



## Convention on Biological Diversity

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### SUBSIDIARY BODY ON IMPLEMENTATION

First meeting

Montreal, Canada, 2-6 May 2016

Agenda item 9

### RECOMMENDATION ADOPTED BY THE SUBSIDIARY BODY ON IMPLEMENTATION

#### 1/6. Resource mobilization

*The Subsidiary Body on Implementation,*

*Recalling* paragraphs 1 and 25 of decision XII/3,

*Noting* the limited number of completed financial reporting frameworks received in time for consideration by the Subsidiary Body at its first meeting,

*Aware* of the various ongoing challenges that many Parties face in their financial reporting, in particular in identifying their funding needs, gaps and priorities, and in developing and reporting their national finance plans, and *recognizing* the need for further work towards indicative methodological guidance, building on the conclusions of the International Technical Expert Workshop on Identifying, Accessing, Compiling and Aggregating Domestic and International Biodiversity-Related Investments and Impacts, held in Mexico City from 5 to 7 May 2015,

*Recalling* Article 20 of the Convention,

1. *Urges*, in accordance with decision XII/3, Parties that have not yet done so to report, using the financial reporting framework, where feasible by 31 August 2016, in time for the preparation of documentation for the thirteenth meeting of the Conference of the Parties;

2. *Invites* Parties, with a view to improving transparency and enabling replicability and the development of methodological guidance, to make available, through the financial reporting framework, any additional national methodological information and definitions used;

3. *Requests* the Executive Secretary, for consideration by the Conference of the Parties at its thirteenth meeting:

(a) To update, in the context of paragraph 3 of decision XII/3, the analysis of financial reports received,<sup>1</sup> in the light of new submissions received by 31 August 2016;

(b) To compile and analyse the methodological information and definitions as provided by Parties through the financial reporting framework and other relevant sources, and, based on this analysis,

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<sup>1</sup> [UNEP/CBD/SBI/1/7/Add.1](#).

identify options on how to advance further work towards indicative methodological guidance, building on the conclusions of the Mexico workshop;

4. *Recommends* that the Conference of the Parties at its thirteenth meeting adopt a decision along the following lines:

*The Conference of the Parties,*

*Taking note* of the report of the International Technical Expert Workshop on Identifying, Accessing, Compiling and Aggregating Domestic and International Biodiversity-related Investments and Impacts,<sup>2</sup> held in Mexico City from 5 to 7 May 2015, as well as the report of the co-chairs of the Dialogue Workshop on Assessment of Collective Action of Indigenous Peoples and Local Communities in Biodiversity Conservation and Resource Mobilization,<sup>3</sup> held in Panajachel, Guatemala, from 11 to 13 June 2015,

*Expressing its appreciation* to the Biodiversity Finance Initiative of the United Nations Development Programme as well as SwedBio for co-organizing the Mexico workshop and the Guatemala workshop, to the Governments of Mexico and Guatemala, respectively, for hosting the workshops, and to the European Union and the Governments of Germany, Japan, Sweden and Switzerland for their financial support,

*Welcoming* the financial contributions of the Government of Japan and the European Union, the in kind contributions of the Governments of Antigua and Barbuda, the Bahamas, Belarus, Cabo Verde, Cook Islands, Gabon, Georgia, India, Jordan, Namibia, Nicaragua, Paraguay, Peru, the Philippines, Sri Lanka and Uganda, and the cooperation of the ASEAN Center for Biodiversity and the Secretariat of the Caribbean Community, to the provision of capacity-building and technical support on financial reporting and resource mobilization,

*Recalling* the important role of revised national biodiversity strategies and action plans as a basis for identifying national funding needs and priorities, and for the effective mobilization of financial resources from all sources, including, as appropriate, for the implementation of the Protocols under the Convention, and for the synergistic implementation of other biodiversity-related conventions,

*Recognizing* the importance of biodiversity mainstreaming for resource mobilization and the effective use of financial resources,

*Recognizing also* that existing approaches for the monitoring and assessment of the contribution of collective action of indigenous peoples and local communities require further methodological work, including pilot projects and associated studies, to refine methodologies and to develop good practice cases, and *recalling*, in this connection, paragraph 30 of decision XII/3,

*Also recognizing* the potential contribution of implementing Aichi Biodiversity Target 3 for the mobilization of financial resources,

### **Financial reporting**

1. *Takes note with appreciation* of the information provided by Parties through the financial reporting framework;

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<sup>2</sup> [UNEP/CBD/SBI/1/INF/20](#).

<sup>3</sup> [UNEP/CBD/SBI/1/INF/6](#).

2. *Takes note* of the analysis of the information provided by Parties through the financial reporting framework, in particular the progress towards the targets adopted in decision XII/3;<sup>4</sup>

3. *Urges* Parties that have not yet done so to provide the necessary baseline information and report progress against the targets for resource mobilization by 1 July 2017, using the financial reporting framework, and *also invites* Parties to update, as appropriate, their financial reporting frameworks as confirmed/final data for 2015 becomes available, with a view to improving the robustness of the data;

4. *Urges* Parties that have finalized the revision and update of their national biodiversity strategy and action plans to identify their funding needs, gaps, and priorities, on the basis, as appropriate, of the revised national biodiversity strategy and action plans and other complementary information, and to develop their national finance plans for the effective implementation of revised national biodiversity strategy and action plans, as a matter of priority, and to report thereon by 1 July 2017, where feasible;

5. *Requests* the Executive Secretary, in line with paragraphs 26 and 28 of decision XII/3, to make the financial reporting framework for the second round of reporting<sup>5</sup> available online by 1 July 2017, and invites Parties to report, using the online financial reporting framework, on their further contribution to the collective efforts to reach the global targets for resource mobilization, against the established baseline, in conjunction with their sixth national reports, by 31 December 2018;

#### **Capacity-building and technical support**

6. *Invites* relevant organizations and initiatives, including the Biodiversity Finance Initiative, to provide technical support and capacity-building for interested and eligible Parties, in particular developing and least developed country Parties, including small island developing States and countries with economies in transition, on the identification of funding needs, gaps and priorities, the development and implementation of national resource mobilization strategies, and of financial reporting;

7. *Invites* Parties, other Governments and donors in a position to do so to provide financial support to such capacity building and technical support;

#### **Strengthening biodiversity finance information systems**

8. *Takes note* of the work of the Development Assistance Committee of the Organisation for Economic Co-operation and Development to refine the Rio marker methodology, and *encourages* the Committee to continue and intensify this work on monitoring Aichi Target 20 in cooperation with the Organization's Environmental Policy Committee, with a focus on the biodiversity marker and on private flows;

9. *Takes note* of the work of multilateral development banks, led by the European Investment Bank, to develop a methodology for tracking and reporting multilateral biodiversity finance flows, and encourages them to finalize this work and apply the methodology expeditiously;

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<sup>4</sup> To be completed in the light of the updated analysis referred to in paragraph 3 (a) above.

<sup>5</sup> [Decision XII/3](#), annex II, section III.

10. *Invites* Parties to consider, as appropriate, establishing or enhancing cooperation with regional or national statistical offices, or other national organizations recognized as statistical authorities, with a view to generating synergy, in financial reporting to the Convention, with existing national and international processes on compiling and reporting financial data, and avoid duplication of work;

11. *Also invites* Parties, with a view to improving transparency and enabling replicability and the development of methodological guidance, to make available, through the financial reporting framework, any additional methodological information and definitions used;

12. *Requests* the Executive Secretary:

(a) To explore, through the Inter-agency Task Force on Financing for Development, the feasibility of linking financial reporting under the Convention with the emerging monitoring process for the follow-up and review of the commitments of the Addis Ababa Action Agenda, with a view to reduce the overall reporting burden for Parties;

(b) To update, as appropriate, the guidance provided in the report of the Mexico workshop with any new methodological information received pursuant to paragraph 11 above and other relevant sources, with a view to providing Parties with up-to-date voluntary guidance in order to facilitating financial reporting, as foreseen in paragraph 32(c) of decision XII/3;

### **Collective action of indigenous peoples and local communities**

13. *Welcomes* the guiding principles on assessing the contribution of collective action of indigenous peoples and local communities, contained in annex I to the present draft decision;

14. *Invites* Parties, other Governments, and relevant stakeholder organizations to consider establishing pilot projects on the contribution of collective action of indigenous peoples and local communities by making use of existing work processes such as the work on indicators relevant to traditional knowledge and customary sustainable use<sup>6</sup> or the implementation of the plan of action on customary sustainable use,<sup>7</sup> and *further invites* Parties to submit related information through the financial reporting framework to the Executive Secretary;

15. *Requests* the Executive Secretary to compile and analyse the information on collective action received by Parties through the financial reporting framework and other relevant sources, and, taking into account the guiding principles in annex I to the present decision as well as the report of the Guatemala workshop,<sup>8</sup> to develop elements of methodological guidance for identifying, monitoring, and assessing the contribution of indigenous peoples and local communities to the achievement of the Strategic Plan and the Aichi Biodiversity Targets, for consideration by the Ad Hoc Open-ended Working Group on Article 8(j) and Related Provisions at its tenth meeting, and with a view to finalizing the methodological guidance at the second meeting of the Subsidiary Body on Implementation and adopting it at the Conference of the Parties at its fourteenth meeting;

### **Milestones for the full implementation of Aichi Biodiversity Target 3**

16. *Urges* Parties and other Governments to implement measures for the full implementation of Aichi Biodiversity Target 3, taking into account, as a flexible framework, the

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<sup>6</sup> [Decision XII/12](#) A, paras. 6-9.

<sup>7</sup> [Decision XII/12](#) B, para. 1.

<sup>8</sup> [UNEP/CBD/SBI/1/INF/6](#).

milestones adopted by the Conference of the Parties at its twelfth meeting, consistent and in harmony with the Convention and other relevant international obligations, and taking into account national socioeconomic conditions;<sup>9</sup>

17. *Recalls* its invitation to Parties to report progress in achieving these milestones, as well as any additional milestones and timelines established at the national level, through their national reports or, as appropriate, through the online reporting framework on implementing the Strategic Plan for Biodiversity 2011-2020 and the Aichi Biodiversity Targets, and *invites* Parties to also include information on national analytical studies that identify candidates for elimination, phase-out or reform of incentives, including subsidies, that are harmful for biodiversity, and that identify opportunities to promote the design and implementation of positive incentive measures, such as appropriate recognition and support for indigenous peoples and local communities that conserve territories and areas, and other effective community conservation initiatives;

18. *Takes note* of the work of the Organisation for Economic Co-operation and Development on developing indicators to monitor Aichi Biodiversity Target 3, and *invites*, inter alia, the Organisation's Environmental Policy Committee to continue and intensify this work to support the implementation of this target by Parties;

19. *Requests* the Executive Secretary to compile and analyse relevant information, including the information submitted pursuant to paragraph 17 above as well as relevant studies from international organizations and initiatives, including an analysis of how the implementation of Aichi Biodiversity Target 3 also contributes to the implementation of Target 20, and to submit the compilation and analysis to the Subsidiary Body on Implementation for consideration at its second meeting;

#### **Safeguards in biodiversity financing mechanisms**

20. *Requests* the Executive Secretary to compile and analyse information, including good practices or lessons learned, on how, in accordance with paragraph 16 in decision XII/3, Parties, other Governments, international organizations, business organizations and other stakeholders take the voluntary guidelines on safeguards in biodiversity financing mechanisms into account when selecting, designing and implementing biodiversity financing mechanisms, and when developing instrument-specific safeguards for them;

21. *Also requests* the Executive Secretary to make the information requested in paragraph 20 above available to the Ad Hoc Open-ended Working Group on Article 8(j) and Related Provisions at its tenth meeting, with a view to developing recommendations, for consideration by the Subsidiary Body on Implementation at its second meeting, on how the application of safeguards can ensure that the potential effects of biodiversity financing mechanisms on the social and economic rights and livelihoods of indigenous peoples and local communities are addressed effectively;

22. *Requests* the Subsidiary Body on Implementation, at its second meeting to consider the analysis compiled under paragraph 20 and the recommendation of the Ad Hoc Open-ended Working Group on Article 8(j) and Related Provisions, and to develop recommendations for the implementation of the voluntary guidelines on safeguards, adopted in decision XII/3, to address effectively the potential impacts of biodiversity financing mechanisms on different elements of biodiversity, as well as their potential effects on the rights and livelihoods of indigenous peoples and local communities, for consideration by the Conference of the Parties at its fourteenth meeting.

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<sup>9</sup> [Decision XII/3](#), para. 21 and annex I.

*Annex I***Guiding principles on assessing the contribution of collective action by indigenous peoples and local communities**

1. *Importance of collective action.* The collective action of indigenous peoples and local communities can contribute to achieving the Strategic Plan for Biodiversity 2011-2020 and the Aichi Biodiversity Targets. In particular, traditional knowledge can provide an important contribution to decision-making and reporting processes. It is important for the ways and means of holding and transmitting traditional knowledge to be recognized and fully included when reporting on the contribution of collective action by indigenous peoples and local communities.
2. *Context specificity.* The monitoring and assessment of the contribution of collective action is highly context specific, requiring a broad range of methodological approaches which can be applied in a tailored manner in accordance with local circumstances. An indicative, non-exhaustive list of possible methodological approaches is provided in the appendix below.
3. *Multiplicity of values.* The multiple perspectives and world views on value, as articulated through social roles and social-biological relationships that are specific to each territory and knowledge system need to be recognized in assessing the contribution of collective action.
4. *Methodological pluralism and complementarity.* Different methodologies may generate different data which can be used as complementary sources of information. Bridging methodologies could bring together data on larger scales with bottom-up assessments that transmit significant aspects of the local cultural contexts and world views. Pilot projects could be established to test multiple methodologies.
5. *Process orientation.* Indigenous peoples and local communities need to be fully involved in the process of developing and applying methodologies for assessing their collective actions.
6. *Linkages to work on customary sustainable use.* Assessing the contribution of collective action can contribute to protect and promote the intergenerational transfer of traditional knowledge, innovations and practices, as this transfer is based on collective actions related to customary sustainable use and the conservation of biodiversity.

*Appendix**Indicative, non-exhaustive list of methodologies for assessing the contribution of collective action*

- The “Conceptual and Methodological Framework for Evaluating the Contribution of Collective Action to Biodiversity Conservation”, developed by the Government of Bolivia with the support of the Amazon Cooperation Treaty Organization (ACTO), proposes a three-module approach, linking geospatial modelling, institutional analysis and ecological assessment.<sup>10</sup>
- The Multiple Evidence Base approach sets out a process of knowledge mobilization that can bring together scientific and traditional knowledge systems.
- Community-Based Monitoring and Information Systems (CBMIS) are a bundle of methods, developed by local communities based on their own monitoring needs, which is used for monitoring the indicators for traditional knowledge under the Convention.
- The Indigenous and Community Conserved Areas (ICCA) Consortium has many tools and methods for capturing the contribution of collective action, such as participatory mapping and GIS, video and photo stories, bio-cultural community protocols, and toolkits for environmental monitoring and assessment of threats to indigenous and community conserved areas.

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<sup>10</sup> See [UNEP/CBD/COP/12/INF/7](#).