brought close to zero, and degradation and fragmentation is significantly reduced.

9. This target is related to relevant decisions on forest biodiversity, marine and coastal biodiversity, inland water biodiversity, dry and sub-humid lands biodiversity, and sustainable use. Examples of activities include: spatial planning; enforcement of existing laws & regulations; implementation of Reducing Emissions from Deforestation and Forest Degradation (REDD); improvements in production efficiency; recognition of the value of ecosystem services; and prevention of loss of primary forests and other high-value habitats. Parties may review and update national legislation and land-use plans or zonation maps in relation to national targets, and make spatial planning tools available for wide use, for instance by 2014.

**Target 6:** By 2020 all fish and invertebrate stocks and aquatic plants are managed and harvested sustainably, legally and applying ecosystem based approaches, so that overfishing is avoided, recovery plans and measures are in place for all depleted species, fisheries have no significant adverse impacts on threatened species and vulnerable ecosystems and the impacts of fisheries on stocks, species and ecosystems are within safe ecological limits.

10. This target is related to relevant decisions on sustainable use of biodiversity, marine and coastal biodiversity, and inland waters biodiversity. Examples of activities include: reduction of fishing intensity and areas through collaborative partnerships with local communities and fishery organizations; Code of Conduct for Responsible Fisheries; 2002 World Summit on Sustainable Development; and development of regional mechanisms to manage shared fisheries. Parties may take steps to address, for instance by 2012, the management of fishing capacity for international fisheries requiring urgent attention, eliminate destructive fishing practices, and halve, for instance by 2015, pressure on marine ecosystems from fishing, globally.



**Target 7:** By 2020 areas under agriculture, aquaculture and forestry are managed sustainably, ensuring conservation of biodiversity.

11. This target is related to relevant decisions on sustainable use of biodiversity (Addis Ababa Principles and Guidelines), business and biodiversity initiative, agricultural biodiversity, forest biodiversity, inland water biodiversity, marine and coastal biodiversity, and dry and sub-humid lands biodiversity. Examples of activities are to: apply the ecosystem approach; implement sustainable forest, agriculture and aquaculture management; apply law and governance mechanisms; apply good agricultural practices; reduce pesticide use and apply integrated pest management; promote certification and labelling; and implement *Satoyama* and similar initiatives. Parties may identify or develop and promote, for instance by 2012, sustainability criteria and/or good practices for agriculture, aquaculture and forestry, and double, for instance by 2015, the area of agriculture, aquaculture and forestry managed according to sustainability criteria.

**Target 8:** By 2020, pollution, including from excess nutrients, has been brought to levels that are not detrimental to ecosystem function and biodiversity.

12. This target is related to relevant decisions on inland water biodiversity, marine and coastal biodiversity, impact assessment, and the International Initiative on Soil Biodiversity. Examples of activities are to: promote appropriate and efficient fertilizer use and disposal of wastes from livestock (good agricultural practices); to improve sewage treatment; wise use of wetlands; to have better control of point sources of pollution; and to develop national water quality guidelines. Parties may develop, for instance by 2014, national assessments of the impact of nutrient loading and other pollution on ecosystems and develop strategies and policies to reduce it, so that most ecosystems show declining nutrient loads and levels of other pollutants, for instance by 2015.

**Target 9:** By 2020, invasive alien species and pathways are identified and prioritized, priority species are controlled or eradicated, and measures are in place to manage pathways to prevent their introduction and establishment.

13. This target is related to relevant decisions on invasive alien species. Examples of activities are: to increase effectiveness of border controls and quarantine measures; to address pet trade; control spread of invasive species; to study and monitor emerging wildlife infectious diseases; better coordination with national and regional plant and animal health bodies; and WTO-SPS Standards and Trade Development Facility. Parties may, for instance by 2014, identify potential pathways for invasive alien species using a risk assessment framework, develop lists of the most harmful invasive species, and develop action plans and review relevant legislation. Parties should take actions, for instance by 2016, to address the most important introduction pathways and the most serious invasions.

**Target 10:** By 2015, the multiple anthropogenic pressures on coral reefs, and other vulnerable ecosystems impacted by climate change or ocean acidification, are minimized, so as to maintain their integrity and functioning.

14. This target is related to relevant decisions on climate change and biodiversity, marine and coastal biodiversity, and the International Initiative on Food and Nutrition. Examples of activities are to: reduce CO<sub>2</sub> and other GHG emissions; optimize ecosystem management to remove CO<sub>2</sub>; conduct vulnerability assessments; reduce non-climate related pressures; increase marine protected areas. Parties may assess, for instance by 2012, the integrity of coral reefs and other vulnerable ecosystems and the pressures on them and develop a strategy to minimize these.

### III. IMPROVE THE STATUS OF BIODIVERSITY BY SAFEGUARDING ECOSYSTEMS, SPECIES AND GENETIC DIVERSITY

**Target 11:** By 2020, at least 17 per cent of terrestrial and inland water, and 10 per cent of coastal and marine areas, especially areas of particular importance for biodiversity and ecosystem services, are conserved through effectively and equitably managed, ecologically representative and well connected systems of protected areas and other effective area-based conservation measures, and integrated into the wider landscape and seascapes.

15. This target is related to relevant decisions on protected areas, dry and sub-humid lands biodiversity, inland waters biodiversity, island biodiversity, marine and coastal biodiversity, mountain biodiversity and Global Strategy for Plant Conservation. Examples of activities include: protection of critical areas identified in line with Annex I to the Convention on Biological Diversity (high biodiversity areas and areas providing critical services); cooperation with indigenous and local communities; effective and sustainable management of protected areas; integration of protected areas into the wider land- and seascape; application of the ecosystem approach taking into account connectivity; and limiting processes/activities harmful to biodiversity. Parties may, in the marine area, establish, for instance by 2012, a global network of comprehensive, representative and effectively managed national and regional protected area systems, have effective management in existence for all protected areas, and integrate, for instance by 2015, all protected areas and protected area systems into the wider land- and seascape, and relevant sectors.

**Target 12:** By 2020 the extinction of known threatened species has been prevented and their conservation status, particularly of those most in decline, has been improved and sustained.

16. This target is related to relevant decisions on Global Strategy for Plant Conservation, Global Taxonomy Initiative, and the programme of work on protected areas. Examples of activities include: identification and protection of priority areas; implementation of species recovery and conservation programmes; *ex situ* conservation measures; re-introduction of species to habitats from which they have been extirpated; and identification and protection of areas important for at risk species. Parties may review, for instance by 2012, information on threatened species and take conservation measures to prevent imminent extinctions, conduct, for instance by 2014, preliminary national Red List assessments, and have in place, for instance by 2016, a strategy for the prevention of extinctions of all nationally threatened species.

**Target 13:** By 2020, the genetic diversity of cultivated plants and farmed and domesticated animals and of wild relatives, including other socio-economically as well as culturally valuable species is maintained, and strategies have been developed and implemented for minimizing genetic erosion and safeguarding their genetic diversity.

17. This target is related to relevant decisions on agricultural biodiversity, Global Strategy for Plant Conservation, and the International Initiative on Food and Nutrition. Examples of activities are: to maintain crop and livestock varieties on farm; to establish protected areas for wild relatives; and to continue to establish and develop genebanks. Parties may include, for instance by 2014, *in situ* conservation of crop and livestock genetic diversity in national biodiversity strategies and action plans.

### IV. ENHANCE THE BENEFITS TO ALL FROM BIODIVERSITY AND ECOSYSTEM SERVICES

**Target 14:** By 2020, ecosystems that provide essential services, including services related to water, and contribute to health, livelihoods and well-being, are restored and safeguarded, taking into account the needs of women, indigenous and local communities, and the poor and vulnerable.

18. This target is related to relevant decisions on biodiversity for development and poverty reduction. Examples of activities are to: develop ecological networks, corridors linking protected areas, riparian strips, flyways for migratory birds, etc.; apply integrated river basin management integrated coastal zone management; implement the Satoyama initiative and similar initiatives; identify biodiversity and ecosystem services of particular value to the poor and vulnerable. Parties may compile and review, for instance by 2012, information on the services provided by ecosystems and the benefits received by local and indigenous communities, and develop, for instance by 2014, national strategies or policies for enhanced provision of and access to essential ecosystem services as a contribution to poverty reduction and sustainable development strategies.

**Target 15:** By 2020, ecosystem resilience and the contribution of biodiversity to carbon stocks has been enhanced, through conservation and restoration, including restoration of at least 15 per cent of degraded ecosystems, thereby contributing to climate change mitigation and adaptation and to combating desertification.

19. This target is related to relevant decisions on climate change and biodiversity, forest biodiversity, and inland waters biodiversity. Examples of activities are to: implement mechanisms related to REDD; to protect peatlands and other key wetlands; to improve soil management; to up-scale landscape restoration efforts; and to further develop incentive schemes under discussion in the context of the climate change negotiations, and additional schemes for other terrestrial, freshwater and coastal ecosystems. Parties may, for instance by 2014, compile and review information on the potential contribution of all ecosystems to carbon storage and sequestration and prepare a national strategy for the enhancement of the contribution of biodiversity to ecosystem resilience and carbon storage, and have in place and implement, a national plan for ecosystem restoration.

**Target 16:** By 2015, the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization is in force and operational, consistent with national legislation.

20. This target is related to Article 15 of the Convention and relevant decisions on access to genetic resources and benefit-sharing, and the Nagoya Protocol. Examples of activities are to: provide technical assistance to develop national ABS frameworks and legislation and implement the Nagoya Protocol; to implement awareness-raising activities among users and providers of genetic resources; and to provide technical assistance to support research and utilization of genetic resources to generate value. Parties should aim for, for instance by 2012, the early entry into force of the Nagoya Protocol on access and benefit-sharing, and develop, for instance by 2014, the domestic policies and initiated relevant measures in line with the Convention, and the Nagoya Protocol, as appropriate.

## V. ENHANCE IMPLEMENTATION THROUGH PARTICIPATORY PLANNING, KNOWLEDGE MANAGEMENT AND CAPACITY-BUILDING

**Target 17:** By 2015 each Party has developed, adopted as a policy instrument, and has commenced implementing an effective, participatory and updated national biodiversity strategy and action plan.

21. This target is related to Article 6 of the Convention and relevant decisions on national biodiversity strategies and action plans. Examples of activities include: further development of national planning processes, and national clearing-house mechanisms; development of, where appropriate, regional and subnational strategies; effective use of NBSAPs as tools for mainstreaming biodiversity across government and society. Each Party may adopt, for instance by 2012, a set of national targets to contribute to the global targets of the Strategic Plan for Biodiversity 2011-2020 and incorporate these into its national biodiversity strategy. Each Party should adopt, for instance by 2014, an up-to-date, effective and operational national biodiversity strategy which contributes to the Strategic Plan.

**Target 18:** By 2020, the traditional knowledge, innovations and practices of indigenous and local communities relevant for the conservation and sustainable use of biodiversity, and their customary use of biological resources, are respected, subject to national legislation and relevant international obligations, and fully integrated and reflected in the implementation of the Convention with the full and effective participation of indigenous and local communities, at all relevant levels.

22. This target is related to Article 8(j) and related provisions of the Convention as well as relevant decisions on Traditional knowledge, innovations and practices. Examples of activities are to: implement Article 8(j); and to implement and support the Satoyama initiative and similar initiatives. Parties may carry out, for instance by 2012, a review of the use of traditional knowledge, innovations and practices, in collaboration with indigenous and local communities, put in place, for instance by 2014, adequate measures to protect traditional knowledge and the rights of indigenous and local communities to practice their traditional knowledge, innovations and practices, and develop and put in place, for instance by 2016, a strategy to promote traditional knowledge, innovations and practices, with the approval of the knowledge holders.

**Target 19:** By 2020, knowledge, the science base and technologies relating to biodiversity, its values, functioning, status and trends, and the consequences of its loss, are improved, widely shared and transferred, and applied.

23. This target is related to relevant decisions on identification, monitoring, indicators and assessments, technology transfer and cooperation, and the Global Taxonomy Initiative. Examples of activities are: to further develop the clearing-house mechanism at national and global levels; to improve understanding of biodiversity, relationship with ecosystem services and human well-being and consequences of loss; to reduce uncertainties concerning the causes and consequences of biodiversity loss in future scenarios; to improve global monitoring and capacity to use indicators; and to improve the science-policy interface. Parties may carry out, for instance by 2012, a review of the relevant knowledge and technologies potential available in-country and of the gaps in knowledge and technologies necessary to implement the Convention, and establish, for instance by 2014, a national clearing-house mechanism, together with a strategy to improve access to knowledge and technologies.

**Target 20:** By 2020, at the latest, the mobilization of financial resources for effectively implementing the Strategic Plan 2011-2020 from all sources and in accordance with the consolidated and agreed process in the Strategy for Resource Mobilization should increase substantially from the current levels. This target will be subject to changes contingent to resources needs assessments to be developed and reported by Parties.

24. This target is related to Articles 20 and 21 of the Convention and relevant decisions on the strategy for resource mobilization. Examples of activities are such as those to: increase Official Development Assistance; reinforce domestic capacity; implement innovative financing mechanisms; apply appropriate allocation of resources; improve dialogue and coordination among donors and recipients of bilateral and multilateral aid; undertake training and capacity-building; and promote professional networks and exchange of expertise. Parties may develop, for instance by 2012, their first financial plans for biodiversity and ecosystem services or country-specific resource mobilization strategies.

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