

IMPLEMENTATION OF THE STRATEGY FOR RESOURCE MOBILIZATION

PRELIMINARY REPORTING FRAMEWORK

I. INTRODUCTION

The Preliminary Reporting Framework is intended for use by Parties for providing data on resource mobilization according to the indicators adopted in decision X/3. Data provided for the 2006-2010 will be used for the calculation of a baseline while data provided after 2010 will be used to monitor progress. The relationship between each of the indicators agreed in decision X/3 and the data fields contained in the Framework is provided in Appendix 1.

II. OVERVIEW OF THE PRELIMINARY REPORTING FRAMEWORK

The indicators in decision X/3, as well as the strategy for resource mobilization and Aichi Target 20 require certain types of information:

- (a) Data, in monetary units, on flows of financial resources for biodiversity from developed to developing countries;
- (b) Data, in monetary units, on financial resources available for biodiversity;
- (c) Information on the steps countries are taking to implement the strategy for resource mobilization; and
- (d) Information (both qualitative and quantitative, including in monetary terms) on the role of specific initiatives including those relating to technical cooperation, and innovative financial mechanisms.[1]

The Preliminary Reporting Framework has been structured to correspond with these categories. Further the framework contains a fifth section which addresses the scope of biodiversity funding. Funding for biodiversity includes not only funding for direct actions to protect biodiversity but also funding related to actions across different sectors (e.g. agriculture, forestry, tourism) to promote biodiversity-friendly initiatives that have other primary purposes (e.g. ecosystem-based approaches to climate-change mitigation and adaptation) where a wider range of funding sources is typical. In addition, economy-wide and society-wide measures that address the underlying causes of biodiversity-loss are relevant, even if they are not traditionally regarded as biodiversity finance. With this in mind, the reporting framework has been developed to distinguish two general types of biodiversity funding. Funding related to activities which are intended to directly affect biodiversity and activities which focus on other issues but which have an indirect positive effect on biodiversity. In order to facilitate comparison, ideally Parties would provide funding information according to these two categories. In order to facilitate the classification of activities, in section five, Parties have the opportunity to fine-tune this categorization according to their own needs. However the Preliminary Reporting Framework also allows respondents to provide overall totals.

Note:

[1] The indicators requiring this type of information should be completed at the discretion of Parties. Some of the data used to calculate the information required for (1) and (2) may be used to provide information for this type of indicators as well.

III. GUIDANCE FOR THE USE OF THE PRELIMINARY REPORTING FRAMEWORK

For those sections which ask for monetary figures (1, 2, and 4):

- (a) For the calculation of the baseline, please provide data for 2010 or the most recent year prior to that. If data is available for more than one year please reproduce the table and provide the information for each year. If possible, provide data for the period 2006 to 2010 and other years that may be available. If specific annual data is not available you may provide the best estimate of an average figure for a range of years (e.g. 2006-2010). For the purposes of monitoring progress please provide data for years after 2010;
- (b) If your financial year does not correspond to the calendar year, please indicate the calendar year in which the financial year begins; (For example if the financial year is 1 April 2010 until 30 March 2011, please record the year as “2010”.);
- (c) In order to facilitate compilation of data, please provide either: the figures in 2010 US dollars (preferred), or ensure that the currency and the relevant year are indicated;
- (d) Please provide the best estimate of the data and also indicate the confidence level of your estimate (“high”: data mostly derived from published sources; “medium”: data represents expert judgment based on good information; or “low”: data is a best but risky estimate with very incomplete data). As an alternative to indicating the confidence level, you may provide a range of estimates.

In completing the reporting framework Parties are encouraged to interact with their respective statistical offices or other relevant departments when gathering information. Some of the information needed for this process is likely already available and it should be used where possible in order to reduce the reporting burden and the duplication of efforts. At the end of each question a comments field is provided where respondents can provide additional information to further substantiate responses, highlight any assumptions or qualifications linked to the data, or to raise any other related issues.

When completing the preliminary reporting framework respondents are encouraged to provide information for as many of the data fields as possible. However, recognizing that it may be difficult for Parties to provide some of the information, there is no need to complete all of the data fields before submitting information to the Secretariat. Further, where precise information is not available, respondents are encouraged to use their best estimates.

NOTE: Information may be added only into grey areas.

Identification of respondent

Country:

Please indicate on whose behalf this information is being completed:

Contact details of the respondent :

Wendy Jackson
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Date of completion and submission of completed framework (dd/mm/yyyy) :

1. Information on international flows of financial resources

This section of the Framework relates to the flows of financial resources from all sources to developing countries.

For **developed countries** (members of OECD-DAC): **Please indicate the amount of resources provided in support of biodiversity in developing countries through ODA, other public funds, private/market mechanisms and through not-for profit organizations.** For **developing countries** (countries, not members of OECD -DAC): **Please indicate the amount of resources received from external sources through ODA, other public funds, private/market mechanisms and through not-for profit organizations.**

Currency:

Year	Type of financial flows [2]	Category [3]	Amount	Confidence
2006	1.1.1 ODA - Bilateral	Directly related	\$1,636,070	High

	2007	1.1.1 ODA - Bilateral	Directly related	\$1,527,986	High
	2008	1.1.1 ODA - Bilateral	Directly related	\$3,914,833	High
	2009	1.1.1 ODA - Bilateral	Directly related	\$4,532,704	High
	2010	1.1.1 ODA - Bilateral	Directly related	\$5,601,526	High
	2011	1.1.1 ODA - Bilateral	Directly related	\$6,096,927	High
	2012	1.1.1 ODA -	Directly related	\$4,161,654	High
	2006	1.1.1 ODA -	Indirectly related	\$957,830	High
	2007	1.1.1 ODA -	Indirectly related	\$1,706,201	High
	2008	1.1.1 ODA -	Indirectly related	\$2,409,032	High
	2009	1.1.1 ODA -	Indirectly related	\$2,780,788	High
	2010	1.1.1 ODA -	Indirectly related	\$2,935,864	High
	2011	1.1.1 ODA -	Indirectly related	\$4,109,991	High
	2012	1.1.1 ODA -	Indirectly related	\$12,497,597	High
	2006	1.1.2 ODA -	Total (Directly +	\$3,554,202	High
	2007	1.1.2 ODA -	Total (Directly +	\$3,414,202	High
	2008	1.1.2 ODA -	Total (Directly +	\$3,254,202	High
	2009	1.1.2 ODA -	Total (Directly +	\$2,944,202	High
	2010	1.1.2 ODA -	Total (Directly +	\$2,324,202	High
	2011	1.1.2 ODA -	Total (Directly +	\$3,674,202	High
	2012	1.1.2 ODA -	Total (Directly +	\$2,274,202	High
	2006	1.2 Other public	Total (Directly +	\$1,624,000	High
	2007	1.2 Other public	Total (Directly +	\$1,758,000	High
	2008	1.2 Other public	Total (Directly +	\$2,158,000	High
	2009	1.2 Other public	Total (Directly +	\$2,415,000	High
	2010	1.2 Other public	Total (Directly +	\$3,415,000	High
	2011	1.2 Other public	Total (Directly +	\$3,415,000	High

2012	1.2 Other public	Total (Directly +	\$3,415,000	High
Select >>	Select >>	Select >>	<Amount>	Select >>
		Total Directly related	27,471,701.65	Overall average confidence:
		Total Indirectly related	27,397,304.11	
		Total (Directly + Indirectly related)	21,439,414.00	
		Total (other public funds)	18,200,000.00	
		Overall Total	76,308,419.76	High

NB: (1) Please note that the years indicated in all tables reflect New Zealand financial years. 2006 = 2006/07; 2007 = 2007/08; 2008 = 2008/09; etc. (2) "Other public funds" does not represent all possible sources. Research is ongoing.

Notes:

[2] **Type of financial flows:**

- **Official Development Assistance (ODA)** refers to flows of official financing administered with the purpose of promoting economic development and welfare of developing countries as the main objective, and which are concessional in character with a grant element of at least 25 per cent (using a fixed 10 per cent rate of discount). ODA can be bilateral or multilateral. Where resources are provided or received for general budget support rather than for specific activities, an estimate of resources provided/received for biodiversity may be calculated from the proportion of the recipient country's budget devoted to such activities.
 - **Bilateral ODA** refers to contributions of donor government agencies, at all levels, to developing countries
 - **Multilateral ODA** refers to funds provided through international financial institutions such as the Global Environment Facility, the World Bank and United Nations funds and programmes.
 - **Other public funds** includes **non-ODA public funding**, also called "other official flows" (OOFs), which refers to transactions by the official sector with countries on the List of Aid Recipients which do not meet the conditions for eligibility as Official Development Assistance. The category also includes resources provided from other "non-donor" countries i.e. through "**South-South Cooperation**".
 - The **private sector** comprises private corporations or transaction mediated through a market.
- [3] **Category:** See section 5 of the reporting framework for a description of the categories.

2. Information on the availability of financial resources in each country

This section of the Framework relates to the financial resources available to implement the Convention and its Strategic Plan in your country. It relates specifically to the end use of financial resources regardless of whether the source of the funds is domestic or external.

Please indicate the financial support to domestic activities intended to achieve the objectives of this Convention from all sources. For each of the expenditure sources listed please indicate the total amount of financial resources spent as well as an assessment of your confidence in the estimated amount (high, medium low; alternatively provide a range of estimates). You may indicate expenditures **according to the two categories (directly or indirectly related), or provide an estimate of the total in the case where the details are not available.** A list of indicative activities for each of the categories is provided in section 5. Please provide data for multiple years if possible (duplicate the table as necessary).

Please take care to avoid double counting; expenditure included in one row of the table should not also be included in another. As this question specifically relates to domestic expenditures ***if you are representing a developed country*** (members of OECD-DAC) ***please do not include any funding provided to other countries*** . However, ***if you are representing a developing country*** (not a members of OECD -DAC) ***please include the money received from other countries*** .

Currency: <Currency>

Year	Source [4]	Category [5]	Amount	Confidence
2006	2.1.1 Gov. budgets - Central	Directly related	\$329,331,000	High
2007	2.1.1 Gov. budgets - Central	Directly related	\$332,140,000	High
2008	2.1.1 Gov. budgets - Central	Directly related	\$404,677,000	High
2009	2.1.1 Gov. budgets - Central	Directly related	\$417,639,000	High
2010	2.1.1 Gov. budgets - Central	Directly related	\$408,260,000	High
2011	2.1.1 Gov. budgets - Central	Directly related	\$393,930,000	High
2012	2.1.1 Gov. budgets - Central	Directly related	\$511,082,000	High
2006	2.1.5 Gov. budgets - Local/Municipal	Directly related	\$50,692,000	Medium
2007	2.1.5 Gov. budgets - Local/Municipal	Directly related	\$53,596,000	Medium
2008	2.1.5 Gov. budgets - Local/Municipal	Directly related	\$55,233,000	Medium
2009	2.1.5 Gov. budgets - Local/Municipal	Directly related	\$60,420,000	Medium
2010	2.1.5 Gov. budgets - Local/Municipal	Directly related		Medium
2011	2.1.5 Gov. budgets - Local/Municipal	Directly related	\$67,883,000	Medium
2012	2.1.5 Gov. budgets - Local/Municipal	Directly related		Medium
2006	2.1.1 Gov. budgets - Central	Indirectly related	\$329,858,000	High
2007	2.1.1 Gov. budgets - Central	Indirectly related	\$315,804,000	High

2008	2.1.1 Gov. budgets - Central	Indirectly related	\$362,628,000	High
2009	2.1.1 Gov. budgets - Central	Indirectly related	\$376,849,000	High
2010	2.1.1 Gov. budgets - Central	Indirectly related	\$321,609,000	High
2011	2.1.1 Gov. budgets - Central	Indirectly related	\$309,138,000	High
2012	2.1.1 Gov. budgets - Central	Indirectly related	\$316,386,000	High
2006	2.1.5 Gov. budgets - Local/Municipal	Indirectly related	\$54,086,000	Medium
2007	2.1.5 Gov. budgets - Local/Municipal	Indirectly related	\$59,585,000	Medium
2008	2.1.5 Gov. budgets - Local/Municipal	Indirectly related	\$58,826,000	Medium
2009	2.1.5 Gov. budgets - Local/Municipal	Indirectly related	\$62,336,000	Medium
2010	2.1.5 Gov. budgets - Local/Municipal	Indirectly related		Medium
2011	2.1.5 Gov. budgets - Local/Municipal	Indirectly related	\$70,137,000	Medium
2012	2.1.5 Gov. budgets - Local/Municipal	Indirectly related		Medium
Select >>	Select >>	Select >>	<Amount>	Select >>
Select >>	Select >>	Select >>	<Amount>	Select >>
Select >>	Select >>	Select >>	<Amount>	Select >>

Total Directly related 3,084,883,000.00
Total Indirectly related 2,637,242,000.00
Total (Directly + Indirectly related) 0.00

Overall Total 5,722,125,000.00

Overall average confidence:

High

All local council information not yet collated. Local NGO information not yet collated.

Notes:

[4] Sources:

- **Government budgets** include public money spent by government or government agencies to address domestic biodiversity issues. Resources from the different levels of government: central (national, federal); state/provincial (if applicable); and local/municipal should be included. All countries should include estimates for “central” and for “local/municipal”. When providing information on government budgets Parties should ensure that funds transferred between the different levels of government are only counted once.

- The **private sector** comprises private corporations or transactions mediated through a market.
- **Other** represents funding that is neither public nor mediated through a market. **Non-governmental organizations** include non-profit organizations representing major groups and that are legally constituted organizations that operate independently from government. **Foundations** are non-profit organizations that typically either donate funds, provide support to other organizations, and/or directly provide funding for their own charitable purposes. **Academia** refers to all institutions aimed at advancing knowledge development, including educational and research institutions. The unifying factor between these three types of organizations is their not for profit status.

[5] **Category:** See section 5 of the reporting framework for a description of the categories.

☐ **3. Information on the steps being taken to implement the strategy for resource mobilization**

This section of the Framework addresses initiatives which are important in enabling access to financial resources for biodiversity activities. The information sought in this section does not require response in monetary units.

Please indicate whether your country has undertaken any of the following steps to enable implementation of the strategy for resource mobilization and provide additional information as appropriate.

If your country has undertaken any of the activities below please indicate the results which have been achieved if possible. If you are representing a developing country (not a member of the OECD -DAC) please also indicate whether external funding and/or capacity building support was received by your country to undertake the initiatives (if applicable). Please also indicate the results and year initiated and completed (where applicable).

Steps and description of the initiative (including support received, results achieved, year initiated/ completed)	
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<input checked="" type="checkbox"/>	<p>3.1 Assessment of values of biodiversity [6]</p> <p><i>Biodiversity values have been incorporated in New Zealand’s principal legislation governing the use of natural resources and the environment, the Resource Management Act (RMA) since 1991. The RMA takes a whole ecosystem approach to the sustainable management of resources including for biodiversity. The key themes are: sustaining the</i></p>
<input type="checkbox"/>	<p>3.2 Identification and reporting funding needs, funding gaps and funding priorities [7]</p>

<input type="checkbox"/>	<Describe the initiative>
<input type="checkbox"/>	3.3 Development of national financial plans for biodiversity [8] <Describe the initiative>
<input checked="" type="checkbox"/>	3.4 Integrated consideration of biodiversity and ecosystem services in development plans and strategies [9] See 3.1
<input checked="" type="checkbox"/>	3.5 Country integrated consideration of biodiversity and ecosystem services in national budgets [10] See 3.1
<You may add here your comments>	

Notes:

[6] Assessments of the values of biodiversity and ecosystem services comprise assessments at the national, local and/or project levels, which may be undertaken by national or international experts, to estimate the value of biodiversity.

[7] Funding needs, gaps and priorities are identified and reported at the national level, on the basis of the Convention and is often part of a national biodiversity strategy and action plan process.

[8] National financial plans for biodiversity refer to financial plans developed as part of national biodiversity strategies and action plans.

[9] Development plans and strategies may take various forms in different countries, such as national poverty reduction strategies or national sustainability strategies.

[10] A national budget which integrates biodiversity considerations would normally contain a section or paragraph dealing with biodiversity.

4. Information on specific issues related to resource availability

This section of the Framework contains questions related to several specific issues including: technical cooperation; South-South cooperation; innovative financial mechanisms; and access and benefit-sharing.

4.1: Technical cooperation, capacity-building and South-South cooperation

For **developed countries** (members of OECD -DAC): **Please indicate if your country is participating in technical cooperation and capacity-building initiatives in support of biodiversity that are financed by your country or providing support to South-South cooperation through triangular cooperation.** You may also provide a description of the types of initiatives supported. [11]

Type and description of the initiative (including support received, results achieved, year initiated/ completed)	
<input checked="" type="checkbox"/>	4.1.1 North-South technical cooperation and capacity building provided [12] <i>We have provided capacity-building on a number of biodiversity issues, e.g. wildlife trade issues, pest eradication, etc.</i>
<input type="checkbox"/>	4.1.2 Support to South-South technical cooperation & capacity building through triangular cooperation [13] <Describe the initiative>
<input type="checkbox"/>	<You may add here your comments>

For **developing countries** (countries, not members of OECD -DAC): **please indicate if your country is participating in**

Type and description of the initiative (including support received, results achieved, year initiated/ completed)
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<input type="checkbox"/>	<p>4.1.3 North-South technical cooperation and capacity building received</p> <p><Describe the initiative></p>
<input type="checkbox"/>	<p>4.1.4 South-South technical cooperation & capacity building received from other developing countries [14]</p> <p><Describe the initiative></p>
<input type="checkbox"/>	<p>4.1.5 South-South technical cooperation and capacity building - Provided [16]</p> <p><Describe the initiative></p>
<p><You may add here your comments></p>	

Notes:

[12] Note that your response to section 2 would already include such resources within the totals provided; this question is intended to elucidate specific information for indicators (8) and (9) of decision X/3.

[13] **North-south technical cooperation** and capacity-building initiatives are those in which resources and/or expertise are provided by a developed country to a developing country.

[14] While **South-South cooperation** and capacity building is by definition between developing countries, in some instances developed countries may provide resources and expertise which play a catalytic role in such initiatives. This type of support is commonly referred to as “triangular cooperation” and should be noted.

[15] **South-South Cooperation** describes the exchange of resources, technology, and knowledge between developing countries. Developing countries participating in these types of initiatives can be recipients and/or providers of resources. In this field developing countries are asked to indicate separately the **resources they have provided and received** through such initiatives.

4.2 Resources raised through reform of incentives and subsidies

Please indicate if your country has removed, phased out or reformed incentives, including subsidies, harmful to

Incentives and description of the initiative (including how the intrinsic and all other values of biodiversity have been reflected)



4.2.1 Removed, reformed or phased-out

We have removed, reformed, and phased-out a number of incentives. Detailed data on this is available but would take more time to collate.



4.2.2 Positive incentives [17] introduced

These activities have been included in the direct flows calculations: e.g. funds for afforestation, community biodiversity conservation funds, etc.

<You may add here your comments>

Notes:

[16] **Incentives** harmful to biodiversity emanate from policies or programmes that induce unsustainable behaviour harmful to biodiversity, often as unanticipated and unintended side effects of policies or programmes designed to achieve other objectives. Types of possibly harmful incentives include production subsidies and consumer subsidies while policies and laws governing resource use, such as land tenure systems and environmental resource management, can also have harmful effects.

[17] **Positive incentive** measures are economic, legal or institutional measures designed to encourage beneficial activities.

4.3 New and innovative financial mechanism

Please identify the new and innovative financial mechanisms that have been implemented by your country or in which your country has participated.

Please indicate the type of initiative and the amount of financial resources generated (where known; order of magnitude estimates are better than none). Please also indicate whether and how the intrinsic and all other values of biodiversity were considered and provide a brief description of the initiative, including the year of its establishment and operation.

Type of Initiative [18]	Resources generated (If known)	Description (including how the intrinsic and all other values of biodiversity have been reflected)
<Type of Initiative>	<Resources generated>	<Description>
<Type of Initiative>	<Resources generated>	<Description>
<Type of Initiative>	<Resources generated>	<Description>
<Type of Initiative>	<Resources generated>	<Description>
<You may add here your comments>		

Notes:

[18] **Types of initiatives** might include: payment for ecosystem services; biodiversity offset mechanisms; environmental fiscal reforms; markets for green products; business-biodiversity partnerships; new forms of charity; integrating biodiversity and ecosystem services in the development of new and innovative sources of international development finance and funding mechanisms for climate change which consider biodiversity and ecosystem services.

4.4 Access and benefit sharing of genetic resources initiatives and mechanisms consistent with the Convention

Please indicate the number of access and benefit-sharing of genetic resources initiatives and mechanisms your country has undertaken that enhance resource mobilization:

Initiative	Description (including how resource mobilization is enhanced)
<Initiative>	<Description>
<Initiative>	<Description>
<Initiative>	<Description>
<You may add here your comments>	

5. Activity classification

For the resource classification mentioned in sections 1 and 2 above 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 list any additional activities considered under each category.**

Activity classification	
Directly related to biodiversity [19]	Indirectly related to biodiversity [20]

<p>Default Description</p>	<p>Funding for activities directly related to biodiversity such as:</p> <ul style="list-style-type: none"> · In situ/ex situ conservation · Protected areas · Maintaining genetic diversity · Addressing threats from invasive alien species (in situations where the primary purpose is to protect biodiversity) · Addressing threats to specific ecosystems and/or species <p>Also included within this category would be funding related to human resources, policy development and administration for these activities including the development of NBSAPs, frameworks, and CHM.</p> <p>Generally funding considered under this category would be provided by environmental agencies that directly and purposely consider biodiversity within their mandates.</p>	<p>Funding for activities which have benefits for biodiversity but for which biodiversity conservation and sustainable use is not the main focus.</p> <p>Activities under this category would generally be led by agencies outside of the environmental sector or where responsibility lies with multiple sectors.</p> <p>Activities under this category would include:</p> <ul style="list-style-type: none"> · Sectoral measures which benefit biodiversity conservation and sustainable use within productive sectors (agriculture, forestry, aquaculture, fisheries, etc) · Sectoral measures to conserve water and prevent pollution · Managing land use to mitigate climate change and increase resilience · Planning, fiscal and regularity measures to promote sustainable consumption and production · Broad scale public awareness and education measures
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<p>Additional activities</p> <p><i>(To ensure information comparability please add any additional activities not already included in the row above. Please also indicate if any of the above activities are included in different a category)</i></p>	<p><Additional activities></p>	<p><Additional activities></p>
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Notes:

[19] Activities directly related to biodiversity broadly correspond to the activity categories A and B used in UNEP/CBD/WG-

[20] Actions which indirectly relate to biodiversity broadly correspond to the activity categories C and D used in UNEP/CBD/WG-