SECTION X

DECISIONS OF THE CONFERENCE OF THE PARTIES

(WITH RELEVANT SBSTTA RECOMMENDATIONS)

Decisions adopted by the first meeting of the Conference of the Parties

NASSAU, BAHAMAS, 28 NOVEMBER–9 DECEMBER 1994

DECISION I/1 | Rules of procedure for the Conference of the Parties

The Conference of the Parties

Decides to adopt the rules of procedures of the Conference contained in the annex* to this decision, with the exception of paragraph 1 of rule 40.

DECISION I/2 | Financial resources and mechanism

The Conference of the Parties

1. *Decides* to adopt the policy, strategy, programme priorities and eligibility criteria for access to and utilization of financial resources contained in annex I to this decision, and the list of developed country Parties and other Parties which voluntarily assume the obligations of developed country Parties contained in annex II to this decision;

2. *Decides* also that the restructured Global Environment Facility (GEF) shall continue to serve as the institutional structure to operate the financial mechanism under the Convention on an interim basis, in accordance with Article 39 of the Convention;

3. *Decides* to instruct the restructured Global Environment Facility to take prompt measures to support programmes, projects and activities consistent with the policy, strategy, programme priorities and eligibility criteria for access to and utilization of financial resources contained in annex I to this decision;

4–8. [RETIRED as per decision VI/27, paragraph 3].

ANNEX I
POLICY, STRATEGY, PROGRAMME PRIORITIES AND ELIGIBILITY CRITERIA FOR ACCESS TO AND UTILIZATION OF FINANCIAL RESOURCES

I. Policy and Strategy

Financial resources should be allocated to projects that fulfil the eligibility criteria and are endorsed and promoted by the Parties concerned. Projects should contribute to

* The rules of procedure are contained in annex III to the report of the meeting (Document UNEP/CBD/COP/1/17) and are reproduced in chapter III of this Handbook.

the extent possible to build cooperation at the sub-regional, regional and international levels in the implementation of the Convention. Projects should promote utilization of local and regional expertise. The institutional structure should over time assist all eligible countries to fulfil their obligations under the Convention. Policy and strategy may be revised, as necessary, by the Conference of the Parties.

II. Eligibility Criteria

Only developing countries that are Parties to the Convention are eligible to receive funding upon the entry into force of the Convention for them. In accordance with the provisions of the Convention, projects that seek to meet the objectives of conservation of biological diversity and sustainable use of its components are eligible for financial support from the institutional structure.

III. Programme Priorities

1. The conservation of biological diversity and sustainable use of its components is one of the key elements in achieving sustainable development and therefore contribute to combating poverty.

2. All the actions contemplated in the Convention will have to be carried out at the national and international level, as appropriate. However, for the purpose of giving direction to the interim structure operating the financial mechanism, a list of programme priorities is given in paragraph 4 below. The list may be revised by the Conference of the Parties, as necessary.

3. Programme priorities should promote utilization of regional and local expertise and be flexible to accommodate national priorities and regional needs within the aims of the Convention.

4. The programme priorities are as follows:

(a) Projects and programmes that have national priority status and that fulfil the obligations of the Convention;

(b) Development of integrated national strategies, plans or programmes for the conservation of biological diversity and sustainable use of its components in accordance with article 6 of the Convention;

(c) Strengthening conservation, management and sustainable use of ecosystems and habitats identified by national Governments in accordance with article 7 of the Convention;

(d) Identification and monitoring of wild and domesticated biodiversity components, in particular those under threat, and implementation of measures for their conservation and sustainable use;

(e) Capacity-building, including human resources development and institutional development and/or strengthening, to facilitate the preparation and/or implementation of national strategies, plans for priority programmes and activities for conservation of biological diversity and sustainable use of its components;

(f) In accordance with Article 16 of the Convention, and to meet the objectives of conservation of biological diversity and sustainable use of its components, projects which promote access to, transfer of and cooperation for joint development of technology;

(g) Projects that promote the sustainability of project benefits; that offer a potential contribution to experience in the conservation of biological diversity and sustainable use of its components which may have application elsewhere; and that encourage scientific excellence;

(h) Activities that provide access to other international, national and/or private sector funds and scientific and technical cooperation;

(i) Innovative measures, including in the field of economic incentives, aiming at conservation of biological diversity and/or sustainable use of its components, including those which assist developing countries to address situations where opportunity costs are incurred by local communities and to identify ways and means by which these can be compensated, in accordance with article 11 of the Convention;

(j) Projects that strengthen the involvement of local and indigenous people in the conservation of biological diversity and sustainable use of its components;

(k) Projects that promote the conservation and sustainable use of biological diversity of coastal and marine resources under threat. Also, projects which promote the conservation of biological diversity and sustainable use of its components in other environmentally vulnerable areas such as arid and semi-arid and mountainous areas;

(l) Projects that promote the conservation and/or sustainable use of endemic species;

(m) Projects aimed at the conservation of biological diversity and sustainable use of its components which integrate social dimensions including those related to poverty.

ANNEX II
LIST OF DEVELOPED COUNTRY PARTIES AND OTHER PARTIES WHICH VOLUNTARILY ASSUME THE OBLIGATIONS OF DEVELOPED COUNTRY PARTIES

A. List of developed country Parties

Australia
Austria
Canada
Denmark
Finland
France
Germany
Greece
Iceland
Italy
Japan
Luxembourg
Monaco
Netherlands
New Zealand
Norway
Portugal
Spain
Sweden
Switzerland
United Kingdom of Great Britain & Northern Ireland

B. List of Parties which voluntarily assume the obligations of developed country Parties

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ANNEX III
INTERIM GUIDELINES FOR MONITORING AND EVALUATION OF UTILIZATION OF FINANCIAL RESOURCES BY THE RESTRUCTURED GEF

1. The Conference of the Parties (COP) to the Convention on Biological Diversity decides to instruct the restructured GEF to prepare and submit through the Convention Secretariat an annual report on its operations in support of the Convention.

2. The report should include specific information on how it has applied the guidance and decisions of the COP in its work related to the Convention. This report should be of a substantive nature and incorporate the programme of future activities of the restructured GEF in the areas covered by the Convention and an analysis of how the restructured GEF, in its operations, implemented the policy, strategy, programme priorities and eligibility criteria related to the Convention which have been adopted by the COP.

3. In particular, the report should provide information on the following:

(a) A synthesis of the different projects under implementation;

(b) A list of project proposals submitted by eligible Parties, for funding, reporting on their approval status;

(c) A review of the project activities approved by the restructured GEF and their outcomes, including information on funding and progress in implementation.

4. In order to meet the requirements of accountability to the COP, reports submitted by the restructured GEF should cover all its activities carried out in implementing the Convention, whether decisions on such activities are made by the GEF Council or by the implementing agencies. To this end, it shall make arrangements with such bodies as might be necessary regarding disclosure of information.

DECISION I/3 | Clearing-house mechanism for technical and scientific cooperation

The Conference of the Parties

1. *Decides* to implement the provisions of Article 18, paragraph 3, of the Convention on the establishment of a clearing-house mechanism to promote and facilitate technical and scientific cooperation, operating under the authority of the Conference of the Parties;

2–4. [RETIRED as per decision VI/27, paragraph 3].

DECISION I/4 | Selection of a competent international organization to carry out the functions of the Secretariat of the Convention

The Conference of the Parties

1. *Designates* the United Nations Environment Programme to carry out the functions of the Secretariat of the Convention while ensuring its autonomy to discharge the functions referred to in Article 24;

2–3. [RETIRED as per decision VI/27, paragraph 3].

DECISION I/5 | Support to the Secretariat by international organizations

The Conference of the Parties

1. [RETIRED as per decision VI/27, paragraph 3];

2. *Requests* the Executive Secretary to coordinate with those organizations with a view to entering into such administrative and contractual arrangements as may be required to make effective those offers, as provided for in Article 24.1 (d) of the Convention;

3. *Invites* other competent organizations which wish to do so to make further proposals to the Secretariat in this regard;

4. *Requests* the Executive Secretary to contact the Secretariats of conventions dealing with matters covered by this Convention with a view to establishing appropriate forms of cooperation between this Convention and those conventions and report to the Conference of the Parties on this issue, as provided for in Article 23.4(h) of the Convention.

DECISION I/6 | Financing of and budget for the Convention

Part I

The Conference of the Parties

1. *Adopts* the Financial Rules for the Administration of the Trust Fund for the Convention on Biological Diversity, which are attached as annex I to this decision, to apply in conjunction with the general procedures governing the operations of the Fund of the United Nations Environment Programme and the Financial Regulations and Rules of the United Nations;

2. *Designates* the United Nations Environment Programme as the Trustee of the Trust Fund for the Convention on Biological Diversity;

3–9. [RETIRED as per decision VI/27, paragraph 3].

Part II
[RETIRED as per decision VI/27, paragraph 3]

ANNEX I
FINANCIAL RULES FOR THE ADMINISTRATION OF THE TRUST FUND FOR THE CONVENTION ON BIOLOGICAL DIVERSITY[67]

ANNEX II
PROPOSED BUDGET FOR 1995 AND INDICATIVE BUDGET FOR 1996
[RETIRED as per decision VI/27, paragraph 3]

DECISION I/7 | Subsidiary Body on Scientific, Technical and Technological Advice

The Conference of the Parties

1. *Decides:*

(a) That the Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA) shall operate in accordance with the terms of reference as given in Article 25, paragraphs 1 and 2, until further elaborated by the Conference of the Parties;

(b) That SBSTTA shall report to the Conference of the Parties at each of its ordinary meetings;

(c) That SBSTTA shall meet sufficiently in advance of each meeting of the Conference of the Parties to enable its report to be considered by Parties in their preparation for the meeting of the Conference of the Parties;

(d) [RETIRED as per decision VI/27, paragraph 3];

2. [RETIRED as per decision VI/27, paragraph 3];

3. *Decides also* that it will decide, at each of its meetings, on which topics advice is required for the implementation of the Convention, taking into account its medium-term work programme and SBSTTA's remit as outlined in Article 25;

4. [RETIRED as per decision VI/27, paragraph 3].

DECISION I/8 | Preparation of the participation of the Convention on Biological Diversity in the third session of the Commission on Sustainable Development

The Conference of the Parties

Decides to invite its President to transmit the statement contained in the annex to this decision to the high-level segment of the Commission on Sustainable Development at its third session.

67 The Financial Rules for the Administration of the Trust Fund for the Convention on Biological Diversity and are reproduced in Section V of this Handbook.

ANNEX
STATEMENT FROM THE CONFERENCE OF THE PARTIES TO THE CONVENTION ON BIOLOGICAL DIVERSITY TO THE COMMISSION ON SUSTAINABLE DEVELOPMENT AT ITS THIRD SESSION

1. The planet's essential goods, ecological functions and services depend on the variety and variability of genes, species, populations and ecosystems. If humanity is to have a future on this earth, biological diversity must be conserved so that these functions and services are maintained. The current decline in biodiversity is largely the result of human activity and represents a serious threat to human development. Despite efforts to conserve the world's biological diversity, its depletion has continued. The entry into force of the Convention provides an international framework through which to address this depletion which causes threats to ecosystems that are vital for the sustenance of human societies in all countries. By becoming Parties to the Convention, Governments have committed themselves to 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.

2. The Convention on Biological Diversity is the primary international legal instrument for advancing the conservation of biological diversity, the sustainable use of its components and the fair and equitable sharing of benefits arising out of the use of genetic resources while recognizing the important role of other conventions to the objectives of the Convention.

3. The Convention was opened for signature during the United Nations Conference on Environment and Development in Rio de Janeiro. Since then the Convention has received 168 signatures. It entered into force on 29 December 1993, and has been ratified or acceded to by 105 States and the European Community at the time of the first meeting of the Conference of the Parties.

4. The Conference of the Parties to the Convention on Biological Diversity held its first meeting at Nassau, from 28 November to 9 December 1994, at which it took a number of decisions and adopted a medium-term programme of work for the period 1995 to 1997. These are attached to this statement for the information of the Commission on Sustainable Development.

5. The above information is conveyed to the Commission on Sustainable Development in the light of the recommendation contained in paragraph 38.13(f) of Agenda 21.

6. The Conference of the Parties is vested with the responsibility of implementing the provisions of the Convention on Biological Diversity, of reviewing the further development of matters relating to the conservation of biological diversity, the sustainable use of its components, and the fair and equitable sharing of benefits arising from the use of genetic resources and where appropriate, of bringing these within the purview of the Convention. In this context, the Conference of the Parties seeks to establish links with other bodies and processes relevant to biodiversity issues with a view to promoting coherent and urgent attention to these issues.

7. The Conference of the Parties attaches importance to the development of a substantive relationship with the Commission on Sustainable Development, given the

Commission's responsibilities in respect of Agenda 21 and the complementarity of its mandate with that of the Conference of the Parties to the Convention on Biological Diversity.

8. At its first meeting, the Conference of the Parties was pervaded by a sense of urgency and an awareness of the magnitude of the task before it. The Conference of the Parties appeals to the Commission on Sustainable Development to make all efforts in its own right to advance the concerns of the Convention on Biological Diversity.

9. The Convention leaves no doubt that biological diversity is a cross-cutting issue. The provisions of the Convention are of the utmost relevance to the issues to be reviewed by the Commission at its third session; to the planning and management of land resources, combating deforestation, managing fragile ecosystems and promoting sustainable agriculture and rural development. Many aspects of the programme areas to be considered by the Commission, their bases for action, objectives, activities, and means of implementation correspond to the objectives and provisions of the Convention.

10. The Convention ushers in a new era concerning access to genetic resources which is subject to the provisions of Article 15 of the Convention and is characterized by a fair and equitable sharing of the benefits arising out of the use of such resources.

11. The Conference of the Parties was informed of the ongoing negotiations under the auspices of the FAO to bring the International Undertaking on Plant Genetic Resources for Food and Agriculture in harmony with the Convention on Biological Diversity. The Conference of the Parties recognizes this process and hopes that these negotiations will come to a meaningful conclusion. The Commission on Sustainable Development may wish to convey this message to the FAO and to advise it on the intention of the Conference of the Parties to consider the issue of access to genetic resources at its second and third meetings. In this regard, it would be desirable to coordinate efforts carried out in both fora in order to collaborate and to avoid overlapping in the respective fields of competence of the FAO and the Convention on Biological Diversity.

12. The provisions of the Convention are also relevant to the cross-sectoral cluster and should be considered by the Commission on Sustainable Development when it reviews critical elements of sustainability as indicated in Agenda 21. The Conference of the Parties notes in particular the relevance of the following cross-sectoral issues on the agenda of the third session of the Commission on Sustainable Development: Chapters 3 Combating poverty; 5 Demographic dynamics and sustainability; 8 Integrating environment and development in decision-making; 16 Environmentally sound management of biotechnology; 23–32 Roles of major groups; 33 Financial resources and mechanisms; 34 Transfer of technology; 35 Science for sustainable development; and 40 Information for decision-making.

13. The Conference of the Parties wishes to inform the Commission on Sustainable Development of its intention take immediate action to: 1) undertake work on biosafety, establishing an ad hoc working group to consider the needs for and modalities of a protocol to the Convention on this issue; 2) establish a clearing-

house mechanism to promote technical and scientific cooperation; 3) facilitate the establishment of the subsidiary body on scientific, technical and technological advice and 4) undertake work relevant to biodiversity related Conventions, other institutional agreements and processes of relevance. The Conference of the Parties would be willing to coordinate and collaborate with other United Nations bodies on further work in these four areas. It would also be desirable that future work on the protection of traditional knowledge and practices of indigenous and local communities relevant to conservation and sustainable use should be coordinated with the relevant bodies.

14. Given the complementarity of their respective mandates, the Conference of the Parties is convinced it can make a major contribution to the implementation of Agenda 21. Article 23.4(i) calls upon the Conference of the Parties to consider and undertake any additional action that may be required for the achievement of the purposes of the Convention. Implementation of the Convention will be facilitated by the Conference of the Parties and the Commission on Sustainable Development jointly exploring ways in which any additional issues identified can be further developed within the organizing framework of the Convention.

15. Biological diversity is of great importance for the ecosystem function of forests. The Conference of the Parties emphasizes the importance of conservation, management and sustainable use of forests for achieving the objectives of the Convention and encourages further consideration by the Commission on Sustainable Development on the implementation of the Non-Legally Binding Authoritative Statement of Principles for a Global Consensus on the Management, Conservation and Sustainable Development of all Types of Forests. The Conference of the Parties to the Convention on Biological Diversity stands ready to make its own contribution to that process consistent with its role in developing measures to achieve the objectives of the Convention with respect to forests. The Conference of the Parties would welcome a dialogue with the Commission on Sustainable Development and seek dialogue and cooperation with other relevant international organizations on the issue of forests.

16. Desertification is associated with land degradation and entails the loss of biological diversity. The Conference of the Parties to the Convention on Biological Diversity will explore the ways in which it can cooperate with the Conference of the Parties to the Convention to Combat Desertification to the extent that their mandates are complementary.

17. The Conference of the Parties invites the Commission on Sustainable Development to:

(a) Urge States that have not yet done so to become Parties to the Convention;

(b) Consider the biodiversity issue in the light of the three interrelated objectives of the Convention;

(c) Approach the subject of biodiversity as a multisectoral issue which is relevant to virtually all of its concerns;

(d) Urge Governments to recognize the mutually supportive relationship between biodiversity and sustainable development;

(e) Encourage Governments to improve coordination among departments at the national level in order to more effectively implement measures for the conservation of biological diversity and the sustainable use of its components, given the cross-cutting nature of these issues;

(f) Consider the sectoral issues to be addressed at its 1995 session in the context of their close interrelationship with biodiversity;

(g) Urge States to work cooperatively to address the subject of poverty in the context of its close interrelationship with biodiversity;

(h) Stress to Governments the advantages deriving from coordination between its work, that of the Convention on Biological Diversity, and that of other conventions, intergovernmental bodies and fora concerned with the conservation of biological diversity and the sustainable use of its components.

18. Given the views and proposals outlined above, the Conference of the Parties believes that the Commission on Sustainable Development and the Convention on Biological Diversity should establish links, through their respective organs and mechanisms, to facilitate a collaborative approach to issues of mutual concern. To this end, the Conference of the Parties will regularly consider the issues to be addressed by the Commission at its future meetings.

19. The Conference of the Parties to the Convention on Biological Diversity hopes that this statement will be helpful to the Commission on Sustainable Development.

20. The Conference of the Parties to the Convention on Biological Diversity reaffirms its commitment to caring for the earth and its people.

DECISION I/9 | Medium-term programme of work of the Conference of the Parties

[RETIRED as per decision VI/27, paragraph 3]

DECISION I/10 | Location of the Secretariat

[RETIRED as per decision VI/27, paragraph 3]

DECISION I/11 | Preparation for the second meeting of the Conference of the Parties

[RETIRED as per decision VI/27, paragraph 3]

DECISION I/12 | International Day for Biological Diversity

The Conference of the Parties

Decides to recommend to the United Nations General Assembly at its forty-ninth session to consider 29 December, the date of entry into force of the Convention on Biological Diversity, International Day for Biological Diversity.

DECISION I/13 | Tribute to the Government of the Commonwealth of the Bahamas

[RETIRED as per decision VI/27, paragraph 3]

Decisions adopted by the second meeting of the Conference of the Parties

JAKARTA, INDONESIA, 6-17 NOVEMBER 1995

DECISION II/1 | Report of the first meeting of the Subsidiary Body on Scientific, Technical and Technological Advice

The Conference of the Parties

1–2. [RETIRED as per decision VI/27, paragraph 3]

3. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice to keep under review its *modus operandi* with a view to improving its functioning on the basis of experience gained;

4–6. [RETIRED as per decision VI/27, paragraph 3].

RECOMMENDATION I/6: GLOBAL BIODIVERSITY OUTLOOK

In view of the need for a large dissemination of scientific and technical information relevant to the conservation and the sustainable use of biological diversity;

In view also of the importance of scientific and technical research in achieving the goals and objectives of the Convention on Biological Diversity;

The first meeting of the Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA), held in Paris from 4 to 8 September, recommends that the second meeting of the Conference of the Parties to the Convention on Biological Diversity, to be held in Jakarta, Indonesia, from 6 to 17 November 1995, consider:

1. Requesting the Secretariat to prepare, under the guidance of the Bureau of the Conference of the Parties and the SBSTTA, a periodic report on biological diversity. Such a report, which may also reflect the views of the scientific community, may include, *inter alia*:

(a) A brief summary of the status and trends of biological diversity at global and regional level;

(b) An analysis of the global and regional trends in the implementation of the objectives of the Convention on Biological Diversity on the conservation of biological diversity, the sustainable use of its components, and the fair and equitable sharing of benefits arising out of the utilization of genetic resources;

(c) A summary of the implementation of the Convention on Biological Diversity at the national level on the basis of the information contained in national reports to be submitted by Parties in accordance with Article 26 of the Convention;

(d) An overview of the cooperation with other biological-diversity-related conventions and intergovernmental processes; and

(e) A presentation on the implementation of the decisions of the Conference of the Parties and the recommendations adopted by the SBSTTA.

2. The implications of this proposal in terms of financial and human resources in relation to other tasks to be fulfilled by the Secretariat.

DECISION II/2 | Publication and Distribution of Scientific and Technical Information

[RETIRED as per decision VI/27, paragraph 3]

DECISION II/3 | Clearing-house Mechanism

The Conference of the Parties

1. [RETIRED as per decision VI/27, paragraph 3]

2. *Notes* that many information systems and activities relevant to the objectives of the Convention have been and are being established at international, subregional, regional and national levels;

3. *Notes* that the enhanced cooperation between these information systems and activities will contribute to capacity-building, and notes that, in this context, the role of the Secretariat is to promote and facilitate access to this clearing-house mechanism;

4. *Decides*, as a contribution to the implementation of the objectives of the Convention, that the clearing-house mechanism, established by decision I/3 adopted at its first meeting in accordance with Article 18, paragraph 3 of the Convention, should be developed:

(a) [RETIRED as per decision VI/27, paragraph 3]

(b) Through specific and focused areas of activities related to the promotion of international technical and scientific cooperation;

(c) By gradually building up its functions in response to clear and identified demand based on experience gained and resources available;

(d) In a neutral, transparent, cost-effective, efficient and accessible manner;

(e) As a decentralized mechanism using such resources as print and electronic media, including the Internet;

(f) By making full use of existing facilities, which will avoid any duplication or overlap of activities and allow for the early implementation of the mechanism;

(g) In close cooperation with relevant international organizations and entities as active partners in the clearing-house mechanism to maximize the existing experience and expertise;

(h) By enhancing networking between existing national, regional, subregional and international centres of relevant expertise, as well as governmental and non-governmental institutions and the private sector;

5–6. [RETIRED as per decision VI/27, paragraph 3]

7. *Takes note* of the designation by Parties of their national focal point for the clearing-house mechanism (document UNEP/CBD/COP/2/Inf.5) and calls upon those who have not designated their focal point to do so, where appropriate, as soon as possible, and no later than February 1996;

8. *Invites* all relevant international, regional, subregional and national organizations and entities willing to offer their cooperation as active partners in the operation of the clearing-house mechanism to communicate the details of their offer and requests the Executive Secretary of the Secretariat to enter into collaborative arrangements and to report to its third meeting on the results of such arrangements;

9. *Requests* the Global Environment Facility to explore the modalities of providing support through the financial mechanism to developing country Parties for capacity-building in relation to the operation of the clearing-house mechanism and report to the Conference of the Parties at its third meeting;

10–11. [RETIRED as per decision VI/27, paragraph 3].

DECISION II/4 | Ways and means to promote and facilitate access to, and transfer and development of technology

The Conference of the Parties

1. *Takes note* of recommendation I/4 on ways and means to promote and facilitate access to, and transfer and development of technology as envisaged in Articles 16 and 18 of the Convention, adopted by the first meeting of the Subsidiary Body on Scientific, Technical and Technological Advice, held in Paris, at the headquarters of the United Nations Educational, Scientific and Cultural Organization, from 4 to 8 September 1995;

2–4. [RETIRED as per decision VI/27, paragraph 3].

DECISION II/5 | Consideration of the need for and modalities of a protocol for the safe transfer, handling and use of living modified organisms

[RETIRED as per decision VI/27, paragraph 3]

DECISION II/6 | Financial Resources Mechanism

The Conference of the Parties,

Taking note of the information provided by the reports contained in documents UNEP/CBD/COP/2/9 and UNEP/CBD/COP/2/8 and the collaboration between the Secretariat of the Convention and the Secretariat of the restructured Global Environment Facility,

1. *Decides* that the restructured Global Environment Facility shall continue to serve as the institutional structure to operate the financial mechanism under the Convention on an interim basis, in accordance with Article 39 of the Convention, until a decision will be taken on which institutional structure is to be designated in accordance with Article 21 of the Convention. The Conference of the Parties shall endeavour to make such a decision at its third meeting;

2. *Decides* to undertake the first review of the effectiveness of the financial mechanism at its fourth meeting in 1997 and a review every three years. The first review will be carried out within the basic approach described in document UNEP/CBD/COP/2/9;

3–4. [RETIRED as per decision VI/27, paragraph 3]

5. *Requests* the interim institutional structure operating the financial mechanism to facilitate urgent implementation of Article 6 of the Convention by availing to developing country Parties financial resources for projects in a flexible and expeditious manner;

6. *Requests* the interim institutional structure to incorporate fully, on an ongoing basis, guidance from the Conference of the Parties into the further development of the Operational Strategy and programmes to ensure that the objectives of the Convention are addressed. The Conference of the Parties requests the Global Environment Facility to take the following comments into account when preparing the report to be submitted to the third meeting of the Conference of the Parties:

(a) Detailed information should be provided on the conformity of the approved work programmes with the guidance of the Conference of the Parties;

(b) A list of projects submitted by eligible country Parties and information on their status should be included;

7. [RETIRED as per decision VI/27, paragraph 3]

8. *Requests* participation of a representative of the Subsidiary Body on Scientific, Technical and Technological Advice of the Convention and of the Scientific and Technical Advisory Panel of the Global Environment Facility in respective meetings of the Subsidiary Body on Scientific, Technical and Technological Advice and the Scientific and Technical Advisory Panel on a reciprocal basis, as provided for in the *modus operandi* of the Subsidiary Body on Scientific, Technical and Technological Advice and in the terms of reference of the Scientific and Technical Advisory Panel;

9. *Requests* the Executive Secretary to:

(a) Further explore possibilities to identify additional financial resources to support the objectives of the Convention;

(b) Continue to monitor the availability of additional financial resources and further identify where and how country Parties might gain access to these resources;

(c) Study characteristics specific to biodiversity activities to allow the Conference of the Parties to make suggestions to funding institutions on how to make their activities in the area of biodiversity more supportive of the Convention;

10. *Recommends*, for more effective implementation of its policies, strategies and programme priorities, that the Global Environment Facility explore the possibility of promoting diverse forms of public involvement and more effective collaboration between all tiers of government and civil society, including the feasibility of a programme of grants for medium-sized projects. Such exploration should take into account the eligibility criteria set out by the Conference of the Parties in Annex I to decision I/2 on financial resources and mechanism, contained in document UNEP/CBD/COP/1/17;

11. *Requests* the interim institutional structure to implement the relevant provisions of the following decisions: II/3 on clearing-house mechanism, II/7 on consideration of Articles 6 and 8 of the Convention, II/8 on preliminary consideration of components of biological diversity particularly under threat and action which could be taken under the Convention, and II/17 on form and intervals of national reports by Parties;

12. [RETIRED as per decision VI/27, paragraph 3].

DECISION II/7 | Consideration of Articles 6 and 8 of the Convention

The Conference of the Parties,

Mindful of the crucial importance of the provisions of Articles 6 and 8 in the fulfillment of the objectives of the Convention,

1. *Urges* all Parties and Governments and other interested stakeholders to exchange relevant information and share experience on measures taken for the implementation of Articles 6 and 8;

2. *Stresses* the importance of regional and international cooperation for the implementation of Articles 6 and 8 of the Convention;

3. *Requests* the Executive Secretary to make available through the clearing-house mechanism such information and lessons drawn from national experience and also to make available relevant information on the implementation of Articles 6 and 8 contained in national reports submitted by Parties in accordance with Article 26 of the Convention as well as decision II/17 adopted at its second meeting;

4. *Further requests* the Executive Secretary:

(a) To compile and disseminate that information as widely as possible, including experience of relevant conventions, United Nations bodies and intergovernmental and nongovernmental organizations in dealing with the provisions of Articles 6 and 8;

(b) To prepare, on the basis of available information, suggestions on how the collection and sharing of relevant information and experience might be enhanced;

5. *Encourages* Parties, in preparing and implementing their national strategies and action plans, to collaborate with relevant organizations and, if so desired, to take into consideration existing guidelines such as "National Biodiversity Planning" published by the United Nations Environment Programme, the World Resources Institute and the World Conservation Union (IUCN);

6. *Emphasizes* the importance of capacity-building as well as the availability of adequate financial resources to assist Parties in the implementation of Articles 6 and 8 of the Convention, and in this context requests the interim financial mechanism under the Convention to facilitate urgent implementation of Articles 6 and 8 of the Convention by availing to developing country Parties financial resources for projects in a flexible and expeditious manner;

7. [RETIRED as per decision VI/27, paragraph 3].

DECISION II/8 | Preliminary consideration of components of a Biological Diversity particularly under threat and action which could be taken under the Convention

The Conference of the Parties

1. *Reaffirms* that the conservation and sustainable use of biological diversity and its components should be addressed in a holistic manner, taking into account the three levels of biological diversity and fully considering socio-economic and cultural factors. However, the ecosystem approach should be the primary framework of action to be taken under the Convention;

2. *Endorses* paragraphs 2, 4 and 5 of recommendation I/3 on preliminary consideration of components of biological diversity that are particularly under threat and the action that could be taken under the Convention, adopted by the first meeting of the Subsidiary Body on Scientific, Technical and Technological Advice, held in Paris, at the headquarters of the United Nations Educational, Scientific and Cultural Organization, from 4 to 8 September 1995;

3. *Stresses* that, as reflected in paragraph 3 of recommendation I/3, it is essential to identify the driving forces determining the status and trends of components of biological diversity, so that appropriate action can be taken to control them;

4. *Stresses* also the importance of making full use of existing knowledge and available expertise;

5. *Emphasizes* the need for capacity-building as well as adequate financial resources for the implementation of the tasks identified in this decision;

6–7. [RETIRED as per decision VI/27, paragraph 3].

PARAGRAPHS 2, 4, AND 5 OF SBSTTA RECOMMENDATION I/3

2. Assessment of the status and trends of components of biological diversity and causes of biodiversity losses provides baseline data which can assist countries to formulate their biodiversity strategies, plans and programmes to implement the provisions of the Convention. This activity leads to the identification of both components under threat and those components that might become threatened, and for which urgent action might be needed to stop or prevent their loss. There is, however, a need to identify, evaluate, develop and share methods needed for the assessment and conservation and sustainable use of biological diversity. Specifically there is a need to:

(i) Further describe the categories of components of biological diversity set down in Annex I of the Convention;

(ii) Evaluate methodologies for identification, characterization and classification of biological diversity and their components so as to identify methods suitable for different conditions of data availability and how their effectiveness can be enhanced;

(iii) Identify methodologies for detecting national and international negative trends in biological diversity;

(iv) Promote exchange of information on existing methodologies through various information systems including electronic mail;

(v) Identify and develop methods for integration of biodiversity concerns into all relevant sectoral policies, plans and actions; integrate biodiversity considerations into area planning mechanisms and processes; and to develop methods for an integrated management approach;

(vi) Develop methods for identifying the links between socio-economic and cultural factors and biological diversity change or loss, and also identify how these factors should be included when deciding upon effective action to correct for unsustainable use/influence, including environmental impact assessment;

(vii) Develop methods for management of biological diversity based on limited knowledge;

(viii) Develop or refine models of processes responsible for biological diversity maintenance and those relating to ecological services provided by biological diversity for different ecosystems through multidisciplinary groups consisting, *inter alia*, of ecologists, natural history experts, oceanographers, economists and sociologists. Identification and targeting of ecological processes and functions should be the basis for conservation and sustainable use of biological diversity and its components;

(ix) Encourage Governments to carry out case studies to learn about ecosystem management efforts, identifying barriers to implementing the ecosystem approach as well as ways and means of overcoming such barriers. Major issue areas influencing the effectiveness of the ecosystem approach may be examined in such studies, including, *inter alia,* budget issues, institutional issues, public participation, science and information as well as legal authorities. The results of such studies should be reported to the Secretariat of the Convention on Biological Diversity for dissemination and further methodological work.

4. There is a need for each Party to start assessing the effectiveness of measures taken under the Convention. However, methods for assessing the effectiveness of measures to conserve or sustainably use biological diversity should be reviewed. The use of indicators of biological diversity and the status of its components is particularly time- and cost-effective. Several indicators are currently being used and developed. They should be reviewed and their use promoted.

5. The Conference of the Parties should organize international cooperation:

(i) To respond to the needs formulated under paragraphs 1 to 4 above and, more specifically, to compile and assess the above-mentioned methodologies, taking into account existing data, processes and reference materials;

(ii) To identify possible concrete actions for the conservation of biological diversity and to use its components sustainably;

(iii) To make these studies available through the clearing-house mechanism established by the Convention to promote technical and scientifical cooperation, and to promote a regional approach to further enhance the collection and analysis of relevant information.

DECISION II/9 | Forests and Biological Diversity

The Conference of the Parties

1. [RETIRED as per decision VI/27, paragraph 3]

2. *Requests* the Executive Secretary:

(a) To provide advice and information pertaining to the relationship between indigenous and local communities and forests, as invited by the Inter-Agency Task Force of the Intergovernmental Panel on Forests;

(b) [RETIRED as per decision VI/27, paragraph 3]

(c) To invite all Parties, relevant intergovernmental agencies and bodies to contribute to the preparation of the documents on forests and biological diversity to be prepared by the Executive Secretary, and to welcome the input of other Governments, non-governmental organizations and indigenous and local communities;

3. *Invites* all Parties to include expertise on forest biological diversity in their delegations to the Intergovernmental Panel on Forests;

4. [RETIRED as per decision VI/27, paragraph 3].

ANNEX TO DECISION II/9
STATEMENT ON BIOLOGICAL DIVERSITY AND FORESTS FROM THE CONVENTION ON BIOLOGICAL DIVERSITY TO THE INTERGOVERNMENTAL PANEL ON FORESTS

1. The Conference of the Parties to the Convention on Biological Diversity welcomes the decision by the Commission on Sustainable Development to establish an open-ended Intergovernmental Panel on Forests (IPF) to pursue consensus and coordinated proposals for action to support the management, conservation and sustainable development of forests.

2. Wishing to avoid duplication of efforts and coordinate with other relevant organizations on issues of biological diversity, the Conference of the Parties stands ready to contribute to the fulfilment of the mandate of the IPF.

3. Keeping in mind the crucial role of forests in maintaining global biological diversity, the Conference of the Parties wishes to establish a dialogue with the IPF on issues related to forests and biological diversity.

4. Together, tropical, temperate and boreal forests provide the most diverse sets of habitats for plants, animals and micro-organisms, holding the vast majority of the world's terrestrial species. This diversity is the fruit of evolution, but also reflects the combined influence of the physical environment and people.

5. The maintenance of forest ecosystems is crucial to the conservation of biological diversity well beyond their boundaries, and for the key role they play in global climate dynamics and bio-geochemical cycles. Forests provide ecological services and, at the same time, livelihoods or jobs for hundreds of millions of people worldwide.

6. Forest biological diversity results from evolutionary processes over thousands and even millions of years which, in themselves, are driven by ecological forces such as climate, fire, competition and disturbance. Furthermore, the diversity of forest ecosystems (in both physical and biological features) results in high levels of adaptation, a feature of forest ecosystems which is an integral component of their biological diversity. Within specific forest ecosystems, the maintenance of ecological processes is dependent upon the maintenance of their biological diversity. Loss of biological diversity within individual ecosystems can result in lower resilience.

7. Forests are becoming degraded and their biological diversity is being lost. The loss of forest biological diversity is linked to the substantial deforestation, fragmentation and degradation of all types of forests. The reasons for the loss of forest biological diversity are many, both direct and indirect, and the Conference of the Parties takes note of the Terms of Reference of the IPF in this regard (IPF Agenda item I.2.).

8. Forests and forest biological diversity play important economic, social and cultural roles in the lives of many indigenous and local communities. The Convention

on Biological Diversity addresses specifically the need to respect, preserve and maintain knowledge, innovations and practices of indigenous and local communities relevant for the conservation and sustainable use of biological diversity, as well as the need to protect and encourage customary use of biological resources in accordance with traditional cultural practices. It also encourages countries to cooperate in the development and use of indigenous and traditional technologies, and encourages the equitable sharing of the benefits arising from the utilization of such knowledge, innovations and practices, in pursuance of the objectives of the Convention. Articles 8(j), 10(c) and 18.4 of the Convention provide the general framework for this.

9. In addition, the Convention on Biological Diversity recognizes in Article 15 the sovereign rights of States over their genetic resources and also recognizes that the authority to determine access to these resources rests with the national Governments and is subject to national legislation. It also states that each Contracting Party shall endeavour to create conditions to facilitate access to genetic resources for environmentally sound uses by other Contracting Parties and not to impose restrictions that run counter to the objectives of the Convention. Such access, including forest-based genetic resources, shall be subject to prior informed consent by the Party providing such resources and shall be on mutually agreed terms. Measures shall be taken with the aim of sharing in a fair and equitable way the results of research and development and the benefits arising from the commercial and other utilization of genetic resources with the party providing such resources. Such sharing shall be on mutually agreed terms.

10. The Conference of the Parties emphasizes and requests the IPF to acknowledge the need to integrate the conservation and sustainable use of biological diversity into relevant sectoral and cross-sectoral plans, programmes and policies (Convention on Biological Diversity Article 6(b)). The Conference of the Parties requests the IPF to note that it intends to explore how the conservation and sustainable use of forest biological diversity could be assisted by the establishment of specific environmental goals in the forest and other sectors. The Conference of the Parties also requests the IPF to consider appropriate Environmental Impact Assessment of sectoral activities, plans, programmes and policies with expected negative impact on forest ecosystems (Convention on Biological Diversity Article 14) (IPF Agenda item I.2).

11. The Conference of the Parties notes the mandate of the IPF concerning methods for the proper valuing of the multiple benefits derived from forests. In this context, it requests the IPF to consider the economic (monetized and non-monetized) benefits, the environmental services and non-consumptive values provided by forest biological diversity, including the important cultural, religious and recreational values of forests (IPF Agenda items III.1 and IV.1.).

12. The Conference of the Parties recognizes the need to develop and implement methods for sustainable forest management which combine production goals, socio-economic goals of forest-dependent local communities, and environmental goals, particularly those related to biological diversity. Sustainable forest management should ensure that components of biological diversity are used in a way and at a rate that does not lead to the long-term decline of biological diversity, thereby maintaining its potential to meet the needs of present and future genera-

tions (Convention on Biological Diversity Article 2). Sustainable forest management should take an ecosystem approach and aim at securing forest quality as related to the Convention on Biological Diversity, comprising such elements as forest composition, natural regeneration, patterns of ecosystem variation, ecosystem functions and ecosystem processes over time. Special attention should be paid to components of biological diversity under threat (IPF Agenda items III.2 and I.5.).

13. *In situ* forest conservation activities in accordance with Article 8 of the Convention on Biological Diversity, including the establishment and management of protected areas, have an important role to play in the achievement of biological diversity goals for sustainable forest management, and should be integrated in national forest and land-use plans. In this context, the conservation of primary/old-growth and ecologically mature secondary forest ecosystems is of particular importance. All stakeholders, in particular managers, should engage in an open, transparent and participatory decision-making process that can explicitly incorporate the multiple functions of forests and involve all interested parties, including indigenous and local communities (IPF Agenda item I.1.).

14. The issue of public education and awareness has not been explicitly addressed in the Terms of Reference of the IPF. The importance of education and awareness-raising at all levels of society, including local communities, local and national policy makers, forest managers, and users of forests and forest products, related to the importance of biological diversity, especially those components under threat, should have a high priority in both national and international efforts (Convention on Biological Diversity Article 13.).

15. More effort on biological diversity is needed in research, training and other capacity-building activities (Convention on Biological Diversity Article 12). Important topics include development of policies, criteria and indicators, methodologies and technologies for sustainable forest management, and the impact of utilization of components of biological diversity, particularly those under threat, on ecological processes (IPF Agenda items III.1 and III.2.).

16. In response to the invitation of the IPF, the Conference of the Parties has requested its Executive Secretary to provide advice and information pertaining to the relationship between indigenous and local communities and forests. The Conference of the Parties has further requested the Executive Secretary to provide advice and information concerning the contents, work and medium-term programme of work of the Convention relevant to the Terms of Reference of the IPF. Such advice and information will be provided in time for the Panel's third session.

17. The IPF may also receive substantive inputs from the Convention following the third meeting of the Conference of the Parties on, *inter alia*, the underlying causes of biological diversity loss in forest ecosystems, components and dynamics of biological diversity, and ways and means for the effective protection and use of traditional forest-related knowledge, innovations and practices of forest dwellers, indigenous and local communities, as well as fair and equitable sharing of benefits arising from such knowledge, innovations and practices.

DECISION II/10 | Conservation and Sustainable Use of Marine and Coastal Biological Diversity

The Conference of the Parties,

Recalling that the Conference of the Parties decided to address, at its second meeting, advice from the Subsidiary Body on Scientific, Technical and Technological Advice on the scientific, technical and technological aspects of the conservation and sustainable use of marine and coastal biological diversity,

Being deeply concerned at the serious threats to marine and coastal biological diversity caused by factors including physical alteration, destruction and degradation of habitats, pollution, invasion of alien species, and over-exploitation of living marine and coastal resources,

1. *Takes note* of recommendation I/8 on scientific, technical and technological aspects of the conservation and sustainable use of marine and coastal biological diversity, adopted by the first meeting of the Subsidiary Body on Scientific, Technical and Technological Advice, held in Paris at the headquarters of the United Nations Educational, Scientific and Cultural Organization, from 4 to 8 September 1995, and;

(a) *Affirms* that it represents a solid basis for future elaboration of the issues presented;

(b) *Supports* the recommendations in paragraphs 10-19 of recommendation I/8, subject to Annex I of the present decision and its further elaboration by the Subsidiary Body on Scientific, Technical and Technological Advice and the Conference of the Parties;

(c) *Reaffirms* the importance of future work by the Subsidiary Body on Scientific, Technical and Technological Advice to provide a balanced perspective on the remaining issues presented by the recommendations in I/8 and Annex I of the present decision relevant to the conservation and sustainable use of marine and coastal biodiversity;

2. *Encourages* the use of integrated marine and coastal area management as the most suitable framework for addressing human impacts on marine and coastal biological diversity and for promoting conservation and sustainable use of this biodiversity;

3. *Encourages* Parties to establish and/or strengthen, where appropriate, institutional, administrative, and legislative arrangements for the development of integrated management of marine and coastal ecosystems, plans and strategies for marine and coastal areas, and their integration within national development plans;

4. *Takes note* of the recently finalized Food and Agriculture Organization of the United Nations Code of Conduct for Responsible Fisheries, the Agreement for the Implementation of the Provisions of the United Nations Convention on the Law of the Sea of 10 December 1982 Relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks, and the Washington Declaration and Global Programme of Action for the Protection of the Marine Environment from Land-based Activities, and supports their implementation, including

that by Parties, in ways that are consistent with, and conform to, the objectives of the Convention on Biological Diversity;

5. *Welcomes* the International Coral Reef Initiative as a means to address threats to coral reefs and related ecosystems and encourages participation in International Coral Reef Initiative activities to implement its Framework for Action;

6. *Reaffirms* that under Article 25 the Subsidiary Body on Scientific, Technical and Technological Advice is the only scientific, technical and technological authority under the Convention to provide advice to the Conference of the Parties;

7. [RETIRED as per decision VI/27, paragraph 3]

8. *Offers* the Executive Secretary the following guidance for conducting the work described in paragraph 6:

(a) Solicit input from all Parties and, as appropriate, from other countries and relevant bodies;

(b) Establish, on the basis of country input, a roster of experts with specialization appropriate to the work described in paragraph 6;

(c) The roster will draw upon expertise from scientific, technical, technological, social, management, economic, policy, legal, and indigenous and traditional knowledge;

(d) Convene, as appropriate, meetings of experts, drawn from the roster to support the Secretariat in advancing the work described in paragraph 6. Each meeting shall be for a duration of no longer than five days, and shall be comprised of no more than 15 experts with due regard to geographical representation and to the special conditions of least-developed countries and small island developing States;

9–10. [RETIRED as per decision VI/27, paragraph 3]

11. *Decides* to forward this decision and annexes to the Global Environment Facility, other funding agencies and other relevant international bodies, to be taken into account in considering activities related to the conservation and sustainable use of marine and coastal biological diversity;

12. *Requests* the Executive Secretary, in consultation with the United Nations Office for Ocean Affairs and the Law of the Sea, to undertake a study of the relationship between the Convention on Biological Diversity and the United Nations Convention on the Law of the Sea with regard to the conservation and sustainable use of genetic resources on the deep seabed, with a view to enabling the Subsidiary Body on Scientific, Technical and Technological Advice to address at future meetings, as appropriate, the scientific, technical, and technological issues relating to bio-prospecting of genetic resources on the deep seabed;

13. *Invites* international and regional bodies responsible for legal instruments, agreements and programmes which address activities relevant to the conservation and sustainable use of marine and coastal biodiversity, including the United Nations General Assembly, the Food and Agriculture Organization of the United Nations, the United Nations Environment Programme, the International Maritime Organization,

the United Nations Office for Ocean Affairs and the Law of the Sea, the United Nations Educational, Scientific and Cultural Organization including its Intergovernmental Oceanographic Commission, the World Conservation Union (IUCN), the Commission on Sustainable Development, the International Coral Reef Initiative, regional fisheries bodies, migratory species agreements, secretariats of regional agreements for the conservation of the marine environment and other relevant international and regional organizations and institutions, to review their programmes with a view to improving existing measures and developing new actions which promote conservation and sustainable use of marine biological diversity, taking into account the recommendations for action by the Parties to the Convention on Biological Diversity adopted by the Conference of the Parties at its second meeting, and provide information on their actions on a regular basis to the Conference of the Parties and, in a first instance, as soon as possible through the Executive Secretary. Furthermore, these various institutions are invited to cooperate with the Conference of the Parties through the Subsidiary Body on Scientific, Technical and Technological Advice in planning and implementation of programmes affecting marine and coastal biological diversity, so as to reduce any unnecessary duplication or gaps in coverage;

14. [RETIRED as per decision VI/27, paragraph 3].

ANNEX I
ADDITIONAL CONCLUSIONS ON RECOMMENDATION I/8 ADOPTED BY THE SUBSIDIARY BODY ON SCIENTIFIC, TECHNICAL AND TECHNOLOGICAL ADVICE AT ITS FIRST MEETING (UNEP/CBD/COP/2/5)

(i) Some delegations indicated their concern that paragraphs 10–19 were unbalanced in that they over-emphasized fishery issues, rather than some other issues such as pollution. Other delegations had an interest in highlighting the impacts of unsustainable fishing activities on marine and coastal biodiversity.

(ii) In relation to paragraph 10, crucial components of integrated marine and coastal area management are relevant sectoral activities, such as construction and mining in coastal areas, mariculture, mangrove management, tourism, recreation, fishing practices and land-based activities, including watershed management. Parties should, where appropriate and practical, prevent physical alteration, destruction and degradation of vital habitats and pursue restoration of degraded habitats, including spawning areas, nurseries of stocks of living marine resources, bearing in mind the objectives of the Convention on Biological Diversity and the need to provide a balanced approach to the use and conservation of marine and coastal biological diversity.

(iii) Parties are encouraged to undertake and exchange information on demonstration projects as practical examples of integrated marine and coastal area management.

(iv) In relation to paragraph 11, critical habitats for living marine resources should be an important criterion for the selection of marine and coastal protected areas, within the framework of integrated marine and coastal area management, taking into consideration the objectives of the Convention on Biological Diversity. Conservation measures should emphasize the protection of ecosystem functioning, in addition to protecting specific stocks.

(v) In reference to paragraph 12, the present mono-species approach to modelling and assessment should be augmented by an ecosystem process-oriented approach, based on research of ecosystem processes and functions, with an emphasis on identifying ecologically critical processes that consider the spatial dimension of these processes. Models of ecosystem processes should be developed through trans-disciplinary scientific groups (ecologists, oceanographers, economists, and fisheries experts) and be applied in the development of sustainable land and coastal resource use practices.

(vi) Paragraph 13 refers to the draft Food and Agriculture Organization of the United Nations Code of Conduct for Responsible Fisheries. The Code was adopted by the 28th session of the Conference of the Food and Agriculture Organization of the United Nations, in October 1995. The Food and Agriculture Organization of the United Nations is now undertaking the development of technical guidelines for the implementation of the Code. The Conference of the Parties can offer the technical expertise of the Subsidiary Body on Scientific, Technical and Technological Advice in the elaboration and implementation of these guidelines, in line with the objectives and provisions of the Convention on Biological Diversity.

(vii) In relation to paragraph 14(a), the inclusion of subsidies was contentious. Some delegates stressed that the issue of subsidies was politically sensitive, with potential trade implications. It was noted that these issues address one of the underlying causes of biological diversity loss, *viz*, the result of over-fishing, and this consideration remained an important recommendation from the report of the Subsidiary Body on Scientific, Technical and Technological Advice. It was also noted that there were a variety of other subsidies which had impacts on the conservation and sustainable use of marine and coastal biological diversity. The Executive Secretary is entitled to evaluate these aspects using a meeting of experts. Some delegations argued that the phrase "subsidies for fisheries" appeared ambiguous. Government subsidies related to fishing activities have a great variety in their modalities. In addition, subsidies should not be evaluated alone. Evaluation of subsidies for fisheries should be conducted in relation to, or in conjunction with, considerations of fisheries management. It would be most appropriate to examine the various existing subsidies in the light of Article 11, which refers to economically and socially sound incentive measures.

(viii) Also, in relation to paragraph 14, cooperation between regional fisheries bodies and regional organizations for protection and conservation of the marine environment should be promoted.

(ix) In relation to paragraph 15, the Parties should enhance and improve the knowledge regarding the genetic structure of the local populations of marine species subjected to stock enhancement and sea-ranching activities. Considering that the captive-bred populations are likely to interact genetically and ecologically with wild populations, this knowledge should be used in the management of breeding stocks according to sound genetic principles that take into account the use of local populations for stock selection, minimum breeding numbers and the renewal frequency of the breeding stock from the wild population.

(x) Mariculture (paragraph 15) is assumed to include culture-based fisheries and is defined here to be aquaculture in marine or brackish water. According to the Food and Agriculture Organization of the United Nations, "aquaculture is the farming of aquatic organisms including fish, molluscs, crustaceans and aquatic plants. Farming implies some form of intervention in the rearing process to enhance production, such as regular stocking, feeding, protection from predators, etc. Farming also implies individual or corporate ownership of the stock being cultivated". Although the Food and Agriculture Organization of the United Nations requires "ownership of the stock being cultivated" in its definition, no such restriction is adopted here for the purpose of this document.

(xi) Some Parties thought paragraph 15(I)(e) would be better expressed as "because of the difficulties of complete containment, introduction of alien species, products of selective breeding, and living modified organisms resulting from modern biotechnology that may have adverse effects on the conservation and sustainable use of marine and coastal biodiversity should be responsibly conducted using the precautionary approach. Therefore, adherence to international codes of practice such as the Food and Agriculture Organization of the United Nations Code of Conduct for Responsible Fisheries, the International Commission for the Exploration of the Sea, and the Organisation Internationale Epizootique should be a minimum requirement. Assessments and an appropriate monitoring programme should be put in place if introduction goes ahead. Preference should be given to the use of local species. Furthermore, development of technology to ensure a more complete containment should be encouraged."

ANNEX II
DRAFT PROGRAMME FOR FURTHER WORK ON MARINE AND COASTAL BIOLOGICAL DIVERSITY

1. The Executive Secretary will use as the basis of work recommendation I/8 of the Subsidiary Body on Scientific, Technical and Technological Advice (contained in document UNEP/CBD/COP/2/5), this decision and further inputs, if any, from the Conference of the Parties.

2. The Executive Secretary should use the roster of experts on Marine and Coastal Biodiversity to address the following topics:

(a) Identify options for a pragmatic but comprehensive approach in addressing marine and coastal biological diversity on the basis of an ecosystems approach, including its components at the levels of species and genetic resources, distinguishing regions at relevant scales. Use the results from this activity in identifying the gaps in knowledge of the distribution and abundance of marine and coastal biodiversity;

(b) Identify the particular needs for conservation and sustainable use of marine and coastal biological diversity in the context of activities which will impact on marine resources;

(c) Review the mandates and activities under international agreements that affect marine and coastal biological diversity, and develop analyses that can be offered by the Conference of the Parties to the relevant institutions as to the implications of the Convention on Biological Diversity for these activities.

3. In addressing these issues, the following approaches should be applied:

(a) The work should not be impeded by the lack of full scientific information and will incorporate explicitly the precautionary approach in addressing conservation and sustainable use issues;

(b) The Executive Secretary may interact with a wide range of agencies and organizations competent in the aspects of marine and coastal biodiversity under deliberation to avoid unnecessary duplication and ensure effectiveness and cost-effectiveness;

(c) Recommendations should be made for scientific, technical and technological needs for capacity-building and technology transfer for the conservation and sustainable use of marine and coastal resources at the national, regional, and international levels in the context of the issue being addressed;

(d) The scientific, technical, and technological knowledge of local and indigenous communities should be incorporated, as appropriate, as well as community and user-based approaches, in the conservation and sustainable use of marine and coastal biodiversity;

(e) Use should be made, as appropriate, of the clearing-house mechanism and national reports of Parties.

4. The Executive Secretary shall produce, among other relevant documents, the following outputs:

(a) Options for the conservation and sustainable use of biological diversity and its components in the implementation of marine and coastal management and planning practices, including options for the development of integrated marine and coastal area management at regional and national levels;

(b) Annual reports to the Subsidiary Body on Scientific, Technical and Technological Advice, submitted 90 days prior to each meeting of that body. The first annual report will include a three-year work plan.

SBSTTA RECOMMENDATION I/8
SCIENTIFIC, TECHNICAL AND TECHNOLOGICAL ASPECTS OF THE CONSERVATION AND SUSTAINABLE USE OF COASTAL AND MARINE BIOLOGICAL DIVERSITY

Recalling that the Conference of the Parties decided to address, at its second meeting, advice from the SBSTTA on the scientific, technical and technological aspects of the conservation and sustainable use of coastal and marine biological diversity;

Recalling further that, in its decision I/7 taken at its first meeting, the Conference of the Parties requested the SBSTTA to advise on how the Conference of the Parties could start the process of considering those aspects;

1. In order to advance this work the SBSTTA has before it a number of papers on marine and coastal biological diversity. From these papers and a detailed discussion in plenary, a number of key areas were selected for consideration. Included in the overall aspect of integrating coastal and marine area management were the more specific issues of sustainable use of living coastal and marine resources, mariculture and the control of alien organisms. Recommendations on all these issues are included below. The rationale for these recommendations, which was based on the documentation before the SBSTTA and, in particular, document UNEP/CBD/SBSTTA/1/8, is included in the annex.

2. Although education, training and raising public awareness at the international and regional level were regarded as key delivery mechanisms, it was felt that, due to the insufficient time and complexity of issues in question, they should be comprehensively considered at the next session of the SBSTTA. The same session of the SBSTTA should also address the questions related to bio-prospecting on the deep sea bed, including access to its genetic resources.

3. The SBSTTA considers the conservation and sustainable use of marine and coastal biological diversity to be of such significance that it recommends the establishment of an ad hoc expert panel to provide advice on current issues. The expert panel shall be established for a period of three years and shall make an annual progress report. Issues which should be immediately reviewed by this panel are: the gaps in knowledge of the distribution and abundance of marine and coastal biodiversity; the particular needs for marine and coastal conservation and sustainable use of biodiversity in the context of threat alleviation, technology transfer; the linkages between the status of marine and coastal biodiversity and management of watersheds as well as pollution from marine vessels. It should also review the

achievements of the scientific bodies associated with other international legal agreements, programmes and bodies dealing with aspects of marine and coastal biodiversity. abundance of marine and coastal biodiversity; the particular needs for marine and coastal conservation and sustainable use of biodiversity in the context of threat alleviation, technology transfer; the linkages between the status of marine and coastal biodiversity and management of watersheds as well as pollution from marine vessels. It should also review the achievements of the scientific bodies associated with other international legal agreements, programmes and bodies dealing with aspects of marine and coastal biodiversity.

4. The SBSTTA intends to review this panel's conclusions at its fourth session in order to provide the fifth meeting of the Conference of the Parties with recommendations on this issue.

5. The following recommendations in this report for the Conference of the Parties are issues on conservation and sustainable use of marine and coastal biological diversity that the Conference of the Parties may wish to suggest to the fourth session of the Commission on Sustainable Development (CSD).

6. The SBSTTA recommends to the Conference of the Parties to forward the following statements to the next session of the CSD:

(a) The Conference of the Parties endorses integrated marine and coastal area management as the most suitable framework for addressing human impacts on marine and coastal biological diversity and for promoting conservation and sustainable use of this biological diversity. Governments are encouraged to establish and/or strengthen, as appropriate, institutional, administrative, and legislative arrangements for the development of integrated management of marine and coastal ecosystems, plans and strategies for coastal and marine areas, and their integration within national development plans.

(b) Research and monitoring are urgently needed to assess the status and trends of marine and coastal biodiversity, evaluate the success of management and conservation actions, and develop more effective management practices. Research and monitoring programmes should include biological, physical, social, cultural and economic studies, consistent with the time-frame commensurate with their objectives. They should be supported by information management, interpretation and dissemination. Resource owners, users and managers should be involved to the maximum extent possible.

(c) Recognizing the need for global and regional action to address the loss of coastal and marine biodiversity, the Conference of the Parties recommends that the CSD call for the implementation of existing national and regional strategies to conserve coastal and marine biodiversity. The Conference of the Parties further recommends that the CSD recognize the International Coral Reef Initiative (ICRI) and other similar initiatives and endorse the ICRI Call to Action.

(d) The Conference of the Parties endorses and highlights the inclusion of representative systems of marine and coastal protected areas within integrated area management, consistent with the objectives of the Convention on Biological Diversity.

7. The SBSTTA further recommends to the Conference of the Parties that it recommend to the CSD the need for the CSD to evaluate the world-wide over-capitalization of fishing fleets and its impact on marine and coastal biodiversity, and to review the role of national government subsidies in contributing to the over-capitalization.

8. The SBSTTA further recommends to the Conference of the Parties that it recommend to the CSD to highlight and urge the need for international cooperation to stem the adverse impacts of alien species introductions.

9. The following recommendations are recommended for the consideration of the second meeting of the Conference of the Parties.

10. On integrated marine and coastal area management, the SBSTTA recommends to:

(a) Promote integrated marine and coastal area management as the framework for addressing impacts of land-based activities on marine and coastal biodiversity by, *inter alia*, minimizing or eliminating inputs of pollutants (including persistent organic and radioactive substances, excessive nutrients and sediments), in particular those arising from municipal waste, industrial effluents, deforestation, watershed degradation, unsustainable forms of agriculture and mining.

(b) Promote integrated marine and coastal area management as the framework for addressing human impacts on marine and coastal biological diversity and encourage governments, communities, and users to develop and adopt integrated management measures, including:

  (i) land/habitat use capability analysis and planning for multiple use;
  (ii) environmentally sound land and coastal resource use practices based on precautionary ecosystem management approaches and best management practices; and
  (iii) sustainable tourism planning and management.

(c) Carry out environmental impact assessment of all major coastal and marine development activities with special attention to marine and coastal biological diversity, and taking into account cumulative impacts. Undertake systematic monitoring and evaluation of project impacts during implementation.

(d) Address socio-economic needs of coastal communities in the planning and implementation of the marine and coastal area management.

(e) Promote rapid appraisal techniques to improve the conservation and management of marine and coastal biological diversity.

(f) Address impacts of land-based activities on marine and coastal biological diversity and identify methodologies and research to assess these impacts, in close cooperation with the implementation of the Global Programme of Action for the Protection of the Environment from Land-Based Activities, the major product of the UNEP Conference on Protection of the Marine Environment from Land-Based Activities.

(g) Address impacts of desludging and pollution by maritime vessels on marine and coastal biological diversity, in particular in those countries which border international waterways, and adopt measures to mitigate adverse effects.

(h) Consider the effectiveness of both area management and species management as tools to provide a balanced approach to use and conservation of marine and coastal biological diversity.

11. On marine and coastal protected areas the SBSTTA recommends to:

(a) Based on consideration of biogeography and scale, and the objectives of the Convention on Biological Diversity, establish or consolidate representative systems of marine and coastal protected areas. Enhance linkages and information exchange among the sites.

(b) Promote research and monitoring of marine and coastal protected areas to assess their value for the conservation and sustainable management of biodiversity. Apply, as appropriate, rapid assessment techniques to identify and improve the management of protected areas.

(c) Explore means to incorporate marine and coastal protected areas within a broader framework for multiple use planning, as exemplified by UNESCO MAB Biosphere Reserves.

(d) Encourage the participation of local communities concerned and of resource users in the planning, management and conservation of coastal and marine areas.

(e) Consider all three levels of biological diversity, and factors determining their structure and function, in the development and implementation of management plans.

12. On sustainable use of coastal and marine living resources, the SBSTTA recommends to the Conference of the Parties that, as far as possible and appropriate, Parties should include in their national plans and programmes the following basic management elements ensuring that:

(a) Management decisions are based on application of the precautionary approach;

(b) Management decisions are based on the best available and sound scientific knowledge, research and information, taking into account ecosystem impacts;

(c) Waste (such as waste through discard, spoilage, or mortality in the trade in living organisms) is reduced;

(d) Local communities, users and indigenous people are involved in the conservation and management of resources;

(e) National legislation ensuring the conservation and sustainable use of living marine and coastal resources in conformity with the Convention on Biological Diversity, the United Nations Convention on the Law of the Sea (UNCLOS) and Agenda 21, and that the provisions of the draft FAO Code of Conduct for Responsible Fisheries once approved, will be followed;

(f) Existing international agreements addressing over-exploitation and conservation of marine and costal resources, are acceded to, and fully implemented and enforced, especially the Agreement on Straddling and Highly Migratory Fish Stocks; and

(g) Monitoring mechanism are used or established to assist sustainable management of marine and coastal living resources.

13. Regarding the management and technology tools recommended by FAO's Code of Conduct, the SBSTTA recommends that the Conference of the Parties support the efforts of FAO to provide advice on these tools, and request an opportunity for the input of the Conference of the Parties into the draft Code of Practice in order to ensure that the Code becomes fully consistent with the objectives and provisions of the Convention on Biological Diversity.

14. In addition, the SBSTTA recommends to the Conference of the Parties:

(a) To identify constraints, including economic, for conversion of fishing gear and phase-out of fishing over-capacity, and the possibility of reducing subsidies for fisheries;

(b) To offer the technical expertise of the SBSTTA to offer advice on the draft FAO Code of Conduct for Responsible Fisheries in order to ensure its consistency and conformity with the objectives and provisions of the Convention on Biological Diversity;

(c) To take into account the ecosystem functions and processes identifying and targeting critical processes for the conservation and sustainable use of biodiversity;

(d) To ask the FAO, or other appropriate bodies, to collate information on the availability of selective fishing gear and methods, possibly through the convening of an ad hoc intersessional panel on marine and coastal biodiversity; and

(e) To urge the Parties not yet signatories to the Agreement on Straddling and Highly Migratory Fish Stocks to sign the Agreement.

15. On mariculture, the SBSTTA recommends to the Conference of the Parties:

I. Parties should, as far as possible and as appropriate, implement environmentally sustainable mariculture practices, including the following:

(a) mariculture should be incorporated into integrated marine and coastal zone management plans, particularly taking into account the vulnerability of areas of high biological value;

(b) mariculture should be subject to prior environmental and social impact assessments (in accordance with Article 14) and regulations (Article 10) and should incorporate the participation and needs of local and indigenous communities;

(c) use of chemicals for therapeutics and other applications, high nutrient release and freshwater diversion should be minimized. Eutrophication should be avoided. Specific steps to achieve this include use of chemicals only in a prescribed and responsible manner, improvement in waste treatment, improvement in feed technology, and in promotion of integrated farming and polyculture;

(d) mariculture operations should not result in the overexploitation of natural stocks through harvesting of wild larvae;

(e) because of the difficulties of complete containment, introduction of alien species, products of selected breeding and living modified organisms resulting from modern biotechnology should be treated as an introduction into the wild. Therefore, adherence to international codes of practice such as the International Commission for Exploration of the Sea and the "Organisation Internationale Epizootique" should be a minimum requirement. Because of the potentially high risks, assessments should be rigorous, must correspond with the precautionary principle, and an appropriate monitoring programme must be put in place if introduction goes ahead. Preference should be given to the use of local species. Furthermore, development of technology to ensure a more complete containment should be encouraged;

(f) the conservation of genetic diversity in the wild stocks which farmed populations are derived should be an objective of overall management; and

(g) in areas where unsustainable mariculture operations have already substantially reduced or destroyed natural habitats and ecosystems, Parties should, where possible, undertake restoration programmes.

II. The clearing-house mechanism should be used to link databases and information networks to collect, share and disseminate data related to responsible mariculture measures.

III. The Conference of the Parties is invited to request the SBSTTA to monitor the development and provide input into the draft FAO Code of Conduct for Responsible Fisheries, in order to ensure that the Code is consistent with the objectives and provisions of the Convention on Biological Diversity.

IV. National reports (Article 25) and national biodiversity strategies and action plans (Article 6) should include an examination of mariculture operations within the jurisdiction of Parties, and steps to avoid significant adverse impacts on marine and coastal biodiversity in the above ways.

16. On alien species, the SBSTTA recommends to the second meeting of the Conference of the Parties that, consistent with Articles 8(h) and 8(l) of the Convention on Biological Diversity, the Parties should, as far as possible and appropriate:

I. Include in their national plans:

(a) Means to prevent, control, or eradicate, where possible, those alien species which threaten ecosystems, habitats or species (Article 8, paragraph (h)). These means might include the implementation of international protocols and guidelines (e.g. the International Maritime Organization (IMO) ballast water guidelines or the International Council for the Exploration of the Sea (ICES) Code of Practice).

(b) Conduct of environmental impact assessments, including risk assessment, prior to the intentional introduction of alien species (Article 14.1, paragraph (a)) and consult with neighboring States before introducing alien species into shared waters. To minimize unintentional introductions, components of an

assessment might include identification of primary pathways for unintentional introductions; identification of types of organisms with the greatest potential to be dangerous; mitigation techniques to minimize unintentional introductions; monitoring to identify the establishment of alien species; and development of means for elimination of hazardous alien species.

(c) Prior to intentional introduction, an assessment should be made of possible indigenous species alternatives, whether the introduced species can be adequately monitored (per Article 7, paragraph (c)), and whether adverse effects can be reversed within two human generations (as recommended by the draft FAO Code of Conduct for Responsible Fisheries). Additional assessment should include: (i) biological information on the species in its native habitat, including life stages and trophic level; (ii) results of previous introductions elsewhere; (iii) potential impact on indigenous species, through, e.g. predation and competition, or on ecosystem function; (iv) associated pathogens and parasites and ability to treat or screen for such organisms; (v) potential for habitat modification; and (vi) the potential for interbreeding with and deleterious genetic impacts on indigenous species/stocks. The assessment should take into account that organisms transferred from one ecosystem to another may not maintain the same characteristics in the new ecosystem.

(d) Conduct of environmental impact assessments prior to constructing canals linking coastal water bodies.

(e) Education of the general public to the possible dangers to the ecosystem that could result from the release of ornamental species and unauthorized releases of species for sport fisheries.

II. Be encouraged to conduct research (Article 12) where additional targeted studies would further the understanding of the impacts of alien species on *in situ* conservation, including, for example:

(a) undertake ecological surveys and ballast discharge water surveys to help establish baseline data and level of risk associated with introductions through ballast water, including on the effects of introduction of harmful algal species through ballast water;

(b) undertake research on the long-term effects of species replacements due to introductions on ecosystem functioning.

17. Furthermore, the SBSTTA recommends that, consistent with Article 18 (Technical and scientific cooperation), the Conference of the Parties:

(a) Establish under the Clearing-house mechanism (CHM), or other data exchange mechanism, information on normal or pathogenic flora and parasites of aquatic species being introduced for mariculture or stocking programmes. Information to be included in the clearing-house would be on infectious agents detected in indigenous, wild or alien cultured stocks, parasitic life-cycles, pathogen-specific methods of detection, and information on disease outbreaks and immune status in commercially shipped stocks. An existing mechanism for epizootics has been established in France (Organisation Internationale Epizootique);

(b) Establish, under the CHM, information from results of environmental impact assessments or similar assessments on introduced species to provide a means of evaluating effective and ineffective methodologies for preventing the introduction of, controlling, and eradicating alien species and minimizing their adverse effects.

18. Additional recommendations for future action by the Conference of the Parties:

(a) The SBSTTA suggests that the Conference of the Parties support efforts of the IMO to draft ballast water guidelines and request an opportunity for the input of the Conference of the Parties into those guidelines. The Conference of the Parties should ensure that the guidelines are consistent with the objectives and provisions of the Convention on Biological Diversity;

(b) The Conference of the Parties should contact relevant international bodies and instruments (for example, FAO) with a view to ensuring adequate controls of intentional introductions of alien or living modified organisms that have adverse effects on marine biodiversity.

19. Recommendations for the second meeting of the Conference of the Parties to consider for the medium-term work programme:

(a) Review the draft IMO ballast water guidelines to ensure that the guidelines are consistent with the objectives and provisions of the Convention on Biological Diversity;

(b) Review information provided by Parties and other sources on the assessment of alien species introduction to gain from past experience.

ANNEX TO RECOMMENDATION I/8

I. Integrated Marine and Coastal Area Management

Introduction

1. Coastal and marine areas contain some of the world's most diverse and productive systems. They include extensive areas of complex and specialized ecosystems, such as enclosed seas and tidal systems, estuaries, salt marshes, coral reefs, seagrass beds and mangroves that are sensitive to human activities, impacts and interventions.

2. Pressures on these systems are growing more intense. As rapid development and population growth continue in coastal areas, increasingly heavy demands will be placed on the natural resources and remaining natural habitats along the coasts. Unless corrective measures are taken, environmental degradation and over-exploitation will erode marine and coastal biological diversity, undermine productivity, and intensify conflicts over the increasingly scarce resources of the coastal zone.

3. The most important present and potential threats to marine and coastal biological diversity are well known:

(a) alteration and loss of habitat, including destruction of watersheds;

(b) chemical pollution and eutrophication, including from land-based activities;

(c) global climate change;

(d) invasions of alien species; and

(e) over-exploitation of living marine and coastal resources.

4. These threats cannot be treated separately, as ecosystem functions and processes are connected over wide distances. Singly, or in combination, these human perturbations can lead to structural and functional transformations of ecosystems.

5. Since threats will vary between regions and countries, depending on differences in ecological processes, level of availability of funding and economic and social activities, the Parties will need to tailor management regimes to the specific needs of each area.

Integrated Marine and Coastal Area Management

6. Current sectoral approaches to the management of marine and coastal resources have generally not proven capable of conserving marine and coastal biological diversity. New models are needed to move planners toward multiple-use, systems-oriented modes of management, based on precautionary approaches and ecosystem management principles. Wide adoption and implementation of integrated marine and coastal area management are necessary for effective conservation and sustainable use of marine and coastal biological diversity.

7. Integrated marine and coastal area management is a participatory process for decision-making to prevent, control, or mitigate adverse impacts from human activities in the marine and coastal environment, and to contribute to the restoration of degraded coastal areas. It involves all stakeholders, including: decision makers in the public and private sectors; resource owners, managers and users; nongovernmental organizations; and the general public. Community-based management approaches have proven particularly important. Integrated management programmes have already demonstrated their potential as an effective tool in developed and developing countries around the world.

8. On the regional level, integrated management of marine and coastal ecosystems could be promoted through the Large Marine Ecosystem approach to monitor and evaluate ecosystem health. Through ensuring the integrity and productivity of large-scale ecosystems, continuous benefits can be derived from the vast array of biological resources they contain.

Marine and Coastal Protected Areas

9. Within the context of national and regional efforts to promote integrated marine and coastal area management, networks of marine and coastal protected areas, other conservation areas, and biosphere reserves, provide useful and important management tools for different levels of conservation, management and sustainable use of marine and coastal biological diversity and resources, consistent with customary international law.

II. Sustainable Use of Living Marine and Coastal Resources

10. Many of the world's fishery resources are in danger of depletion. The impacts of these activities can be direct and indirect. In addition, other living resources, for example mangroves, coral species and species amenable to bio-prospecting, are subject to or under threat of over-exploitation. The principal impact of over-exploitation is unsustainable removal of living marine and coastal resources. The most significant indirect impacts on biodiversity include habitat destruction, bycatch and ancillary impacts on interacting species or ecosystems. The overall goal is to achieve conservation and long-term sustainable use of living marine and coastal resources in a manner that respects both societal interests and the integrity of ecosystems.

III. Mariculture

11. Mariculture production worldwide is growing at the rate of about 5 to 7 per cent annually. Currently, the main types of marine organisms being produced through mariculture include seaweeds, mussels, oysters, shrimps, prawns, salmon and other species of fish. Mariculture offers possibilities for sustainable protein-rich food production and for economic development of local communities. However, mariculture on an industrial scale may pose several threats to marine and coastal biodiversity due to, for example, wide-scale destruction and degradation of natural habitats, nutrients and antibiotics in mariculture wastes, accidental releases of alien or living modified organisms resulting from modern biotechnology, transmission of diseases to wild stocks, and displacement of local and indigenous communities. Noting this situation, a precautionary approach should be applied to any mariculture development, in accordance with the preamble of the Convention on Biological Diversity.

IV. Alien Species

12. Alien components of biodiversity, including species, genetic strains, mixed genetic stock and living modified organisms, have the potential for significant, non-reversible, adverse impacts on marine and coastal biodiversity. Such impacts generally tend to be unpredictable. When they are adverse, they tend to homogenize and simplify biotic communities. Eradication of established alien species is difficult, if not impossible. One means to mitigate damage due to these components is to make introductions subject to rigorous prior environmental impact assessments.

13. Alien species can be introduced inadvertently and intentionally. Non-intentional introductions primarily result from the discharge of ballast water, escapees from mariculture, organisms associated with species introduced intentionally, and unauthorized releases by the public. Furthermore, it should be recognized that introductions result from the engineering of waterways connecting previously separate bodies of water.

14. Intentional introductions occur primarily for mariculture production, including marine ranching, although an additional significant pathway is by release of hatchery-spawned organisms into the wild for the purpose of augmenting wild pop-

ulations, generally for future capture in fisheries or in an attempt to enhance a population that is under threat. Particularly in the case of intentional introductions, alien species may include those resulting from the interbreeding of different genetic stocks or that have been genetically modified.

DECISION II/11 | Access to genetic resources

The Conference of the Parties

Recalling that the charge from its second meeting is to prepare for agenda item 6.6.1 of the programme of work for its third meeting where the Secretariat is asked to compile the views of Parties on possible options for developing national legislative, administrative or policy measures, as appropriate to implement Article 15;

Noting that regional efforts, based in part on the similarity of the genetic resources found in the region, are important to common strategies and therefore should be encouraged;

1. *Requests* the Executive Secretary to:

(a) [RETIRED as per decision VI/27, paragraph 3]

(b) Compile an annotated list of studies and other relevant information on the social and economic valuation of genetic resources, including the demand by industry for genetic resources;

2. *Reaffirms* that human genetic resources are not included within the framework of the Convention;

3. *Urg*es Governments to send information on national measures to the Secretariat at their earliest convenience;

4. *Recommends* that the Secretariat not duplicate work underway in other forums.

DECISION II/12 | Intellectual Property Rights

The Conference of the Parties

Requests the Executive Secretary to:

(a) [RETIRED as per decision VI/27, paragraph 3]

(b) Consult with all stakeholders, in particular the private sector and indigenous and local communities, in order to gain understanding of the needs and concerns of those groups whose participation will be required for cooperative arrangements to be meaningful and effective in achieving the Convention's objectives. These consultations may take place in the form of roundtable discussions;

(c) [RETIRED as per decision VI/27, paragraph 3].

DECISION II/13 | Cooperation with other Biodiversity-Related Conventions

The Conference of the Parties

1. [RETIRED as per decision VI/27, paragraph 3]

2. *Stresses* the need to make mutually supportive the implementation of activities undertaken by the Convention on Biological Diversity and by other international and regional conventions and agreements related to biological diversity and its components, building particularly on the consultations which have already taken place with certain key conventions, as outlined in UNEP/CBD/COP/2/Inf.2;

3. *Stresses also* the need to avoid unnecessary duplication of activities and costs on the part of Parties and of the organs of the Convention;

4. *Requests* the Executive Secretary to coordinate with the Secretariats of relevant biodiversity-related conventions with a view to:

(a) Facilitating exchange of information and experience;

(b) Exploring the possibility of recommending procedures for harmonizing, to the extent desirable and practicable, the reporting requirements of Parties under those instruments and conventions;

(c) Exploring the possibility of coordinating their respective programmes of work;

(d) Consulting on how such conventions and other international legal instruments can contribute to the implementation of the provisions of the Convention on Biological Diversity;

5–7. [RETIRED as per decision VI/27, paragraph 3].

DECISION II/14 | Convening of an open-ended Intergovernmental workshop on cooperation between the Convention on Biological Diversity and other international conventions on related issues

[RETIRED as per decision VI/27, paragraph 3]

DECISION II/15 | FAO Global System for the conservation and utilization of plant genetic resources for food and agriculture

[RETIRED as per decision VI/27, paragraph 3]

DECISION II/16 | Statement to the International Technical Conference on the Conservation and Utilization of Plant Genetic Resources for Food and Agriculture

[RETIRED as per decision VI/27, paragraph 3]

DECISION II/17 | Form and Intervals of National Reports by Parties

The Conference of the Parties

1. *Takes note* of the note prepared by the Secretariat on form and intervals of national reports by Parties, document UNEP/CBD/COP/2/14;

2. *Endorses* recommendation I/5 on "Scientific and Technical Information to be contained in the national reports", adopted by the first meeting of the Subsidiary Body on Scientific, Technical and Technological Advice;

3. *Decides* that the first national reports by Parties will focus insofar as possible on the measures taken for the implementation of Article 6 of the Convention, "General Measures for Conservation and Sustainable Use", as well as the information available in national country studies on biological diversity, using as a guide the annex to this decision;

4–5. [RETIRED as per decision VI/27, paragraph 3]

6. *Decides* that Parties shall submit their national reports in one of the working languages of the Conference of the Parties and, for the benefit of others, encourages Parties to also make available their reports electronically and, where possible, on the Internet;

7. *Decides* that national reports submitted by Parties will not be distributed as official documents of the Conference of the Parties, but will be made available to Parties, upon request, and in the language of submission;

8. *Requests* that the Subsidiary Body on Scientific, Technical and Technological Advice instruct any technical panels that it may establish on topical issues to comment on the feasibility and practicalities of developing technical guidelines for national reporting on the subject matter being considered by the panels, and report to the meeting of the Conference of the Parties in 1997;

9. [RETIRED as per decision VI/27, paragraph 3]

10. *Requests* also the Executive Secretary to make available to Parties, through the clearing-house mechanism for technical and scientific cooperation, relevant information contained in national reports submitted by Parties in accordance with Article 26 of the Convention;

11. [RETIRED as per decision VI/27, paragraph 3]

12. *Urges* the financial mechanism under the Convention to make available financial resources to developing country Parties to assist in the preparation of their national reports;

13. *Commends* the guidance provided in the document "Guidelines for Preparation of Biodiversity Country Studies", prepared by the United Nations Environment Programme, and the document "National Biodiversity Planning: Guidelines Based on Early Country Experiences", prepared by the World Resources Institute, the United Nations Environment Programme and the World Conservation Union (IUCN), and its relevance in assisting Parties to implement Article 6 of the Convention and in the preparation of national reports.

ANNEX
SUGGESTED GUIDELINES FOR NATIONAL REPORTING ON THE IMPLEMENTATION OF ARTICLE 6

(a) *Executive summary*: a brief summary of the action plan report, stating succinctly the importance of biodiversity, the commitment to the Convention, the mandate, the participants list, the biotic wealth and national capacity, the goals and gaps, strategic recommendations and characteristics of the action (who will do what, when, where, with what means and funding).

(b) *Introduction*: describe why biodiversity is important to the country and its local communities. Explain the Convention and the nation's commitment to its provisions. Present the aim of the national biodiversity action plan and specify to whom it is directed.

(c) *Background*: describe the legal and policy framework that provides the mandate and instructions for preparing the action plan report. Provide a short summary of the nation's biotic assets, capacity (human resources, institutions, facilities, and funding) and ongoing programmes. Explain the institutional arrangements and responsibilities, with a view to informing people of the manner in which the strategic recommendations will be implemented.

(d) *Goals and objectives*: state the vision for biodiversity and its place in the society, focusing on its protection, scientific understanding, sustainable use, and on the equitable sharing of its benefits and costs. The specific targets to meet the local, national, and international goals in terms of protecting, assessing, utilizing, and benefiting from biodiversity and its components need to be determined.

(e) *Strategy*: summarize the gaps between the current situation in the country and the stated vision, goals and objectives. Summarize the strategic recommendations, including the activities, policies, and tasks that have been selected for implementation to cover the gaps. Assign relative priorities to each.

(f) *Partners*: describe the public and private entities, communities and industries that have participated in the process and have agreed to be responsible for particular activities and investments.

(g) *Action*: present the detailed activities, tasks and policies to be implemented. Explain which partner (Ministry, industry, indigenous group, NGO, or university) will implement each item, where, and what measures the partners will employ.

(h) *Schedule*: present a timetable for the implementation of the various tasks, reflecting the priorities that have been assigned. Note signposts to help signal progress or delay.

(i) *Budget*: provide the budget for the plan of action, showing funding requirements for operating expenses, capital purchases, transport, field costs, etc. List the personnel needed by category of skill or background, the facilities and services required, and possible international technical and financial cooperation.

(j) *Monitoring and evaluation*: explain the measures to be used for tracking the results of the action plan and for monitoring changes in the economy, environment and society. Give the indicators that will be used. Present the individuals and organizations who will carry these responsibilities and how they were selected. Note the audience for the reports, along with the document's content and timing of implementation.

(k) *Sharing of national experience*: present information and case studies which reflect the range of experiences of countries encountered in the implementation of Article 6, taking into account local and external factors.

SBSTTA RECOMMENDATION I/5
SCIENTIFIC AND TECHNICAL INFORMATION TO BE CONTAINED IN THE NATIONAL REPORTS

Recalling Article 26 of the Convention on Biological Diversity, as well as Article 20, paragraph 4;

Recalling also decision 1/7 of the first meeting of the Conference of the Parties which requested the first meeting of the Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA) to consider as a matter of priority what kind of scientific and technical information should be contained in national reports on measures taken for the implementation of the provisions of the Convention and their effectiveness in meeting the objectives of the Convention;

The first meeting of the SBSTTA recommends to the second meeting of the Conference of the Parties to consider the following elements in deciding on the form and intervals of national reports:

1. The scientific and technical information to be contained in national reports will depend on the expected decisions of the Conference of the Parties on the form and intervals of national reports;

2. Such decisions on the form of national reports should take into account:

(a) the three-fold objectives of the Convention;

(b) the different socio-economic conditions of Parties, as well as the various stages of the implementation of the Convention at the national level;

(c) the evolving tasks required under the Convention, as well as the evolutionary character of the reporting requirement contained in Article 26 of the Convention;

(d) the comprehensive scope of the Convention, as well as its multisectoral and multidisciplinary approach;

(e) the need for an agreed standard and methodologies for reporting, with particular regard to biological diversity data gathering;

(f) the purposes of reporting, as well as the need to share national experiences and relevant information between Parties;

(g) the need for a flexible form of reporting so that it may be adjusted in the light of progress achieved and experience gained in the implementation of the Convention at the national level;

3. Such decisions on intervals of reporting should take into account the following elements:

(a) the human, technical and financial implications related to the interval of reporting agreed upon;

(b) the time required for the preparation by the Parties and, in particular, the developing countries and countries with economies in transition Parties, of their national reports;

(c) the need to avoid placing a heavy burden on Parties with regard to reporting requirements;

(d) the need also to streamline information contained in national reports of Parties addressed to various fora related to biological diversity, including the Commission on Sustainable Development, so as to avoid duplication of efforts and overlap of reporting activities;

(e) the need to proceed in a step-wise approach.

4. In the light of paragraphs 2 and 3 above, the Conference of the Parties may wish to recommend that the first report of Parties may focus on the measures taken for the implementation of Article 6 of the Convention, as well as the information available in the national country studies on biological diversity. In this regard, the Conference of the Parties may wish to recommend the format contained in the annex of this recommendation. The content of such subject-oriented reports will be based on the outcome of the deliberations of the second meeting of the Conference of the Parties on approaches and experiences related to the implementation of Article 6.

5. The subsequent national reports may focus on selected subjects contained in the medium-term programme of work of the Conference of the Parties and the programme of work of the SBSTTA.

6. Such subject-oriented reports may lead, at a later stage, to a comprehensive report to be submitted by Parties on the implementation of the Convention.

7. In deciding on the form and intervals of national reports, due regard should also be paid to the need to strengthen capacity-building of developing countries and countries with economies in transition Parties, as well as to reflect the financial implications of such decisions in the budget of the Convention on Biological Diversity, so as to establish adequate administrative and human capacities.

ANNEX TO RECOMMENDATION I/5
POSSIBLE FORMAT OF NATIONAL REPORT ON THE IMPLEMENTATION OF ARTICLE 6

(a) *Executive summary*: a brief summary of the action plan report, stating succinctly the importance of biodiversity, the commitment to the Convention, the mandate, the participants list, the biotic wealth and national capacity, the goals and gaps, strategic recommendations and characteristics of the action (who will do what, when, where, with what means and funding).

(b) *Introduction*: describe why biodiversity is important to the country and its local communities. Explain the Convention and the nation's commitment to its provisions. Present the aim of the national biodiversity action plan and specify to whom it is directed.

(c) *Background*: describe the legal and policy framework that provides the mandate and instructions for preparing the action plan report. Provide a short summary of the nation's biotic assets, capacity (human resources, institutions, facilities, and funding) and ongoing programmes. Explain the institutional arrangements and responsibilities, with a view to informing people of the manner in which the strategic recommendations will be implemented.

(d) *Goals and objectives*: state the vision for biodiversity and its place in the society, focusing on its protection, scientific understanding, sustainable use, and on the equitable sharing of its benefits and costs. The specific targets to meet the local, national, and international goals in terms of protecting, assessing, utilizing, and benefiting from biodiversity and its components need to be determined.

(e) *Strategy*: summarize the gaps between the current situation in the country and the stated vision, goals and objectives. Summarize the strategic recommendations, including the activities, policies, and tasks that have been selected for implementation to cover the gaps. Assign relative priorities to each.

(f) *Partners*: describe the public and private entities, communities and industries that have participated in the process and have agreed to be responsible for particular activities and investments.

(g) *Action*: present the detailed activities, tasks and policies to be implemented. Explain which partner (ministry, industry, indigenous group, NGO, or university) will implement each item, where, and what measures the partners will employ.

(h) *Schedule*: present a timetable for the implementation of the various tasks, reflecting the priorities that have been assigned. Note signposts to help signal progress or delay.

(i) *Budget*: provide the budget for the plan of action, showing funding requirements for operating expenses, capital purchases, transport, field costs, etc. List the personnel needed by category of skill or background, the facilities and services required, and possible international technical and financial cooperation.

(j) *Monitoring and evaluation*: explain the measures to be used for tracking the results of the action plan and for monitoring changes in the economy, envi-

ronment and society. Give the indicators that will be used. Present the individuals and organizations who will carry these responsibilities and how they were selected. Note the audience for the reports, along with the document's content and timing of implementation.

(k) *Sharing of national experience*: present success stories on the implementation of Article 6 which might be useful for other Parties.

DECISION II/18 | Medium-Term Programme of Work of the Conference of the Parties for 1996–1997

[RETIRED as per decision VI/27, paragraph 3]

DECISION II/19 | Location of the Secretariat

The Conference of the Parties

1. [RETIRED as per decision VI/27, paragraph 3]

2. *Decides* to accept the offer of the Government of Canada, contained in document UNEP/CBD/COP/2/Rev.1, to host in Montreal the Secretariat of the Convention on Biological Diversity, established under Article 24 of the Convention;

3. [RETIRED as per decision VI/27, paragraph 3]

4. *Stresses* that such a transfer should, to the maximum extent possible, minimize the negative impact on the substantive preparation by the Secretariat of the meetings to be convened in 1996 under the auspices of the Convention, and other related activities;

5. *Requests* the Executive Director of the United Nations Environment Programme to negotiate and finalize the headquarters agreement with the Government of Canada;

6. [RETIRED as per decision VI/27, paragraph 3].

DECISION II/20 | Financing of and Budget for the Convention

The Conference of the Parties

1–10. [RETIRED as per decision VI/27, paragraph 3]

11. *Decides* to transfer to the third meeting of the Conference of the Parties, for further consideration, paragraph 4 of the Financial Rules contained in annex II of the present decision;

12. Also decides to transmit paragraph 16 of the Financial Rules to the third meeting of the Conference of the Parties for further consideration.

ANNEX I:
[RETIRED as per decision VI/27, paragraph 3]

Appendix I to Annex I:
[RETIRED as per decision VI/27, paragraph 3]

Appendix II to Annex I:
[RETIRED as per decision VI/27, paragraph 3]

ANNEX II:
FINANCIAL RULES FOR THE ADMINISTRATION OF THE TRUST FUND FOR THE CONVENTION ON BIOLOGICAL DIVERSITY*

DECISION II/21 | Venue and Date of the Third Meeting of the Conference of the Parties

[RETIRED as per decision VI/27, paragraph 3]

DECISION II/22 | Convening of Regional and Subregional meetings for Parties to the Convention

[RETIRED as per decision VI/27, paragraph 3]

DECISION II/23 | Tribute to the Government and People of the Republic of Indonesia

[RETIRED as per decision VI/27, paragraph 3]

* The financial rules for the administration of the Trust Fund for the Convention on Biological Diversity are reproduced in section V of this handbook.

Decisions adopted by the third meeting of the Conference of the Parties

BUENOS AIRES, ARGENTINA, 4–15 NOVEMBER 1996

DECISION III/1 | Pending issues arising from the work of the second meeting of the Conference of the Parties

The Conference of the Parties,

Having considered paragraphs 4 and 16 of the financial rules for the administration of the Trust Fund for the Convention on Biological Diversity and paragraph 1 of rule 40 of the rules of procedure for meetings of the Conference of the Parties,

1. *Decides* to transmit to the fourth meeting of the Conference of the Parties, for further consideration, paragraph 4 of the financial rules as contained in the annex to the present decision;

2. *Also decides* to transmit to the fourth meeting of the Conference of the Parties, for further consideration, paragraph 16 of the financial rules as contained in annex II of decision II/20, entitled "Financing of and budget for the Convention", contained in document UNEP/CBD/COP/2/19.

3. *Further decides* to transmit to its fourth meeting for further consideration paragraph 1 of rule 40 of the rules of procedure for meetings of the Conference of the Parties.

ANNEX

"It is for the Conference of the Parties to determine the scale referred to in paragraph 3(a) above. The scale is based on the United Nations scale of assessments for the apportionment of the expenses of the United Nations [adjusted to provide that no developing country Party shall be required to pay more than any developed country Party]. This scale of assessments shall apply unless amended by the Conference of the Parties. The contributions referred to in paragraph 3(a) shall be due on 1 January of each calendar year."

Appendix
Financial Rules For The Administration Of The Trust Fund For The Convention On Biological Diversity[68]

1. The Conference of the Parties to the Convention shall designate an organization (hereinafter referred to as the Trustee) which shall establish and manage the

68 As contained in Annex II of decision II/20 and amended by the present decision.

Trust Fund for the Convention on Biological Diversity (hereinafter referred to as the Trust Fund) in accordance with these rules.

2. The Trust Fund shall be used for funding the administration of the Convention, including the functions of the Secretariat.

3. The Trust Fund shall be financed from:

(a) Contributions made by Parties to the Convention based on the scale set forth in the appendix to the budget;

(b) Additional contributions made by such Parties;

(c) Contributions from States not Parties to the Convention, as well as governmental, intergovernmental and non-governmental organizations, and other sources.

4. It is for the Conference of the Parties to determine the scale referred to in paragraph 3(a) above. The scale is to be based on the United Nations scale of assessments for the apportionment of the expenses of the United Nations [adjusted to provide that no developing country Party shall be required to pay more than any developed country Party]. This scale of assessments shall apply unless amended by the Conference of the Parties. The contributions referred to in paragraph 3(a) shall be due on 1 January of each calendar year.

5. All contributions shall be paid in United States dollars or their equivalent in a convertible currency and into a bank account to be specified by the Trustee. In conversion of currencies into United States dollars, the United Nations operational rate of exchange shall be used.

6. Accounting records shall be kept in such currency or currencies as the Trustee deems necessary.

7. (a) Budget proposals expressed in United States dollars covering the expenditure and income from contributions referred to in paragraph 3(a) above shall be prepared by the head of the Secretariat (hereinafter referred to as the Executive Secretary) for periods of two calendar years at the minimum. At least 90 days before the date fixed for the opening of each ordinary meeting of the Conference of the Parties, these budget proposals shall be dispatched by the Executive Secretary to all Parties to the Convention.

(b) The budget shall, in accordance with rule 16, be approved by the Conference of the Parties and, if necessary, be revised at an ordinary or extraordinary meeting of the Parties.

8. Contributions referred to in paragraphs 3(b) and (c) shall be used in accordance with any terms and conditions agreed between the Executive Secretary and the respective contributor. At each ordinary meeting of the Conference of the Parties, the Executive Secretary shall present a report on contributions received and expected as well as their sources, amounts, purposes and conditions.

9. The Executive Secretary may commit resources against the Trust Fund only if such commitments are covered by contributions already received. In the event that the Trustee anticipates that there might be a shortfall in resources over the financial

period as a whole, it shall notify the Executive Secretary, who shall adjust the budget so that expenditures are at all times fully covered by contributions received.

10. The Trustee, on the advice of the Executive Secretary, may make transfers from one budget line to another within the budget in accordance with the Financial Regulations and Rules of the United Nations.

11. Contributions referred to in paragraph 3(a) above from States and regional economic integration organizations that become Parties to the Convention after the beginning of a financial period shall be made *pro rata temporis* for the balance of that financial period. Consequent adjustments shall be made at the end of each financial period for other Parties.

12. Contributions not immediately required for the purposes of the Trust Fund shall be invested, and any interest so earned shall be credited to the Trust Fund.

13. It is for the Conference of the Parties and the Trustee to agree on an administrative support charge to be paid to the Trustee.

14. At the end of each calendar year, the Trustee shall transfer any balance to the following calendar year and submit to the Conference of the Parties, through the Executive Secretary, the certified and audited accounts for that year as soon as practicable. The Trust Fund shall be subjected to the internal and external auditing procedure of the United Nations as laid down in the Financial Regulations and Rules of the United Nations.

15. In the event that the Conference of the Parties decides to terminate the Trust Fund, a notification to that effect shall be presented to the Trustee at least six months before the date of termination selected by the Conference of the Parties. The Conference of the Parties shall decide, in consultation with the Trustee, on the distribution of any unspent balance after all liquidation expenses have been met.

[16A. The Parties shall reach agreement by consensus on:

(a) The scale and any subsequent revision to it;

(b) The budget.]

[16B. The Parties shall make every effort to reach agreement on the budget by consensus. If all efforts to reach consensus on the budget have been exhausted and no agreement has been reached, the budget shall, as a last resort, be adopted by a [two-thirds] [four-fifths] majority vote of the Parties present and voting representing a [two-thirds] [four-fifths] majority vote of the developing country Parties present and voting and a [two-thirds] [four-fifths] majority vote of the other Parties present and voting.]

17. Any amendments to these rules shall be adopted by the Conference of the Parties by consensus.

DECISION III/2 | Report and recommendations of the second meeting of the Subsidiary Body on Scientific, Technical and Technological Advice

[RETIRED as per decision VII/33, paragraph 1]

DECISION III/3 | Use of languages in the meetings of the Subsidiary Body on Scientific, Technical and Technological Advice

The Conference of the Parties,

Recalling the recommendations of the Subsidiary Body on Scientific, Technical and Technological Advice contained in document UNEP/CBD/COP/3/3,

1–2. [RETIRED as per decision VII/33, paragraph 1]

3. *Decides* that the meetings of the Subsidiary Body on Scientific, Technical and Technological Advice will be held in the six official languages of the United Nations and that the *modus operandi* of the Subsidiary Body on Scientific, Technical and Technological Advice will be modified accordingly;

4. [RETIRED as per decision VII/33, paragraph 1].

DECISION III/4 | Clearing-house mechanism to promote and facilitate technical and scientific cooperation

The Conference of the Parties,

Recalling decision I/3 of the Conference of Parties, that a clearing-house mechanism should be established, in accordance with Article 18, paragraph 3 of the Convention, to promote and facilitate technical and scientific cooperation,

Recalling also decision II/3 of the Conference of Parties on the development of the clearing-house mechanism through the establishment of a pilot phase for 1996-1997 and related activities to promote technical and scientific cooperation,

Having examined the note by the Executive Secretary, contained in document UNEP/CBD/COP/3/4, which emphasizes the main features of the operational framework of the pilot phase of the clearing-house mechanism, namely, information linking and organization, visualization and the decision support function,

Noting that progress made to date in the implementation of the pilot phase has produced valuable insights as to the future development of the clearing-house mechanism and *concerned* that it is now time for these initial experiences to be brought together and advanced in a systematic manner so as to ensure that the clearing-house mechanism is expeditiously implemented in accordance with the expectations of the Parties,

Noting also:

(a) The crucial part played by technical and scientific cooperation on all aspects of biological diversity, including taxonomy and transfer of technology, in ensuring the capacity of the clearing-house mechanism to play an important role in the implementation of the Convention;

(b) The need for the clearing-house mechanism to be clearly focused on the implementation of the Convention;

(c) The need for the clearing-house mechanism activities to include information exchange modalities additional to the Internet to ensure the participation of Parties without Internet access;

(d) The need for capacity-building for the purposes of the clearing-house mechanism in developing countries, including training on information systems technologies that will allow developing countries to take advantage of the recent developments in electronic communication, including the Internet;

(e) The advantages of country-driven pilot projects focused on priority areas identified by the Conference of Parties which would enable developing countries to begin to implement the main features of the pilot phase of the clearing-house mechanism,

1. [RETIRED as per decision VII/33, paragraph 1]

2. *Requests* the Global Environment Facility to support the activities referred to in paragraphs (d) and (e) above as critical components in the implementation of the clearing-house mechanism at the national, subregional and regional levels, including in the pilot phase;

3. [RETIRED as per decision VII/33, paragraph 1]

4. *Also requests* Governments and other bilateral and multilateral funding institutions, as far as possible and as appropriate, to provide funding for capacity-building related to the implementation of the clearing-house mechanism;

5. [RETIRED as per decision VII/33, paragraph 1]

6. *Emphasizes* that the key characteristics of the clearing-house mechanism are, *inter alia*, that it should be compatible with national capacities, needs-driven and decentralized in nature, should provide access to meta-data, should provide support to the decision-making process, and should to the extent possible involve the private sector;

7. *Recommends* that the clearing-house mechanism should disseminate, in addition to scientific and technical information, information on policy and management issues relevant to the implementation of the Convention;

8. [RETIRED as per decision VII/33, paragraph 1]

9. *Recognizes* that ownership of all information made available through the clearing-house mechanism shall remain with the provider of the information;

10. [RETIRED as per decision VII/33, paragraph 1]

11. *Recommends* that one important role of the clearing-house mechanism at the national level should be to provide relevant information linkages to the national focal points and relevant thematic focal points, in order to facilitate the fair and equitable sharing of the benefits arising out of the utilization of genetic resources. Linkages to patent offices in each country for up-to-date information on new patent registrations and patents in the public domain provide an example of one mechanism;

12. *Recommends* that the work of the clearing-house mechanism at the international level focus on providing thematic focal points for linking to the activities at the national and regional level;

13. *Recognizes* that close cooperation is needed with other conventions and agreements, and requests the Secretariat to identify those activities and organizations which could support the clearing-house mechanism, and to provide appropriate advice to the Subsidiary Body on Scientific, Technical and Technological Advice at its next meeting;

14. [RETIRED as per decision VII/33, paragraph 1]

15. *Requests* all Parties to designate their clearing-house mechanism national focal points and make them operational as soon as possible;

16. *Requests* those Parties with access to the Internet to connect their national clearing-house mechanism homepage to the Secretariat's clearing-house mechanism homepage on the Internet, where possible, and further requests the Executive Secretary and partners to collaborate on the provision of advice to Parties and others on, *inter alia*, the necessary layout and system specifications.

DECISION III/5 | Additional guidance to the financial mechanism

The Conference of the Parties,

Bearing in mind Articles 20 and 21 of the Convention,

Underlining the importance of paragraphs 1 and 4 of Article 20 of the Convention,

Taking into account, in particular, paragraph 6 of decision II/6,

Recalling paragraph 6 of decision II/7, which emphasizes the importance of capacity-building and requests the interim financial mechanism under the convention to facilitate the urgent implementation of Articles 6 and 8 of the Convention by making available to developing country Parties financial resources for projects in a flexible and expeditious manner,

Recognizing that the Global Environment Facility, as stated in its Operational Principles for Development and Implementation of its Work Programme will maintain sufficient flexibility to respond to changing circumstances, including evolving guidance of the Conference of the Parties and experience gained from monitoring and evaluation activities,

Recognizing further that the Global Environment Facility, in its operational criteria for enabling activities for biodiversity, anticipates that these criteria will need to be reviewed and revised on the basis of early implementation experience, as necessary,

Recognizing progress made by the Global Environment Facility, in particular, concerning the Global Environment Facility decisions on medium-sized projects and enabling activities,

Recognizing also difficulties encountered with the application of the Operational Strategy of the Global Environment Facility, the project appraisal process, the application of the criteria for determining incremental costs and the procedures applied by the Implementing Agencies,

Recognizing further the need for a balanced implementation of the provisions of the Convention,

Taking note of the report of the Global Environment Facility to the third meeting of the Conference of the Parties, in which information was provided on the efforts to ensure that funding of its activities is in conformity with the policy, strategy, eligibility criteria and programme priorities of the Conference of the Parties, and in particular, the expedited procedures adopted for enabling activities in the biodiversity focal area,

1. *Urges* the Implementing Agencies of the Global Environment Facility to enhance cooperation to increase efforts to improve the processing and delivery systems of the Global Environment Facility;

2. *Decides* to provide the following additional guidance to the Global Environment Facility in the provision of financial resources in conformity with decisions I/2 and II/6 of the first and second meetings of the Conference of the Parties. In this regard, the Global Environment Facility shall provide financial resources to developing countries for country-driven activities and programmes, consistent with national priorities and objectives, recognizing that economic and social development and poverty eradication are the first and overriding priorities of developing countries:

(a) For capacity-building in biosafety, including for the implementation by developing countries of the UNEP International Technical Guidelines on Safety in Biotechnology;

(b) For capacity-building, including taxonomy, to enable developing countries to develop and carry out an initial assessment for designing, implementing and monitoring programmes in accordance with Article 7, taking into account the special need of small island States (*Note*: The Conference of the Parties endorsed recommendation II/2 of the Subsidiary Body on Scientific, Technical and Technological Advice, concerning capacity-building for taxonomy);

(c) For supporting, as a priority, efforts for the conservation and sustainable use of biological diversity important to agriculture, in accordance with decision 3/11;

(d) For supporting the following activities as critical components in the implementation of the clearing-house mechanism at the national, subregional and regional levels, including in the pilot phase, to which critical components the Global Environment Facility shall give effect by implementing its revised

operational criteria for enabling activities in relation to the clearing-house mechanism as quickly as possible:

(i) capacity-building for the purpose of the clearing-house mechanism, including training in information systems technologies that will allow developing countries to take advantage of the recent developments in electronic communication, including the Internet;

(ii) country-driven pilot projects, focused on priority areas identified by the Conference of the Parties which would enable developing countries to begin to implement the main features of the pilot-phase of the clearing-house mechanism;

3. *Reconfirms* the importance of the Global Environment Facility's support for incentive measures, guidance for which was contained in Annex I to decision I/2, paragraph 4(i), taking note of decision III/18;

4. *Urges* the Global Environment Facility, along with Governments, regional economic integration organizations, and competent international, regional and national organizations, to support human and institutional capacity-building programmes for Governments, non-governmental organizations and local and indigenous communities, as appropriate, to promote the successful development and implementation of legislative, administrative and policy measures and guidances on access to genetic resources, including scientific, technical, business, legal and management skills and capacities;

5. *Requests* the Global Environment Facility to examine the support of capacity-building projects for indigenous and local communities embodying traditional lifestyles related to the preservation and maintenance of their knowledge, innovations and practices relevant for the conservation and sustainable use of biological diversity with their prior informed consent and their participation;

6. *Requests* the Global Environment Facility, in preparing projects in conformity with the Conference of the Parties guidance on policy, strategy, programme priorities and eligibility criteria, to include in such projects, when relevant to the project's objectives and consistent with national priorities, project components addressing:

(a) Targeted research which contributes to conservation of biological diversity and the sustainable use of its components including research for reversing current trends of biodiversity loss and species extinction;

(b) Promotion of the understanding of the importance of, and measures required for, the conservation and sustainable use of biological diversity;

7. [RETIRED as per decision VII/33, paragraph 1].

DECISION III/6 | Additional financial resources

The Conference of the Parties,

Recalling Article 21, paragraph 4, of the Convention, which states that "the Contracting Parties shall consider strengthening existing financial institutions to pro-

vide financial resources for the conservation and sustainable use of biological diversity", as well as Article 20, paragraph 2,

Recalling also decision II/6, by which it requested the Executive Secretary to explore possibilities to identify additional financial resources, to continue to monitor the availability of additional financial resources, and to study characteristics specific to biological diversity activities to allow the Conference of the Parties to make suggestions to funding institutions on how to make their activities in the area of biological diversity more supportive of the Convention,

Recognizing the importance of identifying alternative sources of funding in support of the Convention,

Taking note of elements contained in documents UNEP/CBD/COP/3/7 and UNEP/CBD/COP/3/37,

1. *Urges* all funding institutions, including bilateral and multilateral donors as well as regional funding institutions and non-governmental organizations, to strive to make their activities more supportive of the Convention, taking into account, *inter alia*, relevant elements contained in document UNEP/CBD/COP/3/7;

2. *Requests* the Executive Secretary:

(a) To explore as soon as possible ways of collaborating with funding institutions to facilitate these efforts to achieve greater support for the Convention;

(b) [RETIRED as per decision VII/33, paragraph 1]

3. *Requests* the Executive Secretary to explore further possibilities for encouraging the involvement of the private sector in supporting the Convention's objectives;

4. *Urges* developed country Parties to cooperate in the development, where possible, of standardized information on their financial support for the objectives of the Convention on Biological Diversity. Where possible, these Parties should submit this information to the Secretariat of the Convention on Biological Diversity in their national reports;

5. *Invites* other funding institutions, including bilateral and multilateral donors as well as regional funding institutions and non-governmental organizations, to compile information on their financial support for the Convention and to provide the Secretariat with such information;

6. [RETIRED as per decision VII/33, paragraph 1].

DECISION III/7 | Guidelines for the review of the effectiveness of the financial mechanism

[RETIRED as per decision VII/33, paragraph 1]

DECISION III/8 | Memorandum of understanding between the Conference of the Parties to the Convention on Biological Diversity and the Council of the Global Environment Facility

The Conference of the Parties,

Recalling Articles 20 and 21 of the Convention on Biological Diversity,

Recalling further decision 11/6 on financial resources and mechanism,

1. *Adopts* the Memorandum of Understanding contained in the annex to the present decision;

2. [RETIRED as per decision VII/33, paragraph 1].

ANNEX
MEMORANDUM OF UNDERSTANDING BETWEEN THE CONFERENCE OF THE PARTIES TO THE CONVENTION ON BIOLOGICAL DIVERSITY AND THE COUNCIL OF THE GLOBAL ENVIRONMENT FACILITY

Preamble

The Conference of the Parties to the Convention on Biological Diversity (hereinafter the Conference of the Parties) and the Council of the Global Environment Facility (hereinafter the Council),

Recognizing the characteristics of the financial mechanism for the provision of financial resources for the purposes of the Convention on Biological Diversity (hereinafter the Convention) outlined in Article 21, paragraph 1, of the Convention, and the provisions of Article 21, paragraph 2, of the Convention, which call upon the Conference of the Parties to decide on the arrangements to give effect to Article 21, paragraph 1, after consultation with the institutional structure entrusted with the operation of the financial mechanism,

Recognizing further the willingness of the Global Environment Facility (hereinafter GEF) to serve for the purposes of the financial mechanism for the implementation of the Convention,

Recognizing that the financial mechanism shall function under the authority and guidance of and be accountable to the Conference of the Parties for the purposes of the Convention and that GEF as decided by the Conference of the Parties will operate the financial mechanism of the Convention on an interim basis in accordance with Article 39 of the Convention,

Having consulted with each other and taking into account the relevant aspects of their governance structures as reflected in their constituent instruments,

Have reached the following understanding:

1. Purpose

1.1 The purpose of the present Memorandum of Understanding is to make provision for the relationship between the Conference of the Parties and the Council in order to give effect to the provisions of Article 21, paragraph 1, of the Convention and paragraph 26 of the GEF Instrument and, on an interim basis, in accordance with Article 39 of the Convention.

2. Guidance from the Conference of the Parties

2.1 In accordance with Article 21 of the Convention, the Conference of the Parties will determine the policy, strategy, programme priorities and eligibility criteria for access to and utilization of financial resources available through the financial mechanism, including monitoring and evaluation on a regular basis of such utilization. GEF, in operating the financial mechanism under the Convention, will finance activities that are in full conformity with the guidance provided to it by the Conference of the Parties. For this purpose, the Conference of the Parties will communicate its guidance, and any revisions to such guidance as it may adopt, on the following matters:

(a) Policy and strategy;

(b) Programme priorities;

(c) Eligibility criteria;

(d) An indicative list of incremental costs;

(e) A list of developed country Parties and other Parties which voluntarily assume the obligations of developed country Parties;

(f) Any other matter relating to Article 21, including periodic determination of the amount of resources needed as detailed in paragraph 5 of this Memorandum.

2.2 The Council will communicate to the Conference of the Parties all relevant information, including information on the projects in the area of biological diversity funded by GEF outside the framework of the financial mechanism of the Convention.

3. Reporting

3.1 The Council will prepare and submit a report for each ordinary meeting of the Conference of the Parties.

3.2 The reports will include specific information on how the GEF Council, its Secretariat and its Implementing and Executing Agencies have applied the guidance and implemented the policy, strategies, programme priorities and eligibility criteria determined by the Conference of the Parties, as well as any other decision of the Conference of the Parties communicated to GEF, under Article 21 of the Convention. The Council should also report on its monitoring and evaluation activities concerning projects in the biodiversity focal area.

3.3. In particular, the reports will provide detailed information on the GEF biodiversity focal area, including:

(a) Information on how GEF has responded to the guidance provided by the Conference of the Parties as described by paragraph 2, including, where appropriate, through its incorporation in the GEF operational strategy and operational programmes;

(b) The conformity of the approved work programmes with guidance of the Conference of the Parties;

(c) A synthesis of the different projects under implementation and a listing of the projects approved by the Council in the biodiversity focal area, as well as a financial report with an indication of the financial resources allocated to these projects;

(d) A list of project proposals submitted for approval to the Council, through the GEF Implementing Agencies, by eligible Parties, including reporting on their approval status and, in cases of projects not approved, the reasons therefore;

(e) A review of the project activities approved by GEF and theiroutcomes, including information on funding and progress in implementation; and

(f) Additional financial resources leveraged by GEF for the implementation of the Convention.

3.4 In order to meet the requirements of accountability to the Conference of the Parties, reports submitted by the Council will cover all GEF-financed activities carried out for the purpose of the Convention, whether decisions on such activities are made by the Council or by the GEF Implementing and/or Executing Agencies. To this end, the Council will make arrangements as might be necessary with the Implementing Agencies regarding disclosure of information.

3.5 The Council will also provide information on other matters concerning the discharge of its functions under Article 21, paragraph 1, as may be requested by the Conference of the Parties. If the Council has difficulties in responding to any such request, it will explain its concerns to the Conference of the Parties and the Conference of the Parties and the Council will find a mutually agreed solution.

4. Monitoring and evaluation

4.1 The Conference of the Parties may raise with the Council any matter arising from the reports received.

4.2 The funding decisions for specific projects should be agreed between the developing country Party concerned and GEF in accordance with policy, strategy, programme priorities and eligibility criteria established by the Conference of the Parties. The GEF Council is responsible for approving the GEF work programmes. If a Party considers that a decision of the Council regarding a specific project was not made in compliance with the policies, programme priorities and eligibility criteria established by the Conference of the Parties in the context of the Convention, the Conference of the Parties should analyse the observations presented to it by the

Party and take decisions on the basis of compliance with such policy, strategy, programme priorities and eligibility criteria. In the event that the Conference of the Parties considers that this specific project decision does not comply with the policy, strategy, programme priorities and eligibility criteria established by the Conference of the Parties, it may ask the GEF Council for further clarification on the specific project decision.

4.3 As provided for in Article 21, paragraph 3, of the Convention, the Conference of the Parties will periodically review the effectiveness of the financial mechanism in implementing the Convention and communicate to the Council relevant decisions taken by the Conference of the Parties as the result of such review, to improve the effectiveness of the financial mechanism in assisting developing country Parties to implement the Convention.

5. Determination of funding requirements

5.1 In anticipation of the replenishment of GEF, the Conference of the Parties will make an assessment of the amount of funds that are necessary to assist developing countries, in accordance with the guidance provided by the Conference of the Parties, in fulfilling their commitments under the Convention over the next GEF replenishment cycle, taking into account:

(a) Article 20, paragraph 2, and Article 21, paragraph 1, of the Convention;

(b) Guidance to the financial mechanism from the Conference of the Parties which calls for future financial resources;

(c) The information communicated to the Conference of the Parties in the national reports submitted in accordance with Article 26 of the Convention;

(d) National strategies, plans or programs developed in accordance with Article 6 of the Convention;

(e) Information communicated to the Conference of the Parties from GEF on the number of eligible programmes and projects that were submitted to GEF, the number that were approved for funding, and the number that were turned down owing to lack of resources;

(f) Experience gained by those concerned in the implementation of projects.

5.2 On the occasion of each replenishment, GEF will, in its regular report to the Conference of the Parties as provided for in paragraph 3 of this Memorandum of Understanding, indicate how it has responded during the replenishment cycle to the previous assessment by the Conference of the Parties prepared in accordance with paragraph 5.1 and inform the Conference of the Parties of the conclusion of replenishment negotiations.

5.3 On the basis of the report referred to in paragraph 5.2 of this Memorandum of Understanding the Conference of the Parties will review the amount of funding necessary for the implementation of the Convention, on the occasion of each replenishment of the financial mechanism.

6. Reciprocal representation

On a reciprocal basis, representatives of GEF will be invited to attend meetings of the Conference of the Parties and representatives of the Convention will be invited to attend meetings of GEF.

7. Inter-secretariat cooperation

The Secretariat of the Convention and the Secretariat of GEF will communicate and cooperate with each other and consult on a regular basis to facilitate the effectiveness of the financial mechanism in assisting developing country Parties to implement the Convention. In particular, the two secretariats will consult on the project proposals under consideration for inclusion in a proposed work programme, especially with regard to the consistency of the project proposals with the guidance of the Conference of the Parties. Official documentation of GEF will be made available to the Secretariat of the Convention on Biological Diversity.

8. Amendments

Any amendments to the present Memorandum of Understanding will be decided upon by the Conference of the Parties and the Council in writing.

9. Interpretation

If differences arise in the interpretation of the present Memorandum of Understanding, the Conference of the Parties and the Council will reach a mutually acceptable solution.

10. Entry into effect

10.1 The present Memorandum of Understanding will come into effect upon approval by the Conference of the Parties and by the Council. Either participant may withdraw this Memorandum of Understanding at any time by written notification addressed to the other. The withdrawal will take effect six months after its notification.

10.2 The withdrawal of this Memorandum of Understanding by either Party to this Memorandum of Understanding shall not affect any projects considered and/or approved in accordance with the Memorandum of Understanding prior to the withdrawal.

DECISION III/9 | Implementation of Articles 6 and 8 of the Convention

The Conference of the Parties,

Reaffirming the great importance of the development and implementation by all Parties of national strategies, plans and programmes in accordance with Article 6 of the Convention,

Welcoming the work already undertaken by the Parties in implementing Article 6,

Recalling paragraph 5 of decision II/6, in which the Conference of the Parties requested the interim institutional structure operating the financial mechanism to facilitate urgent implementation of Article 6 of the Convention by making available to developing country Parties financial resources for projects in a flexible and expeditious manner,

Recalling also that in decision II/17 the Conference of the Parties decided that the first national reports by Parties would focus insofar as possible on measures taken for the implementation of Article 6,

Reaffirming that Article 8 of the Convention sets out a clear framework of the necessary elements for *in situ* conservation, which should be addressed in a coherent manner,

Noting that the reduction in the number of species and the fragmentation and degradation of ecosystems and habitats call not only for conservation but also for *inter alia* sustainable use and restoration of habitats, including their biological diversity components, together with other measures provided for by Article 8 of the Convention,

Noting the conclusions and recommendations of the United Nations-Norway Conference on Alien Species, Trondheim, Norway, 1-5 July 1996, and suggesting that Parties may wish to use these results in their implementation of Article 8(h) of the Convention,

Believing that a central role of the clearing-house mechanism should be the sharing of experiences and dissemination of information relevant to Articles 6 and 8,

Emphasizing that the compilation and dissemination under the Convention of information relevant to the implementation of Articles 6 and 8 should complement and enhance existing efforts, rather than duplicate them,

1. *Stresses* the need for Parties to ensure the cross-border coordination of their respective strategies, on a bilateral as well as on a regional basis;

2. *Urges* Parties to include in their national plans or strategies and legislation measures for:

(a) The conservation of biological diversity both *in situ* and *ex situ*;

(b) The integration of biological diversity objectives in relevant sectoral policies in order to achieve conservation and sustainable use of biological diversity;

(c) The equitable sharing of benefits arising out of the use of genetic resources;

3. *Further urges* Parties to submit their first national reports on time;

4. *Requests* the interim financial mechanism under the Convention to make available to developing country Parties resources to enable them to facilitate urgent implementation of paragraphs 2 and 3 above;

5. *Encourages* all Parties to set measurable targets in order to achieve biological diversity conservation and sustainable use objectives;

6. *Requests* Parties to take action to achieve the restoration of habitats, including their biological diversity components;

7. *Requests* the Executive Secretary to explore ways of enhancing the collection and dissemination to Parties of information on the implementation of Articles 6 and 8 by involving in a more regular and systematic fashion organizations already concerned with the collection and dissemination of such information;

8. [RETIRED as per decision VII/33, paragraph 1]

9. *Recommends* the development of a thematic approach in the further compilation and dissemination of information on the implementation of Articles 6 and 8 and commends the inclusion of the following work areas within this approach:

(a) Methodologies to evaluate and mitigate threats to biological diversity;

(b) Ways to suppress or mitigate perverse or negative incentives having a deleterious effect on biological diversity;

(c) Alien species; and

(d) Protected areas;

10. *Encourages* the Scientific Committee on Problems of the Environment and the Invasive Species Specialist Group of the World Conservation Union to continue their efforts to develop a global strategy and action plan to deal with the problem of alien invasive species;

11. [RETIRED as per decision VII/33, paragraph 1].

DECISION III/10 | Identification, monitoring and assessment

The Conference of the Parties,

Reaffirming the central importance of the implementation of Article 7 in ensuring that the objectives of the Convention are met,

Stressing the fundamental role of taxonomy in identifying the components of biological diversity,

Recognizing the lack of taxonomic capacity in many countries,

Recognizing also the necessity of capacity-building to enable Parties to carry out identification, monitoring and assessment within the remit of the Convention,

Noting the review of methodologies for assessment of biological diversity contained in Annex I of document UNEP/CBD/COP/3/13 and the discussion of indicators contained in Annex II of that document,

1. *Urges* Parties to identify indicators of biological diversity and to develop innovative methods of implementing Article 7 as a high priority, in particular commending the value of rapid biological diversity assessment approaches as an efficient and cost-effective way of assessing biological diversity and identifying priorities for action, and recognizing also the role of remote sensing as a useful tool for monitoring;

2. *Endorses* the recommendation II/1 of the Subsidiary Body on Scientific, Technical and Technological Advice concerning indicators, monitoring and assessment of biological diversity;

3. *Endorses* the recommendation II/2 of the Subsidiary Body on Scientific, Technical and Technological Advice concerning capacity-building for taxonomy;

4. *Recommends* that Parties consider a step-by-step approach to the implementation of Article 7, paying attention to the indicative list of categories of important components of biological diversity set out in Annex I of the Convention, beginning with the rapid implementation of Article 7(a) and the first part of Article 7(c), concerning identification of important components of biological diversity and the processes and categories of activities which have or are likely to have significant adverse impacts on biological diversity;

5. *Stresses*, however, that such an approach should not preclude the timely implementation of other Articles of the Convention, particularly Articles 6 and 8, with respect to those components of biological diversity that have been identified;

6. *Calls* on Parties to cooperate on a voluntary pilot project to demonstrate the use of successful assessment and indicator methodologies;

7. *Also calls* on Parties to prepare, where appropriate, reports on experiences on the application of assessment methodologies and results from assessments and to disseminate these reports by appropriate mechanisms such as the clearing-house mechanism;

8. *Recommends* to Parties that they explore ways to make taxonomic information housed in collections world-wide readily available, in particular to countries of origin;

9. *Instructs* the Subsidiary Body on Scientific, Technical and Technological Advice:

(a) To provide scientific advice and further guidance, through its thematic work on ecosystems, to the fourth meeting of the Conference of the Parties, to assist in the national elaboration of Annex I of the Convention, using as guidance the elaboration of the terms as set out in paragraphs 12–29 of document UNEP/CBD/COP/3/12;

(b) Further to review methodologies for assessment of biological diversity and make recommendations for their application to the fourth meeting of the Conference of the Parties;

10. *Requests* the institutional structure of the interim financial mechanism of the Convention to provide financial resources to developing countries in order to address the need for capacity-building, including taxonomy, to enable them to

develop and carry out an initial assessment for designing, implementing and monitoring programmes in accordance with Article 7, taking into account the special need of small island States.

SBSTTA RECOMMENDATION II/1:

AGENDA ITEM 3.1: Assessment of Biological Diversity and Methodologies for Future Assessments

AGENDA ITEM 3.2: Identification, Monitoring and Assessment of Components of Biological Diversity and of Processes that Have Adverse Impacts

AGENDA ITEM 3.3: Review and Promotion of Indicators of Biological Diversity

1. General advice

1. There was broad agreement that agenda items 3.1, 3.2 and 3.3 were inextricably interlinked and should therefore be considered together. It was acknowledged that the subject matter dealt with was highly complex and central to the Convention, particularly with respect to Article 7 but also to other Articles such as 6, 8, 16, 25 and 26. The background documents prepared by the Secretariat (documents UNEP/CBD/SBSTTA/2/2, UNEP/CBD/SBSTTA/2/3, UNEP/CBD/SBSTTA/2/4) were generally considered to contain useful approaches to dealing with these issues.

2. The importance of capacity-building, development and enhancement of institutions (and concomitant financial support) in assisting developing countries in all aspect of their assessments was repeatedly emphasized.

3. The role the clearing-house mechanism should have in improving the flow of information was stressed. The possible need to develop interim measures within the clearing-house mechanism was raised.

4. It was noted that improvement of taxonomic knowledge was fundamental to the development of indicators and assessments.

5. It was emphasized that the assessment of biological diversity was ultimately the responsibility of each Party, so that national reporting should be the focus of assessment efforts. When necessary, regional bodies should be called upon to provide information to facilitate the assessment of biological diversity beyond national jurisdictions. The question of how the Secretariat and the SBSTTA would deal with national reports when they began to arrive was raised.

6. There was wide agreement that assessments should be: transparent; based on scientific principles; based initially on existing knowledge; focused; pragmatic; cost-effective; within a socio-economic context; management- or policy-oriented. Indicators were recognized as being a vital aspect of such assessments with the pressure-state-response framework being particularly useful. A distinction was made between assessments of biological diversity itself and the assessment of the

state of knowledge of biological diversity. The former was relevant principally at the national level, the latter principally at regional and global levels.

7. Calls were made for development and refinement of guidelines for national reporting. The UNEP country studies guidelines were mentioned in this context. The desirability of harmonization was emphasized as this would allow comparisons with similar ecosystems in different countries to be made, and also facilitate the development of overviews such as the Global Biodiversity Outlook. The need to develop a core set of indicators for national reporting which should be easily and widely measurable and policy-relevant was raised. Initially, emphasis should be laid on indicators already known to be successful. Traditional knowledge could play a valuable role in the development of indicators, as well as in monitoring and assessment.

8. However, the need for flexibility in approach to assessment, national reporting and indicator development in response to widely varying ecological conditions and national capacities was repeatedly raised. Regional or ecosystem approaches to the development of guidelines and indicators were widely advocated and it was noted that there was unlikely ever to be any one optimum method for assessment. The annex to the document prepared by the Secretariat (UNEP/CBD/SBSTTA/2/2) may be useful in this regard as it sets out a series of methodologies, allowing choice of the most appropriate for a given set of circumstances.

9. A two-track approach to assessment and indicator development was suggested. In the short term actual assessments should be carried out of sectors and components of biological diversity which were already reasonably well-known and understood; longer-term programmes involving research and capacity-building should be developed in areas needing advances in knowledge.

10. The distinction was made between inventorying and assessment or monitoring of biological diversity. The latter must be related to human impacts. It was also noted that, although in themselves costly and difficult processes, inventories of biological diversity were more straightforward than assessment of impacts on and changes to biological diversity. The latter required both improved knowledge and long-term monitoring. Biosphere reserves were noted as being potentially extremely valuable in the latter regard.

11. Coordination with related international conventions and processes was considered of great importance. This should serve to minimize duplication of effort. In addition, experience gained in reporting to these could be used to develop guidelines for reporting and indicator development within the remit of the Convention on Biological Diversity.

12. The desirability of preparing thematic assessments in line with the major themes and specific needs of the Convention was underlined. In particular, freshwater ecosystems were widely recognized as being in urgent need of global assessment. Calls for assessment of coastal and marine, grassland and wetland ecosystems, in addition to those others mentioned in the Secretariat document (UNEP/CBD/SBSTTA/2/2), were also made.

13. The importance of assessing biological diversity in agricultural systems was widely acknowledged. It was stressed that such an assessment should take into

account the work of the FAO. It was noted that there exists an interdependence between sustaining biological diversity and sustaining agriculture. It was also recognized that agricultural practices may affect biological diversity in agricultural ecosystems in both negative and positive ways and that when individual activities of many producers are considered in aggregate, the potential for significant offsite impacts on biological diversity exists. Because agriculture takes place across landscapes that often include other types of land-use, an improved understanding of the role of agriculture in the overall context of a region is needed.

14. It was also stressed that assessments of the status of biological diversity should, as a matter of priority, be incorporated into regional and global resource assessments as the basis for management decisions in sectors which had serious impacts on the status of biological diversity, particularly those concerning marine, agricultural and forest ecosystems. This would entail cooperation with agencies and organizations responsible for regional and global resource assessments, such as the FAO, and should operate with relevant conventions such as that covering straddling and highly migratory fish stocks.

15. It was noted that coordinated thematic assessments by countries would allow development of thematic overviews within the Global Biodiversity Outlook.

16. The proposed framework of processes and categories of activities that are or are likely to have significant adverse impacts on biological diversity (paragraphs 39-41 of document UNEP/CBD/SBSTTA/2/3) received general support. A number of specific recommendations for amendment or modification were made. Radioactive contaminants were identified as an additional proximate threat, improper land management was identified as an activity having adverse effects on biological diversity, and national policy failure was considered an additional ultimate cause of threats. In addition, it was noted that consumptive use of wild species could be a contribution to conservation. It was suggested that assessments should be carried out using this framework to set priorities, it being acknowledged that these priorities would differ in different countries.

17. Some form of intersessional activity (for example a liaison group or informal working group) was considered appropriate to examine issues such as development of guidelines for national reporting and a review of indicator initiatives. It was also suggested that indicators and monitoring should be considered together as a standing item on the agenda of the SBSTTA.

2. Conclusions and recommendations

18. The SBSTTA recognizes the vital importance of monitoring and assessment of biological diversity, particularly with regard to Article 7 of the Convention, and further recognizes that the primary responsibility for undertaken monitoring and assessment of biological diversity lies with individual Parties.

19. The SBSTTA advocates a two-track approach to assessment and indicator development. In the short term, actual assessment should be carried out of sectors and components of biological diversity which were already reasonably well-known and understood. Use should, in particular, be made of indicators known to

be operational. Longer-term programmes involving research and capacity-building should be developed in areas needing advances in knowledge.

2.1. PRIORITY TASKS

20. The SBSTTA considered that the following tasks should be accorded a high priority:

(i) Enhancing capacity-building, strengthening of institutions and funding in developing countries to carry out identification, monitoring and assessment within the remit of the Convention;
(ii) Development of the clearing-house mechanism to improve the flow of information both from national reporting and from the international scientific community;
(iii) Development and refinement of national guidelines to include: assessment and monitoring methodologies; indicators; thematic approaches; definition and clarification of terms; recommendations for harmonization;
(iv) Provision of a critical review of methodologies for inventory and assessment along the lines of that provided in Annex 1 of document UNEP/CBD/SBSTTA/2/2;
(v) Development of a core set of indicators for national reports. Such indicators should in the first instance be based on those which are known to be operational;
(vi) Development of indicators in thematic areas important to the Convention, particularly coastal and marine ecosystems (including mangroves), agricultural biological diversity, forests and freshwater ecosystems;
(vii) Development of an indicative framework of processes and categories of activities that are or are likely to have significant adverse impacts on biological diversity;
(viii) Development of methods to strengthen links between natural resource assessments and assessments of biological diversity by introducing biological diversity dimensions into resource assessments, including assessments of forests, land resources, soils and marine living resources.

21. The SBSTTA noted that development of a core set of indicators would entail a review of current approaches to indicator development and development of indicators in thematic areas important to the Convention.

22. The SBSTTA considered that the following tasks were also important:

(i) Development of regional- or ecosystem-based guidelines for assessments;
(ii) Preparation of thematic assessments of knowledge and status of biological diversity on one or more of the following ecosystems: freshwater; coastal and marine; forests and woodlands; montane systems; rangelands, arid and semi-arid lands; grasslands; wetlands; agricultural systems;

(iii) Establishment of the costs and benefits of the conservation of biological diversity and its sustainable use;
(iv) Assistance in preparation of the Global Biodiversity Outlook;
(v) Elaboration and further interpretation of the terms in Annex I of the Convention, as discussed in detail in document UNEP/CBD/SBSTTA/2/3;
(vi) Development of a review of methods for monitoring activities which have or may have adverse impacts on biological diversity, particularly with regard to pressure indicators and to the socio-economic context of the use of biological diversity as well as the impact from technology including biotechnology. Such a review should include options for mitigating the effects of these activities.

2.2. PROPOSED SPECIFIC RECOMMENDATIONS

23. In response to these priorities, the SBSTTA recommends to the Conference of the Parties that the Executive Secretary be requested to produce in consultation with a liaison or expert group, and for consideration by the next SBSTTA:

(i) A guideline report to assist Parties in addressing these issues. Such a report should contain an elaboration of assessment methodologies for meeting the requirements of the Convention, taking into account the contents of those national reports already prepared and reports to other conventions and international processes. Such a report should also contain: information on indicators and monitoring techniques; definitions and clarification of terms and recommendations for harmonization. Preparation of the guidelines should not delay production of national reports already in progress;
(ii) A list of options for consideration by the SBSTTA for capacity-building in developing countries in the application of guidelines and indicators for subsequent national reports;
(iii) A listing of current approaches to indicator development to be tabled at the next meeting of the SBSTTA and recommendations for a preliminary core set of indicators of biological diversity, particularly those related to threats.

24. The SBSTTA recommends that the Conference of the Parties request that any guidelines or other products so produced be peer-reviewed by a roster of experts and competent institutions.

25. The SBSTTA also recommends to the Conference of the Parties that the Executive Secretary be requested to initiate consultation with other regional and global organizations, particularly the FAO, involved in assessments of biological resources within relevant economic sectors, to attempt to ensure that biological diversity is included in resource assessments undertaken by these regional and global organizations with the aim of influencing management decisions.

26. In view of the complexity of these issues and their central importance in the implementation of the Convention, the SBSTTA recommends that indicators, assess-

ment and monitoring should be considered together as a standing item on the agenda of the SBSTTA.

RECOMMENDATION II/2

AGENDA ITEM 3.4: Practical Approaches for Capacity-Building for Taxonomy

The SBSTTA,

Recalling paragraph 7 of decision II/8, which requested the second meeting of the SBSTTA to address the issue of the lack of taxonomists that are required for Parties to implement the Convention and to advise the Conference of the Parties at its third meeting on ways and means to overcome this problem, taking into account existing studies and ongoing initiatives while adopting more practical direction of taxonomy linked to bio-prospecting and ecological research on conservation and sustainable use of biological diversity and its components,

Recognizing that biological collections are the basis of taxonomy and are also sources of genetic resources,

Having examined the note by the Secretariat (UNEP/CBD/SBSTTA/2/5) and finding an extraordinary level of agreement that enhanced taxonomic capacity is a *sine qua non* for the implementation of the Convention,

Recommends that the Conference of the Parties consider the following:

1. There is a scarcity of taxonomists, taxonomic collections, and institutional facilities, and there is a need to take measures to alleviate this situation worldwide, to facilitate and assist countries in implementing the Convention on Biological Diversity. In particular, national institutions and regional and subregional networks should be established or strengthened and linkages enhanced with taxonomic institutions in developing and developed countries. In strengthening the taxonomic base, consideration must be given to the information needs for bio-prospecting, habitat conservation, sustainable agriculture and the sustainable utilization of biological resources.

2. Capacity-building for taxonomy should be linked to the effective implementation of the Convention on Biological Diversity, particularly the national identification of areas of high diversity; improving the understanding of ecosystem functioning; giving priority to threatened taxa, taxa that are or may be of value to humanity, and those with potential use as biological indicators for conservation and sustainable use of biological diversity.

3. Development of guidelines and programme priorities for funding, including for the financial mechanism under the Convention, should take account of the specific needs for capacity-building in taxonomy to serve areas such as bio-prospecting, habitat conservation and the sustainable use of biological diversity. Such support should recognize the need for adequate, long-term housing of collections and records and long-term research.

4. For new taxonomists to be recruited, there is a need to provide employment opportunities. It is urgent that Parties take this need into consideration and integrate it into the programme of capacity-building.

5. Where appropriate, national taxonomic needs assessment and action plans should be developed by setting national priorities, mobilizing available institutional resources, and identifying available funds. Countries could benefit from regional and subregional collaboration.

6. The importance of establishing regional and subregional training programmes was recognized. Attention should also be given to the training of specialists, parataxonomists, and technicians in this field. The field of taxonomy must be integrated with training activities such as biological monitoring and assessments. Maximum use should be made of existing institutions and those organizations active in these fields.

7. There is an urgent need to make the information on existing taxonomic knowledge, including information about the taxa in worldwide collections, available to countries of origin.

8. Taxonomic information to assist capacity-building in taxonomy should be included within the clearing-house mechanism. The taxonomic work embodied in existing archives and inventories, field guides and publications needs to be updated and readily accessible through worldwide services and the duplication of work already conducted should be avoided. The dissemination of information should further the objectives of the Convention and be linked to user needs. This sharing of information will require greater international collaboration. It should also be recognized that traditional taxonomic systems offer a valuable perspective on biological diversity and should be considered part of the total taxonomic knowledge base at national, regional and subregional levels.

9. Since taxonomy generally involves the use of biological collections, those concerned should consider the adoption of mutually agreed upon material transfer agreements or equivalent instruments in accordance with the provisions of the Convention on Biological Diversity for exchange of biological specimens and information relating to them.

10. The Conference of the Parties should consider instructing the Global Environment Facility to support a Global Taxonomy Initiative, providing the necessary funds for the following actions related to capacity-building in taxonomy:

(a) developing national, regional and subregional training programmes;

(b) strengthening reference collections in countries of origin including, where appropriate, the exchange of paratypes on mutually agreed upon terms;

(c) making information housed in collections worldwide and the taxonomy based on them available to the countries of origin;

(d) producing and distributing regional taxonomic guides;

(e) strengthening infrastructure for biological collections in countries of origin, and the transfer of modern technologies for taxonomic research and capacity-building; and

(f) disseminating taxonomic information worldwide, *inter alia*, by the clearing-house mechanism.

DECISION III/11 | Conservation and sustainable use of agricultural biological diversity

The Conference of the Parties,

Recalling resolution 3 of the Nairobi Final Act,

Also recalling decisions II/15 and II/16 of the second meeting of the Conference of the Parties,

Further recalling recommendation II/7 of the second meeting of the Subsidiary Body on Scientific, Technical and Technological Advice related to agricultural biological diversity,

Welcoming the outcome of the fourth International Technical Conference on the Conservation and Sustainable Utilization of Plant Genetic Resources for Food and Agriculture, held in June 1996 in Leipzig, and taking note of the follow-up process agreed in Leipzig and of the periodic updating of the report on the State of the World's Plant Genetic Resources for Food and Agriculture and the Global Plan of Action for the Conservation and Sustainable Utilization of Plant Genetic Resources for Food and Agriculture by the Food and Agriculture Organization of the United Nations, as well as the implementation of the Global Plan of Action,

Considering the importance of biological diversity for agriculture and taking note of the interrelationship of agriculture with biological diversity as detailed in the basis for action attached hereto as Annex 1,

Believing that the field of agriculture offers a unique opportunity for the Convention on Biological Diversity to link concerns regarding biological diversity conservation and sharing of benefits arising from the use of genetic resources with the mainstream economy, taking into account the need for a balanced development of the three objectives of the Convention,

Recognizing the close relationship between agriculture and biological and cultural diversity and that the Conference of the Parties has a clear role and mandate to address issues relating to agricultural biological diversity within the framework of the Convention on Biological Diversity,

Further recognizing agricultural biological diversity as a focal area in view of its social and economic relevance and the prospects offered by sustainable agriculture for reducing the negative impacts on biological diversity, enhancing the value of biological diversity and linking conservation efforts with social and economic benefits,

Urging the expeditious provision of funds from appropriate sources necessary for the implementation of this decision,

Recognizing that traditional farming communities and their agricultural practices have made a significant contribution to the conservation and enhancement of bio-

diversity and that these can make an important contribution to the development of environmentally sound agricultural production systems,

Recognizing also that the inappropriate use of and excessive dependence on agrochemicals has produced substantial negative effects on terrestrial systems, including soil, coastal and aquatic organisms, thus affecting biological diversity in different ecosystems,

Reaffirming the sovereign rights of States over their own genetic resources, including their genetic resources for food and agriculture,

Urging Parties to establish or maintain means to regulate, manage or control the risks associated with the use and release of living modified organisms resulting from biotechnology which are likely to have adverse environmental impacts that could affect the conservation and sustainable use of biological diversity, taking also into account the risks to human health,

Considering that its activities in this field relating to the implementation of Article 6(b) of the Convention should focus on the interface between agricultural sustainability and environmental issues and should promote the integration of social, economic and environmental objectives and facilitate the development of solutions to problems relating to agricultural biological diversity in the context of the Convention's provisions,

Further considering that the contributions of conservation and sustainable use of agricultural biological diversity to sustainable agriculture should be a key focal area within the context of terrestrial, freshwater and marine biological diversity, to be pursued in collaboration with, and with the cooperation and initiative of, relevant international organizations thus avoiding duplication,

1–12. [RETIRED as per decision VII/33, paragraph 1]

13. *Recognizes* that the successful implementation of policies aiming at the sustainable use of agrobiodiversity components largely depends on the degree of public awareness and understanding of its basic importance for society, and recommends Parties to establish or enhance mechanisms for information and education, including the use of the clearing-house mechanism, specific to groups of concern at national, regional and international levels;

14. *Endorses* the conclusions of the relevant sections of the 1995 Commission on Sustainable Development sectoral review of Agenda 21, which, *inter alia*, recognized the need for an integrated and multidisciplinary approach to the planning, development and management of land resources, and that the achievement of the multiple objectives related to sustainable agriculture and rural development requires a whole system approach that recognizes that it is not possible to focus on agricultural activities alone;

15. *Encourages* Parties to develop national strategies, programmes and plans which, *inter alia*:

(a) Identify key components of biological diversity in agricultural production systems responsible for maintaining natural processes and cycles, monitoring and evaluating the effects of different agricultural practices and technologies on

those components and encouraging the adoption of repairing practices to attain appropriate levels of biological diversity;

(b) Redirect support measures which run counter to the objectives of the Convention regarding agricultural biodiversity;

(c) Internalize environmental costs;

(d) Implement targeted incentive measures which have positive impacts on agrobiodiversity, in order to enhance sustainable agriculture, in accordance with Article 11 and consistent with Article 22, as well as to undertake impact assessments in order to minimize adverse impacts on agrobiodiversity, in accordance with Article 14;

(e) Encourage the development of technologies and farming practices that not only increase productivity, but also arrest degradation as well as reclaim, rehabilitate, restore and enhance biological diversity and monitor adverse effects on sustainable agricultural biodiversity. These could include, *inter alia*, organic farming, integrated pest management, biological control, no-till agriculture, multi-cropping, inter-cropping, crop rotation and agricultural forestry;

(f) Empower their indigenous and local communities and build their capacity for *in situ* conservation and sustainable use and management of agricultural biological diversity, building on the indigenous knowledge systems;

(g) Encourage *ex ante* and/or *ex post* evaluation of impacts on biological diversity from agricultural development projects, to assure the use of best practices to promote the conservation and sustainable use of biological diversity;

(h) Integrate with other plans, programmes and projects relating to the conservation and sustainable use of other terrestrial, freshwater, coastal and marine ecosystems, in accordance with Article 6(b) of the Convention on Biological Diversity;

(i) Promote partnerships with researchers, extension workers and farmers in research and development programmes for biological diversity conservation and sustainable use of biological diversity in agriculture. To achieve this, countries should be encouraged to set up and maintain local level forums for farmers, researchers, extension workers and other stakeholders to evolve genuine partnerships;

(j) Promote at national and regional levels adequate and appropriate services to farmers and responsiveness of public research and extension services and development of genuine partnerships;

(k) Promote research into, and development and implementation of, integrated pest management strategies, in particular, methods and practices alternative to the use of agro-chemicals, that maintain biodiversity, enhance agro-ecosystem resilience, maintain soil and water quality and do not affect human health;

(l) Encourage the consideration of introducing necessary measures and/or legislation, as appropriate, to encourage appropriate use of and discourage excessive dependence on agro-chemicals with a view to reducing negative impacts on biological diversity;

(m) Study, use and/or develop, in accordance with decision I/2, methods and indicators to monitor the impacts of agricultural development projects on biological diversity, including intensification and extensification, of production systems on biological diversity, and to promote their application;

(n) Study the positive and negative impacts on ecosystems and biomes of agricultural transformation resulting from intensification or extensification of production systems in their countries;

16. *Encourages* Parties to develop national strategies, programmes and plans, which should focus on, *inter alia*:

(a) The key elements of the Global Plan of Action, such as broadening the genetic base of major crops; increasing the range of genetic diversity available to farmers; strengthening the capacity to develop new crops and varieties that are specifically adapted to local environments; exploring and promoting the use of underutilized crops; and deploying genetic diversity to reduce crop vulnerability;

(b) The development of inventories which consider the status of farm animal genetic resources and measures for their conservation and sustainable utilization;

(c) Micro-organisms of interest for agriculture;

17. *Encourages* Parties at the appropriate level, with the support of the relevant international and regional organizations, to promote:

(a) The transformation of unsustainable agricultural practices into sustainable production practices adapted to local biotic and abiotic conditions, in conformity with the ecosystem or integrated land use approach;

(b) The use of farming practices that not only increase productivity, but also arrest degradation as well as reclaim, rehabilitate, restore and enhance biological diversity;

(c) Mobilization of farming communities including indigenous and local communities for the development, maintenance and use of their knowledge and practices in the conservation and sustainable use of biological diversity in the agricultural sector with specific reference to gender roles;

18. [RETIRED as per decision VII/33, paragraph 1]

19. *Welcomes* the contribution that the Global Plan of Action for the Conservation and Sustainable Utilization of Plant Genetic Resources, as adopted by the fourth International Technical Conference on Plant Genetic Resources, provides to the implementation of the Convention on Biological Diversity in the field of plant genetic resources for food and agriculture and encourages Parties actively to implement the Global Plan of Action, in accordance with their national capacities, and endorses its priorities and policy recommendations; recognizes that several issues require further work in the context of the FAO Global System for the Conservation and Utilization of Plant Genetic Resources for Food and Agriculture, in particular: financing; the realization of Farmers' Rights as discussed in the Global Plan of Action; as well as terms of technology transfer to developing countries and access and benefit-sharing arrangements, in accordance with relevant provisions of the Convention. In this regard, calls for effective and speedy

completion of the revision of the International Undertaking and strengthening of the FAO Global System;

20. *Appreciates* the importance of the country-based Global Strategy for the Management of Farm Animal Genetic Resources under the Food and Agriculture Organization of the United Nations and strongly supports its further development;

21. *Draws the attention* of Parties to Article 20.1 of the Convention, in the context of providing, in accordance with their capabilities, financial support and incentives for the conservation and sustainable use of biological diversity important to agriculture in accordance with national plans, priorities and programmes;

22. *Draws the attention* of international funding agencies to the urgent need to support the conservation and sustainable use of biological diversity important to agriculture and invites these agencies to provide information and feedback in this respect to the Conference of the Parties and in this context, requests the interim financial mechanism to give priority to supporting efforts for the conservation and sustainable use of biological diversity important to agriculture in accordance with this decision;

23–24. [RETIRED as per decision VII/33, paragraph 1].

ANNEX 1
BASIS FOR ACTION

A. Impact of biological diversity on agriculture

1. Biological diversity has enabled farming systems to evolve since agriculture was first developed some 12,000 years ago, and an understanding of the dynamic evolutionary and environmental processes which shape and influence agricultural biodiversity is fundamental to improving the sustainable management and conservation of agricultural ecosystems today. In recent years, as the world's population continues to grow and agricultural production must meet the rising demand for food, agricultural expansion into forests and marginal lands, combined with overgrazing and urban and industrial growth, has substantially reduced levels of biological diversity over significant areas. Current patterns of agricultural land use based on limited numbers of species and varieties have also diminished the biological diversity within agricultural ecosystems and are undermining the long-term sustainability of agricultural production itself.

2. Agricultural intensification has the potential to balance the world's need for increasing food supplies while reducing pressures to expand agricultural areas still further, but it is also harmful when accompanied by excessive dependence on agrochemicals and external energy and water inputs. Agro-ecological forms of intensification can, however, blend improved knowledge about agricultural ecosystems, intercropping, uses of diverse species, integrated pest management and the efficient use of resources. Beneficial mixes of land use also raise the overall level of biodiversity in agricultural landscapes. These approaches currently represent a small but growing portion of intensification efforts. Meeting the imperative of increasing agri-

cultural production in such sustainable ways while conserving and prudently using biological diversity is the major challenge which we must urgently address.

3. The importance of agrobiodiversity is of widespread and complex significance to society, encompassing socio-cultural, economic and environmental elements. It is essential to food security and poverty alleviation and much of the knowledge about agrobiodiversity is maintained by farmers themselves, many of whom are women. All domesticated crops and animals result from human management of biological diversity, which is constantly responding to new challenges to maintain and increase productivity. Biological diversity itself presents opportunities for naturally controlling pests and reducing the use of pesticides, while maintaining high yields, and a large proportion of crops depend on insect pollinators for good yields. Landraces and wild species of animals and plants are the essential source of genetic variability for responding to biotic and abiotic stress through genetic adaptation.

4. The biological diversity of the soil is responsible for nutrient circulation and fertility within agricultural ecosystems. Diversified agricultural production provides protection against uncertainties in the market, especially for less capitalized producers, and increases the opportunities to add value and exploit new markets. Farmers all over the world have also managed a variety of wild species and habitats which benefit the sustainability of both agricultural and natural ecosystems.

5. At the more fundamental level, the living organisms which constitute agricultural biodiversity play an important role in the resilience of all natural, life-support processes. They are essential agents for, *inter alia*, nitrogen, carbon, energy and water cycles. Moreover, the species composition and their relationships will affect the functioning and yields of agricultural ecosystems themselves. A diverse environment also offers a shield for agricultural ecosystems against perturbations, natural or man-made, contributing to their resilience and that of their surrounding ecosystems.

6. Agricultural production utilizes natural resources of diverse ecosystems worldwide and is the economic activity most representative as far as extensive land-use is concerned - nearly one third of the world's land area is used for food production. Serious adverse effects may occur on biological diversity at on and off-farm levels. Most of the world's biological diversity on land is harboured by areas under exploitation by humans; consequently, conserving biological diversity implies improving the ways in which agricultural ecosystems are managed.

B. Impacts of agriculture on biodiversity

7. Different agricultural practices lead to diverse impacts upon biological diversity. These impacts occur at the ecosystem, species and genetic levels.

(a) Unsustainable agricultural practices have caused negative impacts on biological diversity, world-wide, at all levels - ecosystem, species and genetic - on both natural and domestic diversity. They have resulted in the large-scale degradation of agrobiodiversity and habitats through the destruction of biotic and abiotic resources, as well as by threatening the natural resource base to agriculture and through socio-economic problems created by destruction of the local

resource base. Inappropriate reliance on monoculture, over-mechanization, and misuse of agricultural chemicals diminish the diversity of fauna, flora and micro-organisms, including beneficial organisms. These practices normally lead to a simplification of the components of the environment and to unstable production systems. Expansion of agriculture to frontier areas, including forests, savannahs, wetlands, mountains, and arid lands, combined with overgrazing, and inadequate crop management and pest control strategies contribute to degradation of biological diversity, as well as to the loss of the cultural diversity of traditional communities.

(b) Agricultural practices have, however, also facilitated enhanced biodiversity as a result of both traditional and modern sustainable farming practices. Agricultural ecosystems can provide habitats for plants, birds and other animals. Many agriculturalists have made strong efforts to preserve biological diversity important to agriculture, both *in situ* and *ex situ*. Currently, progress is being made in many regions of the world in implementing biological diversity-friendly agricultural practices in soil conservation, withdrawing production from marginal areas, mastering chemical and nutrient runoff, and breeding crop varieties which are genetically resistant to diseases, pests and abiotic stresses.

ANNEX 2
INDICATIVE LIST OF THEMATIC AREAS
[RETIRED as per decision VII/33, paragraph 1]

ANNEX 3
INITIAL ISSUES FOR CONDUCTING CASE STUDIES
[RETIRED as per decision VII/33, paragraph 1]

DECISION III/12 | Programme of work for terrestrial biological diversity: forest biological diversity

[RETIRED as per decision VII/33, paragraph 1]

DECISION III/13 | Future programme of work for terrestrial biological diversity: dryland, mountain and inland water ecosystems

[RETIRED as per decision VII/33, paragraph 1]

DECISION III/14 | Implementation of Article 8(j)

The Conference of the Parties,

Reaffirming the spirit and the intent of the Convention as expressed in Article 8(j),

Recognizing that Article 8(j) is closely linked with other articles of the Convention, in particular Articles 10(c), 17.2 and 18.4,

Taking note of relevant activities within the United Nations system, in particular under the Commission on Human Rights, and of relevant international instruments, such as Convention 169 of the International Labour Organization,

Stressing the need for Contracting Parties to implement Article 8(j) and related articles and to initiate a process toward this end,

Realizing the importance of biological diversity for indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity,

Emphasizing the need for dialogue with representatives of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity within the framework of the Convention,

Recognizing rights under national legislation of indigenous and local communities to control access to their knowledge, innovations and practices relevant for the conservation and sustainable use of biological diversity,

Reaffirming the dynamic nature of traditional knowledge, innovations and practices,

Recognizing that traditional knowledge should be given the same respect as any other form of knowledge in the implementation of the Convention,

Emphasizing the need for Parties to initiate projects on capacity-building with indigenous and local communities to address concerns in the conservation and sustainable use of biological diversity and of equitable sharing of the benefits arising from the utilization of their knowledge, innovations and practices,

Recognizing that issues related to traditional knowledge, innovations and practices go beyond the scope of the Convention,

Expressing its sincere appreciation for the valuable contribution made by the participating representatives of the indigenous and local communities at the third meeting of the Conference of the Parties,

1. *Requests* those Parties that have not yet done so to develop national legislation and corresponding strategies for the implementation of Article 8(j) in consultation particularly with representatives of their indigenous and local communities;

2. *Urges* Parties to supply information about the implementation of Article 8(j) and related articles, for example, national legislation and administrative and incentive measures, and to include such information in national reports;

3. [RETIRED as per decision VII/33, paragraph 1]

4. *Requests* the Executive Secretary to remain informed as to relevant international processes and bodies, including, *inter alia*, those under the auspices of the Commission on Human Rights and the Commission on Sustainable Development, Convention 169 of the International Labour Organization, the World Intellectual Property Organization, the World Bank, the Food and Agriculture Organization of the United Nations, the United Nations Educational, Social and Cultural Organization, and the World Trade Organization, and to provide periodic reports related to Article 8(j) and related articles to the Conference of Parties;

5. *Requests* the interim financial mechanism to examine the support of capacity-building projects for indigenous and local communities embodying traditional lifestyles related to the preservation and maintenance of their knowledge, innovations and practices relevant for the conservation and sustainable use of biological diversity with their prior informed consent and their participation;

6. [RETIRED as per decision VII/33, paragraph 1]

7. *Decides* that an intersessional process should be established to advance further work on the implementation of Article 8(j) and related provisions with a view to producing a report for consideration at the fourth meeting of the Conference of the Parties;

8–12. [RETIRED as per decision VII/33, paragraph 1].

ANNEX

1. The workshop would seek:

(a) To identify the extent to which the various organizations, individually or collectively, could address interests in Article 8(j), such as guidance to Governments on implementation;

(b) To identify any gaps which would help set future priorities of the Conference of the Parties;

(c) To consider the background document prepared by the Executive Secretary according to operative paragraph 9 to the present decision;

(d) To consider the input provided by the indigenous and local communities embodying traditional lifestyles according to paragraph 10 to the present decision;

(e) To consider the information provided by the Parties on national implementation under Article 8(j) and related articles and seek to draw conclusions which will be of assistance in an assessment of priorities for future work by Parties and by the Conference of the Parties relevant to Article 8(j) and related articles;

(f) To provide advice to the Conference of the Parties on the possibility of developing a workplan on Article 8(j) and related articles including the modalities for such a workplan;

(g) To examine the need to establish an open-ended intersessional working group or a subsidiary body to address the role of traditional knowledge, innovations

and practices of indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity.

2. In organizing the workshop,

(a) The Executive Secretary will consult with the Centre for Human Rights and other relevant bodies on organizational considerations in sessions of the United Nations Working Group on Indigenous Populations in order to inform the process of organizing this workshop;

(b) The Parties shall, as far as possible and as appropriate, promote consultations among indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biodiversity in order for them to choose their representatives to the workshop;

(c) A set number of funded participants will be determined according to the amount of voluntary contributions received and will be allocated taking into account regional and gender representations;

(d) A core figure of US$ 350,000 will be allocated in the budget of the Convention on Biological Diversity to cover the administrative costs of the workshop;

(e) Consideration could be given to holding it back-to-back with the third meeting of the Subsidiary Body on Scientific, Technical and Technological Advice or at a venue offered by a voluntary host.

DECISION III/15 | Access to genetic resources

The Conference of the Parties,

Recognizing the importance of the implementation of Article 15 with all of its provisions,

Noting that the implementation of Article 15 is closely linked to that of other Articles, such as 8(j), 11, 16.2, 16.5, 17.2, 19.1 and 19.2,

Taking note of the importance of national and regional efforts, as set out in its decision II/11,

Recalling the support expressed in decision II/15 for the harmonization of the International Undertaking on Plant Genetic Resources for Food and Agriculture with the Convention on Biological Diversity, and noting the linkages of Article 15 with the further development and implementation of the work by the Food and Agriculture Organization of the United Nations on the Global System,

Recognizing that there is a variety of approaches to managing access to genetic resources based on their diversity and other considerations,

Recalling decision II/18, that placed the distribution of the benefits from technology, including biotechnology, on the agenda of the fourth meeting of the Conference of the Parties,

1–2. [retired as per decision VII/33, paragraph 1]

3. *Urges* Governments, regional economic integration organizations, the interim financial mechanism, and competent international, regional and national organizations to support and implement human and institutional capacity-building programmes for Governments, non-governmental organizations and local and indigenous communities, as appropriate, to promote the successful development and implementation of legislative, administrative and policy measures and guidelines on access, including scientific, technical, business, legal and management skills and capacities;

4. *Invites* Governments, regional economic integration organizations and competent international, regional and national organizations to conduct analyses of ongoing experiences of legislative, administrative and policy measures and guidelines on access, including regional efforts and initiatives, and to disseminate these widely to assist Parties and stakeholders involved in developing and implementing measures and guidelines on access;

5. *Encourages* Governments and regional economic integration organizations to explore and develop, in collaboration with relevant stakeholders, guidelines and practices to ensure mutual benefits to providers and users of access measures and to implement them effectively at the national, regional or international level, as appropriate;

6. *Encourages* Governments and regional economic integration organizations to identify and communicate to the Secretariat competent national authorities responsible for granting access to genetic resources and/or competent national authorities to provide information on the granting of access to genetic resources;

7. [RETIRED as per decision VII/33, paragraph 1]

8. *Requests* the Executive Secretary to cooperate closely with the World Trade Organization through the Committee on Trade and Environment to explore the extent to which there may be linkages between Article 15 and relevant articles of the Agreement on Trade-related Aspects of Intellectual Property Rights;

9. *Urges* the Executive Secretary to coordinate closely with the Food and Agriculture Organization of the United Nations, United Nations Conference on Trade and Development and other relevant organizations working on access to genetic resources to ensure complementary efforts.

DECISION III/16 | Ways to promote and facilitate access to and transfer and development of technology, as envisaged in Articles 16 and 8 of the Convention

[RETIRED as per decision VII/33, paragraph 1]

DECISION III/17 | Intellectual property rights

The Conference of the Parties,

Recognizing that intellectual property rights are relevant to and may have implications for the implementation of the Convention and the achievement of its objectives,

Noting that intellectual property rights are the focus of other international agreements and organizations,

Recalling Article 16, paragraph 5, of the Convention,

Recognizing the importance of implementing intellectual property rights-related provisions of the Convention on Biological Diversity and of international agreements relating to intellectual property rights in a mutually supportive way,

Recalling decision II/12 of the second meeting of the Conference of the Parties,

1. *Encourages* Governments, and relevant international and regional organizations, to conduct and communicate to the Executive Secretary, for dissemination through means such as the clearing-house mechanism, case studies of the impacts of intellectual property rights on the achievement of the Convention's objectives, including relationships between intellectual property rights and the knowledge, practices and innovations of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity. Such studies could:

(a) Take into account the information and options for future work contained in the preliminary study prepared by the Executive Secretary, contained in document UNEP/CBD/COP/3/22;

(b) Take into consideration existing and potential interrelationships between intellectual property rights and other aspects of the Convention's implementation, including, for example, implementation of Articles 8(j), 15 and 16;

(c) Involve, through consultation or cooperation, relevant international organizations, as well as relevant regional and national bodies, stakeholders, and others with relevant expertise, as appropriate;

(d) Consider the role and the potential of existing intellectual property rights systems in achieving the objectives of the Convention, including, *inter alia*, in facilitating technology transfer and in arrangements by which interested parties including indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity and countries may determine access to and share equitably the benefits of genetic resources or knowledge, innovations and practices;

(e) Consider the development of intellectual property rights, such as *sui generis* systems/approaches, or alternative forms of protection that could promote achievement of the Convention's objectives, consistent with the Parties' international obligations;

(f) Reflect the importance of coordinating efficiently with work undertaken pursuant to other elements of the work programme of the Conference of the Parties and work programmes of other relevant organizations;

2. *Notes* that the possible establishment of a new international intellectual property rights regime for databases could have implications for scientific and technical cooperation related to conservation and sustainable use of biological diversity, and calls for an open and transparent evaluation of these implications;

3–6. [RETIRED as per decision VII/33, paragraph 1]

7. *Notes* the potential mutual benefits of exchanging information related to Article 16 of the Convention on Biological Diversity and the laws and regulations received by the Council on Trade-related Aspects of Intellectual Property Rights pursuant to the notification requirement of Article 63 of the Agreement on Trade-Related Aspects of Intellectual Property Rights;

8. *Recognizes* that further work is required to help develop a common appreciation of the relationship between intellectual property rights and the relevant provisions of the Agreement on Trade-related Aspects of Intellectual Property Rights and the Convention on Biological Diversity, in particular on issues relating to technology transfer and conservation and sustainable use of biological diversity and the fair and equitable sharing of benefits arising out of the use of genetic resources, including the protection of knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity.

ANNEX
THE CONVENTION ON BIOLOGICAL DIVERSITY AND THE AGREEMENT ON TRADE-RELATED ASPECTS OF INTELLECTUAL PROPERTY RIGHTS
[RETIRED as per decision VII/33, paragraph 1]

DECISION III/18 | Incentive measures

The Conference of the Parties,

Affirming that the implementation of incentive measures, in a broad social, cultural and economic context, is of central importance to the realization of the three objectives of the Convention,

Recalling that economic and social development and poverty eradication are the first and overriding priorities of developing countries,

Recognizing that incentive measures are country-specific and need to take into account varying legal, political, economic and social conditions,

Noting that local and indigenous communities and the private sector have an important role in the design and implementation of incentive measures,

Taking note of document UNEP/CBD/COP/3/24,

1. [RETIRED as per decision VII/33, paragraph 1]

2. *Resolves* that incentive measures shall be included as appropriate on the agenda of the Conference of the Parties and be integrated into the sectoral and thematic items under the medium-term programme of work of the Conference of the Parties;

3. *Encourages* Parties to review their existing legislation and economic policies, to identify and promote incentive for the conservation and sustainable use of components of biological diversity, stressing the importance of taking appropriate action on incentives that threaten biological diversity;

4. *Encourages* Parties to ensure adequate incorporation of the market and non-market values of biological diversity into plans, policies and programmes and other relevant areas, *inter alia*, national accounting systems and investment strategies;

5. [RETIRED as per decision VII/33, paragraph 1]

6. *Encourages* Parties to incorporate biological diversity considerations into impact assessments, consistent with Article 14 of the Convention, as a step in the design and implementation of incentive measures;

7–8. [RETIRED as per decision VII/33, paragraph 1]

9. *Requests* the Executive Secretary to take into consideration relevant work under way in other forums, such as United Nations Conference on Trade and Development and the Organisation for Economic Cooperation and Development;

10. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice, as appropriate, to provide in its recommendations to the Conference of the Parties scientific, technical and technological advice on the implementation of Article 11 in relevant thematic areas.

DECISION III/19 | Special session of the General Assembly to review implementation of Agenda 21

[RETIRED as per decision VII/33, paragraph 1]

DECISION III/20 | Issues related to biosafety

[RETIRED as per decision VII/33, paragraph 1]

DECISION III/21 | Relationship of the Convention with the Commission on Sustainable Development and biodiversity-related conventions, other international agreements, institutions and processes of relevance

The Conference of the Parties,

Recalling decisions II/13 and II/14 adopted at its second meeting,

Reaffirming the need to make mutually supportive activities under the Convention on Biological Diversity and activities under other conventions, processes and institutions relevant to the achievement of the objectives of the Convention, while avoiding unnecessary duplication of activities and costs on the part of Parties and of the organs of the Convention,

Welcoming the progress made to date in the development of cooperative arrangements with relevant conventions, institutions and processes, as described in document UNEP/CBD/COP/3/29,

1. [RETIRED as per decision VII/33, paragraph 1]

2. *Endorses* the memoranda of cooperation entered into by the Executive Secretary with the secretariats of the Convention on Wetlands of International Importance, especially as Waterfowl Habitat, the Convention on International Trade in Endangered Species of Wild Fauna and Flora and the Convention on the Conservation of Migratory Species of Wild Animals, and encourages the development of further such arrangements with relevant international biological diversity-related bodies, including regional conventions;

3. *Requests* the Executive Secretary to continue to coordinate with the secretariats of relevant biological diversity-related conventions, institutions, and processes, with a view to: facilitating the exchange of information and experience; exploring the possibility of recommending procedures for harmonizing, to the extent desirable and practicable, the reporting requirements of Parties under those instruments and conventions; exploring the possibility of coordinating their respective programmes of work; and consulting on how such conventions and other international legal instruments can contribute to the implementation of the provisions of the Convention on Biological Diversity;

4–7. [RETIRED as per decision VII/33, paragraph 1]

8. *Urges* the Parties to ensure that the conservation and sustainable use of wetlands, and of migratory species and their habitats, are fully incorporated into national strategies, plan and programmes to preserve biological diversity;

9. [RETIRED as per decision VII/33, paragraph 1]

10. *Calls on* the national focal points of the Convention on Biological Diversity, and the competent authorities of the Convention on Wetlands of International Importance, the Convention on the Conservation of Migratory Species and the Convention on International Trade in Endangered Species of Wild Fauna and Flora to cooperate on the implementation of these conventions at the national level to avoid duplication of effort;

11. [RETIRED as per decision VII/33, paragraph 1]

12. *Invites* contracting parties to relevant biological diversity-related conventions to explore opportunities for accessing funding through the Global Environment Facility for relevant projects, including projects involving a number of countries, which fulfil the eligibility criteria and guidance provided by the Conference of the Parties to the Convention on Biological Diversity to the Global Environment Facility.

DECISION III/22 | Medium-term programme of work for 1996-1997

[RETIRED as per decision VII/33, paragraph 1]

DECISION III/23 | Administrative matters

The Conference of the Parties,

Recalling decision I/4 of the first meeting of the Conference of the Parties,

Reiterating its gratitude to the Government of Canada for the generous offer to host the Permanent Secretariat of the Convention on Biological Diversity,

Welcoming the speed with which the relocation of the Permanent Secretariat from Geneva to Montreal took place,

Expressing appreciation to the Executive Director of the United Nations Environment Programme for finalizing negotiations for the headquarters agreement between the Permanent Secretariat of the Convention and the Government of Canada,

Noting with concern the difficulties encountered by the Permanent Secretariat in making the transition, in particular the difficulties associated with the establishment of efficient and timely services and with recruitment of staff,

Taking note with appreciation of the efforts of the Executive Secretary to continue the functions of the Permanent Secretariat in these circumstances and urging him to continue his efforts to meet the needs of the Convention,

1. *Invites* the Executive Director of the United Nations Environment Programme and the Executive Secretary of the Convention on Biological Diversity to develop procedures, making an effort to conclude by 27 January 1997, with respect to the functioning of the Permanent Secretariat of the Convention on Biological Diversity, to clarify and make more effective their respective roles and responsibilities;

2. *Stresses* that these procedures must provide for the managerial autonomy and efficiency of the Permanent Secretariat and its responsiveness to the needs of the Convention, and must ensure the administrative accountability of the Executive Secretary to the Conference of the Parties;

3. *Stresses* also that the procedures must be in accordance with the United Nations financial and staff rules and regulations and with decision I/4 of the

Conference of the Parties and should as far as possible, and where appropriate, follow the Personnel, Financial and Common Services arrangements agreed to between the United Nations and the Framework Convention on Climate Change;

4. *Requests* the Executive Secretary to make available to the Parties copies of the agreed procedures on a timely basis and to report to the Conference of the Parties through its Bureau at its fourth meeting on the implementation of these arrangements.

DECISION III/24 | Budget of the Trust Fund for the Convention on Biological Diversity

The Conference of the Parties

1–4. [RETIRED as per decision VII/33, paragraph 1]

5. *Decides*:

(a) That two special trust funds shall be established: (i) a special voluntary trust fund for additional voluntary contributions to the core budget for approved activities under the Convention on Biological Diversity (annex, part B), and (ii) a special voluntary trust fund for facilitating participation of Parties in the Convention process (annex, part C)[69];

(b) That the Executive Director of the United Nations Environment Programme should be requested to establish the special trust funds referred to in paragraph 5(a) above, for which the Financial Rules for the Administration of the Trust Fund for the Convention on Biological Diversity and other arrangements for that Fund shall apply *mutatis mutandis*, with the exception of the modification in sub-paragraph 5(f) below;

(c) That all the Parties and States not Parties to the Convention, as well as governmental, intergovernmental and non-governmental organizations and other sources should be invited to contribute to the special trust funds;

(d) That the Trustee shall promptly advise the Executive Secretary of the receipt of all the contributions and acknowledge receipt of such contributions;

(e) That on a monthly basis the Trustee shall provide the Executive Secretary with information on the status of allotments, expenditures, trial balances and unliquidated obligations;

(f) That the Executive Secretary may make transfers from one budget line to another in accordance with the Financial Rules and Regulations of the United Nations;

6. *Requests* the Executive Secretary to explore in conjunction with the Executive Secretaries of the United Nations Framework Convention on Climate Change and

69 Developing country Parties, in particular the least developed among them, and small island developing States.

the United Nations Convention to Combat Desertification in those Countries Experiencing Serious Drought and/or Desertification, particularly in Africa, the availability, cost and funding of suitable liaison arrangements in Geneva and/or New York and to report thereon to the Conference of the Parties at its next meeting;

7. *Urges* all those making financial contributions to a trust fund of the Convention to provide details promptly to the Executive Secretary regarding the amounts, date of payment, conditions and any other relevant information;

8. *Requests* the Executive Secretary to ensure that duplicates of all the information on financial matters and the relevant documents are kept in custody at the seat of the Permanent Secretariat according to the Financial Rules and Regulations of the United Nations;

9. *Directs* the Executive Secretary to consider carefully all offers of support from other organizations and to cooperate with them with a view to making the most effective use of the available competencies, resources and services and to enter into such administrative and contractual arrangements as may be necessary for the effective discharge of the functions of the Permanent Secretariat;

10. *Requests* the Executive Secretary to prepare and submit to Parties a quarterly report on the administration of the Convention including such matters as staff lists, status of contributions, progress on the implementation of the medium-term work programme and financial expenditures;

11. *Requests* the Executive Secretary to include in the documents circulated for consideration at future meetings of the Conference of the Parties estimates of the likely costs of the recommendations contained therein, where such recommendations would have significant implications for the budget of the Convention.

ANNEX

A. Budget of the Trust Fund for the Convention on Biological Diversity for the biennium 1997–1998

[RETIRED as per decision VII/33, paragraph 1]

APPENDIX TO PART A

[RETIRED as per decision VII/33, paragraph 1]

DECISION III/25 | Date and venue of the fourth meeting of the Conference of the Parties

[RETIRED as per decision VII/33, paragraph 1]

DECISION III/26 | Convening of regional and subregional meetings for Parties to the Convention

[RETIRED as per decision VII/33, paragraph 1]

DECISION III/27 | Tribute to the Government and people of the Argentine Republic

[RETIRED as per decision VII/33, paragraph 1]

Decisions adopted by the fourth meeting of the Conference of the Parties

BRATISLAVA, SLOVAKIA, 4–15 MAY 1998

DECISION IV/1 | Report and recommendations of the third meeting of the Subsidiary Body on Scientific, Technical and Technological Advice, and instructions by the Conference of the Parties to the Subsidiary Body on Scientific, Technical and Technological Advice

A. Report and recommendations of the third meeting of the Subsidiary Body on Scientific, Technical and Technological Advice

The Conference of the Parties,

Recalling its decision III/2, which, *inter alia*, noted recommendation II/11 of the Subsidiary Body on Scientific, Technical and Technological Advice and decided to consider the recommendation further at its fourth meeting as part of the longer term review of the programme of work and the operations of the Conference of the Parties and subsidiary organs,

Also recalling its decision III/10 on identification, monitoring and assessment,

Further recalling past practice of noting the reports of the Subsidiary Body on Scientific, Technical and Technological Advice,

1–3. [RETIRED as per decision VII/33, paragraph 1],

4. *Proposes* that further work on indicators by the Parties and by the Subsidiary Body on Scientific, Technical and Technological Advice should take account of, *inter alia*, further work by the Subsidiary Body on Scientific, Technical and Technological Advice on the development of the ecosystem approach;

Identification monitoring and assessment

5. [RETIRED as per decision VII/33, paragraph 1];

6. *Decides* to transmit those recommendations to the Subsidiary Body on Scientific, Technical and Technological Advice for further consideration and use and encourages the Subsidiary Body on Scientific, Technical and Technological Advice to further cooperate with DIVERSITAS and with other relevant international, regional and national organizations and institutions on such issues.

B. Ecosystem approach

The Conference of the Parties,

Recognizing that in several decisions adopted at the third meeting of the Conference of the Parties the ecosystem approach has been addressed as a guiding principle, although the terminology used has varied, including: "ecosystem approach", "ecosystem process-oriented approach", "ecosystem management approach" and "ecosystem-based approach",

Acknowledging that, by paragraph 1 of its decision II/8, the ecosystem approach has been adopted as a framework for the analysis and implementation of the objectives of the Convention on Biological Diversity, and in the elaboration and implementation of the various thematic and cross-cutting work programmes under the Convention, as appropriate,

Acknowledging the need for a workable description and further elaboration of the ecosystem approach,

1–2. [RETIRED as per decision VII/33, paragraph 1].

C. Alien species that threaten ecosystems, habitats or species

The Conference of the Parties,

Noting the significant adverse ecological and economic effects of certain alien species on biological diversity and human health,

Recalling that the Subsidiary Body on Scientific, Technical and Technological Advice, at its second meeting, considered the development of an indicative framework of processes and categories of activities that are likely to have significant adverse impacts on biological diversity to be a priority,

Recalling paragraphs 9 and 10 of its decision III/9, on the implementation of Articles 6 and 8 of the Convention, which address alien species that threaten ecosystems, habitats or species,

Recalling recommendations III/1, III/2 and III/3 of the Subsidiary Body on Scientific, Technical and Technological Advice, related to alien species as they affect inland water, marine and coastal, forest and agricultural biological diversity respectively in accordance with decisions II/10, III/11, III/12 and III/13 of the Conference of the Parties,

Recognizing the particular endemic biological diversity of geographically and/or evolutionarily isolated ecosystems, such as small islands, and the particularly damaging impacts, in terms of biological-diversity loss, that species introduction can have on such ecosystems,

Noting the importance of taking a precautionary and ecosystem approach when dealing with issues related to alien species,

Noting the need to address the issue of alien species as an integrated component of the various sectoral and thematic items under the programme of work of the Conference of the Parties,

Recognizing that there is also a need for complementary and consolidated action on alien species,

1. *Decides* that alien species is a cross-cutting issue for implementation of many of the themes of the Convention;

2. [RETIRED as per decision VII/33, paragraph 1];

3. *Invites* Parties to develop country-driven projects at national, regional, subregional and international levels to address the issue of alien species and *requests* the financial mechanism to provide adequate and timely support for those projects;

4. *Invites* the Parties to address the issue of alien species for the conservation and sustainable use of biological diversity and to incorporate such activities into their national strategies, programmes and action plans;

5–6. [RETIRED as per decision VII/33, paragraph 1].

D. Global Taxonomy Initiative

The Conference of the Parties,

Noting decision III/10, supporting a Global Taxonomy Initiative, and the activities being supported by the financial mechanism on taxonomy,

Recognizing the need for taxonomic input in many activities aimed at the conservation and sustainable use of biological diversity and the lack of taxonomic capacity in a majority of countries,

Recalling that paragraph 3 of decision III/10, in which the Conference of the Parties endorsed the recommendation II/2 of the Subsidiary Body on Scientific, Technical and Technological Advice concerning capacity-building for taxonomy through a Global Taxonomy Initiative,

Taking into account the urgency for the availability of taxonomic information to countries of origin, and the need of developing countries to develop national collections and human and institutional capacities in taxonomy,

1. [RETIRED as per decision VII/33, paragraph 1];

2. *Stresses* the urgent need for the further implementation of recommendation II/2 of the Subsidiary Body on Scientific, Technical and Technological Advice concerning capacity-building in all fields of taxonomy to assist in the implementation of the Convention, through the incorporation of targeted actions in its workplan, including promoting regional activities to set regional agendas;

3. [RETIRED as per decision VII/33, paragraph 1];

4. *Recognizes* that the implementation of a Global Taxonomy Initiative should occur on the basis of country-driven projects at the national, regional and subregional levels;

5. *Invites* the United Nations Environment Programme to assist in the global implementation of a Global Taxonomy Initiative, as offered by the Executive Director in his address to the Conference of the Parties at its fourth meeting;

6. *Encourages* Governments to make available appropriate resources to enhance the availability of taxonomic information;

7. *Encourages* Governments to develop bilateral and multilateral training and employment opportunities for taxonomists, particularly for those dealing with poorly known organisms;

8. *Stresses* the need to consider indigenous and traditional knowledge as an important existing information source that should be taken into account, and made available through appropriate mechanisms;

9. *Stresses* the urgent need for adequate financial resources to implement a Global Taxonomy Initiative and *requests* the institutional structure of the financial mechanism of the Convention to provide financial resources, particularly to assist in implementing, through country-driven activities within the context of the operational programmes of the Global Environment Facility, the Suggestions for Action annexed to the present decision.

ANNEX
SUGGESTIONS FOR ACTION

1. The Executive Secretary should, as a matter of urgency, seek means outside of core funding of the Convention, to appoint a Programme Officer with appropriate operational resources to have responsibility for the further development of a Global Taxonomy Initiative, through the network of existing global, regional and national relevant institutions and organizations. The officer should especially coordinate actions to meet the need, recognized by the meeting, for each country to conduct a national taxonomic needs assessment, and to link to national reporting under the Convention on Biological Diversity and immediately coordinate a global directory of taxonomic expertise and biological collections. This information resource should be made available in both electronic and paper form.

2. Parties and authorities responsible for museums and herbaria should invest, on a long-term basis, in the development of appropriate infrastructure for their national collections. As part of that investment, donors, both bilateral and multilateral, in their commitment to the conservation and sustainable use of biological diversity in countries where they provide investment support, should support infrastructural needs of collection-holding institutions.

3. Parties and international donors should encourage partnerships between institutions in developed and developing countries so as to promote scientific collaboration and infrastructure rationalization. Such collaboration should include the development of national, subregional, regional and global training initiatives. Taxonomic institutions in each nation, both individually and regionally, should develop national priorities in taxonomic training, infrastructure, new technology, capacity-building and market needs.

4. Parties and authorities should adopt internationally agreed levels of collection housing (climate control, fire protection systems, pest control, acceptable levels of workplace health and safety) that ensure protection of collections and the well-being of all people working on and accessing collections.

5. Parties and international donors should provide training programmes at different educational levels, relevant to the needs of individual countries, including vocational, technical and academic training. Parties should also recognize that ongoing employment for trainees is part of an effective training scheme.

6. Parties and authorities should utilize information systems to maximum effect in taxonomic institutions. In developing priority-setting criteria for information products, taxonomic institutions should consider the needs of the wide range of users of that information, including biological diversity managers. In particular, taxonomic information, literature and checklists should be put into electronic form.

7. Parties to the Convention on Biological Diversity should report on measures adopted to strengthen national capacity in taxonomy, to designate national reference centres, and to make information housed in collections available to countries of origin.

8. Institutions, supported by Parties and international donors, should coordinate their efforts to establish and maintain effective mechanisms for the stable naming of biological taxa.

9. Governments members of the Organization for Economic Cooperation and Development (OECD) should endorse and support the recommendations from the OECD Megascience Forum's Biodiversity Informatics Subgroup, regarding the development of a Global Biodiversity Informatics Facility (GBIF) to allow people in all countries to share biological diversity information and to provide access to critical authority files.

Implementing the actions

10. The Executive Secretary should ensure that the clearing-house mechanism (in collaboration with the OECD Megascience Forum's Biodiversity Informatics Subgroup Initiative) develop protocols and strategies for coordinating access to and distribution of taxonomic information contained in collections. In addition, the clearing-house mechanism, through its national focal points, should establish and update directories of taxonomists and their research and identification expertise.

11. *In addition, Parties should*:

(a) Ensure that institutions responsible for biological diversity inventories and taxonomic activities are financially and administratively stable, so as to have potential for continued and growing training and employment opportunities;

(b) Assist institutions to establish consortia to conduct regional projects;

(c) Select or use centres of expertise at different geographical levels, capable of offering training programmes individually or in combination, where such centres include universities, museums, herbaria, botanical and zoological gardens, research institutes and international or regional organizations;

(d) Give special attention to international funding of fellowships for specialist training abroad or for attracting international experts to national or regional courses. Appropriate areas for funding should include conventional academic courses, expeditions, collaborative research projects, secondments, institutional partnerships, regional flora and fauna, internships and tutorial guidance;

(e) Provide programmes for re-training of qualified professionals moving into taxonomy-related fields;

(f) Adapt training methods to the particular technical or academic backgrounds and experience of candidates. Content of courses should respond to external user demands and modern needs, taking into account cost-effectiveness in their delivery;

(g) Ensure training programmes address gaps in knowledge and the need for specialists in given taxonomic groups, and offer a comprehensive view of biological-diversity issues, including new scientific/technological approaches to taxonomy (e.g. molecular biology/informatics);

(h) Provide business management training, of the nature commonly offered to private-sector executives, for managers of biological-diversity institutions, as part of other efforts to strengthen those organizations;

(i) Develop and maintain a register of practising taxonomists, areas of expertise and description of collections through electronic and other means, which should be available on the Internet;

(j) Hold workshops to determine national taxonomic priorities, in the context of national biological-diversity studies and action plans. Once national priorities have been identified, support development of regional taxonomic priorities, including plans to database collections using mutually agreed software, quality control and core-data requirements.

SBSTTA RECOMMENDATION III/5

AGENDA ITEM 7.3: Current Approaches to Indicator Development and Recommendations for a Preliminary Core Set of Indicators of Biological Diversity, Particularly Those Related to Threats, and Options for Capacity-Building in Developing Countries in the Application of Guidelines and Indicators for Subsequent National Reports

The SBSTTA

Reaffirming the vital importance of indicators of all levels of biological diversity in the implementation of the Convention, particularly with respect to Article 7, and recognizing the need to provide urgent, practical advice to Parties in the implementation of identification and monitoring,

Having examined the documents prepared by the Executive Secretary in consultation with a liaison group concerning recommendations for a core set of indica-

tors of biological diversity (UNEP/CBD/SBSTTA/3/9 and UNEP/CBD/SBSTTA/3/Inf.13),

1. *Considers* that these provide a good basis for the development of further work on indicators and generally supports the proposed work programme on indicators as set out in UNEP/CBD/SBSTTA/3/9;

2. *Stresses* that the primary role of indicators in this context should be as a tool for management of biological diversity at local and national levels and assessing the implementation of the Convention, but recognizes also that they may have a wider role, for example in increasing public awareness;

3. *Stresses* that, in the future, the development of regional and global indicators will be necessary to assess specific aspects of the world's biological diversity;

4. *Stresses* also that all work undertaken by the secretariat and any liaison group on indicators should be integrated with any work on indicator development undertaken within thematic areas under the Convention, for example concerning forests, inland water ecosystems and agricultural biological diversity;

5. *Recognizes* that the development and application of indicators requires the collection and analysis of data on a continuing basis, and that this is likely to be a costly activity;

6. *Recognizes also* that every attempt should be made to avoid duplication of effort in the development and application of indicators;

7. *Recommends* to the Conference of the Parties:

(a) That any liaison group on indicators of biological diversity have as wide as possible a range of expertise, both geographical and sectoral, represented on it;

(b) That the secretariat and any such liaison group be requested to ensure that all their work on indicators take as full as possible account of other relevant indicator initiatives undertaken by different international processes and organizations, particularly those relating to sustainable development and biological diversity;

(c) That the secretariat and any such liaison group be requested to develop a key set of standard questions, using as a basis the material on pages 12 and 13 of document UNEP/CBD/SBSTTA/3/Inf.14;

(d) That the secretariat and any such liaison group be requested to compile a set of principles for designing national-level monitoring programmes and indicators. These should address matters such as:

(i) the way indicators relate to management questions;
(ii) the ability to show trends;
(iii) the ability to distinguish between natural and human-induced change;
(iv) the ability to provide reliable results (i.e. through the establishment of standard methodologies);
(v) the degree to which indicators are amenable to straightforward interpretation;

(vi) the question of baselines for measurement, in light of the fact that application of a pre-industrial baseline may often prove problematic;

(e) That the Executive Secretary be requested to invite countries and relevant organizations to forward case studies to the secretariat. The secretariat and any liaison group should use these to provide a menu of possible approaches and a synthesis of best practice and lessons, to provide further advice to Parties on identification and monitoring;

(f) That consideration be given to providing means for regional coordination of indicator development;

(g) That Parties be urged to share relevant experience concerning the development and application of indicators through the clearing-house mechanism and other means; and also be urged to include in their future National Reports specific reference to indicator development activities and their capacity to implement indicators;

(h) That the need for capacity-building in indicator development and application be stressed;

(i) That the work programme on indicators as set out in Table 5 of UNEP/CBD/SBSTTA/3/9 be adopted, as amended, in the annex to the present recommendation.

ANNEX TO RECOMMENDATION III/5
PRELIMINARY OUTLINE OF WORK UNDER THE TWO-TRACK APPROACH

ACTIVITY	DETAILS	WAYS AND MEANS	TIME SCALE
First Track			
Roster of experts	Establish a roster based upon submissions of names by Contracting Parties, countries and relevant organizations	Secretariat	Immediately
Contributions	Contact relevant institutions and processes to seek information and expertise, and to explore collaboration	Secretariat	Immediately
Further development of indicator frame-work, including standard questions and principles.	Incorporate recommendations from SBSTTA 3 and other reports	Liaison group, incorporating further expertise	Further meeting in 1997 if funds available

ACTIVITY	DETAILS	WAYS AND MEANS	TIME SCALE
Support from financial mechanism	Liaison with GEF secretariat on methodologies and priorities for supporting national development of indicators	Secretariat	Ongoing
Development of menu of indicators in thematic areas	Case studies (compilation and synthesis) of indicators for coastal and marine, agro-biological diversity, forest and freshwater systems	Liaison group	For SBSTTA 4
Capacity assessment	Questionnaire distributed to countries following agreement on indicator framework and analysis of first national reports	Developed by secretariat with assistance of liaison group	Questionnaire ready by COP 4
Training	Development of methodology sheets, guidelines and public information	Liaison group	Guidelines by SBSTTA 4
Training	Development of training systems to meet identified needs	Liaison group	After COP 4
Agreed indicator framework	Recommendations made available to Parties for inclusion in the second national report	Secretariat	As soon as available, and one year prior to deadline for report
Global Biodiversity Outlook	Data from initial national report and other sources for inclusion in GBO-2	Secretariat	Publication likely by COP 5
Second Track			
Research and development	Develop research proposal		Submission to agencies by mid-1999
Pilot programme	Set up pilot programmes to develop and test indicators		Completed by May 1999
Second set of indicators	Further development of indicators		Available for preparation of third national reports

DECISION IV/2 | Review of the operations of the clearing-house mechanism

The Conference of the Parties,

Noting that decisions I/3, II/3, II/4, II/7, II/8, II/10, II/11, II/14, II/16, II/17, III/4, III/5, III/9, III/10, III/11, III/15, III/17, III/18 and III/19 of the Conference of the Parties have clearly stressed and broadened the roles of the clearing-house mechanism as a key instrument to promote and facilitate the implementation of the objectives of the Convention,

Recalling that four clearing-house regional workshops were held prior to the fourth meeting of the Conference of the Parties and drawing upon those experiences,

Recognizing the urgent need for the private sector to be involved in clearing-house mechanism activities to ensure that the facilitation and promotion of the transfer of technology meet the needs of Contracting Parties,

Acknowledging the need to establish a reliable network of existing and evolving biodiversity institutions and initiatives which can serve the needs and demands of Parties, not only during the pilot phase but also in the long term,

1. *Requests* all Governments and bilateral and multilateral funding institutions to provide funding for the development and implementation of the clearing-house mechanism, including support for national as well as regional and subregional clearing-house mechanism activities;

2. *Recommends* that Parties include in their national reports the lessons learned through activities undertaken to implement their national clearing-house mechanisms, as appropriate;

3. *Recommends* that each Party organize an appropriate national clearing-house mechanism steering committee or working group composed of multisectoral and interdisciplinary representatives, to achieve broad participation of different stakeholders in the implementation process of the clearing-house mechanism;

4. *Invites* the Parties and other partners to use the clearing-house mechanism logo as a unifying element creating a clearing-house mechanism identity;

5. *Recommends* that, in building up the content of information in the clearing-house mechanism either at the secretariat or other level, the following major content elements, among others, be used:

(a) *National, subregional and regional levels*: country profiles, biodiversity strategy and action plans, appropriate legislation, scientific and technological information, financial sources;

(b) *Secretariat level*: Convention on Biological Diversity and its implementation, national focal points, international themes, financial sources;

6. *Requests* those Parties with access to the Internet to link their national clearing-house mechanism home page to the Secretariat's clearing-house mechanism home page, where possible;

7. [RETIRED as per decision VII/33, paragraph 1];

8. *Agrees* that the clearing-house mechanism should act as the clearing-house mechanism for future programmes and activities under the Convention on Biological Diversity, subject to budgetary considerations;

9. *Requests* the Global Environmental Facility:

(a) To be a catalyst in the development and implementation of the clearing-house mechanism, so as to assist it to fulfil its role in promoting and facilitating the implementation of the Convention, in a participatory manner and fully incorporating available modern information and communication tools;

(b) To support capacity-building activities and country-driven pilot projects focused on priority areas, as critical components in the implementation of the clearing-house mechanism at the national, subregional, biogeographic, and regional levels, both during and after the pilot phase;

(c) To provide by all possible means, as appropriate, increased support for country-driven projects to establish and strengthen biodiversity information systems such as, *inter alia*, training, technology and processes related to the collection, organization, maintenance and updating of data and information and its communication to users through the clearing-house mechanism;

(d) [RETIRED as per decision VII/33, paragraph 1];

10. *Instructs* the Executive Secretary:

(a) [RETIRED as per decision VII/33, paragraph 1];

(b) To act as a focal point, during and after the pilot phase, to encourage the development of a network of partners, including indigenous and local communities, and to facilitate these in developing specific training for the effective participation of users in the clearing-house network;

(c) [RETIRED as per decision VII/33, paragraph 1];

(d) To provide encouragement for and facilitate the coordination of biodiversity-related networks, activities and focal points that may constitute the clearing-house mechanism, to encourage their linkages within the clearing-house mechanism network and to make available information arising from the Secretariat's own functions as outlined in Article 24 of the Convention;

(e) To assist in ensuring that the implementation of Articles 16 (Transfer of and Access to Technology), 17 (Information Exchange) and 18 (Scientific and Technical Cooperation) of the Convention on Biological Diversity is facilitated by the clearing-house mechanism;

(f) [RETIRED as per decision VII/33, paragraph 1];

(g) To improve synergy in regard to information exchange with other biodiversity-related conventions and ongoing international or supranational information initiatives, and to contribute to the harmonization of the information management of other biodiversity-related treaties and to continue to discuss the possibilities of joint and harmonized approaches with the United Nations

Framework Convention on Climate Change and the United Nations Convention to Combat Desertification;

(h) To facilitate support to those Parties without adequate Internet access, preparing and disseminating to them updated information arising from the Secretariat's own functions as outlined in Article 24 of the Convention on, *inter alia*, CD-ROM or diskettes, either periodically or as required, and facilitating the dissemination of appropriate information to those Parties;

(i) To collaborate, with partners, on the provision of advice to Parties and others on, *inter alia*, the necessary layout and system specifications of the clearing-house mechanism;

(j)–(k) [RETIRED as per decision VII/33, paragraph 1].

DECISION IV/3 | Issues related to biosafety

[RETIRED as per decision VII/33, paragraph 1]

DECISION IV/4 | Status and trends of the biological diversity of inland water ecosystems and options for conservation and sustainable use

The Conference of the Parties

1. [RETIRED as per decision VII/33, paragraph 1];

2. *Welcomes* the recommendations on strategic approaches to freshwater management of the Commission on Sustainable Development at its sixth session and *urges* Parties and Governments to:

(a) Include information on the biological diversity of inland waters when providing voluntary national communications and reports on actions further to the recommendations of the Commission on Sustainable Development; and

(b) Consider inland water biological diversity in the agenda of subsequent meetings held to further the recommendations of the Commission on Sustainable Development.

3. *Urges* Parties and Governments to include inland water biological diversity considerations in their participation and collaboration with organisations, institutions and conventions affecting or working with inland water resources, consistent with the guidance provided to the Conference of the Parties and the Executive Secretary in part A "General", paragraphs 1–3 of annex I to the present decision;

4–5. [RETIRED as per decision VII/33, paragraph 1].

6. Recognizing that Global Environment Facility projects are country-driven, *requests* the Financial Mechanism, within the context of implementing national biological diversity strategies and action plans, to provide adequate and timely support to eligible projects which help Parties to develop and implement national, sectoral and cross-sectoral plans for the conservation and sustainable use of biological diversity of inland water ecosystems.

7. *Urges* Parties when requesting support, for projects related to inland water ecosystems, from the Financial Mechanism that priority be given to:

(a) Identifying inland water ecosystems in accordance with Article 7 and Annex I to the Convention, taking into account the criteria for Wetlands of International Importance as adopted under the Convention on Wetlands;

(b) Preparing and implementing integrated watershed, catchment and river basin management plans based on an ecosystem approach including transboundary watersheds, catchments and river basins, and those which include ecosystems identified under subparagraph (a) above;

(c) Investigating where appropriate, the processes contributing to the loss of biological diversity of inland water ecosystems, through targeted research, such as: investigations into the impacts of harmful substances, alien invasive species and saltwater intrusions; and the identification of measures needed to address these issues where they constitute threats to inland water ecosystem biological diversity;

8. [RETIRED as per decision VII/33, paragraph 1];

9. *Invites* all relevant organizations to support efforts by Parties and Governments to implement their national and sectoral plans for the conservation and sustainable use of the biological diversity of inland water ecosystems;

10. [RETIRED as per decision VII/33, paragraph 1];

11. *Notes* that, while the implementation of the programme of work is subject to the availability of financial resources, particular attention should be given to early progress in the development of rapid assessment methodologies especially related to small island States.

ANNEX I
BIOLOGICAL DIVERSITY OF INLAND WATER ECOSYSTEMS
[RETIRED as per decision VII/33, paragraph 1]

ANNEX II
POSSIBLE TIME-FRAME OF A WORK PROGRAMME PERTAINING TO THE ACTIVITIES OF THE SUBSIDIARY BODY ON SCIENTIFIC, TECHNICAL AND TECHNOLOGICAL ADVICE
[RETIRED as per decision VII/33, paragraph 1]

DECISION IV/5 | Conservation and sustainable use of marine and coastal biological diversity, including a programme of work

The Conference of the Parties,

I. Programme of Work Arising from Decision II/10 (Jakarta Mandate on Marine and Coastal Biological Diversity)

Reaffirming its decision II/10 on the conservation and sustainable use of marine and coastal biological diversity,

Having considered recommendation III/2 of its Subsidiary Body on Scientific, Technical and Technological Advice,

1–2. [RETIRED as per decision VII/33, paragraph 1];

3. *Urges* Parties, when requesting for assistance through the financial mechanism of the Convention, to propose projects which, while being fully consistent with previous guidance of the Conferences of the Parties, promote the implementation of the programme of work;

4. *Urges* the Executive Secretary to cooperate with the Convention on Wetlands of International Importance, especially as Waterfowl Habitat, where appropriate, in relation to the implementation of the joint work plan having regard to linkages with the programme of work on inland water biological diversity adopted by decision IV/4.

II. Coral Reefs

Being deeply concerned at the recent extensive and severe coral bleaching, such as that reported by the African countries, caused by abnormally high water temperatures experienced since January 1998,

Recognizing the potentially severe loss of biological diversity and consequent socio-economic impacts, and

Noting this occurrence as a possible consequence of global warming and in light of the precautionary approach,

1–3. [RETIRED as per decision VII/33, paragraph 1];

4. *Urges* Parties, with reference to programme element 1.3 (c) of the programme of work, to take appropriate actions to mitigate impacts upon marine and coastal biological diversity and consequent socio-economic effects.

III. Small Island Developing States

Recognizing the uniqueness and extreme fragility of marine and coastal biological diversity of small island developing States (SIDS), the disproportionate responsibility facing small island developing States in the conservation of these biological

resources, and the limited capacity of small island developing States to implement the Jakarta Mandate on Marine and Coastal Biological Diversity,

Strongly recommends to Parties, countries, relevant organizations and donor agencies that the special needs and considerations of small island developing States be a focus for implementing each of the elements of the programme of work, as appropriate.

ANNEX
PROGRAMME OF WORK ON MARINE AND COASTAL BIOLOGICAL DIVERSITY
[RETIRED as per decision VII/33, paragraph 1]

DECISION IV/6 | Agricultural biological diversity

The Conference of the Parties,

Recalling its decision III/11, on the conservation and sustainable use of agricultural biological diversity, and reiterating the importance of agricultural biological diversity as containing the most vital elements of biological diversity essential for food and livelihood security,

Emphasizing the need for a worldwide reorientation towards sustainable agriculture which balances production and conservation objectives in such a way as to meet the needs of expanding populations while maintaining an ecological balance,

Welcoming the statement presented by the Food and Agriculture Organization of the United Nations at the fourth meeting of the Conference of the Parties, regarding its offer to provide further technical assistance to Parties in the implementation of the three objectives of the Convention, in particular, in response to decision III/11,

Further welcoming the establishment by the Commission on Genetic Resources for Food and Agriculture, of an intergovernmental Technical Working Group for Animal Genetic Resources for Food and Agriculture, the first meeting of which is scheduled for September 1998,

1–2. [RETIRED as per decision VII/33, paragraph 1];

3. *Requests* the Executive Secretary to reiterate the invitation to Parties and Governments for further national submissions, if possible in electronic form, on ongoing activities, existing instruments and lessons learned in the area of agricultural biological diversity, in the light of paragraphs 4, 5 and 6 and annex 2 of decision III/11;

4. *Suggests* that Governments, funding agencies, the private sector and non-governmental organizations should join efforts to identify and promote sustainable agricultural practices, integrated landscape management of mosaics of agriculture and natural areas, as well as appropriate farming systems that will reduce possible negative impacts of agricultural practices on biological diversity and enhance the ecological functions provided by biological diversity to agriculture. In this

regard, *invites* Parties, Governments and organizations to begin the process of conducting case-studies based on socio-economic and ecological analyses of different land-use management options and to provide such case-studies to the Executive Secretary.

5. [RETIRED as per decision VII/33, paragraph 1];

6. *Requests* Parties, Governments and international organizations, in particular FAO, in the light of paragraphs 9, 15(a) and 15(m) of decision III/11 and paragraphs 3 and 4 of decision IV/1 A, to begin to provide inputs on the development and application of methodologies for assessments of agricultural biological diversity and tools for identification and monitoring, including: criteria and indicators for agricultural biological diversity, including those addressing farming systems and agricultural ecosystems; rapid assessment techniques; the identification of underlying causes behind the loss of biological diversity; and the identification of incentives to overcome constraints and enhance the conservation and sustainable use of agricultural biological diversity and the fair and equitable sharing of benefits;

7–13. [RETIRED as per decision VII/33, paragraph 1].

DECISION IV/7 | Forest biological diversity

[RETIRED as per decision VII/33, paragraph 1]

DECISION IV/8 | Access and benefit-sharing

The Conference of the Parties

1–3. [RETIRED as per decision VII/33, paragraph 1];

4. *Requests* the financial mechanism to give special emphasis to the following programme priorities to fund initiatives by eligible Parties:

(a) Stock-taking activities, such as, for example, assessments of current legislative, administrative, and policy measures on access to genetic resources and benefit-sharing, evaluation of the strengths and weaknesses of a country's institutional and human capacity, and promotion of consensus-building among its different stakeholders; and, for those developing country Parties that have identified arrangements for benefit-sharing as a national priority;

(b) Formulation of access and benefit-sharing mechanisms at the national, subregional and regional level including monitoring and incentive measures;

(c) Capacity-building for measures on access to genetic resources and sharing of benefits, including capacity-building for economic valuation of genetic resources;

(d) Within biodiversity projects, other specific benefit-sharing initiatives, such as support for entrepreneurial developments by local and indigenous communi-

ties, facilitation of financial sustainability of projects promoting the sustainable use of genetic resources, and appropriate targeted research components;

5. *Invites* all relevant organizations and the private sector to support efforts by Parties and Governments to develop and promote legislative or administrative measures, policies and programmes which facilitate the distribution of benefits arising from the use of genetic resources on mutually agreed terms and to update the Executive Secretary on a regular basis regarding their activities and experiences;

6. *Requests* the Executive Secretary:

(a) To explore the possibility of linking the clearing-house mechanism with relevant international and other organizations to access publicly available information on intellectual property rights which are based on biological resources and to report on the progress made on this matter to the Conference of the Parties at its fifth meeting;

(b) To compile information on access and benefit-sharing arrangements and to disseminate such information in a standardized format through the clearing-house mechanism;

(c) To facilitate the exchange of information related to access and benefit-sharing through appropriate means such as the clearing-house mechanism;

(d) [RETIRED as per decision VII/33, paragraph 1].

ANNEX

[RETIRED as per decision VII/33, paragraph 1]

DECISION IV/9 | Implementation of Article 8(j) and related provisions

The Conference of the Parties,

Recalling its decision III/14,

Realizing the importance for biological diversity of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity,

Emphasizing the need for dialogue with representatives of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity within the framework of the Convention,

Welcoming the report of the inter-sessional workshop on Article 8(j), held in Madrid from 24 to 28 November 1997,

Expressing its sincere appreciation to the Government of Spain for hosting the inter-sessional workshop,

Reaffirming the dynamic nature of traditional knowledge, innovations and practices,

Recognizing that traditional knowledge should be given the same respect as any other form of knowledge in the implementation of the Convention,

Recognizing also that intellectual property rights may have implications for the implementation of the Convention and achievement of its objectives under Article 8(j),

Further recognizing the importance of making intellectual-property-related provisions of Article 8(j) and related provisions of the Convention on Biological Diversity and provisions of international agreements relating to intellectual property mutually supportive, and the desirability of undertaking further cooperation and consultation with the World Intellectual Property Organization,

Welcoming the decision of the World Intellectual Property Organization to incorporate biodiversity-related issues under its 1998-1999 main programme item 11 ("Global intellectual property issues"),

Acknowledging the importance of starting work as soon as possible on priority work programme elements,

Expressing its sincere appreciation for the valuable contribution made by the participating representatives of the indigenous and local communities at the fourth meeting of the Conference of the Parties,

1. *Decides* that an ad hoc open-ended inter-sessional working group be established to address the implementation of Article 8(j) and related provisions of the Convention. The mandate of this working group shall be:

(a) To provide advice as a priority on the application and development of legal and other appropriate forms of protection for the knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity;

(b) To provide the Conference of the Parties with advice relating to the implementation of Article 8(j) and related provisions, in particular on the development and implementation of a programme of work at national and international levels;

(c) To develop a programme of work, based on the structure of the elements in the Madrid report (UNEP/CBD/COP/4/10/Add.1) as set out in the annex to the present decision;

(d) To identify those objectives and activities falling within the scope of the Convention; to recommend priorities taking into account the programme of work of the Conference of the Parties, such as the equitable sharing of benefits; to identify for which work-plan objectives and activities advice should be directed to the Conference of the Parties and which should be directed to the Subsidiary Body on Scientific, Technical and Technological Advice; to recommend which of the work-plan objectives and activities should be referred to other international bodies or processes; to identify opportunities for collaboration and coordination with other international bodies or processes with the aim of fostering synergy and avoiding duplication of work;

(e) To provide advice to the Conference of the Parties on measures to strengthen cooperation at the international level among indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity and make proposals for the strengthening of mechanisms that support such cooperation;

2. *Decides* that the working group shall be composed of Parties and observers, including, in particular, representation from indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity with participation to the widest possible extent in its deliberations in accordance with the rules of procedure;

3. *Encourages* Parties to include representatives of indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity in their delegations;

4. *Encourages* Parties to promote consultations among indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity concerning the issues to be dealt with in the working group;

5–6. [RETIRED as per decision VII/33, paragraph 1];

7. *Decides* that the working group shall report directly to the Conference of the Parties and that the working group may provide advice to the Subsidiary Body on Scientific, Technical and Technological Advice on issues relevant to its agenda;

8–11. [RETIRED as per decision VII/33, paragraph 1];

12. *Requests* Parties according to their capabilities to facilitate the representation, and financially and logistically support the active participation in the working group of the indigenous and local communities from their territories;

13. *Encourages* Parties, when making applications to the interim financial mechanism for funding in respect of activities under Article 8(j) and related provisions, to consider: (a) priorities as set out in paragraph 10 and (b) projects in support of the development of national legislation and corresponding strategies on the implementation of Article 8(j), as well as (c) projects in support of preparations by indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity for their active participation in and contribution to the working group;

14. [RETIRED as per decision VII/33, paragraph 1];

15. *Encourages* Governments, relevant international and regional organizations and representatives of indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity to conduct and communicate to the Executive Secretary, case studies for dissemination through means such as the clearing-house mechanism and *requests* the Executive Secretary to compile case-studies submitted under decisions of the Conference of the Parties at its third and fourth meetings relating to Article 8(j) and intellectual property rights, including existing *sui generis* systems and/or adapted forms of protection to the knowledge, innovations and practices of indigenous and local communities rel-

evant to the conservation and sustainable use of biological diversity for transmittal to the World Intellectual Property Organization and for use in initiatives on legislating on the implementation of Article 8(j) and related provisions;

16. [RETIRED as per decision VII/33, paragraph 1];

17. *Requests* the Executive Secretary to seek ways, including the possibility of negotiating a memorandum of understanding with the World Intellectual Property Organisation, to enhance cooperation between the Convention on Biological Diversity and the World Intellectual Property Organization on issues arising from Article 8(j) and related provisions and *encourages* Parties to forward information to the Executive Secretary to support such cooperation.

ANNEX
STRUCTURE OF WORK PROGRAMME OPTIONS FROM THE MADRID REPORT (UNEP/CBD/COP/4/10/ADD.1)

A. Participatory mechanisms for indigenous and local communities

B. Status and trends in relation to Article 8(j) and related provisions

C. Traditional cultural practices for conservation and sustainable use

D. Equitable sharing of benefits

E. Exchange and dissemination of information

F. Monitoring elements

G. Legal elements

DECISION IV/10 | Measures for implementing the Convention on Biological Diversity

A. Incentive measures: consideration of measures for the implementation of Article 11

The Conference of the Parties,

Reaffirming the importance for the implementation of the Convention of the design and implementation by Parties and Governments of economically and socially sound measures that act as incentives for the conservation and sustainable use of biological diversity,

Recalling decision III/18 on incentive measures,

Recognizing that incentive measures should be designed using an ecosystem approach and with the targeted resource management audience in mind,

Recognizing that economic valuation of biodiversity and biological resources is an important tool for well-targeted and calibrated economic incentive measures,

1. *Encourages* Parties, Governments and relevant organizations:

(a) To promote the design and implementation of appropriate incentive measures, taking fully into account the ecosystem approach and the various conditions of the Parties and employing the precautionary approach of Principle 15 of the Rio Declaration on Environment and Development, in order to facilitate achieving the implementation of the objectives of the Convention and to integrate biological diversity concerns in sectoral policies, instruments and projects;

(b) [RETIRED as per decision VII/33, paragraph 1];

(c) To take into account economic, social, cultural and ethical valuation in the development of relevant incentive measures;

(d)–(e) [RETIRED as per decision VII/33, paragraph 1];

(f) To identify perverse incentives and consider the removal or mitigation of their negative effects on biological diversity in order to encourage positive, rather than negative, effects on the conservation and sustainable use of biological diversity;

(g) [retired as per decision VII/33, paragraph 1];

(h) To undertake value addition and enhancement of naturally occurring genetic resources, based on the participatory approach, where appropriate, to work as incentives for their conservation and sustainable use;

1. *Requests* Parties to include information on the design and implementation of incentive measures in their second national reports;

2. *Requests* the financial mechanism to provide to eligible Parties adequate and timely support for the design and approaches relevant to the implementation of incentive measures including, where necessary, assessment of biological diversity of the relevant ecosystems, capacity-building necessary for the design and implementation of incentive measures and the development of appropriate legal and policy frameworks, and projects with components that provide for these incentives;

3. *Invites* all relevant organizations:

(a) To support efforts by Parties to design and implement appropriate incentive measures;

(b) To assist Parties and Governments to identify gaps in national capacity for policy research and analysis relevant to the design of incentive measures and to develop the necessary capacity to conduct such research and analysis;

4. [RETIRED as per decision VII/33, paragraph 1].

B. Public education and awareness: consideration of measures for the implementation of Article 13

The Conference of the Parties,

Recalling Article 13 of the Convention, on public education and awareness,

Recognizing the importance of public education and awareness as central instruments to achieve the Convention's goals and to ensure effective implementation of

the Convention at the national level, and *also recognizing* the need for capacity-building in this area,

Having taken note of the decision of the Commission on Sustainable Development at its sixth session on transfer of environmentally sound technology, capacity-building, education and public awareness, and science for sustainable development,

Recognizing that the conservation and sustainable use of biological diversity includes social issues which require cultural understanding and sensitivity, and that efforts to promote the goals of Article 13 entail recognition of the diverse needs of people and their differing perceptions, knowledge, attitudes, interests, values and understanding in respect of the goals of the Convention, and that public education and awareness on biological diversity is most effective when it occurs in a social context that is meaningful to a specific audience,

Noting the opportunities for synergy on this particular issue within the Convention, the activities of the Commission on Sustainable Development, the mandate and activities of the United Nations Educational Scientific and Cultural Organization, the World Conservation Union (IUCN) and relevant activities of other bodies on public education, training and awareness on matters related to biological diversity,

Stressing that modern technologies and expanding access to electronic communication means bringing new possibilities for promoting and encouraging understanding of the importance of, and measures required for, the conservation of biological diversity; but also *recognizing* the importance of traditional communication systems among local communities, with emphasis on maintaining their integrity and dynamism,

Further recognizing the role of the public media and non-traditional means of communication in information dissemination and awareness-raising,

Recognizing that non-governmental organizations have an important role in developing and disseminating information on biological diversity, especially in reaching out to marginalized groups who have a significant role to play in the conservation and sustainable use of biological diversity,

1. *Urges* Parties:

(a) To place special emphasis on the requirements of Article 13 of the Convention in the development of their national strategies and action plans;

(b) To promote education on biological diversity through relevant institutions, including non-governmental organizations;

(c) To allocate appropriate resources for the strategic use of education and communication instruments at each phase of policy formulation, planning, implementation and evaluation, including the identification of relevant target groups seeking to provide these with relevant, timely, reliable and understandable information;

(d) To integrate biological diversity concerns into education strategies, recognizing the particular needs of indigenous and local communities; and

(e) To support initiatives by major groups that foster stakeholder participation in biological diversity conservation and sustainable use and that integrate biological diversity conservation matters into their practices and educational programmes;

2. *Also urges* Parties to share experiences on initiatives on public education and awareness and public participation relevant to the Convention, particularly on a sectoral and thematic basis, and to make relevant case studies as well as lessons learned in the preparation of national biological diversity policies, strategies and plans available to the Executive Secretary and for the exchange of information among Parties through the clearing-house mechanism and to consider how to organize assistance for Parties who may be keen to develop public awareness and education strategies, but lack the ability to do so;

3. *Encourages* Parties to make use of the media, including print and electronic media, to promote public education and awareness about the importance and appropriate methods for the conservation and sustainable use of biological diversity;

4. *Calls upon* Parties, where necessary, to illustrate and translate the provisions of the Convention into the respective local languages to promote public education and awareness-raising of relevant sectors, including local communities;

5. *Decides* that public education and awareness issues shall be integrated into and become an integral component of all sectoral and thematic items under the programme of work of the Conference of the Parties;

6. [RETIRED as per decision VII/33, paragraph 1];

7. *Invites* the United Nations Environment Programme (UNEP), in cooperation with other United Nations bodies and other relevant international and regional organizations, agreements, processes and institutions, to continue and make use of existing initiatives and to further develop its information dissemination and public-awareness activities in support of the work of the Convention;

8. *Urges* Parties, relevant organizations and donor agencies to support local, national, subregional and regional public education and awareness initiatives;

9. *Urges* Parties, when requesting for assistance through the financial mechanism of the Convention, to propose projects which promote measures for implementing the provisions of the Convention on public education and awareness;

10. *Decides* to review progress in the implementation of the above activities, at the latest at its seventh meeting.

C. Impact assessment and minimizing adverse effects: consideration of measures for the implementation of Article 14

The Conference of the Parties,

Recalling Article 14 of the Convention, on impact assessment and minimizing adverse impacts, including its provision on liability and redress for damage to biological diversity,

Recalling also its decision II/18, on measures to provide information and share experiences on the implementation of Article 14,

Taking note of the note by the Executive Secretary on impact assessment and minimizing adverse impacts; implementation of Article 14 (UNEP/CBD/COP/4/20),

Noting the initiatives in this field, such as the statement submitted to the fourth meeting of the Conference of the Parties on behalf of the International Association for Impact Assessment, following its 18th annual meeting in Christchurch, New Zealand, in April 1998,

Noting the entry into force of the Economic Commission for Europe Convention on Environmental Impact Assessment in a Transboundary Context (the "Espoo Convention"), as an example of regional cooperation,

Concerning impact assessment

1. *Invites* Parties, Governments, national and international organizations, and indigenous and local communities embodying traditional lifestyles, to transmit to the Executive Secretary for the purpose of exchanging information and sharing experiences on:

(a) Impact assessments that consider environmental effects and interrelated socio-economic aspects relevant to biological diversity;

(b) Strategic environmental assessments;

(c) Ways and means of fully incorporating biodiversity considerations into environmental impact assessment procedures;

(d) Reports and case studies relating to environmental impact assessment in the thematic areas specifically referred to in its decisions, particularly with respect to biological diversity, including in respect of activities with transboundary implications and for environmental impacts having cumulative effects on biological diversity;

(e) Reports relating to existing legislation, experience with environmental impact assessment procedures and guidelines for environmental impact assessment, particularly with regard to the incorporation of biological diversity considerations into environmental impact assessment;

(f) Reports concerning the implementation of mitigating measures and incentive schemes to enhance compliance with existing national environmental impact assessment systems;

2–4. [RETIRED as per decision VII/33, paragraph 1];

5. *Requests* the Executive Secretary to make this information available through the clearing-house mechanism and other appropriate means;

6. *Encourages* the Executive Secretary to initiate collaboration between the Convention and other international organizations and bodies with expertise in this field and to seek cooperation, in particular with the Convention on Wetlands of International Importance, especially as Waterfowl Habitat and the Bonn Convention on the Conservation of Migratory Species, with the World Conservation Union (IUCN) and the International Association for Impact Assessment, with a view to drawing on their networks of professional expertise and sources of information and advice;

7. *Emphasizes* the need to enable active participation by interested and affected stakeholders in the assessment process, including indigenous and local communities embodying traditional lifestyles and non-governmental organizations;

Concerning liability and redress

8–11. [RETIRED as per decision VII/33, paragraph 1].

DECISION IV/11 | Review of the effectiveness of the financial mechanism

The Conference of the Parties,

Recalling its decisions II/6 on financial resources and mechanism and III/7 on the review of the effectiveness of the financial mechanism,

Taking note of the synthesis report on the first review of the effectiveness of the financial mechanism, contained in document UNEP/CBD/COP/4/16,

Taking note also of the Statement of the First Assembly of the Global Environment Facility, held in New Delhi, India, from 1 to 3 April 1998, and the list of measures identified therein for the Global Environment Facility to improve its operational performance, and welcoming the second replenishment of the Global Environment Facility Trust Fund in the amount of US$ 2.75 billion for its four focal areas,

Taking note of the report on the activities of the Global Environment Facility contained in document UNEP/CBD/COP/4/15,

Recalling the provisions of the Memorandum of Understanding between the Conference of the Parties and the Council of the Global Environment Facility, in particular paragraph 7 therein concerning the significance of inter-secretariat cooperation,

Welcoming the efforts made to date by the Global Environment Facility to address the concerns of Parties on the responsiveness of the financial mechanism to the policy, strategy, programme priorities and eligibility criteria established by the Conference of the Parties,

Taking into account the views and concerns expressed by Parties about the difficulties encountered in carrying out the first review, in particular the inadequacy of

the procedures; and the insufficient information provided as compared with that requested in decision III/7,

Recalling decision II/6, paragraph 2, which calls for the effectiveness of the financial mechanism to be reviewed every three years,

Recognizing concerns expressed by several Parties about the need for implementing agencies to improve the processing and delivery systems of the Global Environment Facility, and *reaffirming* paragraph 1 of decision III/5 in this regard,

Recognizing also that further improvements are needed in the effectiveness of the financial mechanism,

1. *Determines* to further improve the effectiveness of the financial mechanism;

2. *Requests* the Council of the Global Environment Facility to take the action identified in the annex to the present decision with a view to improving the effectiveness of the financial mechanism, and further requests the Global Environment Facility to report thereon to the Conference of the Parties at its fifth meeting;

3. [RETIRED as per decision VII/33, paragraph 1];

4. *Requests* the Executive Secretary to advise the Parties on matters relating to recommendations for further guidance to the financial mechanism with respect to:

(a) The relationship of any draft guidance to previous guidance; and

(b) Any possible effects of that draft guidance on the implementation of previous guidance from the Conference of the Parties.

ANNEX
ACTION TO IMPROVE THE EFFECTIVENESS OF THE FINANCIAL MECHANISM

1. The Council of the Global Environment Facility should improve the effectiveness of the financial mechanism by:

(a) Further streamlining its project cycle with a view to making project preparation simpler, more transparent and more country-driven;

(b) Further simplifying and expediting procedures for approval and implementation, including disbursement, for GEF-funded projects;

(c) Developing policies and procedures that fully comply with the guidance from the Conference of the Parties in a straightforward and timely manner;

(d) Increasing support to priority actions identified in national plans and strategies of developing countries;

(e) Applying in a more flexible, pragmatic and transparent manner the incremental cost principle;

(f) Promoting genuine country ownership through greater involvement of participant countries in GEF-funded activities;

(g) Increasing its flexibility to respond to the thematic longer-term programme of work of the Convention on Biological Diversity, in accordance with the guidance of the Conference of the Parties;

(h) Promoting the catalytic role of the Global Environment Facility in mobilizing funding from other sources for GEF-funded activities;

(i) Including in its monitoring and evaluation activities the assessment of the compliance under its operational programmes with the policy, strategy, program priorities and eligibility criteria established by the Conference of the Parties;

(j) Promoting efforts to ensure that the implementing agencies fully comply with the policy, strategy, programme priorities and eligibility criteria of the Conference of the Parties in their support for country-driven activities funded by the Global Environment Facility; and

(k) Undertaking efforts to improve the efficiency, effectiveness and transparency of the process of cooperation and coordination between the implementing agencies with a view to improving the processing and delivery systems of the Global Environment Facility, and to avoid duplication and parallel processes.

DECISION IV/12 | Additional financial resources

[RETIRED as per decision VII/33, paragraph 1]

DECISION IV/13 | Additional guidance to the financial mechanism

The Conference of the Parties,

Bearing in mind Articles 20 and 21 of the Convention,

Taking into account the guidance provided by the Conference of the Parties at its first, second and third meetings to the Global Environment Facility,

Decides to provide the following additional guidance to the Global Environment Facility in the provision of financial resources, in conformity with decisions I/2, II/6 and III/5 of the Conference of the Parties. In this regard, the Global Environment Facility shall provide financial resources to developing countries for country-driven activities and programmes, consistent with national priorities and objectives, recognizing that economic and social development and poverty eradication are the first and overriding priorities of developing countries,

The Global Environment Facility should:

1. Provide adequate and timely support for country-driven projects at national, regional and subregional levels addressing the issue of alien species in accordance with decision IV/1 C;

2. Provide financial resources for country-driven activities within the context of its operation programmes to participate in the Global Taxonomy Initiative which take into account as appropriate, elements of the Suggestions for Action contained in the annex to decision IV/1 D;

3. Within the context of implementing national biological diversity strategies and action plans, provide adequate and timely support to eligible projects which help Parties to develop and implement national, sectoral and cross-sectoral plans for the conservation and sustainable use of biological diversity of inland water ecosystems in accordance with decision IV/4;

4. In accordance with decision IV/7 and with Article 7 of the Convention and also within the context of implementing national biological diversity strategies and plans, provide adequate and timely financial support to Parties for projects and capacity-building activities for implementing the programme of work of forest biological diversity at the national, regional and subregional levels and the use of the clearing-house mechanism to include activities that contribute to halting and addressing deforestation, basic assessments and monitoring of forest biological diversity, including taxonomic studies and inventories, focusing on forest species, other important components of forest biological diversity and ecosystems under threat;

5. In accordance with decision IV/2:

(a) Support capacity-building activities and country-driven pilot projects focused on priority areas, as critical components in the implementation of the clearing-house mechanism at the national, subregional, biogeographic, and regional levels, both during and after the pilot phase;

(b) Provide, as appropriate, increased support, in the framework of country-driven projects to promote the objectives of the Convention, to establish and strengthen biodiversity information systems such as, *inter alia*, training, technology and processes related to the collection, organization, maintenance and updating of data and information and its communication to users through the clearing-house mechanism;

(c) Evaluate at the end of the clearing-house mechanism pilot phase the experience of the Global Environment Facility's support for developing countries' activities, to consider additional efforts to meet the increasing interest in taking part in and having access to the clearing-house mechanism, including in regional networking, and to report to the Conference of the Parties prior to the next meeting of the Subsidiary Body on Scientific, Technical and Technological Advice;

6. Continue to provide financial assistance for the preparation of national reports, having regard to the constraints and needs identified by Parties in their first national reports, in accordance with decision IV/14;

7. Provide adequate and timely support for the design and approaches relevant to the implementation of incentive measures, including, where necessary, assessment of biological diversity of the relevant ecosystems, capacity-building necessary for the design and implementation of incentive measures and the development of appropriate legal and policy frameworks, and projects with components that provide for these incentives, in accordance with decision IV/10;

8. In accordance with decision IV/8, provide support for:

(a) Stock-taking activities, such as, for example, assessments of current legislative, administrative and policy measures on access to genetic resources and benefit-sharing, evaluation of the strengths and weaknesses of a country's institutional and human capacity, and promotion of consensus-building among its different stakeholders;

(b) Formulation of access and benefit-sharing mechanisms at the national, sub-regional and regional levels, including monitoring, assessment, and incentive measures;

(c) Capacity-building on measures on access to genetic resources and sharing of benefits, including capacity-building on economic valuation of genetic resources;

(d) Within biodiversity projects, other specific benefit-sharing initiatives such as support for entrepreneurial developments by local and indigenous communities, facilitation of financial sustainability of projects promoting the sustainable use of genetic resources, and appropriate targeted research components.

DECISION IV/14 | National reports by Parties

The Conference of the Parties,

Recalling Article 26 and Article 23, paragraph 4(a) of the Convention,

Recalling further decision II/17 on the form and intervals of national reports,

Noting the difficulty experienced by Parties in preparing their national reports and that the first national reports varied in length and scope and that further guidelines are needed to simplify and streamline the national reporting process,

Welcoming the number of first national reports received by the Executive Secretary,

1–3. [RETIRED as per decision VII/33, paragraph 1].

4. *Urges* developed country Parties to include in their national reports information, in a standardized form, on their financial support for the objectives of the Convention;

5. *Requests* the Global Environment Facility, as the operating entity of the financial mechanism, to continue to provide financial assistance for the preparation of national reports, having regard to the constraints and needs identified by Parties in their first national reports.

ANNEX
ELEMENTS FOR THE RECOMMENDATION OF THE SUBSIDIARY BODY ON SCIENTIFIC, TECHNICAL AND TECHNOLOGICAL ADVICE ON THE PREPARATION OF NATIONAL REPORTS
[RETIRED as per decision VII/33, paragraph 1]

DECISION IV/15 | The relationship of the Convention on Biological Diversity with the Commission on Sustainable Development and biodiversity-related conventions, other international agreements, institutions and processes of relevance

The Conference of the Parties,

Recalling its decisions II/13, III/17 and III/21,

Recalling also Article 16, paragraph 5, Article 22, paragraph 1, Article 23, paragraph 4(h), and Article 24, paragraph 1(d), of the Convention on Biological Diversity,

Reaffirming the importance of mutually supportive activities under the Convention on Biological Diversity and activities under other conventions, processes and institutions relevant to the achievement of the objectives of the Convention, while avoiding unnecessary duplication of activities and costs on the part of Parties and the organs of the Convention,

Welcoming the progress made in the development of cooperative arrangements with relevant conventions, institutions and processes as reported by the Executive Secretary to its fourth meeting, while *recognizing* the need to further improve the method of work of the Conference of the Parties in terms of assessing work done in the context of these cooperative arrangements,

Noting that the Commission on Sustainable Development in its review of the implementation of Agenda 21, at the next comprehensive review of progress achieved in the implementation of Agenda 21 by the General Assembly in the year 2002, will require input on the status of implementation of the Convention on Biological Diversity,

1–3. [RETIRED as per decision VII/33, paragraph 1];

4. *Requests* that the Executive Secretary, on behalf of the Conference of the Parties, consider matters of liaison, cooperation and collaboration as a key responsibility;

5. *Requests* the Executive Secretary to continue to coordinate with the secretariats of relevant biodiversity-related conventions, institutions and processes, and to cooperate with related processes at regional and subregional levels, with a view to:

(a) Facilitating the exchange of information and experience;

(b) Exploring the possibility of procedures for promoting efficiencies between the reporting requirements of Parties under those instruments and conventions;

(c) Exploring the possibility of developing joint work programmes, similar to that between the Convention on Biological Diversity and the Convention on Wetlands referred to above, between the Convention on Biological Diversity and other relevant institutions and conventions;

(d) Exploring modalities, where appropriate, for suitable liaison arrangements in relevant centres, in particular Geneva and/or New York, for the purpose of

enhancing linkages with relevant processes, which will assist in achieving greater coherence in these intergovernmental organizations and processes;

6. *Encourages* the Executive Secretary to develop relationships with other processes with a view to fostering good management practices in areas such as: methods and approaches to deal with protected areas; ecosystem and bioregional approaches to protected area management and sustainable use of biological diversity; mechanisms to enhance stakeholder involvement; methods for developing systems plans and integrating biological diversity considerations into sectoral strategies and plans; and transboundary protected areas;

7. [RETIRED as per decision VII/33, paragraph 1];

8. *Also notes* that some Parties to the Convention on Biological Diversity, particularly many developing countries, are not members of the World Trade Organization, and are therefore limited in their abilities to present their concerns regarding biological diversity at the World Trade Organization;

9. *Stresses* the need to ensure consistency in implementing the Convention on Biological Diversity and the World Trade Organization agreements, including the Agreement on Trade-Related Aspects of Intellectual Property Rights, with a view to promoting increased mutual supportiveness and integration of biological diversity concerns and the protection of intellectual property rights, and invites the World Trade Organization to consider how to achieve these objectives in the light of Article 16, paragraph 5, of the Convention, taking into account the planned review of Article 27, paragraph 3(b), of the Agreement on Trade-Related Aspects of Intellectual Property Rights in 1999;

10. *Emphasizes* that further work is required to help develop a common appreciation of the relationship between intellectual property rights and the relevant provisions of the Agreement on Trade-Related Aspects of Intellectual Property Rights and the Convention on Biological Diversity, in particular on issues relating to technology transfer and conservation and sustainable use of biological diversity and the fair and equitable sharing of benefits arising out of the use of genetic resources, including the protection of knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity.

11–17. [RETIRED as per decision VII/33, paragraph 1].

DECISION IV/16 | Institutional matters and the programme of work

The Conference of the Parties,

Recognizing the urgency of the effective and full implementation of the Convention,

Aware of the difficulties experienced in the operations of the Convention and in achieving its full and effective implementation,

Recalling the primacy of the role of the Conference of the Parties as provided for in Article 23, paragraph 4, of the Convention,

Conscious of the need to achieve the full participation of Parties in the implementation of the Convention and emphasising the need for open and transparent preparations for the Conference of the Parties,

Underscoring the need for the Subsidiary Body on Scientific, Technical and Technological Advice to focus on scientific, technical and technological aspects of the Convention in accordance with its Article 25,

1–4. [RETIRED as per decision VII/33, paragraph 1].

5. *Requests* the Executive Secretary, subject to necessary voluntary contributions, to organize regional/subregional meetings to consider ways and means of implementing the Convention and the decisions of the Conference of the Parties;

6. *Requests* the Executive Secretary when preparing the provisional annotated agenda to clearly indicate whether matters are for information or for consideration and when preparing the supporting documentation to include suggestion of elements for draft decisions as appropriate;

7. *Invites* Parties to forward any proposed decisions to the Executive Secretary in sufficient time to enable him/her to circulate those draft decisions to all Parties at least three weeks before the commencement of meetings of the Conference of the Parties;

8. *Requests* the Executive Secretary to distribute the provisional annotated agenda for ordinary meetings of the Conference of the Parties as well as the principal documents for the meeting, in the official languages of the United Nations, as early as possible and in reasonable time for any regional preparatory meetings organized by the Executive Secretary and, in any event, preferably six months before the opening of its ordinary meetings;

9. *Invites* Parties to notify the Executive Secretary of any additional items they wish to add to the provisional agenda at least six weeks before the opening of the meeting;

10. [RETIRED as per decision VII/33, paragraph 1];

11. *Adopts* the *modus operandi* of the Subsidiary Body on Scientific, Technical and Technological Advice as set out in annex I to the present decision;

12. *Decides* that the Subsidiary Body on Scientific, Technical and Technological Advice shall hold two meetings, each of five days duration, before next ordinary meeting of the Conference of the Parties;

13. *Decides* that, while the Subsidiary Body on Scientific, Technical and Technological Advice should consider the financial implications of its proposals, its recommendations will only include advice to the Conference of the Parties regarding financial matters, including guidance to the financial mechanism, when the Conference of the Parties has so requested;

14. *Decides also* that in future requests to the Subsidiary Body on Scientific, Technical and Technological Advice, the Conference of the Parties will make clear whether it expects to receive information for noting, recommendations for

approval, or advice for decisions by the Conference of Parties, and that, likewise, the Subsidiary Body on Scientific, Technical and Technological Advice, when submitting recommendations to the Conference of the Parties, should indicate clearly whether it expects the Conference of the Parties to note, approve or decide on the matter in question;

15. *Requests* its Bureau to liaise on a regular basis with the bureaux of its subsidiary bodies, in particular the Bureau of the Subsidiary Body on Scientific, Technical and Technological Advice, and, to this end, *requests* the Executive Secretary to organize wherever possible back-to-back meetings of the bureaux of the Conference of the Parties and the Subsidiary Body on Scientific, Technical and Technological Advice;

16–17. [RETIRED as per decision VII/33, paragraph 1];

18. *Decides* to review the programme of work at each ordinary meeting of the Conference, in the light of developments in the implementation of the Convention;

19–21. [RETIRED as per decision VII/33, paragraph 1].

ANNEX I
MODUS OPERANDI OF THE SUBSIDIARY BODY ON SCIENTIFIC, TECHNICAL AND TECHNOLOGICAL ADVICE

* The Modus Operandi of the Subsidiary Body on Scientific, Technical, and Technological Advice has been reproduced in Section IV of this Handbook and amended as per Decision V/20.

ANNEX II
THE PROGRAMME OF WORK
[RETIRED as per decision VII/33, paragraph 1]

DECISION IV/17 | Programme budget for the biennium 1999–2000

The Conference of the Parties,

Recalling paragraph 7 of the financial rules for the Conference of the Parties,

Recalling also decisions III/23 and III/24, adopted at its third session,

Having considered the proposed budget for the biennium 1999–2000 submitted by the Executive Secretary,

1. *Endorses* the administrative arrangements between the United Nations Environment Programme and the Secretariat of the Convention on Biological Diversity, contained in annex III of document UNEP/CBD/COP/4/24, which entered into force on 30 June 1997, and *requests* the Executive Secretary to report regularly to the Conference of the Parties, through its Bureau, on the implementation of its provisions;

2–7. [RETIRED as per decision VII/33, paragraph 1];

8. *Invites* all Parties to the Convention to note that contributions to the core budget are due on 1 January of each year in accordance with paragraph 4 of the financial rules and to pay promptly and in full, for each of the years 1999 and 2000, the contributions required to finance expenditures approved under paragraph 2 above, as offset by surpluses noted in paragraph 3 and contributions noted under paragraph 4 of the present decision and, in this regard, *requests* the Executive Secretary to notify all Parties of the amount of their contributions by 1 October of the year preceding the year in which their contributions are due;

9. *Urges* all Parties and States not Parties to the Convention, as well as governmental, intergovernmental and non-governmental organizations and other sources, to contribute to the special trust funds;

10–15. [RETIRED as per decision VII/33, paragraph 1].

TABLE 1
Biennium Budget of the Trust Fund for The Convention on Biological Diversity 1999–2000
[RETIRED as per decision VII/33, paragraph 1]

TABLE 2
Staffing Table 1999–2000
[RETIRED as per decision VII/33, paragraph 1]

TABLE 3
Special Voluntary Trust Fund (BE) for Additional Voluntary Contributions In Support of Approved Activities for the Biennium 1999–2000
[RETIRED as per decision VII/33, paragraph 1]

TABLE 4
Special Voluntary Trust Fund (BZ) For Facilitating Participation of Parties in the Convention Process for the Biennium 1999–2000*
[RETIRED as per decision VII/33, paragraph 1]

TABLE 5
Contributions to the Trust Fund for the Convention on Biological Diversity for the Biennium 1999–2000
[RETIRED as per decision VII/33, paragraph 1]

* Developing Country Parties, in particular the least developed and small island developing States, and other Parties with economies in transition.

ADMINISTRATIVE ARRANGEMENTS BETWEEN THE UNITED NATIONS ENVIRONMENT PROGRAMME (UNEP) AND THE SECRETARIAT OF THE CONVENTION ON BIOLOGICAL DIVERSITY (CBD)

Preamble

The Executive Director of the United Nations Environment Programme (UNEP) and the Executive Secretary of the Convention on Biological Diversity (CBD);

Pursuant to decision I/4 of the first meeting of the Conference of the Parties to the CBD which designated the UNEP to carry out the functions of the Secretariat of the Convention while ensuring its autonomy to discharge the functions referred to in Article 24;

Recalling decision 18/36 of the Eighteenth Session of the Governing Council of the UNEP which welcomed the designation of the UNEP to carry out the functions of the Secretariat of the Convention while ensuring its autonomy to discharge the functions referred to in Article 24;

Aware that decision II/19 of the second meeting of the Conference of the Parties accepted the offer of Canada to host the Permanent Secretariat of the CBD in Montreal;

Recalling decision III/23 of the third meeting of the Conference of the Parties invited the Executive Director of the UNEP and the Executive Secretary of the CBD to develop procedures, making an effort to conclude by 27 January 1997, with respect to the functioning of the Permanent Secretariat of the CBD, to clarify and make more effective their respective roles and responsibilities;

Cognizant that decision III/23 stressed further that the procedures must be in accordance with the United Nations financial and staff rules and regulations and with decision I/4 of the Conference of the Parties and should as far as possible, and where appropriate, follow the Personnel, Financial and Common Services arrangements agreed to between the United Nations and the Framework Convention on Climate Change;

Aware that some of the services required by the Secretariat of the CBD in accordance with Article 24 of the Convention and the appropriate decisions of the Conference of the Parties are provided by the United Nations Office at Nairobi;

Hereby decide to apply the following, effective immediately:

I. Personnel Arrangements

1. The Executive Secretary of the CBD will be appointed by the Executive Director of UNEP after consultation with the Conference of the Parties through its Bureau. The level and term of office of the appointment will be determined by the Conference of the Parties. The term of office may be extended by the Executive Director of UNEP after consultation with the Conference of the Parties. Consultations on these matters will be conducted through the Bureau of the Conference of the Parties. The Executive Director of UNEP will also consult the Bureau when

appraising the performance of the Executive Secretary of the CBD and will provide the Bureau with the applicable performance criteria to be used in such appraisal. On an annual basis, the Bureau will submit its comments to the Executive Director of UNEP on the performance of the Executive Secretary of the CBD. The Executive Director of UNEP will reflect these comments in her/his performance evaluation of the Executive Secretary of the CBD. The Executive Director of UNEP will consult the Conference of the Parties, through its Bureau, on issues of concern to her/him in the performance of the Executive Secretary of the CBD.

2. In accordance with the relevant staff rules, the Executive Director of UNEP will, in full consultation with the Executive Secretary of the CBD, appoint CBD staff whose appointment will be limited to service with the Convention, unless mutually agreed otherwise and in accordance with United Nations Rules and Regulations.

3. Posts and their levels are established by the Conference of the Parties for classification and recruitment purposes in conformity with the principles laid down by the General Assembly of the United Nations.

4. The Executive Secretary of the CBD will make recommendations to the Executive Director of UNEP on the promotion of all staff up to D1/L-6 level and on the (non) extensions of appointments of all staff of the Convention at or below the D1/L-6 level, except for terminations under article X of the Staff Regulations. The provisions of ST/SGT/213/Rev 1, concerning the designation of staff members performing significant functions in financial management, personnel management and General Services administration, shall be applicable to CBD. All appointments and promotions to posts above the D1/L-6 level, or termination of appointment above the Dl/L-6 level, requires prior approval of the Secretary General of the United Nations

5. The Executive Director of UNEP will, in full consultation with, and on the recommendation of the Executive Secretary of the CBD, appoint, promote and terminate project personnel up to D1/L-6 level, except for terminations under article X of the Staff Regulations. In all cases, contracts will be offered by the Executive Director of UNEP for service of the Secretariat of the Convention, and their duration is subject to availability of resources in the Trust Funds established by the Conference of the Parties to the CBD.

6. An Appointment and Promotion Board for CBD will be established at the seat of the Convention Secretariat by the Executive Director of UNEP in full consultation with the Executive Secretary of the CBD, to advise the Executive Director of UNEP on all matters related to appointments, promotions, and review of staff. The Board will consider all the appointments and promotions of staff in the General Service and related categories and in the Professional category up to D1/L-6 level.

7. The CBD Appointment and Promotion Board, which will make its recommendations to the Executive Director of UNEP for final approval, will follow the relevant UN Staff Regulations and Rules, the procedures of the Appointment and Promotion Board at UN Headquarters and the policies of the Secretary General of the United Nations in personnel questions. The Board will consist of four members and four alternates. Members and alternate members will be appointed by the Executive Director of UNEP in full consultation with the Executive Secretary of the

CBD. A representative of the Human Resources Management Services of the United Nations Office in Nairobi (HRMS/UNON) will be an *ex officio* member of the Board and will serve as its Secretary. The Executive Director of UNEP, in full consultation with the Executive Secretary of the CBD, will ensure that the other members and alternates are appointed after consultation with the CBD staff representative body referred to in paragraph 8 of this agreement. Such members and alternates will be appointed for fixed periods, normally of one year, subject to renewal.

8. Consistent with the Staff Regulations and Rules of the United Nations, a CBD staff representative body will be established, taking into account, as appropriate, the existing staff representative body(ies) at the seat of the Convention Secretariat and will be consulted on all matters related to staff.

9. Movements of staff between the Convention Secretariat and other parts of UNEP will be subject to the same conditions and arrangements as are applicable to staff serving with voluntarily funded programmes of the United Nations.

10. The principle of recruitment on as wide a geographical basis as possible will govern the Professional staff in accordance with the guidelines for voluntarily funded programmes.

11. Job descriptions are prepared and submitted to UNEP by the Executive Secretary for posts approved by the Conference of the Parties.

12. Once a post is classified, a recruitment process is carried out according to the following procedures:

(a) Vacancy announcements are issued to all Parties/signatories to the CBD, "internally" to request candidates within UNEP and the UN system, and "externally" to elicit applications worldwide;

(b) Upon completion of the time limited given for applications (which should not exceed six weeks), the HRMS/UNON submits the list of candidates and their detailed applications to the Executive Secretary;

(c) The Secretariat will constitute a panel to prepare a short list and advise the Executive Secretary on the most suitable candidate. The panel will normally follow agreed procedures for its selection including interviewing the short listed candidates;

(d) The Appointment and Promotion Board of the CBD, referred to in paragraphs 6 and 7 of this agreement, will review the recommendations and submit its advice to the Executive Director of UNEP for final approval;

(e) The selected candidate(s) will be offered appointment(s) by the Executive Director of UNEP after consultation with the Executive Secretary of the CBD, in accordance with paragraphs 3, 4 and 5 of this agreement.

13. As an "external" recruitment process takes time, fixed-term appointments of short-term duration of less than one year (up to a maximum of eleven months) can be made as an interim solution, while the normal recruitment process is completed in accordance with the provisions of paragraphs 3, 4, 5, and 6 of this agreement.

14. The selection and terms of employment of consultants, within available allotments, will be decided by the Executive Secretary, in accordance with United Nations procedures.

15. Posts for General Services follow the International Civil Aviation Organization (ICAO) (the lead UN agency in Montreal) job classification standards. The procedure for selecting the most qualified candidate is also similar to that of the professional candidate. For these purposes, renewable contracts of up to but not exceeding eleven months for General Service staff may be offered by the Executive Secretary of the CBD.

16. The appropriate UN bodies, such as the Joint Appeal Board, the Joint Disciplinary Committee, the Claims Board and the Advisory Board on Compensation Claims, will have jurisdiction as regards all staff serving with the Convention.

17. Professional staff will normally be pay-rolled at UNEP Headquarters and their salaries deposited monthly in the individual bank accounts nominated by the staff unless agreed otherwise by UNEP and the CBD Secretariat.

18. For health insurance, Professional and General Services staff are enrolled in the Canadian Medicare which is a branch of Sunlife Medical Insurance. Enrollment is made once staff member starts working and the staff member's portion of the premium is charged to his/her salary. The administration of this service is provided by ICAO.

19. Staff attendance, annual sick leave will be monitored by the Executive Secretary of the CBD or the person to whom he/she delegates this responsibility.

II. Financial Arrangements

General Provisions

20. The Financial Regulations and Rules of the United Nations will govern these financial and common services arrangements. These arrangements will also be consistent with the financial rules adopted by the Conference of the Parties.

21. Taking into account that the resources of CBD are constituted by contributions from the Parties to the CBD and are distinct from the United Nations resources, the financial transactions of the CBD Secretariat that utilise these resources will be exempted from such restrictions as the Secretary General of the United Nations may from time-to-time impose regarding the employment of staff and consultants and the use of funds for operational requirements, including the restrictions currently in force due to the financial situation of the United Nations.

22. The financial and common support services of the CBD Secretariat will be provided by UNEP, UNON or any other United Nations entity, as appropriate, and as agreed by the Executive Director of UNEP, in full cooperation with the Executive Secretary of the Convention.

III. Contributions and Funds

23. The Executive Director of UNEP, with approval of UNEP's Governing Council, has established the following trust funds to support the Convention process:

(a) Special account for the Core Administrative Budget of the CBD (General Trust Fund for the CBD-alpha code BY);

(b) Special fund for additional voluntary contributions to the core budget for approved activities under the CBD (General Trust Fund for additional voluntary contributions in support of approved activities under the CBD-alpha code BE);

(c) Special fund for voluntary contributions to facilitate the participation of Parties in the CBD process (General Trust Fund for voluntary contributions to facilitate the participation of Parties in the process of the CBD-alpha code BZ).

24. The trust funds, referred to in paragraph 21 above, will be subject to arrangements related to Appendix D of the Staff Regulations and Rules. The related resources and expenditures will be accounted for under a separate account to be established by the United Nations for this purpose.

25. For the purpose of recording funds and expenditures, the trust funds, referred to in paragraph 21 above, will be administered in accordance with UN Rules and Regulations with the following exception:

No operational reserve will be maintained under the Core Administrative Budget of the Convention account on the understanding that the CBD Working Capital Reserve will be maintained and administered under that account. No operational reserves will be maintained under the other trust fund accounts.

26. The CBD secretariat will be exempt from the requirement to submit cost plans and annual substantive and programme performance reports to the UNEP. It will, however, adopt appropriate financial planning and reporting practices corresponding to its own administrative needs and to such purposes as may be determined by the Conference of the Parties.

27. Notifications (invoices) of contributions due from parties to the Convention will be processed on the basis of the Executive Secretary's communication on approval of the CBD indicative scale of contribution amount for each Party, in cooperation with the Fund Management Branch of UNEP, as appropriate. Notifications (invoices) are to be sent by the CBD Secretariat to all Parties by 1 October of the year proceeding the year for which contributions are due. Pledged contributions will be recorded under the trust funds in accordance with the rules and regulations governing the acceptance of such pledges. Contributions of the CBD accounts shall be deposited in the following account:

UNEP Trust Funds Account No.015-002756
UNEP Bank Account
Chase Manhattan Bank
New York, N.Y. 10017

28. UNEP will promptly advise the Executive Secretary by facsimile or any other appropriate means of communication, of the receipt of the contributions and acknowledge receipt to the donors. On a monthly basis, UNEP will provide to the Executive Secretary an up-to-date report of the status of pledges, payments of contributions and expenditures.

IV. Treasury

29. All contributions to the Convention are deposited in the Trust Funds referred to in paragraph 21 of this agreement, and in accordance with the terms of reference for such trust funds, it is the prerogative of the Secretary General of the United Nations to invest all available cash surpluses in the account to achieve the best possible investment returns. The Treasurer of the United Nations will therefore invest CBD monies that may not be immediately required. The interest earned on the Convention trust funds will be credited to the relevant trust funds.

V. Budget

30. The budget of the Convention is approved by the Conference of the Parties. The Executive Secretary may commit resources only if such commitments are within the budget approved by the Conference of the Parties and within available resources.

31. The Executive Secretary will prepare draft allotments and staffing tables for activities under the Convention's budget, for final approval of the Executive Director of UNEP. These allotments constitute the authority to the Executive Secretary to enter into commitments and expend resources, including the extension of staff contracts. The Executive Secretary of the CBD has the responsibility to adhere to all applicable UN Regulations and Rules when exercising this authority.

32. Certification authority for expenditures from each of the Convention trust funds will reside with the Secretariat-based Fund and Administrative Officer, who will consult fully with the Executive Secretary of the CBD on such matters. The Secretariat-based Fund and Administrative Officer, in full consultation with the Executive Secretary, can delegate this authority to the responsible Fund Programme Management Officer in UNEP when necessary.

VI. Accounting and Reporting

33. UNEP/UNON will maintain, in full consultation with the Executive Secretary, the accounts for CBD, approve payments on behalf of the CBD Secretariat, provide payroll services, record obligations, disbursements and expenditures and provide a timely, up-to-date report of all accounts to the Executive Secretary in accordance with established procedures.

34. No disbursement will be made if funds are not available within the trust funds established for the Convention.

35. A bank account will be maintained in Montreal to support the day-to-day transactions of the Secretariat. This account shall be replenished as and when required. The Montreal Bank Account is not intended for the receipt of contributions, except in extraordinary circumstances and in accordance with United Nations Rules and Regulations. In such circumstances, the Executive Secretary will record the related reasons and provide them to UNEP.

36. On a monthly basis, UNEP/UNON will provide the Executive Secretary with up-to-date information on the status of allotments, trial balance and unliquidated obligations. The final accounts will be submitted to the Executive Secretary for certification and submissions to the Board of External Auditors and reporting to the Conference of the Parties in accordance with CBD Financial Procedures.

VII. Procurement of Goods and Services

37. The Executive Secretary may approve procurement of goods and services up to a maximum of $70,000 for each transaction, provided that:

(a) Except as provided in (c) below, contracts involving commitments in excess of $20,000 will be let only after competitive bidding or calling for proposals if proposals are called, a comparative analysis of such proposals shall be kept on record;

(b) Contracts will be awarded to the lowest acceptable bidder, provided that where the interest of the Convention so required, all bids may be rejected. In such case the Executive Secretary will record the related reasons and provide them to UNEP;

(c) The Executive Secretary may award contracts without calling for proposals or formal invitations to bid, in the circumstances set out in paragraphs (b) to (h) to financial rule 110.19; in such cases, appropriate reasons will be recorded and provided to UNEP.

For any transaction in excess of $70,000, procurement will be handled under the procedures set out in financial rule: 111.17(d), as applicable to UNEP.

Travel of the CBD Secretariat staff will be authorized by the Executive Secretary and will be at standards not higher than those which the United Nations may set from time to time. Travel of delegations under the terms of the Special Fund for Voluntary Contributions to Facilitate Participation of Parties in the CBD process will be governed by ST/SGB/107/Rev.6 and related legislative decisions of the Conference of the Parties, or donor requirements.

VIII. Reimbursement for Services provided to the Secretariat

39. All trust funds established for the CBD are subject to 13 per cent programme support reimbursement on actual recorded expenditures.

40. The above programme support funds will be used in part for financing the full and effective requirements of the administrative/personnel unit of the CBD Secretariat in Montreal. The remaining will be used for financing the services provided

to the CBD Secretariat, including recruitment, services by UNEP/UNON to the APB referred to in paragraphs 6, 7 and 12(d) of this agreement, and the provision of human resources development staff by UNEP/UNON when required.

IX. Conference and Other Services

41. UNEP/UNON will facilitate the coordination and provision of conference services to the sessions of the Conference of the Parties and its subsidiary bodies in full cooperation with the Executive Secretary of the CBD. The Executive Secretary of the CBD will consult with UNEP/UNON when subcontracting services to other institutions.

X. Revision of this Agreement

42. The provisions of this agreement or their application may, at the request of either party be reviewed at any time. Such a request will be made at least four months in advance, and will then be addressed at the next meeting of the Bureau of the Conference of the Parties or the next meeting of the Conference of the Parties, whichever comes first.

Signed:

Elizabeth Dowdeswell
Executive Director of UNEP
Date: 30 June 1997

Calestous Juma
Executive Secretary of CBD
Date: 30 June 1997

DECISION IV/18 | Date and venue of the fifth meeting of the Conference of the Parties

[RETIRED as per decision VII/33, paragraph 1]

DECISION IV/19 | Tribute to the Government and people of the Slovak Republic

[RETIRED as per decision VII/33, paragraph 1]

Decisions adopted by The Conference of the Parties to the Convention on Biological Diversity at the first part of its first extraordinary meeting

CARTAGENA, 22–24 FEBRUARY 1999

DECISION EM-I/1 | Decision on the continuation of the first extraordinary meeting of the Conference of the Parties to the Convention on Biological Diversity

The Conference of the Parties,

Recalling paragraph 3 of Article 19 of the Convention, by which the Parties are required to consider the need for and modalities of a protocol setting out appropriate procedures, including, in particular, advance informed agreement, in the field of the safe transfer, handling and use of any living modified organism resulting from biotechnology that may have adverse effect on the conservation and sustainable use of biological diversity,

Recalling also its decision II/5 of 17 November 1995 on consideration of the need for and modalities of a protocol setting out appropriate procedures, including, in particular, advance informed agreement, in the field of the safe transfer, handling and use of any living modified organisms, by which it agreed to begin a negotiation process to develop a protocol to address the concerns of Parties on those matters,

Recalling further its decision IV/3 of 15 May 1998, by which it agreed to hold an extraordinary meeting of the Conference of the Parties to address all matters relating to adoption of the protocol on biosafety and preparations for the first meeting of the Parties to the Protocol,

Noting the reports of the first five sessions of the Open-ended Ad Hoc Working Group on Biosafety,

Having considered with appreciation the report of the sixth session presented to it by the Chair of the Open-ended Ad Hoc Working Group on Biosafety,

Recognizing that a number of issues remain unresolved before the adoption of the protocol on biosafety,

1. *Decides* to suspend the first extraordinary meeting of the Conference of the Parties;

2. *Decides* to request the President of the first extraordinary meeting of the Conference of the Parties and the Bureau of the fourth meeting of the Conference of the Parties, in close consultation with the Executive Secretary, to decide on the date and venue of the resumed session of the first extraordinary meeting to be held as soon

as practicable and, in any event, no later than the fifth meeting of the Conference of the Parties;

3. *Decides further* that the protocol on biosafety shall be called the Cartagena Protocol on Biosafety to the Convention on Biological Diversity;

4. *Decides further* to transmit the text of the draft protocol set out in appendix I to the report of the sixth meeting of the Open-ended Ad Hoc Working Group on Biosafety,[70] as well as the statements with respect to the text of the draft protocol contained in that report, to the Conference of the Parties at the resumed session of its extraordinary meeting;

5. *Stresses* the importance of concentrating at the resumed session on reaching a satisfactory resolution on the core issues and related issues as contained in the draft report of the first part of the meeting;[71]

6. *Affirms* its determination to complete the negotiation of the Cartagena Protocol on Biosafety for its adoption at the resumed session of the first extraordinary meeting of the Conference of the Parties;

7. *Approves* the amount of 480,000 United States dollars supplementary to the programme budget for the biennium 1999–2000 for the resumed session of the extraordinary meeting of the Conference of the Parties, to be funded from savings and surpluses from the BY Trust Fund;

8. *Calls upon* the Parties and States to provide voluntary contributions to the relevant trust funds of the Convention to cover the cost of the resumed session, including facilitation of participation in the resumed session by developing country Parties, in particular the least developed and small island developing States among them, and Parties with economies in transition.

DECISION EM-I/2 | Tribute to the Government and people of Colombia

The Conference of the Parties,

Having met in Cartagena de Indias from 22 to 24 February 1999, at the gracious invitation of the Government of the Republic of Colombia,

Deeply appreciative of the special courtesy and warm hospitality extended, and the excellent facilities provided, by the Government and people of the Republic of Colombia to the ministers, members of delegations, observers and members of the secretariat attending the meeting,

Expresses its sincere gratitude to the Government of the Republic of Colombia and to its people for the cordial welcome which they accorded to the meeting and those associated with its work and for their contribution to the considerable progress achieved by the meeting.

70 UNEP/CBD/ExCOP/1/2.
71 See UNEP/CBD/ExCOP/1/3 and Corr.1, Part One, paragraph 52.

Decision Adopted by The Conference of the Parties to The Convention on Biological Diversity at the resumed session of its first extraordinary meeting

MONTREAL, CANADA, 24–29 JANUARY 2000

DECISION EM-1/3 | Adoption of the Cartagena Protocol and interim arrangements

The Conference of the Parties,

Recalling paragraph 3 of Article 19, by which the Parties are required to consider the need for and modalities of a protocol setting out appropriate procedures, including, in particular, advance informed agreement, in the field of the safe transfer, handling and use of any living modified organism resulting from biotechnology that may have adverse effects on the conservation and sustainable use of biological diversity,

Recalling its decision II/5 on consideration of the need for and modalities of a protocol for the safe transfer, handling and use of living modified organisms, by which it agreed to begin a negotiating process to develop a protocol to address the concerns of Parties on those matters,

Noting the reports of the six sessions of the Open-ended Ad Hoc Working Group on Biosafety,

Noting the valuable informal preparatory work carried out under the chairmanship of His Excellency Juan Mayr Maldonado in Montreal on 1 July 1999, in Vienna from 15 to 19 September 1999 and in Montreal from 20 to 22 January 2000,

Taking note of the UNEP International Technical Guidelines on Safety in Biotechnology,

Considering the needs of developing country Parties and Parties with economies in transition to evaluate the risks to their biodiversity and to make informed decisions associated with the transboundary movement of living modified organisms,

Considering also that arrangements are required pending the entry into force of the Cartagena Protocol on Biosafety to prepare for its effective operation once it enters into force,

I. Adoption of the Cartagena Protocol

1. *Decides* to adopt the Cartagena Protocol on Biosafety to the Convention on Biological Diversity, as set out in the annex to the present decision;

2. *Requests* the Secretary-General of the United Nations to be the Depositary of the Protocol and to open it for signature at the United Nations Office at Nairobi during the fifth meeting of the Conference of the Parties from 15 May 2000 to 26 May 2000 and at the United Nations Headquarters in New York from 5 June 2000 to 4 June 2001;

3. *Calls upon* the Parties to the Convention on Biological Diversity to sign the Protocol from 15 May 2000 or at the earliest opportunity thereafter and to deposit instruments of ratification, acceptance or approval or instruments of accession, as appropriate, as soon as possible;

4. *Further calls upon* States that are not Parties to the Convention to ratify, accept, approve or accede to it, as appropriate, without delay, thereby enabling them also to become Parties to the Protocol;

II. Intergovernmental Commmittee for the Cartagena Protocol (ICCP)

5. *Decides* to establish an open-ended ad hoc Intergovernmental Committee for the Cartagena Protocol on Biosafety (ICCP);

6. *Decides* that the Intergovernmental Committee shall undertake, with the support of the Executive Secretary, the preparations necessary for the first meeting of the Parties, at which time it will cease to exist, taking into account the budgetary provisions adopted by the Conference of the Parties;

7. *Notes* that the rules of procedure for the Conference of the Parties to the Convention shall apply, *mutatis mutandis*, to meetings of the Intergovernmental Committee;

8. *Decides* that the Chair of the Intergovernmental Committee shall be Ambassador Philemon Yang (Cameroon), and invites the Intergovernmental Committee to convene, at the present meeting of the Conference of the Parties, an organizational meeting for the purpose of electing its Bureau from among the representatives of the Parties present;

9. *Decides* that the Intergovernmental Committee shall hold its first meeting in late 2000;

10. *Requests* the Executive Secretary, in consultation with the Bureau of the Intergovernmental Committee to develop a work plan for the Committee for consideration and approval by the Conference of the Parties to the Convention on Biological Diversity at its fifth meeting;

11. *Calls upon* the Parties to the Convention and other States and regional economic integration organizations to designate a focal point for the Intergovernmental Committee and to inform the Executive Secretary accordingly;

12. *Encourages* Parties, States and regional economic integration organizations to provide the Intergovernmental Committee, through the Executive Secretary, information on their existing programmes for regulating living modified organisms; and to provide related technical assistance, including training, to interested Parties and States;

13. *Requests* the Executive Secretary to commence preparatory work on the functioning of the biosafety clearing-house referred to in Article 20 of the Protocol, subject to the availability of resources referred to in the table following paragraph 20 of the present decision;

III. Roster of experts

14. *Decides* to establish a regionally balanced roster of experts nominated by Governments, in fields relevant to risk assessment and risk management related to the Protocol, to provide advice and other support, as appropriate and upon request, to developing country Parties and Parties with economies in transition, to conduct risk assessment, make informed decisions, develop national human resources and promote institutional strengthening, associated with the transboundary movements of living modified organisms;

15. *Requests* the Executive Secretary to explore ways and means of obtaining financial resources to enable developing countries Parties and Parties with economies in transition to make full use of the roster of experts and to report thereon to the Conference of the Parties;

16. *Calls upon* Parties to promote regional cooperation for this initiative and invites international organizations, particularly those of the United Nations system, to also support within their mandates, this initiative;

IV. Administrative and budgetary matters

17. *Reconfirms* the budget as approved in its decision IV/17, which includes an amount of US$ 1,078,800 for the Protocol on Biosafety for the year 2000 under the Trust Fund for the Convention on Biological Diversity (BY);

18. *Takes note* of the amounts supplementary to the funding estimates for the Special Voluntary Trust Fund (BE) for Additional Voluntary Contributions in Support of Approved Activities for the biennium 1999–2000 specified by the Executive Secretary and included in the table below and invites Parties and States to make contributions to that fund;

19. *Invites* the Executive Director of the United Nations Environment Programme, in cooperation with the Executive Secretary, to identify the necessary financial, technical and staff resources, which the United Nations Environment Programme can make available to the Executive Secretary to assist the latter in the organization of the expert and/or regional meetings;

20. *Decides* to consider the budget for the Protocol on Biosafety for the biennium 2001–2002 at the fifth meeting of the Conference of the Parties.

TABLE: SUPPLEMENTARY BUDGET FOR BIOSAFETY TO THE SPECIAL VOLUNTARY TRUST FUND (BE) FOR ADDITIONAL VOLUNTARY CONTRIBUTIONS IN SUPPORT OF APPROVED ACTIVITIES 1999–2000

	(THOUSANDS OF US$) 2000
A. Meetings	
ICCP Bureau meeting	40
Biosafety clearing-house common format meeting (30 participants)	140
B. Biosafety clearing-house	**41**
C. Roster of experts	**50**
SUB-TOTAL	**271**
D. Programme support costs (13 per cent)	**35**
TOTAL	**306**

ANNEX
CARTAGENA PROTOCOL ON BIOSAFETY TO THE CONVENTION ON BIOLOGICAL DIVERSITY*

* The Cartagena Protocol on Biosafety to the Convention on Biological Diversity has been reproduced in section II of this Handbook.

Decisions Adopted by the Conference of the Parties to the Convention on Biological Diversity at its fifth meeting

NAIROBI, KENYA, 15–26 MAY 2000

DECISION V/1 | Work plan of the Intergovernmental Committee for the Cartagena Protocol on Biosafety

The Conference of the Parties,

Welcoming the signatures of the Cartagena Protocol on Biosafety that have already taken place and reiterating the call of decision EM-I/3 to all Parties to the Convention on Biological Diversity to sign the Protocol at the earliest opportunity, and to deposit instruments of ratification, acceptance or approval, or instruments of accession, as appropriate, as soon as possible,

Reiterating also the call of decision EM-I/3 upon States that are not Parties to the Convention to ratify, accept, approve or accede to it, as appropriate, without delay, thereby enabling them also to become Parties to the Protocol,

Recalling the mandate given to the open-ended ad hoc Intergovernmental Committee for the Cartagena Protocol on Biosafety in decision EM-I/3 to undertake, with the support of the Executive Secretary, the preparations necessary for the first meeting of the Parties to the Protocol,

Reaffirming that the meeting of the Parties is the only sovereign body with regard to the implementation of the Protocol,

Emphasizing the preparatory character of the work to be undertaken by the Intergovernmental Committee in order to facilitate the work of the first meeting of the Parties to the Protocol,

Underscoring therefore that, without prejudice to the provisions of the Protocol, including time-frames, the meeting of the Parties is the only body entitled to decide on issues that are required to be addressed during its meetings, and to what extent and in which manner it wishes to use the preparatory work of the Intergovernmental Committee,

Noting that a work programme should reflect all issues that the meeting of the Parties to the Protocol might wish to address at its first meeting,

Emphasizing the necessity to complete as early as possible the preparations for the entry into force of the Protocol,

Emphasizing also the priority of launching the Biosafety Clearing-House no later than the entry into force of the Protocol, and also the need to engage in capacity-building as soon as possible,

Welcoming the decision taken by the Council of the Global Environment Facility at its fifteenth meeting with regard to supporting activities that will assist countries to prepare for the entry into force of the Protocol,

1. *Endorses* the work plan for the Intergovernmental Committee for the Cartagena Protocol on Biosafety as contained in the annex to the present decision;

2. *Requests* the Executive Secretary to invite all relevant stakeholders to contribute to the development and/or strengthening of capacities in biosafety for the purpose of the effective implementation of the Protocol, in particular in developing country Parties, and to report on progress made to the first meeting of the Parties;

3. *Requests also* the Executive Secretary to convene, prior to the first meeting of the Intergovernmental Committee for the Cartagena Protocol on Biosafety, the meeting of technical experts on the Biosafety Clearing-House referred to in the table at the end of decision EM-I/3, and reiterates its invitation to Parties and States to make contributions for the supplementary budget for biosafety to the Special Voluntary Trust Fund (BE) for Additional Voluntary Contributions in Support of Approved Activities for the biennium 1999–2000, as presented in the table at the end of decision EM-I/3;

4. *Welcomes* the generous offer made by the Government of France to host the first meeting of the Intergovernmental Committee for the Cartagena Protocol on Biosafety from 11 to 15 December 2000 in Montpellier.

ANNEX
WORK PLAN OF THE INTERGOVERNMENTAL COMMITTEE FOR THE CARTAGENA PROTOCOL ON BIOSAFETY

A. Issues for consideration by the ICCP at its first meeting

1. *Decision-making (Article 10, paragraph 7)*

ISSUE: Identification of basic elements for appropriate procedures and mechanisms to facilitate decision-making by Parties of import.

2. *Information-sharing (Article 20, Article 19)*

ISSUES:

- Determination of needs of Parties
- Overview of existing activities/systems and possibilities for cooperation
- Design of data-input systems
- Development of common formats for reporting, e.g., decisions, national legislations, points of contact, focal points, summaries of risk assessments, etc.
- Development of operational systems, information-management policies and procedures for receiving and making information available, including quality-insurance procedures
- Means to ensure confidentiality of information
- Financial and technological resource requirements
- Other issues (such as Article 5)

3. *Capacity-building (Article 22, Article 28)*

ISSUES:

- Identification of the needs and involvement of Parties
- Establishment and role of the roster of experts
- Overview of completed activities in the field of biosafety (e.g., capacity-building workshop in Mexico)
- Overview of existing programmes/projects/activities and possibilities for cooperation (e.g., UNEP activities and possible role)
- Multilateral, regional and bilateral cooperation and the need for common understanding and harmonization
- Involvement of the private sector
- Elements of capacity-building with respect to risk assessment and management in accordance with Article 15, Article 16 and Annex III of the Protocol
- Role of the Secretariat of the Convention
- Financial and technological resource requirements
- Other issues (such as Article 6)

4. *Handling, transport, packaging and identification (Article 18)*

ISSUES:

- Overview of relevant international rules and standards pertaining to handling, transport, packaging and identification
- Consideration of modalities for developing standards with regard to handling, transport, packaging and identification

5. *Compliance (Article 34).*

ISSUES:

- Elements for a compliance regime
- Options for a compliance regime

B. Issues for consideration by the ICCP at its second meeting

1. *Liability and redress (Article 27)*

ISSUE: Elaboration of a draft recommendation on the process for elaboration of international rules and procedures in the field of liability and redress for damage resulting from transboundary movements of living modified organisms, including, *inter alia*:

- Review of existing relevant instruments
- Identification of elements for liability and redress

2. *Monitoring and reporting (Article 33)*

ISSUE: Format and timing for reporting.

3. *Secretariat (Article 31)*

ISSUE: Development of a programme budget for the biennium following the entry into force of the Protocol.

4. *Guidance to the financial mechanism (Article 28, paragraph 5, Article 22)*

ISSUE: Elaboration of guidance for the financial mechanism.

5. *Rules of procedure for the meeting of the Parties*

ISSUE: Consideration of rules of procedure.

6. *Consideration of other issues necessary for effective implementation of the Protocol (e.g., Article 29, paragraph 4)*

7. *Elaboration of a draft provisional agenda for the first meeting of the Parties*

ISSUE: Items for continued consideration from the first meeting of the ICCP

8. *Decision-making (Article 10, paragraph 7)*

9. *Information-sharing (Article 20)*

10. *Capacity-building (Article 22, Article 28, paragraph 28)*

11. *Handling, transport, packaging and identification (Article 18)*

ISSUE: Modalities for a process for discussion on Article 18, paragraph 2(a) by the first meeting of the Parties.

12. *Compliance (Article 34)*.

DECISION V/2 | Progress report on the implementation of the programme of work on the biological diversity of inland water ecosystems (implementation of decision IV/4)

The Conference of the Parties,

Recognizing the need for continued cooperation between the Convention on Biological Diversity and other conventions and bodies dealing with different aspects of inland water biological diversity,

1. *Takes notes* of the various ways and means to implement the programme of work and obstacles in implementing some aspects of the work plan of the Subsidiary Body on Scientific, Technical and Technological Advice, as contained in the note by the Executive Secretary on the subject prepared for the fifth meeting of the Subsidiary Body (UNEP/CBD/SBSTTA/5/6), and *requests* the Executive Secretary to report to it on these matters before the seventh meeting of the Conference of Parties as part of the review of the programme of work on the biological diversity of inland water ecosystems by the Subsidiary Body at its eighth meeting;

2. *Endorses* the proposed joint work plan for the period 2000–2001 of the Convention on Biological Diversity and the Ramsar Convention on Wetlands of International Importance especially as Waterfowl Habitat (UNEP/CBD/SBSTTA/5/INF/12), which includes, *inter alia*, a River Basin Initiative, *encourages* Parties,

other Governments and relevant bodies to support and participate in the Initiative, and *stresses* that Parties to the Convention on Biological Diversity that are not Parties to the Ramsar Convention shall not be disadvantaged in the workings and implementation of the joint work plan;

3. *Encourages* Parties to address the lack of information on the status of inland water biological diversity as a basis for future decisions on inland water at the national level and to include this information in their national reports;

4. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice to consider the recommendations contained in the forthcoming report of the World Commission on Dams, to be published in November 2000, and, as appropriate, to recommend to the Conference of the Parties at its sixth meeting the introduction of suitable elements into the programme of work on the biological diversity of inland water ecosystems;

5. *Further requests* the Subsidiary Body on Scientific, Technical and Technological Advice to include in its review before the seventh meeting of the Conference of Parties advice on the further elaboration and refinement of the programme of work on the biological diversity of inland water ecosystems, having due regard to the issues relating, *inter alia*, to water supply, land use and tenure, pollution, alien invasive species, the effects of El Niño, and environmental impact assessment;

6. *Requests* the Executive Secretary to compile systematically information on the implementation of the programme of work on the biological diversity of inland water ecosystems, including the report of the World Commission on Dams, for dissemination through the clearing-house mechanism, and to report on his efforts as part of the review of that programme of work that the Subsidiary Body on Scientific, Technical and Technological Advice will carry out before the seventh meeting of the Conference of Parties;

7. *Invites* relevant organizations and activities, in particular the Global International Waters Assessment, to contribute to the assessment of inland water biological diversity and to integrate a biological diversity component fully in their methodology protocols;

8. *Urges* the implementation of capacity-building measures for developing and implementing national and sectoral plans for the conservation and sustainable use of inland water ecosystems, including comprehensive assessments of the biological diversity of inland water ecosystems, and capacity-building programmes for monitoring the implementation of the programme of work and the trends in inland water biological diversity, and for information-gathering and dissemination among the riparian communities.

DECISION V/3 | Progress report on the implementation of the programme of work on marine and coastal biological diversity (implementation of decision IV/5)

The Conference of the Parties,

Recalling the need to implement the programme of work on marine and coastal biological diversity in a holistic manner, taking into account river basin issues, the effects of land-based activities (including pollution) and tourism plans,

Noting the relevance for the future implementation of the programme of work of the joint work plan 2000–2001 of the Convention on Biological Diversity and Ramsar Convention on Wetlands,

Stressing the importance of regional approaches to the implementation of the programme of work and therefore of cooperation with regional bodies,

1. *Takes note* of the tools that have been used for the implementation of the programme of work on the conservation and sustainable use of marine and coastal biological diversity, as set out in the note by the Executive Secretary on the subject prepared for the fifth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice (UNEP/CBD/SBSTTA/5/7, annex I), *requests* the Executive Secretary to report to future meetings of the Subsidiary Body on Scientific, Technical and Technological Advice on the application of these tools, *encourages* the Secretariat and the Subsidiary Body to complete, as soon as possible, the implementation of decision IV/5 on the programme of work on marine and coastal biodiversity as adopted by the Conference of Parties at its fourth meeting, and *notes* that the work element on coral reefs was enabled at the fifth meeting of the Conference of the Parties, and will have a minimum three year time schedule;

I. Coral Reefs

2. *Endorses* the results of the Expert Consultation on Coral Bleaching, held in Manila from 11 to 13 October 1999, as contained in the annex to the present decision;

3. *Decides* to integrate coral reefs into programme element 2 (Marine and coastal living resources) of the programme of work;

4. *Requests* the Executive Secretary to integrate fully the issue of coral bleaching in the programme of work on the conservation and sustainable use of marine and coastal biological diversity and to develop and implement a specific work plan on coral bleaching, taking into account the recommendations set out in the annex to the present decision, as appropriate, and in cooperation with the United Nations Framework Convention on Climate Change, and *invites* Parties, other Governments and relevant bodies to contribute to its implementation. In conducting his work on coral bleaching, the Executive Secretary will also liaise with, *inter alia*, the Convention on Wetlands, the Convention on International Trade in Endangered Species of Wild Fauna and Flora, the United Nations Educational, Scientific and Cultural Organization (including the World Heritage Convention), the Food and

Agriculture Organization of the United Nations, regional fisheries organizations, the Intergovernmental Panel on Climate Change and the Global International Waters Assessment and will formally liaise with the Global Coral Reef Monitoring Network and the International Coral Reef Initiative;

5. *Notes* that there is significant evidence that climate change is a primary cause of the recent and severe extensive coral bleaching, and that this evidence is sufficient to warrant remedial measures being taken in line with the precautionary approach, *transmits* that view to the United Nations Framework Convention on Climate Change and *urges* the United Nations Framework Convention on Climate Change to take all possible actions to reduce the effect of climate change on water temperatures and to address the socio-economic impacts on the countries and communities most affected by coral bleaching;

6. *Urges* Parties, other Governments and relevant bodies to implement response measures to the phenomenon of coral bleaching by:

(a) Identifying and instituting additional and alternative measures for securing the livelihoods of people who directly depend on coral-reef services;

(b) Encouraging and supporting multidisciplinary approaches to action relating to coral-reef management, research and monitoring, including the use of early-warning systems for coral bleaching, and collaborating with the International Coral Reef Initiative and the Global Coral Reef Monitoring Network;

(c) Building stakeholder partnerships, community participation programmes and public education campaigns and information products that address the causes and consequences of coral bleaching;

(d) Using appropriate policy frameworks to implement integrated marine and coastal area management plans and programmes that supplement marine and coastal protected areas and the multiple conservation measures outlined in the Renewed Call to Action of the International Coral Reef Initiative;

(e) Supporting capacity-building measures, including training of and career opportunities for marine taxonomists, ecologists and members of other relevant disciplines, particularly at the national level;

(f) Implementing and coordinating targeted research programmes, including predictive modelling, in the context, as appropriate, of the ongoing activities referred to in paragraph 4 of the present decision;

7. *Invites* Parties, other Governments and relevant bodies to submit case-studies on the coral bleaching phenomenon to the Executive Secretary, for dissemination through the clearing-house mechanism;

8. *Agrees* that physical degradation and destruction of coral reefs also pose a significant threat to the biological diversity of coral-reef ecosystems, and therefore *decides* to expand its request to the Subsidiary Body on Scientific, Technical and Technological Advice, as contained in section II, paragraph 1, of decision IV/5, so as to include the effects of such factors;

II. Integrated Marine and Coastal Area Management

9. *Endorses* further work on developing guidelines for coastal areas, taking into account decision V/6, on the ecosystem approach;

10. *Encourages* the Subsidiary Body on Scientific, Technical and Technological Advice, with the assistance of the Executive Secretary, to continue work on ecosystem evaluation and assessment, *inter alia*, through guidelines on evaluation and indicators;

III. Marine and Coastal Living Resources

11. *Requests* the Executive Secretary to gather information on approaches to management of marine and coastal living resources in relation to those used by local and indigenous communities and to make the information available through the clearing-house mechanism;

12. *Takes note* of the work of the Executive Secretary on marine and coastal genetic resources, including bioprospecting, and *requests* the Subsidiary Body on Scientific, Technical and Technological Advice to analyse, and provide advice on scientific, technical and technological matters related to the issue of marine and coastal genetic resources;

13. *Suggests* that the Subsidiary Body on Scientific, Technical and Technological Advice consider the following issues and prioritize them as appropriate: the use of unsustainable fishing practices, including the effects on marine and coastal biological diversity of the discard of by-catch; the lack of use of marine and coastal protected areas in the context of management of marine and coastal living resources; and the economic value of marine and coastal resources, including sea grasses, mangroves and other coastal ecosystems; as well as capacity-building for undertaking stock assessments and for economic evaluations;

IV. Alien Species and Genotypes

14. *Requests* the Executive Secretary to make use of existing information, expertise and best practices on alien species in the marine environment in the implementation of the work programme on alien species under decision IV/1 C;

V. General

15. *Approves* the terms of reference and the duration of work specified for the ad hoc technical expert groups on marine and coastal protected areas and mariculture, as contained in annex II to recommendation V/14 of the Subsidiary Body on Scientific, Technical and Technological Advice, with the addition of "Identification of best practices" for mariculture;

16. *Requests* the Executive Secretary to make further use of the roster of experts for peer-review and preparation of background documents;

VI. Cooperation

17. *Invites* the United Nations Educational, Scientific and Cultural Organization to continue its strong involvement in the implementation of the programme of work, and *requests* the Executive Secretary to further strengthen cooperation with other global organizations;

18. *Requests* the Executive Secretary to coordinate with the secretariats of regional seas conventions and action plans with a view to exploring the possibility of further collaboration, including the development of joint work programmes, in the implementation of the Jakarta Mandate on Marine and Coastal Biological Diversity, paying particular attention to the identification of priorities for action at the regional level, the development of joint implementation strategies and identification of joint activities and the use of regional networks, and to report to the Conference of the Parties at its sixth meeting on collaboration with the regional seas conventions and action plans.

ANNEX
PRIORITY AREAS FOR ACTION ON CORAL BLEACHING

A. Information-gathering

ISSUE: Our ability to adequately project, and thus mitigate, the impacts of global warming on coral-reef ecosystems and the human communities which depend upon coral-reef services is limited by the paucity of information on:

(a) The taxonomic, genetic, physiological, spatial, and temporal factors governing the response of corals, zooxanthellae, the coral-zooxanthellae system, and other coral-reef-associated species to increases in sea-surface temperature;

(b) The role of coral reefs as critical habitat for marine species and natural resources for human communities;

(c) The current status of coral-reef health and threats to coral reefs; and

(d) The potential capacity of recovery[72] of corals and resilience of the ecosystem after mass mortality.

RESPONSE:

(a) Implement and coordinate targeted research programmes, including predictive modelling, that investigate: (1) the tolerance limits and adaptation capacity of coral-reef species to acute and chronic increases in sea-surface temperature; (2) the relationship among large-scale coral-bleaching events, global warming, and the more localized threats that already place reefs at risk; and (3) the frequency

72 Recovery is the return of a coral colony to a state of health, including a symbiotic relationship with zooxanthellae, after the health and/or symbiotic relationship has been disrupted by a stress or perturbation. Recovery may involve a change in the genetic composition of species of the zooxanthellae. Resilience is the return of a coral-reef ecosystem to a state in which living, reef-building corals play a prominent functional role, after this role has been disrupted by a stress or perturbation. A shift toward high dominance by frondose algae accompanied by a reduction in the functional role of coral would indicate a situation of low resilience.

and extent of coral bleaching and mortality events, as well as their impacts on ecological, social and economic systems;

(b) Implement and coordinate baseline assessments, long-term monitoring, and rapid response teams to measure the biological and meteorological variables relevant to coral bleaching, mortality and recovery, as well as the socio-economic parameters associated with coral-reef services. To this end, support and expand the Global Coral Reef Monitoring Network and regional networks, and data-repository and dissemination systems including Reef Base—the Global Coral Reef Database. Also, the current combined Sida-SAREC and World Bank programme on coral-reef degradation in the Indian Ocean, as a response to the 1998 coral-bleaching event, could be used as an example;

(c) Develop a rapid response capability to document coral bleaching and mortality in developing countries and remote areas. This would involve the establishment of training programmes, survey protocols, availability of expert advice, and the establishment of a contingency fund or rapid release of special project funding;

(d) Encourage and support countries in the development and dissemination of status-of-the-reefs reports and case studies on the occurrence and impacts of coral bleaching.

ISSUE: The remoteness of many coral-reefs and the paucity of funding and personnel to support on-site assessments of coral-reefs require that remote-sensing technologies are developed and applied in the evaluation of coral bleaching events.

RESPONSE: Extend the use of early-warning systems for coral bleaching by:

(a) Enhancing current NOAA AVHRR Hot Spot mapping by increasing resolution in targeted areas and carry out ground-truth validation exercises;

(b) Encouraging space agencies and private entities to maintain deployment of relevant sensors and to initiate design and deployment of specialized technology for shallow-oceans monitoring;

(c) Making the products of remote sensing readily accessible to coral-reef scientists and managers worldwide with a view to those scientists and managers that are based in developing countries.

B. Capacity-building

ISSUE: There is a substantial lack of trained personnel to investigate the causes and consequences of coral bleaching events.

RESPONSE: Support the training of and career opportunities for marine taxonomists, ecologists, and members of other relevant disciplines, particularly at the national and regional level.

ISSUE: Coral bleaching is a complex phenomenon. Understanding the causes and consequences of coral bleaching events requires the knowledge, skills, and technologies of a wide variety of disciplines. Any action aimed at addressing the issue should bear in mind the ecosystem approach, incorporating both the ecological and societal aspects of the problem.

RESPONSE: Encourage and support multidisciplinary approaches to coral-reef research, monitoring, socio-economics and management.

ISSUE: Public awareness and education are required to build support for effective research, monitoring, and management programmes, as well as policy measures.

RESPONSE: Build stakeholder partnerships, community participation programmes, and public education campaigns and information products that address the causes and consequences of coral bleaching.

C. Policy development/implementation

ISSUE: Nearly 60 per cent of the world's coral-reefs are threatened by localized, human activities that have the potential to exacerbate the impacts of coral-bleaching events. Evaluations of the 1998 coral-bleaching events suggest that marine protected areas alone may not provide adequate protection for at least some corals and other reef-associated species as sea-surface temperatures rise.

RESPONSE : Use existing policy frameworks to implement the multiple conservation measures outlined in the Renewed Call to Action of the International Coral Reef Initiative, and develop and implement comprehensive local-to-national-scale integrated marine and coastal area management plans that supplement marine protected areas.

ISSUE: Most coral-reefs are located in developing countries, and the majority of the people living near coral reefs are often extremely poor. Thus, even minor declines in the productivity of coral-reef ecosystems as a result of coral bleaching events could have dramatic socio-economic consequences for local people who depend on coral-reef services.

RESPONSE: Identify and institute additional and alternative measures for securing the livelihoods of people who directly depend on coral-reef services.

ISSUE: Coral bleaching is relevant not only to the Convention on Biological Diversity but also the United Nations Framework Convention on Climate Change and the Convention on Wetlands. The ultimate objective of the United Nations Framework Convention on Climate Change is to reduce emissions in a manner that "allows ecosystems to adapt naturally to climate change". The United Nations Framework Convention on Climate Change calls upon Parties to take action in relation to funding, insurance, and technology transfer to address the adverse effects of climate change. The Convention on Wetlands provides guidance on the conservation and wise use of wetlands, including coral reefs.

RESPONSE: Initiate efforts to develop joint actions among the Convention on Biological Diversity, the United Nations Framework Convention on Climate Change, and the Convention on Wetlands to:

(a) Develop approaches for assessing the vulnerability of coral-reef species to global warming;

(b) Build capacity for predicting and monitoring the impacts of coral bleaching;

(c) Identify approaches for developing response measures to coral bleaching;

(d) Provide guidance to financial institutions, including the Global Environment Facility, to support such activities.

ISSUE: Coral bleaching has the potential to impact local fisheries, as well as certain high-value commercial pelagic fisheries and coastal ecosystems.

RESPONSE: Encourage the Food and Agriculture Organization of the United Nations and regional fisheries organizations to develop and implement measures to assess and mitigate the impacts of sea-surface temperature rise on fisheries.

ISSUE: Coral bleaching events are a warning of even more severe impacts to marine systems. If anomalous sea-water temperatures continue to rise, become more frequent, or are prolonged, the physiological thresholds of other organisms will be surpassed. Not only will local fisheries be impacted, but certain high-value commercial pelagic fisheries and coastal ecosystems will be affected as well.

RESPONSE: Emphasize that coral bleaching can be monitored as an early warning of the impacts of global warming on marine ecosystems and that the collapse of coral-reef ecosystems could impact ecological processes of the larger marine system of which coral reefs are a part.

ISSUE: The observations of the 1998 coral bleaching events suggest that coral-reef conservation can no longer be achieved without consideration of the global climate system and that it requires efforts to mitigate accelerated global climate change.

RESPONSE: Emphasize the interdependencies and uncertainties in the relationships among marine, terrestrial, and climatic systems.

D. Financing

ISSUE: Because the issue of climate change is global and long-term in scale, Governments around the world need to work together to make funds available to implement initiatives to address the causes and consequences of coral bleaching.

RESPONSE: Mobilize international programmes and mechanisms for financial and technical development assistance, such as the World Bank, the United Nations Development Programme, regional development banks, as well as national and private sources to support implementation of these priority actions.

SBSTTA RECOMMENDATION V/14

ANNEX II*
PROPOSED TERMS OF REFERENCE AND DURATION OF WORK FOR THE AD HOC TECHNICAL EXPERT GROUPS ON MARINE AND COASTAL PROTECTED AREAS, MARICULTURE AND FOREST BIOLOGICAL DIVERSITY

A. Ad hoc technical expert group on marine and coastal protected areas

Terms of reference[73]

1. Identify pilot research and monitoring projects, based on current proposals and ongoing projects aimed at assessing the value and effects of marine and coastal protected areas or similarly managed areas on sustainable use of marine and coastal living resources.

2. Review the desk-study called for in the operational objective 3.1, activity (c), of the programme of work on marine and coastal biological diversity (decision IV/5, annex). The desk-study to be conducted by the Executive Secretary consists of gathering and assimilating information relevant to the value and effect of marine and coastal protected areas on sustainable use of marine and coastal biodiversity.

3. Identify linkages between marine protected areas and sustainable use of marine and coastal biodiversity.

4. Prepare recommendations on types of research to be carried out to understand the effects of marine and coastal protected or closed areas on population size and dynamics, subject to national legislation.

Duration of work

The ad hoc technical expert group on marine and coastal protected areas should start its work immediately after approval by the Conference of the Parties of the terms of reference and shall endeavour to complete the work not later than the eighth meeting of SBSTTA, at which "protected areas" will be an item for in-depth consideration (see the SBSTTA programme of work in recommendation IV/1 C), and the seventh meeting of the Conference of the Parties at which "protected areas" will be an item for in-depth consideration. Items 1, 3 and 4 can be undertaken immediately, but item 2 will start when the desk-study is complete.

B. Ad hoc technical expert group on mariculture

Terms of reference[74]

1. Evaluate the current state of scientific and technological knowledge on the effects of mariculture on marine and coastal biodiversity.

* To SBSTTA recommendation V/14.

73 In accordance with programme element 3, operational objective 3.1, of the Jakarta Mandate programme of work.

74 In accordance with programme element 4 of the Jakarta Mandate programme of work.

2. Provide guidance on criteria, methods and techniques that avoid the adverse effects of mariculture, and also subsequent stock enhancement, on marine and coastal biological diversity and enhance the positive effects of mariculture on marine and coastal productivity.

Duration of work

The ad hoc expert group on mariculture should start immediately after the approval on the terms of reference by the Conference of the Parties. The time for the completion of these activities so that their output can be considered in depth by SBSTTA will depend on the time when SBSTTA might be requested by the Conference of the Parties at its fifth meeting to report or advise on aspects relating to sustainable use of biodiversity or when the Conference of the Parties might decide to review the Jakarta Mandate programme of work.

C. Ad hoc technical expert group on forest biological diversity

Terms of reference

1. Provide advice on scientific programmes and international cooperation in research and development related to conservation and sustainable use of forest biological diversity.

2. (a) Carry out a review of available information on the status and trends of, and major threats to, forest biological biodiversity, to identify significant gaps in that information.

(b) Identify options for the conservation and sustainable use of forest biological diversity applying the principle of ecosystem approach and sustainable forest management, taking into account proposals for action agreed by the Intergovernmental Panel on Forests (IPF) and the Intergovernmental Forum on Forests (IFF) as well as the work of other relevant international processes and organizations including the Food and Agricultural Organization of the United Nations, processes related to criteria and indicators, the International Tropical Timber Organization, and the Centre for International Forestry Research (CIFOR), through activities such as:

  (i) Identifying new measures and ways to improve the conservation of forest biological diversity in and outside existing protected areas;
  (ii) Identifying practical measures to mitigate the direct and underlying causes of forest biodiversity loss;
  (iii) Identifying tools and mechanisms to implement the identified measures and actions;
  (iv) Identifying measures for the restoration of degraded forest; and
  (v) Identifying strategies for enhancement of collaborative management with local and indigenous communities.

(c) Prepare advice, in collaboration with the United Nations Framework Convention on Climate Change, in order to integrate biodiversity considerations, including biodiversity conservation, in forest carbon sequestration projects;

(d) To identify innovative, efficient and state-of-the-art technologies and know-how relating to assessment, planning, conservation and sustainable use of forest biodiversity and provide advice on ways and means of promoting the development and transfer of such technologies.

3. On the basis of case-studies, assess the effects of types of forest-related measures taken in accordance with Convention.

Duration of work

The work on forest biodiversity should be initiated immediately after approval by the Conference of the Parties at its fifth meeting of the terms of reference, and completed not later than the seventh meeting of SBSTTA, in time for the sixth meeting of the Conference of the Parties, which will consider forest biodiversity as one of the main priority issues.

DECISION V/4 | Progress report on the implementation of the programme of work for forest biological diversity

The Conference of the Parties

Stressing that, in the implementation of the programme of work for forest biological diversity, due consideration should be given to the role of all types of forests, including planted forests, and the restoration of forest ecosystems,

Noting the importance of supporting work on taxonomic, ecological and socio-economic issues for the restoration of forest ecosystems and conservation and sustainable use of forest biological diversity,

Noting the importance of forest ecosystems and forest resources (including wood and non-wood forest products and services) to indigenous and local communities and the need to ensure their participation in the assessment of status and trends of forest biodiversity for the conservation and sustainable use of forest biological diversity,

Noting the proposed establishment and coordinating role of the United Nations Forum on Forests,

Noting the potential impact of afforestation, reforestation, forest degradation and deforestation on forest biological diversity and on other ecosystems,

1. *Urges* the Parties, Governments and relevant organizations to advance the implementation of the work programme for forest biological diversity, as contained in decision IV/7;

2. *Decides* to consider expanding the focus of the work programme from research to practical action at its sixth meeting;

3. *Decides* to call upon Parties, Governments and organizations to take practical actions within the scope of the existing programme of work in order to address urgently the conservation and sustainable use of forest biological diversity, applying the ecosystem approach and taking into consideration the outcome of the

fourth session of the Intergovernmental Forum on Forests (UNEP/CBD/COP/5/INF/16), and also contributing to the future work of the United Nations Forum on Forests;

4. *Decides* to establish an ad hoc technical expert group on forest biological diversity to assist the Subsidiary Body on Scientific, Technical and Technological Advice, on the basis of the terms specified in the annex, in its work on forest biological diversity;

5. *Requests* the Executive Secretary to nominate scientific and technical experts, including expertise in policy matters and traditional knowledge, to the ad hoc technical expert group mentioned in paragraph 4 above, with due regard to geographical representation;

6. *Requests* the Executive Secretary to prepare for the work of the ad hoc technical expert group by inviting various international organizations and institutions to contribute data and information relevant to the terms of reference;

7. *Invites* Parties, countries, international organizations, institutions and processes and other relevant bodies, as well as indigenous and local communities and non-governmental organizations to provide relevant information on the implementation of the work programme through, *inter alia*, case-studies, entries in national reports and other means, as appropriate;

8. *Encourages* Parties and other Governments to promote the integration of national forest programmes with national biodiversity strategies, applying the ecosystem approach and sustainable forest management;

9. *Further encourages* Parties and other Governments to ensure participation by the forest sector, private sector, indigenous and local communities and non-governmental organizations in the implementation of the programme of work;

10. *Recognizes* past efforts by different organizations and encourages Parties and other Governments to strengthen national capacities, including local capacities, to enhance the effectiveness and functions of forest protected area networks, as well as national and local capacities for implementation of sustainable forest management, including restoration, when needed;

11. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice to consider before the sixth meeting of the Conference of the Parties, where appropriate and feasible in collaboration with the appropriate bodies of the United Nations Framework Convention on Climate Change and the Intergovernmental Panel on Climate Change, the impact of climate change on forest biological diversity;

12. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice to consider the causes and effects of human induced uncontrolled forest fires on forest biological diversity and propose possible approaches to address negative impacts;

13. *Urges* Parties to consider without delay the proposals for action of the Intergovernmental Forum on Forests and the Intergovernmental Panel on Forests on programme element II.d (v), on valuation of forest goods and services;

14. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice to consider the impact of, and propose sustainable practices for, the harvesting of non-timber forest resources, including bush meat and living botanical resources;

15. *Requests* the Executive Secretary to invite relevant organizations and forest-related bodies, institutions and processes, including criteria and indicator processes, as well as indigenous and local communities, non-governmental organizations, and other relevant stakeholders to contribute to the assessment of status and trends, including gaps and priority actions needed to address threats to forest biological diversity;

16. *Urges* the United Nations Framework Convention on Climate Change, including its Kyoto Protocol, to ensure that future activities of the United Nations Framework Convention on Climate Change, including forest and carbon sequestration, are consistent with and supportive of the conservation and sustainable use of biological diversity;

17. *Requests* the Executive Secretary to assemble, in collaboration with the United Nations Framework Convention on Climate Change and the Intergovernmental Panel on Climate Change, existing information relating to the integration of biodiversity considerations, including biodiversity conservation, in the implementation of the United Nations Framework Convention on Climate Change and its Kyoto Protocol;

18. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice, prior to the sixth meeting of the Conference of Parties, to prepare scientific advice, where appropriate and feasible in collaboration with the appropriate bodies of the United Nations Framework Convention on Climate Change and the Intergovernmental Panel on Climate Change, in order to integrate biodiversity considerations, including biodiversity conservation, in the implementation of the United Nations Framework Convention on Climate Change and its Kyoto Protocol;

19. *Requests* the President of the fifth meeting of the Conference of the Parties of the Convention on Biological Diversity to transmit the present decision to the meeting of the Conference of the Parties of the United Nations Framework Convention on Climate Change at its sixth meeting;

20. *Invites* the Executive Secretary to strengthen cooperation with the United Nations Framework Convention on Climate Change, including its Kyoto Protocol, the United Nations Convention to Combat Desertification, the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), and the Ramsar Convention on Wetlands especially on issues relevant to forest biological diversity, taking into account the role of the United Nations Forum on Forests.

ANNEX
AD HOC TECHNICAL EXPERT GROUP ON FOREST BIOLOGICAL DIVERSITY

Terms of reference

Taking into account the ecosystem approach and sustainable forest management, decisions of the Conference of the Parties on thematic and cross-cutting issues, in

particular Article 8(j), proposals for action agreed by the Intergovernmental Panel on Forests (IPF) and the Intergovernmental Forum on Forests (IFF), as well as the work of other relevant international processes and organizations including the Food and Agriculture Organization of the United Nations (FAO), processes related to criteria and indicators, the International Tropical Timber Organization (ITTO), and the Centre for International Forestry Research (CIFOR), the outcome of the Commission on Sustainable Development at its eighth meeting, and contributing to the future work of the United Nations Forum on Forests (UNFF) in the context of and in support of the programme of work for forest biological diversity, and making use of the information contained in available case-studies,

1. Provide advice on scientific programmes and international cooperation in research and development related to conservation and sustainable use of forest biological diversity in the context of the programme of work for forest biological diversity (decisions IV/7 and V/4);

2. (a) Carry out a review of available information on the status and trends of, and major threats to, forest biological biodiversity, to identify significant gaps in that information;

(b) Identify options and suggest priority actions, timeframes and relevant actors for the conservation and sustainable use of forest biological diversity for their implementation through activities such as:

(i) Identifying new measures and ways to improve the conservation of forest biological diversity in and outside existing protected areas;
(ii) Identifying practical measures to mitigate the direct and underlying causes of forest biodiversity loss;
(iii) Identifying tools and mechanisms to implement the identified measures and actions;
(iv) Identifying measures for the restoration of degraded forest; and
(v) Identifying strategies for enhancement of collaborative management with local and indigenous communities;

(c) To identify innovative, efficient and state-of-the-art technologies and know-how relating to assessment, planning, valuation, conservation and sustainable use of forest biodiversity and provide advice on ways and means of promoting the development and transfer of such technologies.

Duration of work

The work of the ad hoc technical expert group on forest biodiversity should be initiated immediately after approval by the Conference of the Parties at its fifth meeting of the terms of reference, and the nomination of experts, and completed not later than the seventh meeting of the Subsidiary Body on Scientific, Technical and Technological Advice, in time for the sixth meeting of the Conference of the Parties, which will consider forest biodiversity as one of the main priority issues.

DECISION V/5 | Agricultural biological diversity: review of phase I of the programme of work and adoption of a multi-year work programme

The Conference of the Parties

I. Programme of Work

1. *Welcomes* the assessment of ongoing activities and instruments (UNEP/CBD/SBSTTA/5/INF/10) and its main findings as presented in the note by the Executive Secretary on agricultural biological diversity: review of phase I of the programme of work and adoption of a multi-year programme of work (UNEP/CBD/COP/5/11);

2. *Takes note* of the decision on agriculture adopted by the Commission on Sustainable Development at its eighth session, held in New York from 24 April to 5 May 2000;

3. *Endorses* the programme of work on agricultural biological diversity contained in the annex to the present decision, contributing to the implementation of decision III/11;

4. *Urges* Parties, Governments, international and regional organizations, civil-society organizations and other relevant bodies to promote and, as appropriate, carry out the programme of work and to promote regional and thematic cooperation within this framework;

5. *Recognizes* the contribution of farmers, indigenous and local communities to the conservation and sustainable use of agricultural biodiversity and the importance of agricultural biodiversity to their livelihoods, *emphasizes* the importance of their participation in the implementation of the programme of work, and *recognizes* the need for incentives, in accordance with Article 11 of the Convention on Biological Diversity and consistent with its Article 22, and support for capacity-building and information exchange to benefit farmers, indigenous and local communities;

6. Recalling decision III/11, *requests* the Executive Secretary to invite the Food and Agriculture Organization of the United Nations to support the development and implementation of the programme of work, and also to expand cooperation by inviting other relevant organizations (such as the United Nations Development Programme, the United Nations Environment Programme, the World Bank, regional development banks, the centres of the Consultative Group on International Agricultural Research and other international agricultural research centres, and IUCN-The World Conservation Union), in supporting the implementation of the programme of work, and to avoid duplication of activities;

7. *Requests* the Executive Secretary to undertake the necessary steps for the full implementation of the programme of work;

8. *Requests* the Executive Secretary to prepare a progress report and proposals for the further implementation of this programme of work for consideration by the

Subsidiary Body on Scientific, Technical and Technological Advice prior to the sixth meeting of the Conference of the Parties on the basis of which the Conference of the Parties may provide further guidance, for example, in the form of:

(a) A timetable for implementation of activities, including milestones;

(b) A schedule for reporting on further progress;

(c) Resource requirements; and

(d) Responsibilities of partners and collaborators;

9. *Invites* Parties, in accordance with Article 20 of the Convention, and bilateral and international funding agencies to provide support for the implementation of the activities of the programme of work on agricultural biological diversity, in particular, for capacity-building and case-studies in developing countries and countries with economies in transition;

10. *Invites* Parties, Governments and relevant organizations to support actions to raise public awareness in support of sustainable farming and food production systems that maintain agricultural biodiversity;

11. *Recognizes* the potential contribution that the revised International Undertaking on Plant Genetic Resources, in harmony with the Convention, would have to assist in the implementation of this programme of work;

12. While noting the report of the Chairman of the Commission on Genetic Resources for Food and Agriculture of the Food and Agriculture Organization of the United Nations (UNEP/CBD/COP/5/INF/12), *urges* the Commission to finalize its work as soon as possible. The International Undertaking is envisaged to play a crucial role in the implementation of the Convention on Biological Diversity. The Conference of the Parties *affirms* its willingness to consider a decision by the Conference of the Food and Agriculture Organization of the United Nations that the International Undertaking become a legally binding instrument with strong links to both the Food and Agriculture Organization of the United Nations and the Convention on Biological Diversity, and *calls upon* Parties to coordinate their positions in both forums;

13. *Welcomes* the adoption of the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade, and *urges* Parties and Governments to ratify this Convention;

14. *Encourages* Parties and Governments to support the application of the Executive Secretary of the Convention on Biological Diversity for observer status in the Committee on Agriculture of the World Trade Organization, in line with paragraph 9 of decision IV/6 of the Conference of Parties;

II. International Initiative for the Conservation and Sustainable Use of Pollinators

Considering decision III/11, in which the Conference of the Parties established the programme of work on agricultural biodiversity, and called for priority attention to components of biological diversity responsible for the maintenance of ecosystem services important for the sustainability of agriculture, including pollinators,

Considering the recommendations of the Sao Paulo Declaration on Pollinators, based on the results of the Workshop on the Conservation and Sustainable Use of Pollinators in Agriculture, with an Emphasis on Bees, held in Sao Paulo, Brazil, from 7 to 9 October 1998, presented by the Brazilian Government at the fifth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice,

Considering the urgent need to address the issue of worldwide decline of pollinator diversity, and considering recommendation V/9 of the Subsidiary Body on Scientific, Technical and Technological Advice,

15. *Decides* to establish an International Initiative for the Conservation and Sustainable Use of Pollinators as a cross-cutting initiative within the programme of work on agricultural biodiversity to promote coordinated action worldwide to:

(a) Monitor pollinator decline, its causes and its impact on pollination services;

(b) Address the lack of taxonomic information on pollinators;

(c) Assess the economic value of pollination and the economic impact of the decline of pollination services;

(d) Promote the conservation and the restoration and sustainable use of pollinator diversity in agriculture and related ecosystems;

16. *Requests* the Executive Secretary to invite the Food and Agriculture Organization of the United Nations to facilitate and coordinate the Initiative in close cooperation with other relevant organizations and to consider establishing a coordination mechanism, with geographical balance and with leading relevant organizations, to prepare a proposal for a plan of action taking into account the recommendations in the Sao Paulo Declaration on Pollinators, as well as on contributions submitted by countries and relevant organizations, for submission to and review by the Subsidiary Body on Scientific, Technical and Technological Advice and consideration by the Conference of the Parties at its sixth meeting;

17. *Invites* leading relevant organizations, such as IUCN-The World Conservation Union, the International Bee Research Association and the International Commission for Plant-Bee Relationships, the International Centre of Insect Physiology and Ecology, the international agriculture research centres of the Consultative Group on International Agricultural Research and other relevant regional and international bodies, to collaborate in supporting actions in Parties and countries subject to pollinator decline;

18. *Requests* the Executive Secretary, the Subsidiary Body on Scientific, Technical and Technological Advice and the financial mechanism to support the development and implementation of the Initiative and *invites* Parties and Governments to collaborate and compile case-studies and implement pilot projects, making use of the clearing-house mechanism, and to report to the Conference of the Parties at its sixth meeting.

III. Genetic Use Restriction Technologies

19. *Decides* to continue the work on genetic use restriction technologies under the umbrella of, and integrated into, each of the four elements of the programme of work on agricultural biological diversity and *invites* the Subsidiary Body on Sci-

entific, Technical and Technological Advice to report to the Conference of the Parties at its sixth meeting;

20. Desiring to make the most efficient use of resources by avoiding duplication of effort and being cognizant of the work being undertaken and the expertise available in different forums, in particular, the Food and Agriculture Organization of the United Nations and its Commission on Genetic Resources for Food and Agriculture, *invites* the Food and Agriculture Organization of the United Nations, in close collaboration with the United Nations Educational, Scientific and Cultural Organization, the United Nations Environment Programme and other member organizations of the Ecosystem Conservation Group, and other competent organizations and research bodies, to further study the potential implications of genetic use restriction technologies for the conservation and sustainable use of agricultural biological diversity and the range of agricultural production systems in different countries, and identify relevant policy questions and socio-economic issues that may need to be addressed;

21. *Invites* the Food and Agriculture Organization of the United Nations and its Commission on Genetic Resources for Food and Agriculture and other competent organizations to inform the Conference of the Parties at its sixth meeting of their initiatives in this area;

22. Recognizing the need to better understand the intellectual-property-rights implications of genetic use restriction technologies, *invites* relevant organizations to study the impact of technologies on the protection of intellectual property in the agriculture sector, and its appropriateness for the agricultural sector, and to make assessments of the technologies concerned available through the clearing-house mechanism;

23. *Recommends* that, in the current absence of reliable data on genetic use restriction technologies, without which there is an inadequate basis on which to assess their potential risks, and in accordance with the precautionary approach, products incorporating such technologies should not be approved by Parties for field testing until appropriate scientific data can justify such testing, and for commercial use until appropriate, authorized and strictly controlled scientific assessments with regard to, *inter alia*, their ecological and socio-economic impacts and any adverse effects for biological diversity, food security and human health have been carried out in a transparent manner and the conditions for their safe and beneficial use validated. In order to enhance the capacity of all countries to address these issues, Parties should widely disseminate information on scientific assessments, including through the clearing-house mechanism, and share their expertise in this regard;

24. *Encourages* Parties and Governments to consider how to address generic concerns regarding such technologies as genetic use restriction technologies under international and national approaches to the safe and sustainable use of germplasm;

25. Reaffirming the need of Parties and Governments for additional information, and recalling Article 8(g) of the Convention on Biological Diversity, which calls on Parties and Governments to establish or maintain procedures for regulating,

managing or controlling risks associated with the use and release of living modified organisms resulting from biotechnology, *invites* Parties to carry out and disseminate the results through the clearing-house mechanism and submit scientific assessments on, *inter alia*, ecological, social and economic effects of genetic use restriction technologies taking into account such information, as available, as:

(a) The molecular biology information available;

(b) The genetic constructs and inducers used;

(c) Effects at the molecular level, such as site-specific effects, gene-silencing, epigenesis and recombination;

(d) Potential positive applications of the variety-specific genetic use restriction technologies on limiting gene flow, and possible negative impacts of genetic use restriction technologies on small populations of threatened wild relatives; and to make these assessments available through, *inter alia*, the clearing-house mechanism;

26. *Further encourages* Parties and Governments to identify ways and means to address the potential impacts of genetic use restriction technologies on the *in situ* and *ex situ* conservation and sustainable use, including food security, of agricultural biological diversity;

27. *Urges* Parties and Governments to assess whether there is a need to develop, and how to ensure the application of, effective regulations at national level which take into account, *inter alia*, the specific nature of variety-specific and trait-specific genetic use restriction technologies, in order to ensure the safety of human health, the environment, food security and the conservation and sustainable use of biological diversity and to make this information available through, *inter alia*, the clearing-house mechanism;

28. *Requests* the Executive Secretary to prepare a report, to be considered by the Subsidiary Body on Scientific, Technical and Technological Advice at a future meeting prior to the sixth meeting of the Conference of the Parties, on the status of development of genetic use restriction technologies and of relevant initiatives at international, regional and national levels on the basis of information provided by organizations, Parties and Governments;

29. Recognizing the importance of indigenous and local communities in the conservation and sustainable use of plant genetic resources according to Article 8(j) of the Convention, and taking into account the revision of the International Undertaking on Plant Genetic Resources for Food and Agriculture, *requests* the Executive Secretary to discuss with those organizations with relevant expertise and representatives of indigenous and local communities on the potential impacts of the application of genetic use restriction technologies on those communities and on Farmers' Rights in keeping with the revision of the aforementioned International Undertaking to keep, use, exchange and sell seed or propagating material and to prepare a report to be considered by the Conference of the Parties.

ANNEX
PROGRAMME OF WORK ON AGRICULTURAL BIODIVERSITY

A. Overall objectives, approach and guiding principles

1. The overall aim of the programme of work is to promote the objectives of the Convention in the area of agricultural biodiversity, in line with relevant decisions of the Conference of Parties, notably decisions II/15, III/11 and IV/6. This programme of work will also contribute to the implementation of chapter 14 of Agenda 21 (Sustainable agriculture and rural development). The scope of agricultural biodiversity is described in the appendix hereto.

2. More specifically, the objectives, as spelt out in paragraph 1 of decision III/11 of the Conference of the Parties to the Convention on Biological Diversity, are:

(a) To promote the positive effects and mitigate the negative impacts of agricultural systems and practices on biological diversity in agro-ecosystems and their interface with other ecosystems;

(b) To promote the conservation and sustainable use of genetic resources of actual and potential value for food and agriculture;

(c) To promote the fair and equitable sharing of benefits arising out of the use of genetic resources.

3. The proposed elements of the programme of work have been developed bearing in mind the need:

(a) To support the development of national strategies, programmes and action plans concerning agricultural biodiversity, in line with decision III/11 of the Conference of the Parties to the Convention on Biological Diversity, and to promote their integration in sectoral and cross-sectoral plans, programmes and policies;

(b) To build upon existing international plans of action, programmes and strategies that have been agreed by countries, in particular, the Global Plan of Action for the Conservation and Sustainable Utilization of Plant Genetic Resources for Food and Agriculture, the Global Strategy for the Management of Farm Animal Genetic Resources, and the International Plant Protection Convention (IPPC);

(c) To ensure harmony with the other relevant programmes of work under the Convention on Biological Diversity, including those relating to forest biological diversity, inland water biological diversity, marine and coastal biological diversity, and dry and sub-humid lands, as well as with cross-cutting issues such as access and benefit-sharing, sustainable use, indicators, alien species, the Global Taxonomy Initiative, and issues related to Article 8(j);

(d) To promote synergy and coordination, and to avoid duplication, between relevant programmes of various international organizations and between programmes at the national and regional levels established under the auspices of international organizations, while respecting the mandates and existing programmes of work of each organization and the intergovernmental authority of the respective governing bodies, commissions and other forums.

4. In implementing the programme of work, the ecosystem approach adopted under the Convention on Biological Diversity will be applied. The application of this approach implies, *inter alia*, intersectoral cooperation, decentralization of management to the lowest level appropriate, equitable distribution of benefits, and the use of adaptive management policies that can deal with uncertainties and are modified in the light of experience and changing conditions. The implementation process will also build upon the knowledge, innovations and practices of local communities and thus complement Article 8(j) of the Convention. A multi-disciplinary approach that takes into account scientific, social and economic issues is required.

5. The proposed programme of work has been developed in the light of the basis for action annexed to decision III/11. Its implementation, particularly the implementation of programme element 1, will shed further light on the status and trends of agricultural biodiversity.

B. Proposed elements of a programme of work

6. Based on the above, the following elements for a programme of work agreed by the Conference of the Parties. It is important to note that the four programme elements are intended to be mutually reinforcing: outputs of certain elements would feed into others. Accordingly, the ordering of the elements does not imply sequential implementation. However prioritization of activities within each programme element will be necessary as set out in the sections on ways and means and timing of expected outputs. Within the framework of this programme of work, targeted cooperative initiatives may be launched.

PROGRAMME ELEMENT 1: ASSESSMENTS

Operational objective

To provide a comprehensive analysis of status and trends of the world's agricultural biodiversity and of their underlying causes (including a focus on the goods and services agricultural biodiversity provides), as well of local knowledge of its management.

Rationale

Processes for country-driven assessments are in place, or under development, for the crop and farm-animal genetic resources components. The assessments draw upon, and contribute to, comprehensive data and information systems. There is also much information about resources that provide the basis for agriculture (soil, water), and about land cover and use, climatic and agro-ecological zones. However, further assessments may be needed, for example, for microbial genetic resources, for the ecosystem services provided by agricultural biodiversity such as nutrient cycling, pest and disease regulation and pollination, and for social and economic aspects related to agricultural biodiversity. Assessments may also be needed for the interactions between agricultural practices, sustainable agriculture and the conservation and sustainable use of the components of biodiversity referred to in Annex I to the Convention. Understanding of the underlying causes

of the loss of agricultural biodiversity is limited, as is understanding of the consequences of such loss for the functioning of agricultural ecosystems. Moreover, the assessments of the various components are conducted separately; there is no integrated assessment of agricultural biodiversity as a whole. There is also lack of widely accepted indicators of agricultural biodiversity. The further development and application of such indicators, as well as assessment methodologies, are necessary to allow an analysis of the status and trends of agricultural biodiversity and its various components and to facilitate the identification of biodiversity-friendly agricultural practices (see programme element 2).

Activities

1.1. Support the ongoing or planned assessments of different components of agricultural biodiversity, for example, the reports on the state of the world's plant genetic resources for food and agriculture,[75] and the state of the world's animal genetic resources for food and agriculture, as well as other relevant reports and assessments by FAO and other organizations, elaborated in a country-driven manner through consultative processes.

1.2. Promote and develop specific assessments of additional components of agricultural biodiversity that provide ecological services, drawing upon the outputs of programme element 2. This might include targeted assessments on priority areas (for example, loss of pollinators, pest management and nutrient cycling).

1.3. Carry out an assessment of the knowledge, innovations and practices of farmers and indigenous and local communities in sustaining agricultural biodiversity and agro-ecosystem services for and in support of food production and food security.

1.4. Promote and develop assessments of the interactions between agricultural practices and the conservation and sustainable use of the components of biodiversity referred to in Annex I to the Convention.

1.5. evelop methods and techniques for assessing and monitoring the status and trends of agricultural biodiversity and other components of biodiversity in agricultural ecosystems, including:

(a) Criteria and guidelines for developing indicators to facilitate monitoring and assessment of the status and trends of biodiversity in different production systems and environments, and the impacts of various practices, building wherever possible on existing work, in accordance with decision V/7, on the development of indicators on biological diversity, in accordance to the particular characteristics and needs of Parties;

(b) An agreed terminology and classification for agro-ecosystems and production systems to facilitate the comparison and synthesis of various assessments and monitoring of different components of biodiversity in agricultural ecosystems,

75 It should be noted that the FAO Commission on Genetic Resources for Food and Agriculture has decided that the second report on the state of the world's plant genetic resources will be prepared only once the negotiations for the revision of the International Undertaking have been completed.

at all levels and scales, between countries, and regional and international partner organizations;[76]

(c) Data and information exchange on agricultural biodiversity (including available information on *ex situ* collections) in particular through the clearing-house mechanism under the Convention on Biological Diversity, building on existing networks, databases, and information systems;

(d) Methodology for analysis of the trends of agricultural biodiversity and its underlying causes, including socio-economic causes.

Ways and means

Exchange and use of experiences, information and findings from the assessments shall be facilitated by Parties, Governments and networks with consultation between countries and institutions, including use of existing networks.

Country-driven assessments of genetic resources of importance for food and agriculture (activity 1.1) shall be implemented, including through programmes of FAO and in close collaboration with other organizations, such as CGIAR. Resources may need to be identified to support additional assessments (activity 1.2), which would draw upon elements of existing programmes of international organizations, and the outputs of programme element 2.

This programme element, particularly activity 1.5, will be supported through catalytic activities, building upon and bringing together existing programmes, in order assist Parties to develop agricultural biodiversity indicators, agreed terminology, etc., through, *inter alia*, technical workshops, meetings and consultations, e-mail conferences, preparation of discussion papers, and travel. Funding of these catalytic activities would be through the Secretariat, with in-kind contributions from participating organizations.

Timing of expected outputs

A key set of standard questions and a menu of potential indicators of agricultural biodiversity that may be used by Parties at their national level, and agreed terminology of production environments by 2002.

Reports on the state of the world's genetic resources, as programmed, leading progressively towards a comprehensive assessment and understanding of agricultural biodiversity, with a focus on the goods and services it provides, by 2010.

PROGRAMME ELEMENT 2: ADAPTIVE MANAGEMENT

Operational objective

To identify management practices, technologies and policies that promote the positive and mitigate the negative impacts of agriculture on biodiversity, and enhance

76 This would draw upon, and not seek to replace, existing classification systems for ecosystems and farming systems (e.g. eco-region, agro-ecological zones, landscapes, land evaluation systems, production systems/environments, farming systems and farm typologies, etc.), taking into account physical resources (air, climate, land, water, vegetation types), human resource attributes (population intensity, land-use pressures, settlement patterns), and degree of market integration.

productivity and the capacity to sustain livelihoods, by expanding knowledge, understanding and awareness of the multiple goods and services provided by the different levels and functions of agricultural biodiversity.

Rationale

There are large and fairly well-defined research agendas for genetic resources for food and agriculture. These include the development of complementary conservation and use strategies, and a focus on developing the conservation and use of under-utilized species. There are also an increasing number of case-studies on, for example, farm and *in situ* conservation of genetic resources, and community integrated pest management. However, far more understanding is needed of the multiple goods and services provided by the different levels and functions of agricultural biodiversity. Much more research is needed, for example, to examine the relationship between diversity, resilience and production in agro-ecosystems.

A blend of traditional and newer practices and technologies is used in agriculture, which utilize, or impact on, agricultural biodiversity in different ways, with particular consequences for biological diversity and for the sustainability and productivity of agricultural systems. A better understanding and application of these complex interactions could help to optimize the management of agricultural biodiversity in production systems.

Such work is essential in order to meet the objectives of decision III/11 of the Conference of the Parties to promote the positive and mitigate the negative impacts of agriculture on biological diversity, and enhance productivity and capacity to sustain livelihoods.

Activities

2.2. Carry out a series of case-studies, in a range of environments and production systems, and in each region:

(a) To identify key goods and services provided by agricultural biodiversity, needs for the conservation and sustainable use of components of this biological diversity in agricultural ecosystems, and threats to such diversity;

(b) To identify best management practices; and

(c) To monitor and assess the actual and potential impacts of existing and new agricultural technologies.

This activity would address the multiple goods and services provided by the different levels and functions of agricultural biodiversity and the interaction between its various components, as set out in the appendix hereto with a focus on certain specific and cross-cutting issues, such as:

(a) The role and potential of wild, under-utilized and neglected species, varieties and breeds, and products;

(b) The role of genetic diversity in providing resilience, reducing vulnerability, and enhancing adaptability of production systems to changing environments and needs;

(c) The synergies and interactions between different components of agricultural biodiversity;

(d) The role of pollinators, with particular reference to their economic benefits, and the effects of introduced species on indigenous pollinators and other aspects of biological diversity;

(e) The role of soil and other below-ground biodiversity in supporting agricultural production systems, especially in nutrient cycling;

(f) Pest and disease control mechanisms, including the role of natural enemies and other organisms at field and landscape levels, host plant resistance, and implications for agro-ecosystem management;

(g) The wider ecosystem services provided by agricultural biodiversity;

(h) The role of different temporal and spatial patterns in mosaics of land use, including complexes of different habitats;

(i) Possibilities of integrated landscape management as a means for the conservation and sustainable use of biodiversity.

2.2. Identify and promote the dissemination of information on cost-effective practices and technologies, and related policy and incentive measures that enhance the positive and mitigate the negative impacts of agriculture on biological diversity, productivity and capacity to sustain livelihoods, through:

(a) Comprehensive analyses in selected production systems of the costs and benefits of alternative management practices as identified from activity 2.1, and the valuation of the goods and services provided by agricultural biodiversity;

(b) Comprehensive analyses of the impacts of agricultural production, including their intensification and extensification, on the environment and identification of ways to mitigate negative and promote positive impacts;

(c) Identification, at international and national levels, in close collaboration with relevant international organizations, of appropriate marketing and trade policies, legal and economic measures which may support beneficial practices:

(i) Promotion of neglected and under-utilized species, varieties and breeds;
(ii) Promotion of local and indigenous knowledge;
(iii) Measures to add value to products of production systems that sustain biodiversity, and to diversify market opportunities;
(iv) Access and benefit-sharing measures and intellectual property issues;
(v) Economically and socially sound measures that act as incentives, in accordance with Article 11 and consistent with Article 22; and
(vi) Training and capacity-building in support of the above.

2.3. Promote methods of sustainable agriculture that employ management practices, technologies and policies that promote the positive and mitigate the negative impacts of agriculture on biodiversity, with particular focus on the needs of farmers and indigenous and local communities.

Ways and means

Case-studies will be carried out and provided by national institutions, civil-society organizations, and research institutes, with support from international organizations for catalysing preparation of studies, mobilizing funds, disseminating results, and facilitating feedback and lessons learned to case-study providers and policy makers. Inputs would be sought from all relevant stakeholders. Resources may need to be identified to promote such studies, to analyse the results and to provide necessary capacity-building and human-resource development, especially at the inter-community or district level. Where a need is identified, for example, through lessons learned from earlier case-studies, the Subsidiary Body on Technical, Technological Advice or the Conference of the Parties will be consulted to consider the promotion of regional or global programmes of case-studies, or focused research activities.

Timing of expected outputs

Thirty selected case-studies published, analysed and disseminated by 2005. The case-studies should be representative of regional issues and prioritize best practices and lessons learned that can be broadly applied.

PROGRAMME ELEMENT 3: CAPACITY-BUILDING

Operational objective

To strengthen the capacities of farmers, indigenous and local communities, and their organizations and other stakeholders, to manage sustainably agricultural biodiversity so as to increase their benefits, and to promote awareness and responsible action.

Rationale

The management of agricultural biodiversity involves many stakeholders and often implies transfers of costs and benefits between stakeholder groups. It is therefore essential that mechanisms be developed not only to consult stakeholder groups, but also to facilitate their genuine participation in decision-making and in the sharing of benefits.

The sustainable management of agricultural biodiversity by farmers and their communities, in particular, is a prerequisite to achieving sustainable increases in food and livelihood security and to protecting natural resources. Decision III/11, paragraph 17(c), of the Conference of the Parties encourages Parties to promote the "mobilization of farming communities, including indigenous and local communities for the development, maintenance and use of their knowledge and practices in the conservation and sustainable use of biological diversity in the agricultural sector". By paragraph 15 of the same decision, countries are encouraged "to set up and maintain local-level forums for farmers, researchers, extension workers and other stakeholders to evolve genuine partnerships". There is a largely unrealized potential to improve the management of various aspects of agricultural biodiversity at the level of the agro-ecosystem, through, for example, par-

ticipatory breeding and selection strategies. Farmer groups, and other producer organizations, can be instrumental in furthering the interests of farmers in optimizing sustainable, diversified, production systems and consequently in promoting responsible actions concerning the conservation and sustainable use of agricultural biodiversity. Consumer organizations are also increasingly influential in this regard.

Activities

3.1. Promote enhanced capabilities to manage agricultural biodiversity by promoting partnerships among researchers, extension workers and farmers in research and development programmes for biological diversity conservation and sustainable use of biological diversity in agriculture. To achieve this, countries should be encouraged to set up and maintain, *inter alia*, local-level forums for farmers, including indigenous farmers using traditional knowledge, researchers, extension workers and other stakeholders to evolve genuine partnerships, including training and education programmes.

3.2. Enhance the capacity of indigenous and local communities for the development of strategies and methodologies for *in situ* conservation, sustainable use and management of agricultural biological diversity, building on indigenous knowledge systems.

3.3. Provide opportunities for farmers and local communities, and other stakeholder groups, to participate in the development and implementation of national strategies, plans and programmes for agricultural biodiversity, through decentralized policies and plans, and local government structures.

3.4. Identify and promote possible improvements in the policy environment, including benefit-sharing arrangements and incentive measures, to support local-level management of agricultural biodiversity.

3.5. Promote awareness about the value of agricultural biodiversity and the multiple goods and services provided by its different levels and functions, for sustainable productivity amongst producer organizations, agricultural cooperatives and enterprises, and consumers, with a view to promoting responsible practices.

3.6. Promote networks of farmers and farmers' organizations at regional level for exchange of information and experiences.

Ways and means

This programme element is to be implemented primarily through initiatives within countries, including through extension services, local government, educational and civil-society organizations, including farmer/producer and consumer organizations and mechanisms emphasizing farmer-farmer exchange. This programme element would engage the widest possible range of civil-society organizations, including those not normally linked to biodiversity initiatives.

Funding is likely to be on a project or programme basis. Catalytic support may need to be provided through national, regional and global programmes, organizations, facilities and funding mechanisms, in particular to support capacity-

building, exchange and feedback of policy and market information, and of lessons learned from this and programme element 2, between local organizations and policy makers, nationally, regionally and globally.

Timing of expected outputs

Progressive establishment of local-level forums and regional networks, with a coverage target of at least 1,000 communities by 2010.

Examples at country level of operational mechanisms for participation by a wide range of stakeholder groups including civil-society organizations, by 2002.

Involvement of farmers and local communities in the majority of national programmes by 2010.

PROGRAMME ELEMENT 4: MAINSTREAMING

Operational objective

To support the development of national plans or strategies for the conservation and sustainable use of agricultural biodiversity and to promote their mainstreaming and integration in sectoral and cross-sectoral plans and programmes.

Rationale

Many countries are now developing biodiversity strategies and action plans in the context of the Convention on Biological Diversity, and many also have a number of other policies, strategies and plans related to agriculture, the environment and national development.[77] Moreover, countries have agreed on global action plans for major components of biological diversity, such as plant genetic resources for food and agriculture, and, in Agenda 21 and the World Food Summit Plan of Action, on plans for sustainable development and food security in general.

In most countries, activities related to agricultural biodiversity are undertaken primarily by ministries responsible for agriculture. There is clearly a need to mainstream the action plans for components of agricultural biodiversity in sectoral development plans concerned with food, agriculture, forestry and fisheries, and to promote synergy and avoid duplication between the plans for the various components. Together with other thematic programmes of work, this could contribute to the integration of biodiversity considerations in national plans.

Development and implementation of action plans requires reliable and accessible information, but many countries do not have well developed information, communication or early-warning systems or the capacity to respond to identified threats.

Activities

4.1. Support the institutional framework and policy and planning mechanisms for the mainstreaming of agricultural biodiversity in agricultural strategies and action

77 These include agricultural sector plans, national environment action plans, national sustainable development strategies, national forestry action plans, World Bank plans for structural adjustment, etc.

plans, and its integration into wider strategies and plans for biological diversity, through:

(a) Support for relevant institutions in the conduct of assessments on the status and trends of agricultural biodiversity within the context of ongoing biodiversity and sectoral assessments;

(b) Development of policy and planning guidelines, and training materials, and support for capacity-building initiatives at policy, technical and local levels in agricultural and environmental forums for the development, implementation, monitoring and evaluation of policies, programmes and actions for the conservation and sustainable use of agricultural biodiversity; and

(c) Improved consultation, coordination, and information-sharing within countries among respective focal points and lead institutions, relevant technical committees and coordinating bodies, to promote synergy in the implementation of agreed plans of action and between ongoing assessments and intergovernmental processes.

4.2. Support the development or adaptation of relevant systems of information, early warning and communication to enable effective assessment of the state of agricultural biodiversity and threats to it, in support of national strategies and action plans, and of appropriate response mechanisms.

4.3. Promote public awareness of the goods and services provided by agricultural biological diversity, and the value and importance of such diversity for agriculture and for society in general.

4.4. Promote ongoing and planned activities for the conservation, on farm, *in situ*, and *ex situ*, in particular, in the countries of origin, of the variability of genetic resources for food and agriculture, including their wild relatives.

Ways and means

Activities would be implemented primarily at national level through enhanced communication, coordination mechanisms and planning processes that involve all stakeholder groups, facilitated by international organizations, and by funding mechanisms.

This programme element should draw upon the experience of ongoing programmes (such as UNEP's support to national biodiversity strategies and action plans) and a critical analysis of existing practice.

National, regional and international projects and programmes that address policy and institutional development within specific sectors should make provision, as appropriate, for integration across sectors. Similarly, the development of guidelines should be carried out within the context of the objectives of this programme element.

Resources may need to be identified to further develop or adapt early-warning systems, including the capacity to identify thresholds and action needed, and for pilot examples of effective and sustainable response mechanisms to address threats at local, national and supranational levels.

Timing of expected outputs

Progressively increased capacity at national level for information management, assessment and communication. Over 100 countries to participate in various assessments under activities 1.1 and 1.2 by 2005.

Coordination between sectoral assessments and plans of action at national level in the majority of countries by 2005.

Range of guidelines published at the international level (on topics to be determined according to needs at national and regional levels).

APPENDIX
THE SCOPE OF AGRICULTURAL BIODIVERSITY

1. Agricultural biodiversity is a broad term that includes all components of biological diversity of relevance to food and agriculture, and all components of biological diversity that constitute the agro-ecosystem: the variety and variability of animals, plants and micro-organisms, at the genetic, species and ecosystem levels, which are necessary to sustain key functions of the agro-ecosystem, its structure and processes, in accordance with annex I of decision III/11 of the Conference of the Parties to the Convention on Biological Diversity.

2. The Conference of the Parties has recognized "the special nature of agricultural biodiversity, its distinctive features, and problems needing distinctive solutions".[78] The distinctive features include the following:

(a) Agricultural biodiversity is essential to satisfy basic human needs for food and livelihood security;

(b) Agricultural biodiversity is managed by farmers; many components of agricultural biodiversity depend on this human influence; indigenous knowledge and culture are integral parts of the management of agricultural biodiversity;

(c) There is a great interdependence between countries for the genetic resources for food and agriculture;

(d) For crops and domestic animals, diversity within species is at least as important as diversity between species and has been greatly expanded through agriculture;

(e) Because of the degree of human management of agricultural biodiversity, its conservation in production systems is inherently linked to sustainable use;

(f) Nonetheless, much biological diversity is now conserved *ex situ* in gene banks or breeders' materials;

(g) The interaction between the environment, genetic resources and management practices that occurs *in situ* within agro-ecosystems often contributes to maintaining a dynamic portfolio of agricultural biodiversity.

3. The following dimensions of agricultural biodiversity can be identified:

78 See decision II/15 of the Conference of the Parties to the Convention on Biological Diversity.

(a) Genetic resources for food and agriculture, including:

(i) Plant genetic resources, including pasture and rangeland species, genetic resources of trees that are an integral part of farming systems;
(ii) Animal genetic resources, including fishery genetic resources, in cases where fish production is part of the farming system, and insect genetic resources;
(iii) Microbial and fungal genetic resources.

These constitute the main units of production in agriculture, including cultivated species, domesticated species and managed wild plants and animals, as well as wild relatives of cultivated and domesticated species;

(b) Components of agricultural biodiversity that provide ecological services. These include a diverse range of organisms in agricultural production systems that contribute, at various scales to, *inter alia*:

(i) Nutrient cycling, decomposition of organic matter and maintenance of soil fertility;
(ii) Pest and disease regulation;
(iii) Pollination;
(iv) Maintenance and enhancement of local wildlife and habitats in their landscape,
(v) Maintenance of the hydrological cycle;
(vi) Erosion control;
(vii) Climate regulation and carbon sequestration;

(c) Abiotic factors, which have a determining effect on these aspects of agricultural biodiversity;

(d) Socio-economic and cultural dimensions since agricultural biodiversity is largely shaped by human activities and management practices. These include:

(i) Traditional and local knowledge of agricultural biodiversity, cultural factors and participatory processes;
(ii) Tourism associated with agricultural landscapes;
(iii) Other socio-economic factors.

DECISION V/6 | Ecosystem approach

The Conference of the Parties

1. *Endorses* the description of the ecosystem approach and operational guidance contained in sections A and C of the annex to the present decision, *recommends* the application of the principles contained in section B of the annex, as reflecting the present level of common understanding, and *encourages* further conceptual elaboration, and practical verification;

2. *Calls upon* Parties, other Governments, and international organizations to apply, as appropriate, the ecosystem approach, giving consideration to the prin-

ciples and guidance contained in the annex to the present decision, and to develop practical expressions of the approach for national policies and legislation and for appropriate implementation activities, with adaptation to local, national, and, as appropriate, regional conditions, in particular in the context of activities developed within the thematic areas of the Convention;

3. *Invites* Parties, other Governments and relevant bodies to identify case-studies and implement pilot projects, and to organize, as appropriate, regional, national and local workshops, and consultations aiming to enhance awareness, share experiences, including through the clearing-house mechanism, and strengthen regional, national and local capacities on the ecosystem approach;

4. *Requests* the Executive Secretary to collect, analyse and compare the case-studies referred to in paragraph 3 above, and prepare a synthesis of case-studies and lessons learned for presentation to the Subsidiary Body on Scientific, Technical and Technological Advice prior to the seventh meeting of the Conference of the Parties;

5. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice, at a meeting prior to the seventh meeting of the Conference of the Parties, to review the principles and guidelines of the ecosystem approach, to prepare guidelines for its implementation, on the basis of case-studies and lessons learned, and to review the incorporation of the ecosystem approach into various programmes of work of the Convention;

6. *Recognizes* the need for support for capacity-building to implement the ecosystem approach, and invites Parties, Governments and relevant organizations to provide technical and financial support for this purpose;

7. *Encourages* Parties and Governments to promote regional cooperation, for example through the establishment of joint declarations or memoranda of understanding in applying the ecosystem approach across national borders.

ANNEX

A. Description of the ecosystem approach

1. The ecosystem approach is a strategy for the integrated management of land, water and living resources that promotes conservation and sustainable use in an equitable way. Thus, the application of the ecosystem approach will help to reach a balance of the three objectives of the Convention: conservation; sustainable use; and the fair and equitable sharing of the benefits arising out of the utilization of genetic resources.

2. An ecosystem approach is based on the application of appropriate scientific methodologies focused on levels of biological organization, which encompass the essential structure, processes, functions and interactions among organisms and their environment. It recognizes that humans, with their cultural diversity, are an integral component of many ecosystems.

3. This focus on structure, processes, functions and interactions is consistent with the definition of "ecosystem" provided in Article 2 of the Convention on Biological Diversity:

"'*Ecosystem*' means a dynamic complex of plant, animal and micro-organism communities and their non-living environment interacting as a functional unit."

This definition does not specify any particular spatial unit or scale, in contrast to the Convention definition of "habitat". Thus, the term "ecosystem" does not, necessarily, correspond to the terms "biome" or "ecological zone", but can refer to any functioning unit at any scale. Indeed, the scale of analysis and action should be determined by the problem being addressed. It could, for example, be a grain of soil, a pond, a forest, a biome or the entire biosphere.

4. The ecosystem approach requires adaptive management to deal with the complex and dynamic nature of ecosystems and the absence of complete knowledge or understanding of their functioning. Ecosystem processes are often non-linear, and the outcome of such processes often shows time-lags. The result is discontinuities, leading to surprise and uncertainty. Management must be adaptive in order to be able to respond to such uncertainties and contain elements of "learning-by-doing" or research feedback. Measures may need to be taken even when some cause-and-effect relationships are not yet fully established scientifically.

5. The ecosystem approach does not preclude other management and conservation approaches, such as biosphere reserves, protected areas, and single-species conservation programmes, as well as other approaches carried out under existing national policy and legislative frameworks, but could, rather, integrate all these approaches and other methodologies to deal with complex situations. There is no single way to implement the ecosystem approach, as it depends on local, provincial, national, regional or global conditions. Indeed, there are many ways in which ecosystem approaches may be used as the framework for delivering the objectives of the Convention in practice.

B. Principles of the ecosystem approach

6. The following 12 principles are complementary and interlinked:

PRINCIPLE 1: *The objectives of management of land, water and living resources are a matter of societal choice.*

RATIONALE: Different sectors of society view ecosystems in terms of their own economic, cultural and societal needs. Indigenous peoples and other local communities living on the land are important stakeholders and their rights and interests should be recognized. Both cultural and biological diversity are central components of the ecosystem approach, and management should take this into account. Societal choices should be expressed as clearly as possible. Ecosystems should be managed for their intrinsic values and for the tangible or intangible benefits for humans, in a fair and equitable way.

PRINCIPLE 2: *Management should be decentralized to the lowest appropriate level.*

RATIONALE: Decentralized systems may lead to greater efficiency, effectiveness and equity. Management should involve all stakeholders and balance local interests with the wider public interest. The closer management is to the ecosystem, the greater the responsibility, ownership, accountability, participation, and use of local knowledge.

PRINCIPLE 3: *Ecosystem managers should consider the effects (actual or potential) of their activities on adjacent and other ecosystems.*

RATIONALE: Management interventions in ecosystems often have unknown or unpredictable effects on other ecosystems; therefore, possible impacts need careful consideration and analysis. This may require new arrangements or ways of organization for institutions involved in decision-making to make, if necessary, appropriate compromises.

PRINCIPLE 4: *Recognizing potential gains from management, there is usually a need to understand and manage the ecosystem in an economic context. Any such ecosystem-management programme should:*

(a) Reduce those market distortions that adversely affect biological diversity;

(b) Align incentives to promote biodiversity conservation and sustainable use;

(c) Internalize costs and benefits in the given ecosystem to the extent feasible.

RATIONALE: The greatest threat to biological diversity lies in its replacement by alternative systems of land use. This often arises through market distortions, which undervalue natural systems and populations and provide perverse incentives and subsidies to favour the conversion of land to less diverse systems.

Often those who benefit from conservation do not pay the costs associated with conservation and, similarly, those who generate environmental costs (e.g. pollution) escape responsibility. Alignment of incentives allows those who control the resource to benefit and ensures that those who generate environmental costs will pay.

PRINCIPLE 5: *Conservation of ecosystem structure and functioning, in order to maintain ecosystem services, should be a priority target of the ecosystem approach.*

RATIONALE : Ecosystem functioning and resilience depends on a dynamic relationship within species, among species and between species and their abiotic environment, as well as the physical and chemical interactions within the environment. The conservation and,

where appropriate, restoration of these interactions and processes is of greater significance for the long-term maintenance of biological diversity than simply protection of species.

PRINCIPLE 6: *Ecosystems must be managed within the limits of their functioning.*

RATIONALE : In considering the likelihood or ease of attaining the management objectives, attention should be given to the environmental conditions that limit natural productivity, ecosystem structure, functioning and diversity. The limits to ecosystem functioning may be affected to different degrees by temporary, unpredictable or artificially maintained conditions and, accordingly, management should be appropriately cautious.

PRINCIPLE 7: *The ecosystem approach should be undertaken at the appropriate spatial and temporal scales.*

RATIONALE: The approach should be bounded by spatial and temporal scales that are appropriate to the objectives. Boundaries for management will be defined operationally by users, managers, scientists and indigenous and local peoples. Connectivity between areas should be promoted where necessary. The ecosystem approach is based upon the hierarchical nature of biological diversity characterized by the interaction and integration of genes, species and ecosystems.

PRINCIPLE 8: *Recognizing the varying temporal scales and lag-effects that characterize ecosystem processes, objectives for ecosystem management should be set for the long term.*

RATIONALE: Ecosystem processes are characterized by varying temporal scales and lag-effects. This inherently conflicts with the tendency of humans to favour short-term gains and immediate benefits over future ones.

PRINCIPLE 9: *Management must recognize that change is inevitable.*

RATIONALE : Ecosystems change, including species composition and population abundance. Hence, management should adapt to the changes. Apart from their inherent dynamics of change, ecosystems are beset by a complex of uncertainties and potential "surprises" in the human, biological and environmental realms. Traditional disturbance regimes may be important for ecosystem structure and functioning, and may need to be maintained or restored. The ecosystem approach must utilize adaptive management in order to anticipate and cater for such changes and events and should be cautious in making any decision that may foreclose options, but, at the same time, consider mitigating actions to cope with long-term changes such as climate change.

PRINCIPLE 10: *The ecosystem approach should seek the appropriate balance between, and integration of, conservation and use of biological diversity.*

RATIONALE: Biological diversity is critical both for its intrinsic value and because of the key role it plays in providing the ecosystem and other services upon which we all ultimately depend. There has been a tendency in the past to manage components of biological diversity either as protected or non-protected. There is a need for a shift to more flexible situations, where conservation and use are seen in context and the full range of measures is applied in a continuum from strictly protected to human-made ecosystems.

PRINCIPLE 11: *The ecosystem approach should consider all forms of relevant information, including scientific and indigenous and local knowledge, innovations and practices.*

RATIONALE : Information from all sources is critical to arriving at effective ecosystem management strategies. A much better knowledge of ecosystem functions and the impact of human use is desirable. All relevant information from any concerned area should be shared with all stakeholders and actors, taking into account, *inter alia*, any decision to be taken under Article 8(j) of the Convention on Biological Diversity. Assumptions behind proposed management decisions should be made explicit and checked against available knowledge and views of stakeholders.

PRINCIPLE 12: *The ecosystem approach should involve all relevant sectors of society and scientific disciplines.*

RATIONALE: Most problems of biological-diversity management are complex, with many interactions, side-effects and implications, and therefore should involve the necessary expertise and stakeholders at the local, national, regional and international level, as appropriate.

C. Operational guidance for application of the ecosystem approach

7. In applying the 12 principles of the ecosystem approach, the following five points are proposed as operational guidance.

1. FOCUS ON THE FUNCTIONAL RELATIONSHIPS AND PROCESSES WITHIN ECOSYSTEMS

8. The many components of biodiversity control the stores and flows of energy, water and nutrients within ecosystems, and provide resistance to major perturbations. A much better knowledge of ecosystem functions and structure, and the roles of the components of biological diversity in ecosystems, is required, especially to understand: (i) ecosystem resilience and the effects of biodiversity loss (species and genetic levels) and habitat fragmentation; (ii) underlying causes of biodiversity

loss; and (iii) determinants of local biological diversity in management decisions. Functional biodiversity in ecosystems provides many goods and services of economic and social importance. While there is a need to accelerate efforts to gain new knowledge about functional biodiversity, ecosystem management has to be carried out even in the absence of such knowledge. The ecosystem approach can facilitate practical management by ecosystem managers (whether local communities or national policy makers).

2. ENHANCE BENEFIT-SHARING

9. Benefits that flow from the array of functions provided by biological diversity at the ecosystem level provide the basis of human environmental security and sustainability. The ecosystem approach seeks that the benefits derived from these functions are maintained or restored. In particular, these functions should benefit the stakeholders responsible for their production and management. This requires, *inter alia*: capacity-building, especially at the level of local communities managing biological diversity in ecosystems; the proper valuation of ecosystem goods and services; the removal of perverse incentives that devalue ecosystem goods and services; and, consistent with the provisions of the Convention on Biological Diversity, where appropriate, their replacement with local incentives for good management practices.

3. USE ADAPTIVE MANAGEMENT PRACTICES

10. Ecosystem processes and functions are complex and variable. Their level of uncertainty is increased by the interaction with social constructs, which need to be better understood. Therefore, ecosystem management must involve a learning process, which helps to adapt methodologies and practices to the ways in which these systems are being managed and monitored. Implementation programmes should be designed to adjust to the unexpected, rather than to act on the basis of a belief in certainties. Ecosystem management needs to recognize the diversity of social and cultural factors affecting natural-resource use. Similarly, there is a need for flexibility in policy-making and implementation. Long-term, inflexible decisions are likely to be inadequate or even destructive. Ecosystem management should be envisaged as a long-term experiment that builds on its results as it progresses. This "learning-by-doing" will also serve as an important source of information to gain knowledge of how best to monitor the results of management and evaluate whether established goals are being attained. In this respect, it would be desirable to establish or strengthen capacities of Parties for monitoring.

4. CARRY OUT MANAGEMENT ACTIONS AT THE SCALE APPROPRIATE FOR THE ISSUE BEING ADDRESSED, WITH DECENTRALIZATION TO LOWEST LEVEL, AS APPROPRIATE

11. As noted in section A above, an ecosystem is a functioning unit that can operate at any scale, depending upon the problem or issue being addressed. This understanding should define the appropriate level for management decisions and actions. Often, this approach will imply decentralization to the level of local com-

munities. Effective decentralization requires proper empowerment, which implies that the stakeholder both has the opportunity to assume responsibility and the capacity to carry out the appropriate action, and needs to be supported by enabling policy and legislative frameworks. Where common property resources are involved, the most appropriate scale for management decisions and actions would necessarily be large enough to encompass the effects of practices by all the relevant stakeholders. Appropriate institutions would be required for such decision-making and, where necessary, for conflict resolution. Some problems and issues may require action at still higher levels, through, for example, transboundary cooperation, or even cooperation at global levels.

5. ENSURE INTERSECTORAL COOPERATION

12. As the primary framework of action to be taken under the Convention, the ecosystem approach should be fully taken into account in developing and reviewing national biodiversity strategies and action plans. There is also a need to integrate the ecosystem approach into agriculture, fisheries, forestry and other production systems that have an effect on biodiversity. Management of natural resources, according to the ecosystem approach, calls for increased intersectoral communication and cooperation at a range of levels (government ministries, management agencies, etc.). This might be promoted through, for example, the formation of inter-ministerial bodies within the Government or the creation of networks for sharing information and experience.

DECISION V/7 | Identification, monitoring and assessment, and indicators

The Conference of the Parties

1. *Requests* the Executive Secretary, in broad consultation with Parties, drawing on the roster of experts, and in collaboration with other relevant organizations, bodies and processes, to carry out the pending activities set out in the work programme on indicators of biological diversity as approved by decision IV/1 A of the Conference of the Parties and, in particular, to develop:

(a) A set of principles for designing national-level monitoring programmes and indicators;

(b) A key set of standard questions and a list of available and potential indicators, covering the ecosystem, species and genetic levels, taking into account the ecosystem approach, that may be used by Parties at their national level and in national reporting and that also allow for regional and global overviews on the state and trends of biodiversity and, if possible and appropriate, any responses from policy measures;

2. *Encourages* Parties and Governments to establish or increase regional cooperation in the field of indicators, monitoring and assessment and *invites* the Executive Secretary to establish a process through which the documents mentioned

above are reviewed and broadly discussed at regional workshops on the basis of case-studies submitted by Parties, Governments and relevant organizations;

3. *Acknowledges* that the capacity of many countries, particularly least developed countries, to reliably and consistently monitor indicators is limited and that, therefore, indicators will need to be developed incrementally over time, based on national priorities;

4. *Invites* Parties, Governments and organizations to undertake appropriate actions to assist other Parties (particularly developing countries) to increase their capacity to develop and use indicators. Appropriate actions may include:

(a) Provision of training;

(b) Assisting in the development of national networks;

(c) Sharing experiences between and among countries, regions and organizations involved in the development and use of indicators;

5. *Requests* the Executive Secretary to produce an interim report on progress, including the ongoing work on indicators in the thematic and other work programmes, for review by the Subsidiary Body on Scientific, Technical and Technological Advice prior to the sixth meeting of the Conference of the Parties and to submit a final report on the conclusions of this initiative to the Conference of the Parties at its sixth meeting.

DECISION V/8 | Alien species that threaten ecosystems, habitats or species

The Conference of the Parties

1. *Urges* Parties, Governments and relevant organizations to apply the interim guiding principles contained in annex I to the present decision, as appropriate, in the context of activities aimed at implementing Article 8(h) of the Convention on Biological Diversity, and in the various sectors;

2. *Endorses* the outline for case-studies contained in annex II to the present decision;

3. *Urges* Parties, Governments and relevant organizations to submit case-studies to the Executive Secretary, particularly focusing on thematic assessments, on the basis of the outline contained in the annex to the present decision;

4. *Requests* the Convention's clearing-house mechanism to disseminate and compile these case-studies;

5. *Requests* Parties, other Governments, relevant bodies and other relevant international and regional binding and non-binding instruments, in the light of discussions by the Subsidiary Body on Scientific, Technical and Technological Advice at its fifth meeting, to submit to the Executive Secretary written comments on the interim guiding principles, to be taken into account, together with the case-stud-

ies, in the further elaboration of the interim guiding principles, to be considered by the Subsidiary Body prior to the sixth meeting of the Conference of Parties, and *requests* the Executive Secretary to distribute those comments through the national focal points;

6. *Urges* Parties, other Governments and relevant bodies to give priority to the development and implementation of alien invasive species strategies and action plans;

7. *Strongly encourages* Parties to develop mechanisms for transboundary cooperation and regional and multilateral cooperation in order to deal with the issue, including the exchange of best practices;

8. *Urges* Parties, other Governments and relevant bodies, such as the Global Invasive Species Programme, in their work on alien invasive species, to give priority attention to geographically and evolutionarily isolated ecosystems, and to use the ecosystem approach and precautionary and biogeographical approaches, as appropriate;

9. *Encourages* Parties to develop effective education, training and public-awareness measures, as well as to inform the public about the different aspects of the issue, including the risks posed by alien invasive species;

10. *Requests* the Global Invasive Species Programme, in developing a global strategy to deal with alien invasive species, to ensure consistency with the provisions on alien invasive species in Article 8(h) of the Convention and relevant provisions within other articles, including Article 14, taking into full account considerations on alien invasive species within relevant decisions of the Conference of the Parties on, for example, the conservation and sustainable use of inland-water, marine and coastal and forest biological diversity, and the biodiversity of dry and sub-humid lands;

11. *Requests* the Executive Secretary to cooperate with other international bodies and other relevant international and regional binding and non-binding instruments, such as the Convention on the Conservation of Migratory Species of Wild Animals, the Convention on International Trade in Endangered Species of Wild Fauna and Flora, the Convention on Wetlands of International Importance especially as Waterfowl Habitat (Ramsar), the Convention on the Conservation of European Wildlife and Natural Habitats, the International Plant Protection Convention and regional plant protection organizations, Codex Alimentarius, DIVERSITAS, the Office International des Epizooties, the United Nations Educational, Scientific and Cultural Organization, and the organizations mentioned in paragraph 14 of the present decision, with the aim of coordinating work on alien invasive species, and to report on potential joint programmes of work to the Subsidiary Body on Scientific, Technical and Technological Advice;

12. *Invites* the Parties, Governments, the Global Invasive Species Programme and other relevant bodies, to disseminate publicly available information which they hold or acquire, including databases of alien species, through the Convention's clearing-house mechanism;

13. *Invites* the Global Invasive Species Programme to report on its September 2000 meeting on the "synthesis of GISP phase 1" to the Subsidiary Body on Scientific,

Technical and Technological Advice prior to the sixth meeting of the Conference of Parties, *recognizing* the need to continue the work of the Global Invasive Species Programme through the prompt development of the second phase of the Global Invasive Species Programme, with emphasis on ecosystems vulnerable to alien species invasions;

14. *Requests* the Executive Secretary to collaborate with the Global Invasive Species Programme, the Food and Agriculture Organization of the United Nations, the International Maritime Organization, the World Health Organization and other relevant organizations, and other relevant internationally and regionally binding and non-binding instruments to assist the Parties to the Convention in:

(a) Developing standardized terminology on alien species;

(b) Developing criteria for assessing risks from introduction of alien species;

(c) Developing processes for assessing the socio-economic implications of alien invasive species, particularly the implications for indigenous and local communities;

(d) Furthering research on the impact of alien invasive species on biological diversity;

(e) Developing means to enhance the capacity of ecosystems to resist or recover from alien species invasions;

(f) Developing a system for reporting new invasions of alien species and the spread of alien species into new areas;

(g) Assessing priorities for taxonomic work;

15. *Requests* the Executive Secretary, in collaboration with the Global Invasive Species Programme, the Food and Agriculture Organization of the United Nations, the International Maritime Organization, the World Health Organization and other relevant organizations and instruments to develop a paper for consideration by the Subsidiary Body on Scientific, Technical and Technological Advice and the Conference of the Parties at its sixth meeting, comprising:

(a) A comprehensive review on the efficiency and efficacy of existing measures for prevention, early detection, eradication and control of alien invasive species and their impacts;

(b) A progress report on the matters listed in paragraphs 5 and 14 of the present decision;

(c) All options for future work on alien invasive species under the Convention on Biological Diversity, which would provide practical support to Parties, Governments and organizations in the implementation of Article 8(h) of the Convention and lead to the full and effective implementation of Article 8(h);

16. *Decides* that, at its sixth meeting, the Conference of the Parties, on the basis of the information referred to in paragraphs 5 and 15 of the present decision, will consider options for the full and effective implementation of Article 8(h) including the possibilities of:

(a) Further developing the guiding principles on the prevention of introduction, and mitigation of the impacts, of alien invasive species;

(b) Developing an international instrument; and/or

(c) Other options;

17. *Invites* the Global Environment Facility, Parties, Governments and funding organizations to provide adequate and timely support to enable the Global Invasive Species Programme to fulfil the tasks outlined in the present decision.

ANNEX I
INTERIM GUIDING PRINCIPLES FOR THE PREVENTION, INTRODUCTION AND MITIGATION OF IMPACTS OF ALIEN SPECIES

It should be noted that in the interim guiding principles below, terms are used for which a definition has not yet been developed, pending a decision by the Conference of Parties on the development of a standardized terminology on alien species, as mentioned in paragraph 5 of recommendation V/4. In the interim and for the purpose of these interim principles, to avoid confusion the following definitions are used: (i) "alien" or "alien species" refers to a species occurring outside its normal distribution; and (ii) "alien invasive species" refers to those alien species which threaten ecosystems, habitats or species.

A. General

GUIDING PRINCIPLE 1: PRECAUTIONARY APPROACH

Given the unpredictability of the impacts on biological diversity of alien species, efforts to identify and prevent unintentional introductions as well as decisions concerning intentional introductions should be based on the precautionary approach. Lack of scientific certainty about the environmental, social and economic risk posed by a potentially invasive alien species or by a potential pathway should not be used as a reason for not taking preventative action against the introduction of potentially invasive alien species. Likewise, lack of certainty about the long-term implication of an invasion should not be used as a reason for postponing eradication, containment or control measures.

GUIDING PRINCIPLE 2: THREE-STAGE HIERARCHICAL APPROACH

Prevention is generally far more cost effective and environmentally desirable than measures taken following introduction of an alien invasive species. Priority should be given to prevention of entry of alien invasive species (both between and within States). If entry has already taken place, actions should be undertaken to prevent the establishment and spread of alien species. The preferred response would be eradication at the earliest possible stage (principle 13). In the event that eradication is not feasible or is not cost-effective, containment (principle 14) and long-term control measures (principle 15) should be considered. Any examination of benefits and costs (both environmental and economic) should be done on a long-term basis.

GUIDING PRINCIPLE 3: ECOSYSTEM APPROACH

All measures to deal with alien invasive species should be based on the ecosystem approach, in line with the relevant provisions of the Convention and the decisions of the Conference of the Parties.

GUIDING PRINCIPLE 4: STATE RESPONSIBILITY

States should recognize the risk that they may pose to other States as a potential source of alien invasive species, and should take appropriate actions to minimize that risk. In accordance with Article 3 of the Convention on Biological Diversity, and principle 2 of the 1992 Rio Declaration on Environment and Development, States have the responsibility to ensure that activities within their jurisdiction or control do not cause damage to the environment of other States or of areas beyond the limits of national jurisdiction. In the context of alien invasive species, activities that could be a risk for another State include:

(a) The intentional or unintentional transfer of an alien invasive species to another State (even if it is harmless in the State of origin); and

(b) The intentional or unintentional introduction of an alien species into their own State if there is a risk of that species subsequently spreading (with or without a human vector) into another State and becoming invasive.

GUIDING PRINCIPLE 5: RESEARCH AND MONITORING

In order to develop an adequate knowledge base to address the problem, States should undertake appropriate research on and monitoring of alien invasive species. This should document the history of invasions (origin, pathways and time-period), characteristics of the alien invasive species, ecology of the invasion, and the associated ecological and economic impacts and how they change over time. Monitoring is the key to early detection of new alien species. It requires targeted and general surveys, which can benefit from the involvement of local communities.

GUIDING PRINCIPLE 6: EDUCATION AND PUBLIC AWARENESS

States should facilitate education and public awareness of the risks associated with the introduction of alien species. When mitigation measures are required, education and public-awareness-oriented programmes should be set in motion so as to inform local communities and appropriate sector groups on how to support such measures.

B. Prevention

GUIDING PRINCIPLE 7: BORDER CONTROL AND QUARANTINE MEASURES

1. States should implement border control and quarantine measures to ensure that:

(a) Intentional introductions are subject to appropriate authorization (principle 10);

(b) Unintentional or unauthorized introductions of alien species are minimized.

2. These measures should be based on an assessment of the risks posed by alien species and their potential pathways of entry. Existing appropriate governmental agencies or authorities should be strengthened and broadened as necessary, and staff should be properly trained to implement these measures. Early detection systems and regional coordination may be useful.

GUIDING PRINCIPLE 8: EXCHANGE OF INFORMATION

States should support the development of database(s), such as that currently under development by the Global Invasive Species Programme, for compilation and dissemination of information on alien species that threaten ecosystems, habitats or species, to be used in the context of any prevention, introduction and mitigation activities. This information should include incident lists, information on taxonomy and ecology of invasive species and on control methods, whenever available. The wide dissemination of this information, as well as national, regional and international guidelines, procedures and recommendations such as those being compiled by the Global Invasive Species Programme should also be facilitated through, *inter alia*, the clearing-house mechanism.

GUIDING PRINCIPLE 9: COOPERATION, INCLUDING CAPACITY-BUILDING

Depending on the situation, a State's response might be purely internal (within the country), or may require a cooperative effort between two or more countries, such as:

(a) Where a State of origin is aware that a species being exported has the potential to be invasive in the receiving State, the exporting State should provide information, as available, on the potential invasiveness of the species to the importing State. Particular attention should be paid where exporting Parties have similar environments;

(b) Agreements between countries, on a bilateral or multilateral basis, should be developed and used to regulate trade in certain alien species, with a focus on particularly damaging invasive species;

(c) States should support capacity-building programmes for States that lack the expertise and resources, including financial, to assess the risks of introducing alien species. Such capacity-building may involve technology transfer and the development of training programmes.

C. Introduction of species

GUIDING PRINCIPLE 10: INTENTIONAL INTRODUCTION

No intentional introduction should take place without proper authorization from the relevant national authority or agency. A risk assessment, including environmental impact assessment, should be carried out as part of the evaluation process before coming to a decision on whether or not to authorize a proposed introduction. States should authorize the introduction of only those alien species that, based on this prior assessment, are unlikely to cause unacceptable harm to

ecosystems, habitats or species, both within that State and in neighbouring States. The burden of proof that a proposed introduction is unlikely to cause such harm should be with the proposer of the introduction. Further, the anticipated benefits of such an introduction should strongly outweigh any actual and potential adverse effects and related costs. Authorization of an introduction may, where appropriate, be accompanied by conditions (e.g., preparation of a mitigation plan, monitoring procedures, or containment requirements). The precautionary approach should be applied throughout all the above-mentioned measures.

GUIDING PRINCIPLE 11: UNINTENTIONAL INTRODUCTIONS

1. All States should have in place provisions to address unintentional introductions (or intentional introductions that have established and become invasive). These include statutory and regulatory measures, institutions and agencies with appropriate responsibilities and with the operational resources required for rapid and effective action.

2. Common pathways leading to unintentional introductions need to be identified and appropriate provisions to minimize such introductions should be in place. Sectoral activities, such as fisheries, agriculture, forestry, horticulture, shipping (including the discharge of ballast waters), ground and air transportation, construction projects, landscaping, ornamental aquaculture, tourism and game-farming, are often pathways for unintentional introductions. Legislation requiring environmental impact assessment of such activities should also require an assessment of the risks associated with unintentional introductions of alien invasive species.

D. Mitigation of impacts

GUIDING PRINCIPLE 12: MITIGATION OF IMPACTS

Once the establishment of an alien invasive species has been detected, States should take steps such as eradication, containment and control, to mitigate the adverse effects. Techniques used for eradication, containment or control should be cost-effective, safe to the environment, humans and agriculture, as well as socially, culturally and ethically acceptable. Mitigation measures should take place in the earliest possible stage of invasion, on the basis of the precautionary approach. Hence, early detection of new introductions of potentially invasive or invasive species is important, and needs to be combined with the capacity to take rapid follow-up action.

GUIDING PRINCIPLE 13: ERADICATION

Where it is feasible and cost-effective, eradication should be given priority over other measures to deal with established alien invasive species. The best opportunity for eradicating alien invasive species is in the early stages of invasion, when populations are small and localized; hence, early detection systems focused on high-risk entry points can be critically useful. Community support, built through comprehensive consultation, should be an integral part of eradication projects.

GUIDING PRINCIPLE 14: CONTAINMENT

When eradication is not appropriate, limitation of spread (containment) is an appropriate strategy only where the range of the invasive species is limited and containment within defined boundaries is possible. Regular monitoring outside the control boundaries is essential, with quick action to eradicate any new outbreaks.

GUIDING PRINCIPLE 15: CONTROL

Control measures should focus on reducing the damage caused rather than on merely reducing the numbers of the alien invasive species. Effective control will often rely on a range of integrated techniques. Most control measures will need to be regularly applied, resulting in a recurrent operating budget and the need for a long-term commitment to achieve and maintain results. In some instances, biological control may give long-term suppression of an alien invasive species without recurrent costs, but should always be implemented in line with existing national regulations, international codes and principle 10 above.

ANNEX II
OUTLINE FOR CASE-STUDIES ON ALIEN SPECIES

To the extent possible, case-studies should be short and succinct summaries of experience on alien species at the country and regional levels. A case-study should focus on the prevention of introduction, control, and eradication of alien species that threaten ecosystems, habitats or species.

Case-studies should include the following sections (a summary of the information may be provided under each heading, and a more detailed paper may be attached; if the information were not available, this should be indicated in the appropriate section):

1. Description of the problem:

(a) Location of the case-study;

(b) History (origin, pathway and dates, including time-period between initial entry/first detection of alien species and development of impacts) of introduction(s);

(c) Description of the alien species concerned: biology of the alien species (the scientific name of species should be indicated if possible) and ecology of the invasion(s) (type of and potential or actual impacts on biological diversity and ecosystem(s) invaded or threatened, and stakeholders involved);

(d) Vector(s) of invasion(s) (e.g. of deliberate importation, contamination of imported goods, ballast water, hull-fouling and spread from adjacent area. It should be specified, if known, whether entry was deliberate and legal, deliberate and illegal, accidental, or natural.);

(e) Assessment and monitoring activities conducted and methods applied, including difficulties encountered (e.g. uncertainties due to missing taxonomic knowledge);

2. Options considered to address the problem:

(a) Description of the decision-making process (stakeholders involved, consultation processes used, etc.);

(b) Type of measures (research and monitoring; training of specialists; prevention, early detection, eradication, control/containment measures, habitat and/or natural community restoration; legal provisions; public education and awareness);

(c) Options selected, time-frame and reasons for selecting the options;

(d) Institutions responsible for decisions and actions;

3. Implementation of measures, including assessment of effectiveness:

(a) Ways and means set in place for implementation;

(b) Achievements (specify whether the action was fully successful, partially successful, or unsuccessful), including any adverse effects of the actions taken on the conservation and sustainable use of biodiversity;

(c) Costs of action;

4. Lessons learned from the operation and other conclusions:

(a) Further measures needed, including transboundary, regional and multilateral cooperation;

(b) Replicability for other regions, ecosystems or groups of organisms;

(c) Information compilation and dissemination needed.

DECISION V/9 | Global Taxonomy Initiative: implementation and further advance of the Suggestions for Action

The Conference of the Parties

1. *Establishes* a Global Taxonomy Initiative coordination mechanism to assist the Executive Secretary to facilitate international cooperation and coordinate activities under the Global Taxonomy Initiative in accordance with the terms of reference contained in the annex to this decision;

2. *Urges* Parties, Governments and relevant organizations to undertake the following priority activities to further the Global Taxonomy Initiative:

(a) The identification of national and regional priority taxonomic information requirements;

(b) Assessments of national taxonomic capacity to identify and, where possible, quantify national and regional-level taxonomic impediments and needs, including the identification of taxonomic tools, facilities and services required at all levels, and mechanisms to establish, support and maintain such tools, facilities and services;

(c) Establishment or consolidation of regional and national taxonomic reference centres;

(d) The building of taxonomic capacity, in particular in developing countries, including through partnerships between national, regional and international taxonomic reference centres, and through information networks;

(e) Communication to the Executive Secretary and Global Taxonomy Initiative coordination mechanism, by 31 December 2001, of suitable programmes, projects and initiatives for consideration as pilot projects under the Global Taxonomy Initiative;

3. *Requests* that the Executive Secretary, with the assistance of the Global Taxonomy Initiative coordination mechanism:

(a) Draft as a component of the strategic plan for the Convention on Biological Diversity a work programme for the Global Taxonomy Initiative defining timetables, goals, products and pilot projects, emphasizing its role in underpinning conservation, sustainable use and equitable sharing of benefits, for consideration by the Subsidiary Body on Scientific, Technical and Technological Advice;

(b) Initiate short-term activities, including regional meetings of scientists, managers and policy makers to prioritize the most urgent global taxonomic needs and facilitate the formulation of specific regional and national projects to meet the needs identified, and to report thereon to the Conference of the Parties at its sixth meeting;

(c) Synthesize the findings of previous meetings of experts on the Global Taxonomy Initiative (as contained in the note by the Executive Secretary on the review of the Global Taxonomy Initiative (UNEP/CBD/SBSTTA/5/4)), relevant sections of national reports submitted to the Conference of the Parties and recommendations of the Subsidiary Body on Scientific, Technical and Technological Advice on the Global Taxonomy Initiative, as advice for the proposed regional meetings;

(d) Use the Global Taxonomy Initiative as a forum to promote the importance of taxonomy and taxonomic tools in the implementation of the Convention;

4. *Requests* all Parties and Governments to designate a national Global Taxonomy Initiative focal point by 31 December 2000, linked to other national focal points, and participate in the development of regional networks to facilitate information-sharing for the Global Taxonomy Initiative;

5. *Invites* all interested international and regional conventions, initiatives and programmes to indicate their support for the Global Taxonomy Initiative and its coordination mechanism, through the Executive Secretary, and in so doing to specify their particular areas of interest and any support for the implementation of the Global Taxonomy Initiative that could be forthcoming;

6. *Urges* eligible Parties and consortia of eligible Parties to seek resources for the above priority actions through the financial mechanism, and requests the financial mechanism to continue promoting awareness of the Global Taxonomy Initiative in

its outreach activities, such as the Capacity Development Initiative and the Country Dialogue Workshops, and to investigate ways both within and outside its operational programme structure to facilitate capacity-building in taxonomy, and the implementation of the short-term activities referred to in the annex to the present decision.

ANNEX
TERMS OF REFERENCE FOR THE COORDINATION MECHANISM OF THE GLOBAL TAXONOMY INITIATIVE

Mandate

Building on the guidance contained in recommendation V/3 of the Subsidiary Body on Scientific, Technical and Technological Advice, the coordination mechanism shall assist the Executive Secretary to facilitate international cooperation and to coordinate activities on matters pertaining to the implementation and development of the Global Taxonomy Initiative (GTI). The Executive Secretary in carrying out this mandate will work closely with the clearing-house mechanism and report on progress of the Global Taxonomy Initiative to every other meeting of the Subsidiary Body on Scientific, Technical and Technological Advice, and, as appropriate, to the Conference of the Parties. The first meeting of the coordination mechanism shall take place no later than 30 November 2000. Meetings of the coordination mechanism can only take place with adequate representation from all regions, and subject to available resources.

Specific short-term activities to be undertaken prior to the sixth meeting of the Conference of the Parties

The Executive Secretary with the assistance of the Coordination Mechanism shall:

(a) Develop a work programme for the Global Taxonomy Initiative, consistent with the Convention strategic plan, for consideration by the Subsidiary Body on Scientific, Technical and Technological Advice;

(b) Convene regional meetings of scientists, managers and policy makers to prioritize the most urgent global taxonomic needs for consideration by the Subsidiary Body on Scientific, Technical and Technological Advice in finalizing the Global Taxonomy Initiative work programme;

(c) Establish mechanisms to use the Global Taxonomy Initiative as a forum to promote the importance of taxonomy and taxonomic tools in the implementation of the Convention's programmes of work.

Membership

The Executive Secretary, in consultation with the Bureau of the Subsidiary Body on Scientific, Technical and Technological Advice shall at the earliest opportunity select 10 members of the coordination mechanism, with due regard to geographical balance to allow two representatives from each region, on a rotational basis. The Executive Secretary shall invite a limited number of leading relevant organizations such as the United Nations Environment Programme, the United Nations Educational, Scientific and Cultural Organization, the Food and Agriculture

Organization of the United Nations, the International Council of Scientific Unions, the Global Biodiversity Information Facility, the Global Environment Facility, and BioNET INTERNATIONAL to participate in the work of the coordination mechanism.

DECISION V/10 | Global strategy for plant conservation

The Conference of the Parties,

Recognizing that plant diversity is a common concern of humankind, and an essential resource for the planet,

Concerned that as many as two thirds of the world's plant species may be in danger of extinction in nature during the course of the twenty first century, and that this threatens humankind's expectation of using plant diversity to build sustainable, healthy and better lives for the future,

Taking note of the proposal contained in the Gran Canaria Declaration (UNEP/CBD/COP/5/INF/32), calling for the development of a Global Strategy for Plant Conservation, as well as the resolution of the XVI International Botanical Congress, held in St.Louis, Missouri, United States of America, in August 1999, and taking into account the International Agenda for Botanic Gardens in Conservation, the Global Invasive Species Programme, and the Plants Programme of the IUCN Species Survival Commission,

1. *Recognizes* that the Convention on Biological Diversity is a leading international convention for the conservation and sustainable use of biodiversity, and further recognizes the cross-cutting nature of plant conservation;

2. *Recognizes also* the important role of other existing initiatives, in particular the Global Plan of Action for the Conservation and Sustainable Utilization of Plant Genetic Resources for Food and Agriculture, and *is aware* of current efforts to revise the International Undertaking on Plant Genetic Resources for Food and Agriculture developed by the Food and Agriculture Organization of the United Nations;

3. *Decides* to consider, at its sixth meeting, the establishment of a global strategy for plant conservation;

4. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice to make recommendations to the Conference of the Parties, for consideration at its sixth meeting, regarding the development of a global strategy for plant conservation, which would be aimed at halting the current and continuing unacceptable loss of plant diversity;

5. In order to better enable the Subsidiary Body on Scientific, Technical and Technological Advice to carry out this task, *requests* the Executive Secretary to solicit the views of Parties, and to liaise with relevant organizations, including, *inter alia*, the Global Plan of Action of the Food and Agriculture Organization, the Man and the Biosphere Programme of the United Nations Educational, Scientific and Cultural

Organization, Botanic Gardens Conservation International, and the Convention on International Trade in Endangered Species of Wild Fauna and Flora, in order to gather information regarding plant conservation, including information on existing international initiatives. This information is to be reported to the Subsidiary Body on Scientific, Technical and Technological Advice, together with advice on the relationship between plant conservation and the thematic work programmes.

DECISION V/11 | Additional financial resources

The Conference of the Parties,

Emphasizing the vital importance of adequate financial resources for the implementation of the Convention on Biological Diversity and *reaffirming* the importance of providing new and additional financial resources through the financial mechanism in accordance with Article 20 of the Convention,

Expressing its appreciation to those bilateral and regional funding institutions, United Nations institutions, intergovernmental organizations and nongovernmental organizations and convention secretariats that provided information regarding financial resources to the Conference of the Parties at its fifth meeting,

Noting that a number of funding institutions have increased financial support to biodiversity projects and activities or have taken this into account in their regular operations,

Also noting the lack of comprehensive information about financial support to biological diversity,

Welcoming the pilot study on aid targeting the objectives of the Rio conventions being carried out by the Development Assistance Committee of the Organisation for Economic Cooperation and Development,

1. *Requests* the Executive Secretary to further develop a database on biodiversity-related funding information, and make it available through the clearing-house mechanism and other means of communications, as appropriate;

2. *Invites* the Global Environment Facility to assist the Executive Secretary, in collaboration with the relevant international organizations and institutions, to convene a workshop on financing for biodiversity with a view to sharing knowledge and experience among funding institutions, and to explore the potential of the Global Environment Facility to act as a funding catalyst;

3. *Recognizes* the difficulties in developing a format for standardized information on financial support from developed country Parties for the objectives of the Convention and requests the workshop referred to in paragraph 2 of the present decision to provide further advice to the Executive Secretary on this matter;

4. *Urges* developed country Parties and encourages developing country Parties to establish a process to monitor financial support to biodiversity, and to provide fur-

ther information in their national reports on financial support to biodiversity to the Conference of the Parties at its sixth meeting;

5. *Invites*, *inter alia*, funding institutions, United Nations bodies, intergovernmental organizations and non-governmental organizations to designate focal points, to develop a reporting relationship with the Convention, and to provide information to the Executive Secretary on their activities in support of the objectives of the Convention;

6. *Recognizes* that more complete information concerning the financial support, from all relevant sources, for the implementation of the objectives of the Convention, including the work programmes established by the Conference of the Parties, will assist it to develop further guidance to the financial mechanism and to better coordinate with other funding institutions;

7. *Requests* the Executive Secretary to explore further collaboration with the work on financial issues on Agenda 21 under the Commission on Sustainable Development, and to contribute to the High-Level Consultation on Financing for Development of the General Assembly in 2001;

8. *Also requests* the Executive Secretary to further develop collaboration with funding mechanisms of relevant conventions and agreements, and with relevant biodiversity-related programmes of international and regional organizations, and, as appropriate and upon request, to assist these in defining their funding strategies and programmes and in the promotion of capacity-building;

9. *Urges* developed country Parties to promote support for the implementation of the objectives of the Convention on Biological Diversity in the funding policy of their bilateral funding institutions and those of regional and multilateral funding institutions;

10. *Urges* developing country Parties to incorporate ways and means to support implementation of the objectives of the Convention on Biological Diversity into their dialogue with funding institutions;

11. *Emphasizes* the importance of financial support for the implementation of national biodiversity strategies and action plans and for capacity-building for implementation of the Cartagena Protocol;

12. *Notes* the cross-cutting nature of the involvement of the private sector, and *resolves* that the involvement of the private sector shall be included, as appropriate, on the agenda of the Conference of the Parties at its regular meetings and be integrated into the sectoral and thematic items under its programme of work;

13. *Notes also* that the involvement of all relevant stakeholders can contribute to the implementation of the Convention;

14. *Invites* Parties to include in their second national reports information on the involvement of the private sector;

15. *Invites* the United Nations Environment Programme, through its financial-sector initiatives, the World Bank and other financial institutions, to promote consideration of biological diversity by the financial sector;

16. *Urges* Parties, subject to their national legislation, to promote the consideration of tax exemptions in national taxation systems for biodiversity-related donations, and *requests* the Executive Secretary to encourage charitable institutions to support activities that promote the implementation of the Convention;

17. *Requests* the Executive Secretary to prepare a report on the implementation of the present decision for the consideration of the Conference of the Parties at its sixth meeting.

DECISON V/12 | Second review of the financial mechanism

The Conference of the Parties

1. *Decides* to adopt the annex to the present decision, containing the objectives and criteria for the second review of the effectiveness of the financial mechanism to be conducted in time for the sixth meeting of the Conference of the Parties;

2. *Decides also* that this second review should be conducted under the authority of the Conference of the Parties;

3. *Decides further* that, based on the results of the review, the Conference of the Parties shall take appropriate action to improve the effectiveness of the mechanism if necessary.

ANNEX
TERMS OF REFERENCE FOR THE SECOND REVIEW OF THE EFFECTIVENESS OF THE FINANCIAL MECHANISM

A. Objectives

1. In accordance with Article 21, paragraph 3, the Conference of the Parties will review the effectiveness of the mechanism, including the criteria and guidelines referred to in Article 21, paragraph 2, with a view to taking appropriate action to improve the effectiveness of the mechanism if necessary. For this purpose, effectiveness will include:

(a) The effectiveness of the financial mechanism and its institutional structure in providing and delivering financial resources, as well as in overseeing, monitoring and evaluating the activities financed by its resources;

(b) The conformity of the activities of the Global Environment Facility (GEF), as the institutional structure operating the financial mechanism, with the guidance of the Conference of the Parties; and

(c) The efficiency, effectiveness and sustainability of the GEF-funded activities on the implementation of the Convention and in the achievement of its three objectives.

B. Methodology

2. The review will cover the activities of the financial mechanism for the period from November 1996 to June 2001, with special emphasis on those activities that have been concluded during the same period.

3. The review will cover all operational programmes of the financial mechanism relevant to the Convention on Biological Diversity.

4. The review should be carried out by an independent evaluator and shall draw upon, *inter alia*, the following sources of information:

(a) Information provided by the Parties and countries on their experiences regarding the financial mechanism;

(b) Reports prepared by the Global Environment Facility, including its reports to the Conference of the Parties, programme status reports, operational reports on GEF programmes and the GEF pipeline, reports of the GEF Monitoring and Evaluation Programme, in particular the second Overall Performance Study, operational reports on GEF programmes and the annual programme performance report;

(c) Project reviews and evaluation reports prepared by the Implementing Agencies;

(d) Information provided by other relevant stakeholders in GEF-financed biodiversity activities.

C. Criteria

5. The effectiveness of the financial mechanism shall be assessed taking into account, *inter alia*:

(a) The steps and actions taken by the financial mechanism in response to the actions requested by the Conference of the Parties at its fourth meeting to improve the effectiveness of the financial mechanism, as set out in the annex to its decision IV/11;

(b) The actions taken by the financial mechanism in response to the guidance of the Conference of the Parties, as contained in decisions I/2, II/6, III/5, IV/13 and V/13;

(c) The findings and recommendations of the second Overall Performance Study of the GEF;

(d) Any other significant issue raised by the Parties.

D. Procedures

6. Under the authority and with the support of the Conference of the Parties, the Executive Secretary shall contract an experienced independent evaluator to undertake the review, in accordance with the above objectives, methodology and criteria.

7. The Parties, countries and stakeholders, including relevant organizations, are invited to communicate to the Executive Secretary, by 30 September 2001, their

detailed views on the effectiveness and efficiency of the financial mechanism on the basis of experience during the period under review.

8. The communications referred to above shall be structured along the lines of a questionnaire designed by the evaluator using the criteria adopted in the present terms of reference, to be sent to the Parties as soon as practicable after the fifth meeting of the Conference of the Parties. The evaluator shall prepare a compilation and synthesis of the information received.

9. The evaluator will undertake such desk studies, interviews, field visits and collaboration with the GEF secretariat as may be required for the preparation of the study, subject to the availability of resources.

10. The compilation and synthesis of the information and recommendations for future improvements received in response to the questionnaire and the report of the evaluator shall be submitted to the Bureau for review and comments prior to their circulation.

11. The draft compilation and synthesis, and the report of the evaluator, will also be made available to GEF (the GEF secretariat and Implementing Agencies) for its review and comments. Such comments shall be included in the documentation and identified by source.

12. The Executive Secretary shall submit the documents to Parties at least three months prior to the sixth meeting of the Conference of the Parties.

DECISION V/13 | Further guidance to the financial mechanism

The Conference of the Parties,

Having examined the report of the Global Environment Facility (UNEP/CBD/COP/5/7),

Taking note of the note by the Executive Secretary (UNEP/CBD/COP/5/13/Add.1) with respect to previous guidance in relation to agenda items of the fifth meeting, in response to paragraph 4 of decision IV/11,

Taking note with appreciation of the efforts of the Global Environment Facility to provide additional funding for biodiversity enabling activities under expedited procedures, and *urging* it to continue to improve access to funding by developing country Parties and increase flexibility in its operational criteria,

1. *Welcomes* the decision of the Council of the Global Environment Facility requesting its secretariat, in consultation with the Implementing Agencies and the Secretariat of the Convention on Biological Diversity, to develop an initial strategy for assisting countries to prepare for the entry into force of the Cartagena Protocol on Biosafety;

2. *Decides* to provide the following additional guidance to the Global Environment Facility in the provision of financial resources, in conformity with decisions I/1, II/6, III/5 and IV/13 of the Conference of the Parties. In this regard, the Global

Environment Facility shall provide financial resources to developing country Parties for country-driven activities and programmes, consistent with national priorities and objectives, recognizing that economic and social development and poverty eradication are the first and overriding priorities of developing countries. The Global Environment Facility, as the institutional structure operating the financial mechanism, should provide support:

(a) For projects utilizing the ecosystem approach, without prejudice to differing national needs and priorities which may require the application of approaches such as single-species conservation programmes, in accordance with decision V/6;

(b) As a priority, for projects which:

  (i) Implement the Convention's programme of work on agricultural biodiversity, in accordance with decision V/5, through the timely finalization and implementation of its operational programme on agricultural biodiversity, and through the development and implementation of other relevant operational programmes;

  (ii) Implement the Convention's programme of work on biodiversity of dry and sub-humid lands, in accordance with decision V/23, through the development, review and implementation of its operational programmes, in particular, the operational programme on arid and semi-arid ecosystems;

  (iii) Assist in the implementation of the programme of work on forest biodiversity at the national, subregional and regional levels, and consider the operational objectives of the aforementioned programme of work as guidance for funding, in accordance with decision V/4;

(c) For projects which assist with the development and implementation of the International Initiative for the Conservation and Sustainable Use of Pollinators in Agriculture, in accordance with decision V/5;

(d) For capacity-building at the national, subregional and regional level to address the issue of coral bleaching within the context of implementation of the programme of work on marine and coastal biological diversity, in accordance with decision V/3;

(e) For the consultative processes referred to in paragraph 6 of decision V/19, which are aimed at assisting with the preparation of second national reports, taking into account the fact that the Conference of the Parties may develop guidelines for subsequent national reports;

(f) For participation in the clearing-house mechanism of the Convention, in accordance with decision V/14;

(g) For projects that will address the issue of access and benefit-sharing, in accordance with decision V/26;

(h) For projects that incorporate incentive measures that promote the development and implementation of social, economic and legal incentive measures for the

conservation and sustainable use of biological diversity, in accordance with decision V/15;

(i) For the implementation of the priority activities identified in the programme of work on Article 8(j) and related provisions, in accordance with decision V/16;

(j) To strengthen capabilities to develop monitoring programmes and suitable indicators for biological diversity, in accordance with decision V/7;

(k) To continue promoting awareness of the Global Taxonomy Initiative in the relevant activities of the Global Environment Facility, such as the Country Dialogue Workshops, and to facilitate capacity-building in taxonomy, including in its Capacity Development Initiative;

(l) For capacity development for education, public awareness and communication in biological diversity at the national and regional levels, in accordance with decision V/17;

(m) For activities to implement the Global Invasive Species Programme, in accordance with decision V/8;

(n) For the implementation of capacity-building measures for developing and implementing national and sectoral plans for the conservation and sustainable use of inland water ecosystems, including comprehensive assessments of the biological diversity of inland waters, and capacity-building programmes for monitoring the implementation of the programme of work and the trends in inland water biological diversity and for information gathering and dissemination among riparian communities.

DECISION V/14 | Scientific and technical cooperation and the Clearing-house Mechanism (Article 18)

The Conference of the Parties,

Reaffirming its previous requests to the Global Environment Facility, contained in decisions I/2, II/3, II/6, III/4, III/5, IV/2 and IV/13, to provide support for scientific and technical cooperation and capacity-building in relation to the clearing-house mechanism,

Recalling decision III/4, in which the Conference of the Parties established an informal advisory committee to be constituted and coordinated by the Executive Secretary in a transparent manner, to assist the clearing-house mechanism, and decision IV/2, in which the Conference of the Parties requested that the clearing-house mechanism be continuously assisted in its functioning by the informal advisory committee during and after the pilot phase,

1. *Notes* the report of the independent review of the pilot phase of the clearing-house mechanism (UNEP/CBD/COP/5/INF/2);

2. *Supports* the implementation of the strategic plan for the clearing-house mechanism (UNEP/CBD/COP/5/INF/3);

3. *Requests* the Executive Secretary, in consultation with the informal advisory committee, to monitor and review the operation of the clearing-house mechanism and report to the Conference of the Parties at its sixth meeting on any recommended adjustments to the operation of the clearing-house mechanism or to the strategic plan;

4. *Decides* that the strategic plan for the clearing-house mechanism shall become a component of the Strategic Plan of the Convention on Biological Diversity;

5. *Endorses* the longer-term programme of work for the clearing-house mechanism (UNEP/CBD/COP/5/INF/4), recognizing the important role that country partnerships can play in implementing this programme of work;

6. *Recommends* that Parties and Governments, subject to availability of resources and relevance, undertake as priorities for the biennium 2001–2002 the measures identified in annex I to the present decision;

7. *Decides* that the informal advisory committee referred to in decision III/4 shall have the following objectives:

(a) Provide advice on matters relating to the clearing-house mechanism and, in particular, on how to improve the effectiveness of the clearing-house mechanism as a mechanism to promote scientific and technical cooperation;

(b) Facilitate the implementation of guidance from the Conference of the Parties concerning the clearing-house mechanism;

(c) Facilitate greater input of Parties into the development of the clearing-house mechanism;

(d) Advise on ways and means to facilitate the development of the clearing-house mechanism network;

(e) Facilitate and encourage cooperation with other relevant international and regional information networks and initiatives;

8. *Decides* that the continuation and mandate of the informal advisory committee shall be reviewed at the seventh meeting of the Conference of the Parties;

9. *Calls upon* the Executive Secretary, in consultation with the informal advisory committee, to develop operational procedures for the informal advisory committee, for review at the seventh meeting of the Conference of the Parties, and to make these procedures, as well as the membership, available through the clearing-house mechanism;

10. *Requests* the Executive Secretary, in consultation with the informal advisory committee and other relevant bodies, and subject to available resources, to undertake the activities identified in annex II to the present decision.

ANNEX I
MEASURES TO BE UNDERTAKEN BY PARTIES AND GOVERNMENTS IN THE BIENNIUM 2001–2002, SUBJECT TO AVAILABILITY OF RESOURCES AND RELEVANCE

(a) Establish national directories of scientific institutions and experts working on specific thematic areas of the Convention on Biological Diversity and make these available through the clearing-house mechanism.

(b) Conduct surveys to establish a national baseline of existing scientific and technical cooperation initiatives relevant to the implementation of the provisions of the Convention on Biological Diversity.

(c) Establish or strengthen clearing-house mechanism national focal points.

(d) Establish, through the national clearing-house mechanism focal points, links to non-governmental organizations and other institutions holding important relevant databases or undertaking significant work on biological diversity.

(e) Establish regional or subregional clearing-house mechanism focal points.

(f) Establish national, regional and subregional clearing-house mechanism thematic focal points.

(g) Further develop the clearing-house mechanism to assist developing country Parties and Parties with economies in transition to gain access to information in the field of scientific and technical cooperation, in particular on:

  (i) Funding opportunities;
  (ii) Access to and transfer of technologies;
  (iii) Research cooperation facilities;
  (iv) Repatriation of information;
  (v) Training opportunities; and
  (vi) Promoting and facilitating contact with relevant institutions, organizations, and the private sector, providing such services.

(h) Consider information providers as primary partners as a way of ensuring that a critical mass of scientific and technical information is made available.

(i) Consider the general public, the private sector, non-government organizations and all levels of government as important target audiences for the clearing-house mechanism.

(j) Develop initiatives to make information available through the clearing-house mechanism more useful for researchers and decision makers.

(k) Develop, provide and share services and tools for the purposes of enhancing and facilitating the implementation of the clearing-house mechanism and further improving synergies among the biodiversity-related and the Rio conventions.

(l) Undertake an analysis of the cost-effectiveness of the implementation of the clearing-house mechanism, taking into account investments in institutional, human, financial, technological and informational resources.

ANNEX II
ACTIVITIES TO BE UNDERTAKEN BY THE EXECUTIVE SECRETARY, IN CONSULTATION WITH THE INFORMAL ADVISORY COMMITTEE AND OTHER RELEVANT BODIES, SUBJECT TO AVAILABLE RESOURCES

(a) Develop ways and means to ensure a broader understanding of the role of, and the value added by, the clearing-house mechanism.

(b) Further develop non-Internet-based tools and training packages to assist Parties in their national implementation efforts.

(c) Identify and establish cooperative arrangements with those international thematic focal points that can provide relevant and appropriate thematic information, using the following criteria:

(i) Expertise on themes directly relevant to the Convention on Biological Diversity;
(ii) Experience and expertise at the international level;
(iii) Endorsement of the proposed cooperative arrangements by at least three national focal points;
(iv) Designation of a specific theme and a defined period of time;
(v) Selection of one or more thematic focal points for each theme;
(vi) Ability to leverage infrastructure;
(vii) Provision of relevant content;
(viii) Experience with specific issues;
(ix) Ability to advance the objectives of the clearing-house mechanism;
(x) Ability to advance the objectives of other partners;
(xi) Provision of open access to information;
(xii) Allowance for the custodianship to remain with the provider of information, as well as the provision of metadata in the public domain.

(d) Convene regional workshops to support capacity-building for clearing-house mechanism activities, training and awareness, with a focus on cooperation in biodiversity information for the implementation and management of the clearing-house mechanism at the national, subregional, bio-geographic and regional levels, as appropriate.

(e) Develop a pilot initiative to assist work on the thematic issues within the work programme of the Subsidiary Body on Scientific, Technical and Technological Advice, including:

(i) Identification by national focal points of national institutions and experts working on the specific theme, including through interlinkages with the rosters of experts in the relevant fields of the Convention on Biological Diversity;
(ii) Provision of relevant information to the Subsidiary Body on Scientific, Technical and Technological Advice by national focal points;
(iii) Use of the clearing-house mechanism to gather input to relevant assessments being undertaken by the Subsidiary Body on Scientific, Technical and Technological Advice;

(iv) Identification of scientific and technical cooperation needs at the national level for the implementation of pilot initiatives.

(f) Propose options for improving ways and means by which the clearing-house mechanism can facilitate access to and transfer of technology.

(g) Develop a list of best practices and identify potential functions to be recommended for implementation by clearing-house mechanism national focal points.

(h) Identify possible formats, protocols and standards for the improved exchange of biodiversity-related data, information and knowledge, including national reports, biodiversity assessments and Global Biodiversity Outlook reports, and convene an informal meeting on this issue.

(i) Identify options and explore cooperative arrangements to overcome language barriers affecting the use of the clearing-house mechanism, including the development or consolidation of tools and services.

(j) Develop a publicly accessible global electronic platform for scientific and technical cooperation in biodiversity on the Internet matching the demands and needs of Parties in accordance with Article 18 of the Convention.

(k) Encourage the establishment and maintenance of mirror sites of the Convention's website, within the other United Nations regions, as appropriate, in order to improve access to Internet-based information.

CLEARING-HOUSE MECHANISM LONGER-TERM PROGRAMME OF WORK 1999-2004

13 October 1999 The CHM Programme of work is intended to accompany the 1999-2004 Strategic Plan. The left hand column provides the section number corresponding to the Strategic Plan.

I. Scientific and Technical Cooperation

SECTION IN PLAN	TACTICS	STRATEGY	TIME FRAME (for bulk of work) 99 00 01 02 03 04–09	ROLES AND RESPONSIBILITIES (NFP=National Focal Point; TFP=Thematic Focal Point)	COSTS
5.2.1	Track Best Practices, Needs and Priorities for Collaboration	• all parties post and prioritize the information		**Secretariat/IAC**: facilitate and promote participation,	**All FP':** Staff time
				Regions, NFPs: add to on-line National Reports, assist countries unable to do so themselves	
		• develop vehicle for automatically collecting, synthesizing and reporting the information • feature this information on CHM website, promote to users • additional methods of information sharing		**Secretariat/IAC:** development a section of its websites to automatically collect, synthesize and report the information; promote its availability to global partners	**Secretariat:** development of the mechanism
				Regions, NFPs: promote to local users	
				Secretariat/IAC: facilitate the organization of global and regional workshops, users' conferences, users' groups, and best practice challenges, coordinate with related global initiatives, coordinate the development, updating and promotion of related documentation and training resources, provide a global mechanism for sending, and send targeted e-mails with short abstracts of best practices	**Secretariat:** Staff time, regional workshops, various communication materials such as CD ROMs and newsletters
				Regions: coordinate and help organize regional/thematic workshops and users' groups, coordinate with related regional/thematic initiatives, send targeted e-mails with short abstracts of best practices	
				NFPs: host/participate in workshops, users' conferences users' groups, and best practice challenges, coordinate with related national/local initiatives	

5.2.2	Use Funding to Promote Country Involvement, Partnering and Progress in Priority Areas	• proactively work with GEF and other funders to support priority projects (see also 5.2.1)								**IAC:** initiate and manage partnerships with international funders (such as GEF), develop proposed funding criteria, seek reserved funding, publish and promote call for proposals.	**Secretariat:** Staff travel costs
										Secretariat: Provide mechanisms for sharing best practices resulting from the pilots (see 5.2.1.)	
										GEF, Regions, Thematic Focal Points and NFPs: help in setting up financial partnerships and obtaining reserved funding. Approve funding criteria and promote calls for proposals. Cary out / help fund strategic pilot projects, evaluations and sharing of results.	**GEF and other funders, Regions & countries:** project funding
5.2.3	Provide a collaboration promotion mechanism for institutions and experts, and service and technology providers	• background research and guidelines								**Secretariat/IAC:** facilitate development of the mechanism, coordinate development of minimum requirements and /or evaluation criteria **Regions, TFPs:** develop minimum requirements and/or evaluation criteria	**Secretariat:** Staff time
		• pilots								**IAC:** initiate, help reserve GEF (and other) funding for pilots, attract and coordinate pilots.	**Secretariat:** Staff time.
										Secretariat: build corresponding section/ capabilities on its website, promote use of the mechanism among global actors; develop an inventory of initiatives and roster of experts.	
										Regions, NFPs: initiate/fund/carry out the pilots, promote use of the mechanism among regional/ thematic actors, or by national/local actors	**GEF/Region/NFP funds:** project funding

continues…

II. Information Exchange

SECTION IN PLAN	TACTICS	STRATEGY	TIME FRAME (for bulk of work) 99 00 01 02 03 04–09	ROLES AND RESPONSIBILITIES (NFP=National Focal Point; TFP=Thematic Focal Point)	COSTS
6.2.1	Ensure Compatibility Through Standardization	• coordinate with standards organizations, identify best standards for CHM		**Secretariat/IAC:** coordinate with related initiatives and standards organizations	Staff time + travel
		• document best standards and make accessible		**Secretariat/IAC:** facilitate the setting of mutually agreed upon standards	Staff time
				Regions, NFPs: contribute to the development of Standards	
		• update and improve tools/ documents		**Secretariat/IAC:** coordinate the development, updating and promotion of related documentation and training resources, follow the standards	Staff time
				Regions, NFPs: help coordinate the communication of and training in these standards, within their networks, follow the standards	
		• Ensure that all CBD/CHM databases are Z39.50 protocol compliant		**Secretariat/IAC:** ensure that Secretariat databases are compliant, facilitate other Focal Points in doing the same	**Secretariat:** time + consulting assistance (2001, 2002)
				Regions, NFPs: ensure that their databases are compliant	
6.2.2	Track Information Needs, Priorities and Best Practices	• Develop and use multiple vehicles for enabling users to articulate individual and collective information needs and priorities (see also 5.2.1)		see 5.2.1	Staff time
6.2.3	Prioritize and Promote Expansion	• determine information gaps and priorities, and ensure that these are addressed		**Secretariat/IAC:** facilitate international prioritization process. Coordinate with related initiatives.	**Secretariat:** time + assessments database

		• develop and maintain an assessments database of new technologies								**Regions, NFPs:** support and participate, identify and articulate needs	
6.2.4	Provide open, world-wide access to existing biodiversity information	• make existing information available through CHM nodes								**Secretariat / IAC:** facilitate world-wide access, make global information available through the SCBD node	**All FP'S:** staff time
										Regions, TFPs, NFPs: make relevant information available through their nodes.	

III. Network Development and Organizational Efficiency

SECTION IN PLAN	TACTICS	STRATEGY	TIME FRAME (for bulk of work) 99	00	01	02	03	04–09	ROLES AND RESPONSIBILITIES (NFP=National Focal Point; TFP=Thematic Focal Point)	COSTS
7.2.1	Provide Start-Up Assistance and Ongoing Capacity Building	• develop support materials and capacity building							**Secretariat/IAC:** develop, publish & support startup materials; facilitate the development of regional workshop sessions; provide an operational model for implementation of CHM National, Regional, Sub-regional and Thematic Focal Points; monitor global capacity building needs and facilitate the development of required support.	**Secretariat:** support materials
									Regions, TFPs, NFPs: install CHMs, follow startup guidelines; identify capacity building needs and make use of support offered; share best practices	**Regions, NFPs:** project funding (through GEF), costs to develop and maintain their focal points
		• organize a meeting of CHM National Focal Points once a year.							**Secretariat/IAC:** organize the meetings	**Secretariat:** staff time, insignificant incremental expenses
									NFPs: attend the sessions (to be scheduled in conjunction with meetings they are already attending)	
		• Facilitate access to funding • provide partnering support							**IAC:** enhance accessibility to GEF and other funders	
									Secretariat/IAC: Publish partnering guidelines, initiate/support partnerships	**Secretariat:** Staff time
									Regions, TFPs: Help initiate/support partnerships	
									NFPs: Partner cooperatively	

continues…

SECTION IN PLAN	TACTICS	STRATEGY	TIME FRAME (for bulk of work) 99 00 01 02 03 04–09	ROLES AND RESPONSIBILITIES (NFP=National Focal Point; TFP=Thematic Focal Point)	COSTS
7.2.2	Address Obstacles to Growth Secretariat/ IAC	• focus on developing countries, identify and remove obstacles		**Secretariat/IAC:** coordinate international efforts to identify and eliminate barriers (including Independent Reviews and User Surveys).	**Secretariat/IAC**
				IAC: liaise with GEF Secretariat and Implementing Agencies to "remove" barriers to access to GEF and other funding.	**Funds:** independent reviews (2004) and additional user surveys (2001)
		• do the same at regional, subregional, and national levels		**Secretariat/IAC:** capture learning, extrapolate to regional and subregional context	**Secretariat:** staff time
				IAC: arrange for GEF and others to fund pilots	
				Regions, TFPs, NFPs: identify national/local barriers, seek solutions, pursue fuller CHM development	
7.2.3	Continue to Maintain Local Ownership of Information.	• each level to post/make available and maintain its own information		**Secretariat/IAC:** post UN meeting and other global information, post and maintain generic guidelines, engines and program metrics	**Secretariat:** staff time
				Regions, NFPs: encourage local posting and maintenance of appropriate information	
7.2.4	Rely on Partnerships, and Focus on Facilitation	• identify and integrate new partners into CHM at every level, and build Relationships • document agreements		**Secretariat/IAC:** identify and attract CHM affiliates, request regions/NFPs to do the same, provide templates/guidelines for documenting agreements	**Secretariat:** staff time + travel
				Regions, NFPs: identify and attract CHM affiliates, interconnect them with the CHM, document agreements, post on CHM	
7.2.5	Concentrate on Value-Added	• identify unique strengths and competencies of focal points, flesh out roles and identify value-added		**Secretariat/IAC:** develop and promote concept and model, document and publish Regions, NFPs: identify local value-added, post on local CHM	**Secretariat/IAC:** study value-added of all focal points (2002)

		• grow competence and promote value-added								**Secretariat/IAC:** actively grow own core competence, promote CHM value-added	**Secretariat:** staff time
										Regions, NFPs: promote CHM value-added locally	
7.2.6	Promote Use of the CHM	• encourage development of country CHM promotion strategies, record and share learning, and expand to CHM Focal Points at all levels								**Secretariat/IAC:** develop global CHM communication strategy and focus, develop planning template, facilitate development of national CHM strategies; provide promotional information to international partners, develop templates; develop a 'plain language' brochure that describes, demonstrates and communicates the role and value of the CHM	**Secretariat:** staff time, promotional materials
										Regions, TFPs, NFPs: propose/carry out/help fund national / local CHM communication plans, share learning, provide promotional information to partners; develop templates	
7.2.7	Develop Funding Strategies for all Focal Points	• encourage development of funding strategies, record and share learning, and expand to CHM Focal Points at all levels								**IAC:** develop long-term global funding strategy and facilitate development of national CHM funding strategies;	**Secretariat:** staff time
										Secretariat: develop planning template, develop 'plain language' materials that describe, demonstrate and communicate the role and value of the CHM	
										Regions, TFPs, NFPs: develop national/regional/ thematic funding strategies; share learning.	

DECISION V/15 | Incentive measures

The Conference of the Parties,

Acknowledging the importance of incentive measures in achieving conservation and sustainable use of the components of biodiversity,

Recognizing that biodiversity provides global services to humankind that are not captured and adequately recognized by current economic relations, patterns and policies,

1. *Establishes* a programme of work that promotes the development and implementation of social, economic and legal incentive measures for the conservation and sustainable use of biological diversity, in synergy with specific programmes of work, in order to:

(a) Support Parties, Governments and organizations in developing practical policies and projects;

(b) Develop practical guidance to the financial mechanism for effective support and prioritization of these policies and projects;

2. *Decides* that the activities of the programme of work should result in the following:

(a) The assessment of representative existing incentive measures, review of case-studies, identification of new opportunities for incentive measures, and dissemination of information, through the clearing-house mechanism and other means, as appropriate;

(b) The development of methods to promote information on biodiversity in consumer decisions, for example through ecolabelling, if appropriate;

(c) The assessment, as appropriate and applicable to the circumstances of Parties, of the values of biodiversity, in order to internalize better these values in public policy initiatives and private-sector decisions;

(d) A consideration of biodiversity concerns in liability schemes;

(e) The creation of incentives for integration of biodiversity concerns in all sectors;

3. *Requests* the Executive Secretary to collaborate with relevant organizations, such as the Food and Agriculture Organization of the United Nations, the Organisation for Economic Cooperation and Development, the United Nations Conference on Trade and Development, the United Nations Development Programme, the United Nations Environment Programme, and IUCN-The World Conservation Union, in order to engage in a coordinated effort, and undertake through such an effort, as a first phase:

(a) To gather and disseminate additional information on instruments in support of positive incentives and their performance, and to develop a matrix identifying the range of instruments available, their purpose, interaction with other policy measures and effectiveness, with a view to identifying and designing relevant instruments, where appropriate, in support of positive measures;

(b) To continue gathering information on perverse incentive measures, and on ways and means to remove or mitigate their negative impacts on biological diversity, through case-studies and lessons learned, and consider how these ways and means may be applied;

(c) To elaborate proposals for the design and implementation of incentive measures, for consideration by the Subsidiary Body on Scientific, Technical and Technological Advice at its sixth or seventh meeting and by the Conference of the Parties at its sixth meeting;

4. *Decides* to integrate actions on incentives in thematic work programmes and ensure synergy with activities on sustainable use, noting that incentive measures are essential elements in developing effective approaches to conservation and sustainable use of biological diversity especially at the level of local communities;

5. *Requests* the Executive Secretary to promote coordinated action on incentives with other international biodiversity-related agreements and relevant organizations, noting specifically that the joint work plan of the Convention on Biological Diversity and the Convention on Wetlands for the period 2000–2001 (UNEP/CBD/SBSTTA/5/INF/12) includes consideration of incentive measures;

6. *Urges* Parties and other Governments to explore possible ways and means by which incentive measures promoted through the Kyoto Protocol under the United Nations Framework Convention on Climate Change can support the objectives of the Convention on Biological Diversity.

DECISION V/16 | Article 8(j) and related provisions

The Conference of the Parties,

Recalling its decision IV/9,

Recognizing the need to 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,

Noting the need for a long-term approach to the programme of work on implementation of Article 8(j) and related provisions of the Convention on Biological Diversity, within a vision to be elaborated progressively, in line with the overall objectives set out in Article 8(j) and related provisions,

Emphasizing the fundamental importance of ensuring the full and effective participation of indigenous and local communities in the implementation of Article 8(j) and related provisions,

Noting the importance of integrating with the full and effective participation of indigenous and local communities the work on Article 8(j) and related provisions into national, regional and international strategies, policies and action plans,

Recognizing the vital role that women play in the conservation and sustainable use of biodiversity, and emphasizing that greater attention should be given to strengthening this role and the participation of women of indigenous and local communities in the programme of work,

Further noting the linguistic and cultural diversity among indigenous and local communities as well as differences in their capacities,

Noting existing declarations by indigenous and local communities to the extent they relate to the conservation and sustainable use of biodiversity, including, *inter alia*, the Kari Oca Declaration, the Mataatua Declaration, the Santa Cruz Declaration, the Leticia Declaration and Plan of Action, the Treaty for Life Forms Patent Free Pacific, the Ukupseni Kuna Yala Declaration, the Heart of the Peoples Declaration on Biodiversity and Biological Ethics, the Jovel Declaration on Indigenous Communities, Indigenous Knowledge and Biodiversity, the Chiapas Declaration, other relevant declarations and statements of Indigenous Forums, as well as Convention 169 of the International Labour Organization, Agenda 21 and other relevant international conventions,

Recognizing the role that the International Indigenous Forum on Biodiversity has played since the third meeting of the Conference of the Parties in addressing the Conference of the Parties on the implementation of Article 8(j) and related provisions,

Reaffirming the importance of making Article 8(j) and related provisions of the Convention and provisions of international agreements related to intellectual property rights mutually supportive,

Further noting that there are existing international agreements, intellectual property rights, current laws and policies that may have influence on the implementation of Article 8(j) and its related provisions,

Noting also that the methods of implementation of Article 8(j) and related provisions differ among regions and countries in approach and capacity,

1. *Endorses* the programme of work as contained in the annex to the present decision, which shall be subject to periodic review during its implementation;

2. *Decides* to implement the programme of work giving priority to tasks 1, 2, 4, 5, 8, 9 and 11, as well as 7 and 12, which shall be initiated following completion of tasks 5, 9 and 11;

3. *Urges* Parties and Governments in collaboration with relevant organizations, subject to their national legislation, to promote and implement this programme of work, and to integrate the tasks identified into their ongoing programmes as appropriate to national circumstances, taking into account the identified collaboration opportunities;

4. *Requests* Parties, Governments and relevant organizations to take full account of existing instruments, guidelines, codes and other relevant activities in the implementation of the programme of work;

5. *Encourages* the participation of indigenous and local communities in the work of the Ad Hoc Open-ended Working Group on Access and Benefit-sharing on the

development of guidelines and other approaches to ensure the respect, preservation and maintenance of knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity;

6. *Takes* into account the importance of the proposals for action on traditional forest-related knowledge of the Intergovernmental Panel on Forests/Intergovernmental Forum on Forests as an important part of this programme of work;

7. *Requests* Parties, Governments, and international, regional and national organizations to provide appropriate financial support for the implementation of the programme of work;

8. *Requests* the Executive Secretary to facilitate the integration of the relevant tasks of the programme of work in the future elaboration of the thematic programmes of the Convention on Biological Diversity and provide a report on the progress of the thematic programmes to the Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions of the Convention on Biological Diversity;

9. *Decides* to extend the mandate of the Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions of the Convention on Biological Diversity to review progress in the implementation of the priority tasks of its programme of work according to reports provided by the Executive Secretary, and the Parties to the meeting of the Working Group and recommend further action on the basis of this review. The Working Group should further explore ways for increased participation by indigenous and local communities in the thematic programmes of work of the Convention on Biological Diversity. The Working Group should report to the Conference of the Parties at its sixth meeting;

10. *Requests* Parties, Governments, subsidiary bodies of the Convention, the Executive Secretary and relevant organizations, including indigenous and local communities, when implementing the programme of work contained in the annex to the present decision and other relevant activities under the Convention, to fully incorporate women and women's organizations in the activities;

11. *Invites* Parties and Governments to support the participation of the International Indigenous Forum on Biodiversity, as well as relevant organizations representing indigenous and local communities, in advising the Conference of the Parties on the implementation of Article 8(j) and related provisions;

12. *Urges* Parties and Governments and, as appropriate, international organizations, and organizations representing indigenous and local communities, to facilitate the full and effective participation of indigenous and local communities in the implementation of the Convention and, to this end:

(a) Provide opportunities for indigenous and local communities to identify their capacity needs, with the assistance of Governments and others, if they so require;

(b) Include, in proposals and plans for projects carried out in indigenous and local communities, funding requirements to build the communications capacity of

indigenous and local communities to facilitate dissemination and exchange of information on issues related to traditional knowledge, innovations and practices;

(c) Provide for sufficient capacity in national institutions to respond to the needs of indigenous and local communities related to Article 8(j) and related provisions;

(d) Strengthen and build capacity for communication among indigenous and local communities, and between indigenous and local communities and Governments, at local, national, regional and international levels, including with the Secretariat of the Convention on Biological Diversity, with direct participation and responsibility of indigenous and local communities through their appropriate focal points;

(e) Use other means of communication in addition to the Internet, such as newspapers, bulletins, and radio, and increasing the use of local languages;

(f) Provide case-studies on methods and approaches that contribute to the preservation of traditional knowledge, innovations and practices, including through their recording where appropriate, and that support control and decision-making by indigenous and local communities over the sharing of such knowledge, innovation and practices;

13. *Emphasizes once again* the need for case-studies developed in conjunction with indigenous and local communities requested in paragraphs 10(b) and 15 of its decision IV/9, to enable a meaningful assessment of the effectiveness of existing legal and other appropriate forms of protection for the knowledge, innovations and practices of indigenous and local communities;

14. *Recognizes* the potential importance of *sui generis* and other appropriate systems for the protection of traditional knowledge of indigenous and local communities and the equitable sharing of benefits arising from its use to meet the provisions of the Convention on Biological Diversity, taking into account the ongoing work on Article 8(j) and related provisions, and *transmits* its findings to the World Trade Organization and the World Intellectual Property Organization, as suggested in paragraph 6(b) of recommendation 3 of the Inter-Sessional Meeting on the Operations of the Convention (UNEP/CBD/COP/5/4, annex);

15. *Invites* Parties and Governments to exchange information and share experiences regarding national legislation and other measures for the protection of the knowledge, innovations and practices of indigenous and local communities;

16. *Recognizes* that the maintenance of knowledge, innovations, and practices of indigenous and local communities is dependent on the maintenance of cultural identities and the material base that sustains them and *invites* Parties and Governments to take measures to promote the conservation and maintenance of such identities;

17. *Requests* Parties to support the development of registers of traditional knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity through participatory programmes and consultations with indigenous

and local communities, taking into account strengthening legislation, customary practices and traditional systems of resource management, such as the protection of traditional knowledge against unauthorized use;

18. *Invites* Parties and Governments to increase the participation of representatives of indigenous and local community organizations in official delegations to meetings held under the Convention on Biological Diversity;

19. *Emphasizes* the need for arrangements controlled and determined by indigenous and local communities, to facilitate cooperation and information exchange among indigenous and local communities, for the purposes of, *inter alia*, helping to ensure that such communities are in a position to make informed decisions on whether or not to consent to the release of their knowledge, and, in this respect:

(a) *Requests* the Executive Secretary, to fully utilize the clearing-house mechanism, to cooperate closely with indigenous and local communities to explore ways in which such needs may best be addressed;

(b) *Invites* Parties to consider ways and means of providing the necessary resources to enable the Secretariat to undertake the above-mentioned tasks;

20. *Further requests* Parties and international financial institutions to explore ways of providing the necessary funding for these activities.

ANNEX
PROGRAMME OF WORK ON THE IMPLEMENTATION OF ARTICLE 8(j) AND RELATED PROVISIONS OF THE CONVENTION ON BIOLOGICAL DIVERISTY

Objectives

The objective of this programme of work is to promote within the framework of the Convention a just implementation of Article 8(j) and related provisions, at local, national, regional and international levels and to ensure the full and effective participation of indigenous and local communities at all stages and levels of its implementation.

I. General Principles

1. Full and effective participation of indigenous and local communities in all stages of the identification and implementation of the elements of the programme of work. Full and effective participation of women of indigenous and local communities in all activities of the programme of work.

2. Traditional knowledge should be valued, given the same respect and considered as useful and necessary as other forms of knowledge.

3. A holistic approach consistent with the spiritual and cultural values and customary practices of the indigenous and local communities and their rights to have control over their traditional knowledge, innovations and practices.

4. The ecosystem approach is a strategy for the integrated management of land, water and living resources that promotes conservation and sustainable use of biological diversity in an equitable way.

5. Access to traditional knowledge, innovations and practices of indigenous and local communities should be subject to prior informed consent or prior informed approval from the holders of such knowledge, innovations and practices.

II. Tasks of the First Phase of the Programme of Work

ELEMENT 1: PARTICIPATORY MECHANISMS FOR INDIGENOUS AND LOCAL COMMUNITIES

Task 1. Parties to take measures to enhance and strengthen the capacity of indigenous and local communities to be effectively involved in decision-making related to the use of their traditional knowledge, innovations and practices relevant to the conservation and sustainable use of biological diversity subject to their prior informed approval and effective involvement.

Task 2. Parties to develop appropriate mechanisms, guidelines, legislation or other initiatives to foster and promote the effective participation of indigenous and local communities in decision-making, policy planning and development and implementation of the conservation and sustainable use of biological diversity at international, regional, subregional, national and local levels, including access and benefit-sharing and the designation and management of protected areas, taking into account the ecosystem approach.

Task 4. Parties to develop, as appropriate, mechanisms for promoting the full and effective participation of indigenous and local communities with specific provisions for the full, active and effective participation of women in all elements of the programme of work, taking into account the need to:

(a) Build on the basis of their knowledge;

(b) Strengthen their access to biological diversity;

(c) Strengthen their capacity on matters pertaining to the conservation, maintenance and protection of biological diversity;

(d) Promote the exchange of experiences and knowledge;

(e) Promote culturally appropriate and gender specific ways in which to document and preserve women's knowledge of biological diversity.

ELEMENT 2: STATUS AND TRENDS IN RELATION TO ARTICLE 8(J) AND RELATED PROVISIONS

Task 5. The Executive Secretary to prepare, for the next meeting of the Ad Hoc Working Group, an outline of a composite report on the status and trends regarding the knowledge, innovations and practices of indigenous and local communities, a plan and a timetable for its preparation, based, *inter alia*, on advice submitted by Parties, Governments, indigenous and local communities and other relevant organizations regarding sources and availability of information on these matters.

Parties, Governments and indigenous and local communities and other relevant organizations to submit the information and advice to address the requirements of this task and to Parties include in their national reports the current state of implementation of Article 8(j).

ELEMENT 4: EQUITABLE SHARING OF BENEFITS

Task 7. Based on tasks 1, 2 and 4, the Working Group to develop guidelines for the development of mechanisms, legislation or other appropriate initiatives to ensure: (i) that indigenous and local communities obtain a fair and equitable share of benefits arising from the use and application of their knowledge, innovations and practices; (ii) that private and public institutions interested in using such knowledge, practices and innovations obtain the prior informed approval of the indigenous and local communities; (iii) advancement of the identification of the obligations of countries of origin, as well as Parties and Governments where such knowledge, innovations and practices and the associated genetic resources are used.

ELEMENT 5: EXCHANGE AND DISSEMINATION OF INFORMATION

Task 8. Identification of a focal point within the clearing-house mechanism to liaise with indigenous and local communities.

ELEMENT 6: MONITORING ELEMENTS

Task 9. The Working Group to develop, in cooperation with indigenous and local communities, guidelines or recommendations for the conduct of cultural, environmental and social impact assessments regarding any development proposed to take place on sacred sites and on lands or waters occupied or used by indigenous and local communities. The guidelines and recommendations should ensure the participation of indigenous and local communities in the assessment and review.

ELEMENT 7: LEGAL ELEMENTS

Task 11. The Working Group to assess existing subnational, as appropriate, national and international instruments, particularly intellectual property rights instruments, that may have implications on the protection of the knowledge, innovations and practices of indigenous and local communities with a view to identifying synergies between these instruments and the objectives of Article 8(j).

Task 12. The Working Group to develop guidelines that will assist Parties and Governments in the development of legislation or other mechanisms, as appropriate, to implement Article 8(j) and its related provisions (which could include *sui generis* systems), and definitions of relevant key terms and concepts in Article 8(j) and related provisions at international, regional and national levels, that recognize, safeguard and fully guarantee the rights of indigenous and local communities over their traditional knowledge, innovations and practices, within the context of the Convention.

III. Tasks Of The Second Phase of the Programme of Work

ELEMENT 1: PARTICIPATORY MECHANISMS FOR INDIGENOUS AND LOCAL COMMUNITIES

Task 3. On the request of the Executive Secretary, Parties and Governments, with the full participation of indigenous and local communities, would establish a roster of experts based on the methodologies used by the Conference of Parties, to allow the experts to support the implementation of this programme of work.

ELEMENT 3: TRADITIONAL CULTURAL PRACTICES FOR CONSERVATION AND SUSTAINABLE USE

Task 6. The Ad Hoc Working Group to develop guidelines for the respect, preservation and maintenance of traditional knowledge, innovations and practices and their wider application in accordance with Article 8(j).

Task 13. The Ad Hoc Working Group to develop a set of guiding principles and standards to strengthen the use of traditional knowledge and other forms of knowledge for the conservation and sustainable use of biological diversity, taking into account the role that traditional knowledge can play with respect to the ecosystem approach, *in situ* conservation, taxonomy, biodiversity monitoring and environmental impact assessments in all biodiversity sectors.

Task 14. The Ad Hoc Working Group to develop guidelines and proposals for the establishment of national incentive schemes for indigenous and local communities to preserve and maintain their traditional knowledge, innovations and practices and for the application of such knowledge, innovations and practices in national strategies and programmes for the conservation and sustainable use of biological diversity.

Task 15. The Ad Hoc Working Group to develop guidelines that would facilitate repatriation of information, including cultural property, in accordance with Article 17, paragraph 2, of the Convention on Biological Diversity in order to facilitate the recovery of traditional knowledge of biological diversity.

ELEMENT 5: EXCHANGE AND DISSEMINATION OF INFORMATION

Task 16. The Executive Secretary to identify, compile and analyse, with the participation of indigenous and local communities, existing and customary codes of ethical conduct to guide the development of models for codes of ethical conduct for research, access to, use, exchange and management of information concerning traditional knowledge, innovations and practices for the conservation and sustainable use of biological diversity.

ELEMENT 6: MONITORING ELEMENTS

Task 10. The Ad Hoc Working Group to develop standards and guidelines for the reporting and prevention of unlawful appropriation of traditional knowledge and related genetic resources.

Task 17. The Executive Secretary to develop, in cooperation with Governments and indigenous and local communities, methods and criteria to assist in assessing the implementation of Article 8(j) and related provisions at the international, regional, national and local levels, and reporting of such in national reports in conformity with Article 26.

IV. Ways and Means

In developing and implementing the programme of work, the Executive Secretary shall solicit information from Parties, Governments, indigenous and local communities and other relevant organizations, and consult with the liaison group on Article 8(j) and related provisions.

The Executive Secretary to develop, in consultation with indigenous and local communities, Parties, Governments, and relevant international organizations, a questionnaire, as a basis for the provision of information concerning: (i) existing instruments and activities relevant to the tasks of the programme of work; (ii) gaps and needs concerning the guidelines referred to in task 6 above; and (iii) priorities for the further development of the programme of work.

The Executive Secretary to consult with and invite relevant international organizations to contribute to the implementation of this programme of work, also with a view to avoiding duplication and to encouraging synergies.

This programme of work shall, as relevant, take into account the work of the Ad Hoc Open-ended Working Group on Access and Benefit-sharing, and, as far as possible, be carried out in collaboration with other relevant organizations, including the World Intellectual Property Organization (WIPO).

Parties, Governments, and international, regional and national organizations to provide appropriate financial support for the implementation of the programme of work.

DECISION V/17 | Education and public awareness

The Conference of the Parties

1. *Takes note* of the information provided by the Executive Secretary with regard to education and public awareness (UNEP/CBD/COP/5/13, section IV);

2. *Requests* the Executive Secretary, in cooperation with the United Nations Educational, Cultural and Scientific Organization, to convene a consultative working group of experts, including the United Nations Environment Programme, the World Bank, the United Nations Institute for Training and Research, the Commission for Education and Communication of IUCN, the World-Wide Fund for Nature, representatives of Parties and other relevant bodies to further advance and, in particular, to identify priority activities for the proposed global initiative on biological diversity education and public awareness;

3. *Decides* that the working group should take into account priorities developed by the Conference of the Parties for its work programme, and, when approved by the Conference of the Parties, priorities identified in the strategic plan for the Convention;

4. *Invites* the United Nations Educational, Scientific and Cultural Organization, through its education programmes, to actively integrate biological diversity into all levels of formal education systems as a component of the development of the global initiative;

5. *Endorses* paragraph 7 of recommendation IV/1 A of the Subsidiary Body on Scientific, Technical and Technological Advice, which states that education and public awareness be included in the discussions on the work programmes on thematic issues;

6. *Invites* Parties, Governments, organizations and institutions to support capacity-building for education and communication in biological diversity as part of their national biodiversity strategies and action plans, taking into account the global initiative;

7. *Requests* the Executive Secretary to:

(a) Further develop the public information and outreach activities of the Secretariat, including through the use of the clearing-house mechanism to raise awareness of biological diversity issues amongst all sectors of society, including indigenous and local communities;

(b) Designate a theme each year for the International Day for Biological Diversity and prepare background information to be placed on the clearing-house mechanism;

(c) Consult the United Nations Secretariat on the feasibility of changing the designated date of the International Day for Biological Diversity to 22 May and provide advice on this matter to the Parties by February 2001;

(d) Report on progress achieved in developing the global initiative to the Conference of the Parties at its sixth meeting.

DECISION V/18 | Impact assessment, liability and redress

The Conference of the Parties

I. Impact Assessment

1. *Invites* Parties, Governments and other relevant organizations:

(a) To implement paragraph 1 of Article 14 of the Convention on Biological Diversity in conjunction with other components of the Convention and to integrate environmental impact assessment into the work programmes on thematic areas, including the biological diversity of inland water ecosystems, marine and coastal biological diversity, forest biological diversity, agricultural biological

diversity, and the biological diversity of dry and sub-humid lands, and on alien species and tourism;

(b) To address loss of biological diversity and the interrelated socio-economic, cultural and human-health aspects relevant to biological diversity when carrying out environmental impact assessments;

(c) To consider biological diversity concerns from the early stages of the drafting process, when developing new legislative and regulatory frameworks;

(d) To ensure the involvement of interested and affected stakeholders in a participatory approach to all stages of the assessment process, including governmental bodies, the private sector, research and scientific institutions, indigenous and local communities and non-governmental organizations, including by using appropriate mechanisms, such as the establishment of committees, at the appropriate level;

(e) To organize expert meetings, workshops and seminars, as well as training, educational and public awareness programmes and exchange programmes, and carry out pilot environmental impact assessment projects, in order to promote the development of local expertise in methodologies, techniques and procedures;

2. *Encourages* Parties, Governments and relevant organizations:

(a) To use strategic environmental assessments to assess not only the impact of individual projects, but also their cumulative and global effects, incorporating biological diversity considerations at the decision-making and/or environmental planning level;

(b) To include the development of alternatives, mitigation measures and consideration of the elaboration of compensation measures in environmental impact assessment;

3. *Requests* Parties to include in their national reports information on practices, systems, mechanisms and experiences in the area of strategic environmental assessment and impact assessment;

4. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice to further develop guidelines for incorporating biodiversity-related issues into legislation and/or processes on strategic environmental impact assessment, in collaboration with the scientific community, the private sector, indigenous and local communities, non-governmental organizations and relevant organizations at the international, regional, subregional and national levels, such as the Scientific and Technical Review Panel of the Convention on Wetlands, the Scientific Council of the Convention on Migratory Species, DIVERSITAS, IUCN-The World Conservation Union, the International Association for Impact Assessment and the United Nations Environment Programme, as well as the Parties, and further elaborate the application of the precautionary approach and the ecosystem approach, taking into account needs for capacity-building, with a view to completion by the sixth meeting of the Conference of the Parties;

5. *Also requests* the Executive Secretary:

(a) To disseminate case-studies received;

(b) To renew the call for further case-studies, including case-studies on negative impacts and, in particular, on impact assessments that take the ecosystem approach into account;

(c) To compile and evaluate existing guidelines, procedures and provisions for environmental impact assessment;

(d) To make this information available, together with information on existing guidelines on incorporating biological diversity considerations into environmental impact assessment, through, *inter alia*, the clearing-house mechanism in order to facilitate sharing of information and exchange of experiences at the regional, national and local levels.

II. Liability and Redress

6. *Renews the invitation* to Parties, Governments, and relevant international organizations, contained in its decision IV/10 C, paragraph 8, to provide the Executive Secretary with information on national, international and regional measures and agreements on liability and redress applicable to damage to biological diversity, acknowledging that some Parties, Governments and organizations have already provided the Executive Secretary with such information;

7. *Requests* the Executive Secretary to update the synthesis report submitted to the fifth meeting of the Conference of the Parties (UNEP/CBD/COP/5/16) to include information contained in further submissions by Parties, Governments and relevant international organizations, taking into account other relevant information including, in particular, information on the work of the International Law Commission and on the development and application of liability regimes under other multilateral instruments, including the Antarctic Treaty, the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, and the Cartagena Protocol on Biosafety, for the consideration of the Conference of the Parties at its sixth meeting;

8. *Welcomes* the offer of the Government of France to organize a workshop on liability and redress in the context of the Convention on Biological Diversity;

9. *Decides* to consider at its sixth meeting a process for reviewing paragraph 2 of Article 14, including the establishment of an ad hoc technical expert group, taking into account consideration of these issues within the framework of the Cartagena Protocol on Biosafety, and the outcome of the workshop referred to in paragraph 8 of the present decision.

DECISION V/19 | National reporting

The Conference of the Parties

1. *Takes note* of recommendation V/13 of the Subsidiary Body for Scientific, Technical and Technological Advice on guidelines for national reports;

2. *Endorses* the format contained in annex I of the note by the Executive Secretary on national reporting (UNEP/CBD/COP/5/13/Add.2) as the recommended format for future national reports to be submitted by Parties in accordance with Article 26 of the Convention;

3. *Requests* the Executive Secretary to further develop this format to incorporate the views expressed by Parties and further questions arising from the decisions of its fifth meeting and to make the revised format available to Parties by September 2000;

4. *Is of the view* that national reports developed in this format will help Parties to measure the state of national implementation of the Convention and to review national priorities and actions;

5. *Requests* Parties to submit their next national report:

(a) By 15 May 2001;

(b) In an official language of the Conference of the Parties;

(c) In both hard copy and electronic format; and thereafter for consideration at alternate ordinary meetings of the Conference of the Parties, and include them in their clearing-house mechanism national focal point where feasible;

6. *Recommends* that Parties prepare their national reports through a consultative process involving all relevant stakeholders, as appropriate, or by drawing upon information developed through other consultative processes;

7. *Also invites* Parties to prepare detailed thematic reports on one or more of the items for in-depth consideration at its ordinary meetings, thereby providing national contributions to the work of the Conference of Parties and its subsidiary bodies;

8. Accordingly, *invites* Parties to submit to the Executive Secretary, reports on forest ecosystems, alien species and benefit-sharing for consideration at its sixth meeting:

(a) In accordance with the formats contained, respectively, in annexes II, III and IV of the note by the Executive Secretary on national reporting;

(b) By, respectively, 15 May 2001, 30 September 2000, and 30 December 2000;

(c) In an official language of the Conference of the Parties;

(d) In both hard copy and electronic format;

9. *Requests* the Executive Secretary to:

(a) Prepare reports based on information contained in national reports for consideration by the Conference of the Parties at its meetings, and make them available through the clearing-house mechanism;

(b) Keep the format of national reports under review, and provide further advice to the Conference of Parties on its revision;

(c) Proceed with the further development and implementation of the proposals for streamlining national reporting contained in section 5.2 of the "Feasibility study for a harmonized information management infrastructure for biodiversity-related treaties", in collaboration with the secretariats of the other biodiversity-related conventions, with a view to simplifying reporting procedures and reducing the burden of reporting on Parties, and report on progress to the Conference of the Parties at its sixth meeting;

10. *Invites* organizations, such as the United Nations Development Programme and the United Nations Environment Programme, undertaking regional or global programmes providing support to Parties in biodiversity planning, including capacity development, to provide the Executive Secretary with information on programme activities and lessons learned.

DECISION V/20 | Operations of the Convention

The Conference of the Parties

I. The Conference of the Parties

1. *Decides* to amend rule 4 of its rules of procedure by replacing paragraph 1 with the following paragraph:

> "1. Ordinary meetings of the Conference of the Parties shall be held every two years. The Conference of the Parties shall from time to time review the periodicity of its ordinary meetings in the light of the progress achieved in the implementation of the Convention."

2. *Decides* that its provisional agenda should include the following standing items:

(a) Organizational matters;

(b) Reports from subsidiary bodies, the financial mechanism and the Executive Secretary;

(c) Review of the implementation of the programme of work;

(d) Priority issues for review and guidance; and

(e) Other matters;

3. *Decides* that, to the extent possible, its decisions should identify expected outcomes, activities to achieve those outcomes, those to whom the decisions are directed and timetables for action and follow-up;

4. *Decides* to review its previous decisions periodically in order to assess their status of implementation;

5. *Decides* to amend its rules of procedure:

(a) By replacing the first two sentences of paragraph 1 of rule 21 with the following sentences:

"At the commencement of the first session of each ordinary meeting a President and ten Vice-Presidents, one of whom shall act as Rapporteur, are to be elected from among the representatives of the Parties. They shall serve as the bureau of the Conference of the Parties. The term of office of the President shall commence straight away and the terms of office of the Vice-Presidents shall commence upon the closure of the meeting at which they are elected."; and

(b) By replacing the first two sentences of paragraph 2 of rule 21 with the following sentences:

"The President shall remain in office until a new President is elected at the commencement of the next ordinary meeting and the Vice-Presidents shall remain in office until the closure of the next ordinary meeting. They shall serve as the bureau of any extraordinary meeting held during their term of office and provide guidance to the Secretariat with regard to preparations for, and conduct of, meetings of the Conference of the Parties."; and

(c) By replacing the words "a President for the meeting" in rule 25 with "a new President";

6. *Decides* to review the effectiveness of the changes referred to in paragraph 5 of the present decision, in the light of experience, at its seventh meeting;

7. *Decides* to revise its procedures for decision-making regarding administrative and financial matters with a view to ensuring:

(a) Transparency;

(b) Participation; and

(c) Full consideration of its other decisions;

8. *Decides* that guidance to the financial mechanism should be incorporated into a single decision, including the identification of priority issues which will provide support for cross-cutting issues and capacity-building, especially for developing countries, in a manner that:

(a) Is transparent;

(b) Allows participation; and

(c) Allows full consideration of its other decisions;

9. *Requests* the Executive Secretary to limit the number of pre-session documents for any of its meetings, to keep them as short as feasible, if possible less than 15 pages, and to include an executive summary in each;

II. Strategic Plan for the Convention

10. *Decides* to prepare and develop a Strategic Plan for the Convention, with a view to considering and adopting the Strategic Plan at its sixth meeting;

11. *Decides* that the Strategic Plan shall be based on the longer-term programmes of work of the Conference of the Parties and of the Subsidiary Body on Scientific, Technical and Technological Advice, and that the Strategic Plan shall provide strategic and operational guidance for the implementation of these programmes of work;

12. *Decides* that the Strategic Plan will initially cover the period 2002–2010;

13. *Decides* that the Strategic Plan shall contain a set of operational goals that the Conference of the Parties has decided that it wishes to be achieved in the period covered by the Strategic Plan, and that these operational goals shall relate to the following three main areas of work:

(a) The thematic programmes;

(b) Cross-cutting issues and initiatives; and

(c) The implementation of the provisions of the Convention;

14. *Decides* that these operational goals shall reflect levels of elaboration, progress of development, stages of implementation, state of knowledge and capacities, and degrees of cooperation, with respect to the three main areas of work;

15. *Decides* that within each of these goals, the Strategic Plan shall identify, as far as possible, the following parameters:

(a) Planned activities;

(b) The expected products;

(c) The timing of each of these activities and products;

(d) The actors carrying out these activities and cooperation with relevant organizations;

(e) The mechanisms used to realize and/or support the goals and activities, or to generate the expected products; and

(f) Financial, human-resource and other capacity requirements;

16. *Requests* the Executive Secretary to develop the Strategic Plan, in accordance with the above parameters, and including options where appropriate, and to engage in a participatory process that ensures:

(a) Incorporation of the views of Parties and the Bureau of the Conference of the Parties;

(b) Consideration by the Subsidiary Body on Scientific, Technical and Technological Advice and its Bureau, and other relevant subsidiary bodies of the Convention on matters relevant to their mandates; and

(c) Input from other interested countries and organizations; with a view to preparing a full draft Strategic Plan in time for consideration and adoption by the Conference of the Parties at its sixth meeting;

III. Operations of the Subsidiary Body on Scientific, Technical and Technological Advice

17. *Decides* that meetings of the Subsidiary Body on Scientific Technical and Technological Advice should take place every year;

18. *Decides* that the Chair of the Subsidiary Body on Scientific, Technical and Technological Advice or other members of the Bureau authorized by him or her may represent the Subsidiary Body at meetings of the scientific bodies of other conventions and relevant biological-diversity-related conventions, institutions and processes;

19. *Encourages* the Bureau of the Subsidiary Body on Scientific, Technical and Technological Advice to hold meetings with equivalent bodies of other relevant biological-diversity-related conventions, institutions and processes;

20. *Recognizes* that in certain cases it will be appropriate for the Subsidiary Body on Scientific, Technical and Technological Advice to make recommendations that include options or alternatives;

21. *Decides* that the Subsidiary Body on Scientific, Technical and Technological Advice may establish ad hoc technical expert groups and adopt terms of reference for them, and shall seek ways to ensure transparency in the choice of experts and the rationalization of meetings, and decides to give effect to this by amending paragraph 12(c) of the *modus operandi* of the Subsidiary Body (decision IV/16, annex I) to read:

> "(c) Within the available budgetary resources, the Subsidiary Body on Scientific, Technical and Technological Advice will determine the exact duration and specific terms of reference when establishing such expert groups under the guidance of the Conference of the Parties;"

22. *Confirms* that the Subsidiary Body on Scientific, Technical and Technological Advice, within the available budgetary resources for matters related to its mandate, may make requests to the Executive Secretary and utilize the clearing-house mechanism, and other appropriate means, to assist in the preparation of its meetings;

23. *Decides* to make an assessment at its sixth meeting of the recommendations made to it by the Subsidiary Body on Scientific, Technical and Technological Advice with a view to providing guidance to the Subsidiary Body on ways to improve its inputs;

24. *Decides* that the guidance to the Subsidiary Body on Scientific, Technical and Technological Advice contained in specific decisions of a meeting of the Conference of the Parties should take into account the need for a coherent and realistic programme of work for the Subsidiary Body, including the identification of priority issues, allowing flexibility in timing, and *agrees* that the Subsidiary Body on Scientific, Technical and Technological Advice may, if necessary, adjust the timing of its consideration of issues;

25. *Recognizes* that there is a need to improve the quality of the scientific, technical and technological advice provided to the Conference of the Parties, and to undertake sound scientific and technical assessments, including in-depth assessments of the state of knowledge on issues critical for the implementation of the Convention;

26. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice to continue to improve the way it conducts its scientific, technical and technological work in order to improve the quality of its advice to the Conference of the Parties;

27. *Decides* that, in its scientific, technical and technological work and, in particular, scientific assessments, the Convention should make use of existing programmes and activities of the Convention or of other bodies and of expertise made available by Parties;

28. *Notes* the report of the brainstorming meeting on scientific assessment (UNEP/CBD/COP/5/INF/1), and refers it to the Subsidiary Body on Scientific, Technical and Technological Advice for consideration and, where appropriate, use in its work;

29. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice:

(a) To identify and, where needed, further develop, procedures and methods to undertake or participate in scientific assessments, or make use of existing ones, taking into account considerations of participation, effectiveness and costs;

(b) To undertake a limited number of pilot scientific assessment projects, in preparation for the sixth meeting of the Conference of the Parties, and to invite, among others, the Millennium Ecosystem Assessment to work closely together with the Subsidiary Body in this area; and to facilitate and support the implementation of these projects; and, at an appropriate stage, to carry out an evaluation of them;

(c) To develop further its methodologies for scientific assessment, and to provide advice to Parties on scientific assessment design and implementation;

(d) To identify and regularly update, within the context of its programme of work, assessment priorities and information needs;

(e) To review the implementation of decision II/1 relating to the Global Biodiversity Outlook and provide the results of that review to the Conference of the Parties at its sixth meeting, together with advice on means to enhance implementation and/or any desirable amendments to the decision;

30. *Notes* the proposed uniform methodology for the use of the roster of experts, set out in annex I to recommendation V/14 of the Subsidiary Body on Scientific, Technical and Technological Advice, and refers this to the Subsidiary Body and the Executive Secretary for consideration and, where appropriate, use in their work;

31. *Encourages* Parties, other Governments and relevant bodies when nominating their experts for inclusion in the roster to consider:

(a) Gender balance;

(b) Involvement of indigenous people and members of local communities;

(c) Range of relevant disciplines and expertise, including, *inter alia*, biological, legal, social and economic sciences, and traditional knowledge;

IV. Other Matters

32. *Decides* that every effort should be made to promote the development of the clearing-house mechanism with respect to its role in facilitating the transfer of technology and know-how through exchanging and disseminating information, and in enhancing capacity-building, especially at the national level, taking into account the review of the mechanism;

33. *Recognizes* that activities at the subregional and regional levels, including existing regional processes established for other biological-diversity-related purposes, have an important role to play in preparing for Convention meetings and enhancing implementation of the Convention, and *calls on* Parties to participate actively in suitable subregional and regional activities, as well as on the Executive Secretary, subject to necessary voluntary contributions, to facilitate the involvement in such subregional and regional activities of developing country Parties, in particular the least developed and small island developing States, and other Parties with economies in transition;

34. *Requests* the Executive Secretary to continue enhancing communication with the Parties through the notification system for the Convention with respect to intersessional activities, documents received, selection of experts for technical panels, peer-review processes initiated by the Executive Secretary, and liaison groups and other expert bodies, and to make such information available through the clearing-house mechanism save to the extent that an expert objects to the release of information concerning him or her;

35. *Decides* to improve the functioning of the existing operational procedures for the conduct of meetings under the Convention, particularly to allow small delegations to participate more effectively, including in relation to the scheduling of agenda items and dealing with timetable changes;

36. *Calls on* the Executive Secretary to use national reports, as appropriate, to gather focused information as part of the preparatory process for issues in the work programme, and *decides* to reflect this approach in its decisions on national reports arising from work agreed to in decision IV/14, on national reports by Parties;

V. Implementation

37. *Decides* that it is necessary to enhance the review and facilitation of implementation of the Convention;

38. *Decides* to hold an open-ended inter-sessional meeting, to assist with preparations for the sixth meeting of the Conference of the Parties. The meeting will be of three days duration and is to be held in conjunction with an existing meeting. The meeting will consider, and to the extent possible develop draft elements of decisions on, the following topics:

(a) Preparation of the Strategic Plan for the Convention;

(b) The second national reports; and

(c) Means to support implementation of the Convention, in particular, implementation of priority actions in national biodiversity strategies and action plans;

39. *Decides* to review at its sixth meeting, in the light of this experience, the role of inter-sessional processes in enhancing implementation of the Convention;

40. *Decides* to enhance further the functions of subregional and regional processes in preparing for meetings under the Convention and in promoting the implementation of the Convention at the regional, subregional and national levels;

41. *Requests* the Executive Secretary to provide an overview of existing mechanisms and processes for review of national implementation of environmental instruments, and *invites* Parties to undertake, on a voluntary basis, a review of national programmes and needs related to the implementation of the Convention and, if appropriate, to inform the Executive Secretary accordingly.

DECISION V/21 | Cooperation with other bodies

The Conference of the Parties

1. *Takes note* of ongoing cooperation activities;

2. *Invites* the Executive Secretary to strengthen cooperation, particularly in the area of scientific and technical assessment of biodiversity, bearing in mind the importance of biodiversity assessments in identifying emerging issues and reviewing the programmes of work and the impact of measures taken under the Convention;

3. *Invites* the Executive Secretary to strengthen the cooperation with the United Nations Framework Convention on Climate Change, including its Kyoto Protocol, on relevant issues such as dry and sub-humid lands, forest biological diversity, coral reefs, and incentive measures;

4. *Welcomes and endorses* the second joint work plan (2000–2001) between the Convention on Biological Diversity and the Ramsar Convention on Wetlands (UNEP/CBD/SBSTTA/5/INF/12), and *commends* it as a useful example of future cooperation between the Convention on Biological Diversity and other environmental conventions;

5. *Notes* that the second joint work plan between the Convention on Biological Diversity and the Ramsar Convention on Wetlands includes a range of cooperative actions in relation to several ecosystem themes and cross-cutting issues of the Convention on Biological Diversity, as well as proposing actions to harmonize institutional processes, and requests the Subsidiary Body on Scientific, Technical and Technological Advice and the Executive Secretary to take these actions fully into consideration in furthering the respective programmes of work for these areas;

6. Recalling decision III/21, *takes note* of the United Nations Environment Programme/Convention on Migratory Species study on the complementarities between the Convention on Migratory Species and the Convention on Biological Diversity (UNEP/CBD/COP/5/INF/28);

7. *Requests* the Executive Secretary to take the study into consideration and, in collaboration with the Secretariat of the Convention on Migratory Species, to develop a proposal on how migratory species could be integrated into the work programme of the Convention on Biological Diversity, and the role the Convention on Migratory Species could play in the implementation of the Convention on Biological Diversity with regard to, *inter alia*, the ecosystem approach, the Global Taxonomy Initiative, indicators, assessments and monitoring, protected areas, public education and awareness, and sustainable use, including tourism;

8. *Requests* the Executive Secretary to submit the proposal referred to in paragraph 7 above for review by the Subsidiary Body on Scientific, Technical and Technological Advice prior to the sixth meeting of the Conference of the Parties and *requests* the Subsidiary Body to provide advice to the Conference of the Parties at its sixth meeting;

9. *Takes note* of the International Biodiversity Observation Year of DIVERSITAS, to take place from 2001 to 2002, and *requests* the Executive Secretary and *invites* Parties, to find ways and means of collaborating with this initiative and ensure complementarity with the initiative foreseen to be undertaken by the United Nations Educational, Scientific and Cultural Organization and the Secretariat of the Convention on Biological Diversity to increase scientific knowledge and public awareness of the crucial role of biodiversity for sustainable development;

10. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice to identify opportunities for collaboration with the Millennium Ecosystem Assessment in contributing to the assessment needs of the Convention, in particular through the pilot scientific assessment projects referred to in paragraph 29(b) of decision V/20;

11. *Decides* to accept the invitation of the Millennium Ecosystem Assessment to be represented in the Executive Committee, *nominates* for this purpose the Chair of the Subsidiary Body on Scientific, Technical and Technological Advice and the Executive Secretary, and *directs* that the Subsidiary Body on Scientific, Technical and Technological Advice be kept informed on developments and progress;

12. *Recognizes* the importance of the Global Biodiversity Forum as a mechanism for building understanding and capacity in implementing the Convention, and *encourages* support of the Global Biodiversity Forum process.

DECISION V/22 | Budget for the programme of work for the biennium 2001–2002

The Conference of the Parties,

Having considered the proposed budget for the biennium 2001-2002 submitted by the Executive Secretary (UNEP/CBD/COP/5/18 and Add.1),

Noting the commendable work done by the Executive Secretary and his staff in the delivery of the programme of work for biennium 1999–2000,

Noting with appreciation the annual contribution to the rental of the premises of the Secretariat, as well as the annual contribution of US$ 1 million, by the host Government for the period 1996-2000, which was used to offset planned expenditures and *urging* that this be continued for the biennium 2001–2002,

Noting also that there is wide support for the implementation of the Convention's work programme among Governments, international organizations, non-governmental organizations, and the private sector, through the provision of expertise, information and human and financial resources,

1. *Approves* a programme budget of US$ 8,594,000 for the year 2001 and of US$ 10,049,900 for the year 2002, for the purposes listed in table 1 below;

2. *Adopts* the indicative scale of contributions for 2001 and 2002 contained in the annex to the present decision;

3. *Approves* the staffing table for the programme budget contained in table 2 below and *requests* that all staff positions be filled expeditiously;

4. *Approves* a drawing of US$ 5,203,200 from the unspent balances or contributions ("carry-over") from previous financial periods to cover part of the 2001–2002 budget;

5. *Authorizes* the Executive Secretary to transfer resources among the programmes within the limits agreed to in decisions IV/17 and III/23, namely the ability to transfer between each of the main appropriation lines set out in table 1 up to an aggregate of 15 per cent of the total programme budget, provided that a further limitation of up to a maximum of 25 per cent of each such appropriation line shall apply;

6. *Notes with concern* that a number of Parties have not paid their contributions to the core budget (BY Trust Fund) for previous years, which are due on 1 January of each year in accordance with paragraph 4 of the financial rules, and the late payment of contributions to the core budget by Parties during each calendar year of a biennium, which have contributed to the significant carry-over from one biennium to the next, and, in the event that there is no improvement in the payment of contributions by Parties, *invites* the Executive Secretary to submit proposals for promoting full and timely payment of contributions by Parties for the consideration and review of the seventh meeting of the Conference of the Parties;

7. *Urges* Parties that have still not paid their contributions to the core budget (BY Trust Fund) to do so without delay, and *requests* the Executive Secretary to pub-

lish and regularly update information on the status of contributions of Parties to the Convention's trust funds (BY, BE, BZ);

8. *Decides*, with regard to contributions due from 1 January 2001 onwards, that Parties whose contributions are in arrears for two or more years will be allowed to attend the meetings of the Convention's bodies with a maximum of two delegates until their arrears have been cleared;

9. *Further decides* that, with regard to contributions due from 1 January 2001 onwards, Parties that are not least developed countries or small island developing States whose contributions are in arrears for two or more years, will not receive funding from the Secretariat to attend meetings of the Convention's bodies until their arrears have been cleared;

10. *Authorizes* the Executive Secretary to enter into commitments up to the level of the approved budget, drawing on available cash resources, including unspent balances, contributions from previous financial periods and miscellaneous income;

11. *Decides also* to fund, upon request, from the core budget (BY) the participation of members of the bureaux of the Conference of the Parties, Subsidiary Body on Scientific Technical and Technological Advice and the Intergovernmental Committee on the Cartagena Protocol on Biosafety at the inter-sessional meetings of the respective bureaux;

12. *Takes note* of the decisions of the Bureau of the fourth meeting of the Conference of the Parties authorizing the Executive Secretary to utilize savings, unspent balances from previous financial periods and miscellaneous income in the amount of US$ 1,565,000 from the BY Trust Fund to fund the participation of developing country Parties, in particular the least developed and small island developing States, and other Parties with economies in transition, in the meetings of the Convention and *requests* the Executive Secretary, in consultation with the Bureau, to monitor the availability of voluntary contributions to the BZ Trust Fund in the event of any shortfall;

13. *Decides* that the trust funds (BY, BE, BZ) for the Convention shall be extended for the period of two years, beginning 1 January 2002 and ending 31 December 2003;

14. *Invites* all Parties to the Convention to note that contributions to the core budget (BY) are due on 1 January of the year in which the these contributions have been budgeted for, and to pay them promptly, and *urges* Parties, in a position to do so, to pay by 1 October 2000 for the calendar year 2001 and by 1 October 2001 for the calendar year 2002 the contributions required to finance expenditures approved under paragraph 1 above, as offset by the amount in paragraph 4, and, in this regard, *requests* that Parties be notified of the amount of their contributions by 1 August of the year preceding the year in which the contributions are due;

15. *Urges* all Parties and States not Parties to the Convention, as well as governmental, intergovernmental and non-governmental organizations and other sources, to contribute to the trust funds (BY, BE, BZ) of the Convention;

16. *Takes note* of the funding estimates for the Special Voluntary Trust Fund (BE) for Additional Voluntary Contributions in Support of Approved Activities for the Biennium 2001–2002 specified by the Executive Secretary and included in table 3 below, and *urges* Parties to make contributions to this Fund;

17. *Takes note* of the funding estimates for the special voluntary Trust Fund (BZ) for facilitating participation of developing country Parties, in particular the least developed and the small island developing States amongst them, and other Parties with economies in transition, for the biennium 2001-2002, as specified by the Executive Secretary and included in table 4 below, and urges Parties to make contributions to this Fund;

18. *Authorizes* the Executive Secretary, in consultation with the Bureau of the Conference of the Parties, to adjust the servicing of the programme of the work, including postponement of meetings, if sufficient resources are not available to the Secretariat in a timely fashion;

19. *Requests* the Executive Secretary to prepare and submit a budget for the programme of work for the biennium 2003–2004 for the sixth meeting of the Conference of the Parties, and report on income and budget performance as well as any adjustments made to the Convention budget for the biennium 2001–2002;

20. *Instructs* the Executive Secretary, in an effort to improve the efficiency of the Secretariat and to attract highly qualified staff to the Secretariat, to enter into direct administrative and contractual arrangements with Parties and organizations—in response to offers of human resources and other support to the Secretariat—as may be necessary for the effective discharge of the functions of the Secretariat, while ensuring the efficient use of available competencies, resources and services, and taking into account United Nations rules and regulations. Special attention should be given to possibilities of creating synergies with relevant, existing work programmes or activities that are being implemented within the framework of other international organizations;

21. *Requests* the President of the Conference of the Parties to consult with the Secretary-General of the United Nations on an assessment of the level of the post of the Executive Secretary of the Convention and report to the Bureau of the Conference of the Parties, taking into account paragraph 1 of the Administrative Arrangements endorsed in decision IV/17.

TABLE 1: BIENNIUM BUDGET OF THE TRUST FUND FOR THE CONVENTION ON BIOLOGICAL DIVERSITY 2001–2002

EXPENDITURES	2001 (IN THOUSANDS OF US$)	2002 (IN THOUSANDS OF US$)
I. Programmes		
Executive direction and management	529.7	547.6
Scientific technical and technological matters	963.9	1,014.1
Social, economic and legal matters	850.7	1,178.2
Implementation and outreach	1,527.7	1,587.5
Biosafety	830.6	870.9
Resource management and conference services	2,902.7	3,695.4
SUB TOTAL (I)	**7,605.3**	**8,893.7**
II. Programme support charge 13%	**988.7**	**1,156.2**
TOTAL BUDGET (I + II)	**8,594.0**	**10,049.9**
Savings from previous years (surplus)	2,000.0	3,203.2
NET TOTAL (AMOUNT TO BE PAID BY THE PARTIES)	**6,594.0**	**6,846.7**

TABLE 2: SECRETARIAT-WIDE STAFFING REQUIREMENTS FROM THE CORE BUDGET*

	2001	2002
A. Professional category		
D-2	1	1
D-1	3	3
P-5	3	3
P-4	11	11
P-3	13	13
P-2	2	2
TOTAL PROFESSIONAL CATEGORY	**33**	**33**
B. Total General Service category	**23**	**23**
TOTAL (A + B)	**56**	**56**

* THE P-4 FUND MANAGEMENT POST FUNDED FROM THE OTL WILL BE SUBJECT TO RECLASSIFICATION TO P-5 IN 2001–2002.

TABLE 3: SPECIAL VOLUNTARY TRUST FUND (BE) FOR ADDITIONAL VOLUNTARY CONTRIBUTIONS IN SUPPORT OF APPROVED ACTIVITIES FOR THE BIENNIUM 2001–2002

DESCRIPTION	2001 (IN THOUSANDS OF US$)	2002 (IN THOUSANDS OF US$)
I. A. Meetings/workshops		
Executive direction and management		
Regional meetings for COP-6 (4)	0.0	100.0
Scientific, technical and technological matters		
Regional workshops (5)	200.0	300.0
Advisory group meetings	30.0	30.0
Meetings of ad hoc technical expert groups (6)	210.0	210.0
Implementation and outreach		
Workshops on additional financial resources	100.0	100.0
Regional workshops on the clearing-house mechanism	100.0	100.0
CHM advisory committee	30.0	30.0
Biosafety		
Regional meetings for the Biosafety Protocol	100.0	100.0
ICCP technical expert meetings (4)	140.0	140.0
Social, economic and legal matters		
Workshop on sustainable use and tourism	100.0	100.0
Panel of Experts on Access and Benefit-sharing	230.0	0.0
B. Staff		
Taxonomy Programme Officer (Australia/Sweden)	100.0	100.0
Agricultural Biodiversity Programme Officer (FAO)	110.0	110.0
Senior Programme Officer (Netherlands)	127.4	120.0
C. Travel		
Travel of COP President	7.0	7.0
Travel of SBSTTA Chair	7.0	7.0
D. Consultants		
Ecosystem evaluation and assessment guidelines	15.0	15.0
Clearing-house mechanism	15.0	15.0
E. Sub-contracts		
Financial resources database and commissioned studies	33.0	0.0
Independent review of the financial mechanism	150.0	0.0
Global Biodiversity Outlook	100.0	100.0
Global Taxonomy Initiative	100.0	50.0
Pilot phase – assessments	100.0	0.0
Clearing-house mechanism	50.0	50.0
F. Fellowships	**100.0**	**100.0**
SUBTOTAL I	**2,254.4**	**1,884.0**
II. Programme support costs (13%)	**293.1**	**244.9**
TOTAL (I + II)	**2,547.5**	**2,128.9**

TABLE 4: SPECIAL VOLUNTARY TRUST FUND (BZ) FOR FACILITATING PARTICIPATION OF PARTIES IN THE CONVENTION PROCESS FOR THE BIENNIUM 2001–2002*

DESCRIPTION	2001 (IN THOUSANDS OF US$)	2002
I. Meetings		
Sixth meeting of the Conference of the Parties	0.0	761.8
Regional meetings for the Conference of the Parties	0.0	329.4
Subsidiary Body on Scientific, Technical and Technological Advice	483.6	483.6
Inter-Sessional Meeting on the Operations of the Convention	483.6	0.0
Intergovernmental Committee on the Cartagena Protocol on Biosafety	483.6	483.6
Ad Hoc Working Group on Access and Benefit-sharing	0.0	105.8
Ad Hoc Working Group on Article 8(j)	0.0	480.7
Regional meetings for the Biosafety Protocol	329.4	0.0
SUBTOTAL I	**1,780.2**	**2,644.9**
II. Programme support costs (13%)	**231.4**	**343.8**
TOTAL (I + II)	**2,011.6**	**2,988.7**

* DEVELOPING COUNTRY PARTIES, IN PARTICULAR THE LEAST DEVELOPED AND SMALL ISLAND DEVELOPING STATES AMONG THEM, AND OTHER PARTIES WITH ECONOMIES IN TRANSITION

ANNEX
SCALE OF CONTRIBUTIONS TO THE TRUST FUND FOR THE CONVENTION ON BIOLOGICAL DIVERSITY FOR 2001–2002

MEMBER COUNTRY	UN SCALE OF ASSESSMENTS 2000 %	SCALE WITH 25 PER CENT CEILING, NO LDC PAYING MORE THAN 0.01% %	CONTRIBUTIONS PER 1 JAN. 2001 US$	UN SCALE OF ASSESSMENTS 2000 %	SCALE WITH 25 PER CENT CEILING, NO LDC PAYING MORE THAN 0.01% %	CONTRIBUTIONS AS PER 1 JAN. 2002 US$	TOTAL CONTRIBUTIONS 2001–2002 US$
Albania	0.003	0.00400	263	0.003	0.00400	274	537
Algeria	0.086	0.11452	7,552	0.086	0.11452	7,841	15,393
Angola	0.010	0.01332	878	0.010	0.01332	912	1,790
Antigua and Barbuda	0.002	0.00266	176	0.002	0.00266	182	358
Argentina	1.103	1.46883	96,855	1.103	1.46883	100,566	197,421
Armenia	0.006	0.00799	527	0.006	0.00799	547	1,074
Australia	1.483	1.97486	130,223	1.483	1.97486	135,213	265,435
Austria	0.942	1.25443	82,717	0.942	1.25443	85,887	168,604
Bahamas	0.015	0.01998	1,317	0.015	0.01998	1,368	2,685
Bahrain	0.017	0.02264	1,493	0.017	0.02264	1,550	3,043
Bangladesh	0.010	0.01332	878	0.010	0.01332	912	1,790
Barbados	0.008	0.01065	702	0.008	0.01065	729	1,432
Belarus	0.057	0.07591	5,005	0.057	0.07591	5,197	10,202
Belgium	1.104	1.47016	96,942	1.104	1.47016	100,658	197,600
Belize	0.001	0.00133	88	0.001	0.00133	91	179
Benin	0.002	0.00266	176	0.002	0.00266	182	358
Bhutan	0.001	0.00133	88	0.001	0.00133	91	179
Bolivia	0.007	0.00932	615	0.007	0.00932	638	1,253
Botswana	0.010	0.01332	878	0.010	0.01332	912	1,790
Brazil	1.471	1.95888	129,169	1.471	1.95888	134,119	263,288
Bulgaria	0.011	0.01465	966	0.011	0.01465	1,003	1,969
Burkina Faso	0.002	0.00266	176	0.002	0.00266	182	358
Burundi	0.001	0.00133	88	0.001	0.00133	91	179
Cambodia	0.001	0.00133	88	0.001	0.00133	91	179
Cameroon	0.013	0.01731	1,142	0.013	0.01731	1,185	2,327
Canada	2.732	3.63812	239,897	2.732	3.63812	249,091	488,988
Cape Verde	0.002	0.00266	176	0.002	0.00266	182	358
Central African Republic	0.001	0.00133	88	0.001	0.00133	91	179
Chad	0.001	0.00133	88	0.001	0.00133	91	179
Chile	0.036	0.04794	3,161	0.036	0.04794	3,282	6,443
China	0.995	1.32501	87,371	0.995	1.32501	90,719	178,091
Colombia	0.109	0.14515	9,571	0.109	0.14515	9,938	19,509
Comoros	0.001	0.00133	88	0.001	0.00133	91	179
Congo	0.003	0.00400	263	0.003	0.00400	274	537
Cook Islands	0.001	0.00133	88	0.001	0.00133	91	179
Costa Rica	0.016	0.02131	1,405	0.016	0.02131	1,459	2,864
Cote d'Ivoire	0.009	0.01199	790	0.009	0.01199	821	1,611

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Croatia	0.030	0.03995	2,634	0.030	0.03995	2,735	5,370
Cuba	0.024	0.03196	2,107	0.024	0.03196	2,188	4,296
Cyprus	0.034	0.04528	2,986	0.034	0.04528	3,100	6,086
Czech Rep.	0.107	0.14249	9,396	0.107	0.14249	9,756	19,151
Democratic People's Rep. of Korea	0.015	0.01998	1,317	0.015	0.01998	1,368	2,685
Democratic Republic of the Congo	0.007	0.00932	615	0.007	0.00932	638	1,253
Denmark	0.692	0.92151	60,765	0.692	0.92151	63,093	123,858
Djibouti	0.001	0.00133	88	0.001	0.00133	91	179
Dominica	0.001	0.00133	88	0.001	0.00133	91	179
Dominican Republic	0.015	0.01998	1,317	0.015	0.01998	1,368	2,685
Ecuador	0.020	0.02663	1,756	0.020	0.02663	1,824	3,580
Egypt	0.065	0.08656	5,708	0.065	0.08656	5,926	11,634
El Salvador	0.012	0.01598	1,054	0.012	0.01598	1,094	2,148
Equatorial Guinea	0.001	0.00133	88	0.001	0.00133	91	179
Eritrea	0.001	0.00133	88	0.001	0.00133	91	179
Estonia	0.012	0.01598	1,054	0.012	0.01598	1,094	2,148
Ethiopia	0.006	0.00799	527	0.006	0.00799	547	1,074
European Community	2.500	2.50000	164,850	2.500	2.50000	171,168	336,018
Fiji	0.004	0.00533	351	0.004	0.00533	365	716
Finland	0.543	0.72310	47,681	0.543	0.72310	49,508	97,189
France	6.545	8.71577	574,718	6.545	8.71577	596,742	1,171,460
Gabon	0.015	0.01998	1,317	0.015	0.01998	1,368	2,685
Gambia	0.001	0.00133	88	0.001	0.00133	91	179
Georgia	0.007	0.00932	615	0.007	0.00932	638	1,253
Germany	9.857	13.12625	865,545	9.857	13.12625	898,715	1,764,260
Ghana	0.007	0.00932	615	0.007	0.00932	638	1,253
Greece	0.351	0.46742	30,821	0.351	0.46742	32,003	62,824
Grenada	0.001	0.00133	88	0.001	0.00133	91	179
Guatemala	0.018	0.02397	1,581	0.018	0.02397	1,641	3,222
Guinea	0.003	0.00400	263	0.003	0.00400	274	537
Guinea-Bissau	0.001	0.00133	88	0.001	0.00133	91	179
Guyana	0.001	0.00133	88	0.001	0.00133	91	179
Haiti	0.002	0.00266	176	0.002	0.00266	182	358
Honduras	0.003	0.00400	263	0.003	0.00400	274	537
Hungary	0.120	0.15980	10,537	0.120	0.15980	10,941	21,478
Iceland	0.032	0.04261	2,810	0.032	0.04261	2,918	5,728

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India	0.299	0.39817	26,255	0.299	0.39817	27,261	53,517
Indonesia	0.188	0.25035	16,508	0.188	0.25035	17,141	33,649
Iran (Islamic Republic of)	0.161	0.21440	14,137	0.161	0.21440	14,679	28,817
Ireland	0.224	0.29829	19,669	0.224	0.29829	20,423	40,093
Israel	0.350	0.46608	30,734	0.350	0.46608	31,911	62,645
Italy	5.437	7.24028	477,424	5.437	7.24028	495,720	973,144
Jamaica	0.006	0.00799	527	0.006	0.00799	547	1,074
Japan	20.573	25.00000	1,648,500	20.573	25.00000	1,711,675	3,360,175
Jordan	0.006	0.00799	527	0.006	0.00799	547	1,074
Kazakhstan	0.048	0.06392	4,215	0.048	0.06392	4,376	8,591
Kenya	0.007	0.00932	615	0.007	0.00932	638	1,253
Kiribati	0.001	0.00133	88	0.001	0.00133	91	179
Kyrgyzstan	0.006	0.00799	527	0.006	0.00799	547	1,074
Lao People's Democratic Republic	0.001	0.00133	88	0.001	0.00133	91	179
Latvia	0.017	0.02264	1,493	0.017	0.02264	1,550	3,043
Lebanon	0.016	0.02131	1,405	0.016	0.02131	1,459	2,864
Lesotho	0.002	0.00266	176	0.002	0.00266	182	358
Liechtenstein	0.006	0.00799	527	0.006	0.00799	547	1,074
Lithuania	0.015	0.01998	1,317	0.015	0.01998	1,368	2,685
Luxembourg	0.068	0.09055	5,971	0.068	0.09055	6,200	12,171
Madagascar	0.003	0.00400	263	0.003	0.00400	274	537
Malawi	0.002	0.00266	176	0.002	0.00266	182	358
Malaysia	0.183	0.24370	16,069	0.183	0.24370	16,685	32,754
Maldives	0.001	0.00133	88	0.001	0.00133	91	179
Mali	0.002	0.00266	176	0.002	0.00266	182	358
Marshall Islands	0.001	0.00133	88	0.001	0.00133	91	179
Mauritania	0.001	0.00133	88	0.001	0.00133	91	179
Mauritius	0.009	0.01199	790	0.009	0.01199	821	1,611
Mexico	0.995	1.32501	87,371	0.995	1.32501	90,719	178,091
Micronesia (Federated States of)	0.001	0.00133	88	0.001	0.00133	91	179
Monaco	0.004	0.00533	351	0.004	0.00533	365	716
Mongolia	0.002	0.00266	176	0.002	0.00266	182	358
Morocco	0.041	0.05460	3,600	0.041	0.05460	3,738	7,338
Mozambique	0.001	0.00133	88	0.001	0.00133	91	179
Myanmar	0.008	0.01065	702	0.008	0.01065	729	1,432
Namibia	0.007	0.00932	615	0.007	0.00932	638	1,253
Nauru	0.001	0.00133	88	0.001	0.00133	91	179
Nepal	0.004	0.00533	351	0.004	0.00533	365	716
Netherlands	1.632	2.17328	143,306	1.632	2.17328	148,798	292,104

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New Zealand	0.221	0.29430	19,406	0.221	0.29430	20,150	39,556
Nicaragua	0.001	0.00133	88	0.001	0.00133	91	179
Niue	0.001	0.00133	88	0.001	0.00133	91	179
Niger	0.002	0.00266	176	0.002	0.00266	182	358
Nigeria	0.032	0.04261	2,810	0.032	0.04261	2,918	5,728
Norway	0.610	0.81232	53,564	0.610	0.81232	55,617	109,181
Oman	0.051	0.06792	4,478	0.051	0.06792	4,650	9,128
Pakistan	0.059	0.07857	5,181	0.059	0.07857	5,379	10,560
Palau	0.001	0.00133	88	0.001	0.00133	91	179
Panama	0.013	0.01731	1,142	0.013	0.01731	1,185	2,327
Papua New Guinea	0.007	0.00932	615	0.007	0.00932	638	1,253
Paraguay	0.014	0.01864	1,229	0.014	0.01864	1,276	2,506
Peru	0.099	0.13184	8,693	0.099	0.13184	9,026	17,720
Philippines	0.081	0.10787	7,113	0.081	0.10787	7,385	14,498
Poland	0.196	0.26101	17,211	0.196	0.26101	17,870	35,081
Portugal	0.431	0.57395	37,846	0.431	0.57395	39,297	77,143
Qatar	0.033	0.04395	2,898	0.033	0.04395	3,009	5,907
Republic of Korea	1.006	1.33966	88,337	1.006	1.33966	91,722	180,059
Republic of Moldova	0.010	0.01332	878	0.010	0.01332	912	1,790
Romania	0.056	0.07457	4,917	0.056	0.07457	5,106	10,023
Russian Federation	1.077	1.43421	94,572	1.077	1.43421	98,196	192,767
Rwanda	0.001	0.00133	88	0.001	0.00133	91	179
Saint Kitts and Nevis	0.001	0.00133	88	0.001	0.00133	91	179
Saint Lucia	0.001	0.00133	88	0.001	0.00133	91	179
Saint Vincent and the Grenadines	0.001	0.00133	88	0.001	0.00133	91	179
Samoa	0.001	0.00133	88	0.001	0.00133	91	179
San Marino	0.002	0.00266	176	0.002	0.00266	182	358
Sao Tome and Principe	0.001	0.00133	88	0.001	0.00133	91	179
Senegal	0.006	0.00799	527	0.006	0.00799	547	1,074
Seychelles	0.002	0.00266	176	0.002	0.00266	182	358
Sierra Leone	0.001	0.00133	88	0.001	0.00133	91	179
Singapore	0.179	0.23837	15,718	0.179	0.23837	16,320	32,038
Slovakia	0.035	0.04661	3,073	0.035	0.04661	3,191	6,264
Slovenia	0.061	0.08123	5,356	0.061	0.08123	5,562	10,918
Solomon Islands	0.001	0.00133	88	0.001	0.00133	91	179

continues…

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South Africa	0.366	0.48739	32,139	0.366	0.48739	33,370	65,509
Spain	2.591	3.45035	227,516	2.591	3.45035	236,235	463,751
Sri Lanka	0.012	0.01598	1,054	0.012	0.01598	1,094	2,148
Sudan	0.007	0.00932	615	0.007	0.00932	638	1,253
Suriname	0.004	0.00533	351	0.004	0.00533	365	716
Swaziland	0.002	0.00266	176	0.002	0.00266	182	358
Sweden	1.079	1.43687	94,747	1.079	1.43687	98,378	193,125
Switzerland	1.215	1.61798	106,689	1.215	1.61798	110,778	217,467
Syrian Arab Republic	0.064	0.08523	5,620	0.064	0.08523	5,835	11,455
Tajikistan	0.004	0.00533	351	0.004	0.00533	365	716
The former Yugoslav Republic of Macedonia	0.004	0.00533	351	0.004	0.00533	365	716
Togo	0.001	0.00133	88	0.001	0.00133	91	179
Tonga	0.001	0.00133	88	0.001	0.00133	91	179
Trinidad and Tobago	0.016	0.02131	1,405	0.016	0.02131	1,459	2,864
Tunisia	0.028	0.03729	2,459	0.028	0.03729	2,553	5,012
Turkey	0.440	0.58593	38,636	0.440	0.58593	40,117	78,754
Turkmenistan	0.006	0.00799	527	0.006	0.00799	547	1,074
Uganda	0.004	0.00533	351	0.004	0.00533	365	716
Ukraine	0.190	0.25302	16,684	0.190	0.25302	17,323	34,007
United Arab Emirates	0.178	0.23704	15,630	0.178	0.23704	16,229	31,859
United Kingdom of Great Britain and Northern Ireland	5.090	6.77819	446,954	5.090	6.77819	464,082	911,036
United Republic of Tanzania	0.003	0.00400	263	0.003	0.00400	274	537
Uruguay	0.048	0.06392	4,215	0.048	0.06392	4,376	8,591
Uzbekistan	0.025	0.03329	2,195	0.025	0.03329	2,279	4,475
Vanuatu	0.001	0.00133	88	0.001	0.00133	91	179
Venezuela	0.160	0.21307	14,050	0.160	0.21307	14,588	28,638
Viet Nam	0.007	0.00932	615	0.007	0.00932	638	1,253
Yemen	0.010	0.01332	878	0.010	0.01332	912	1,790
Zambia	0.002	0.00266	176	0.002	0.00266	182	358
Zimbabwe	0.009	0.01199	790	0.009	0.01199	821	1,611
TOTAL	**77.516**	**100**	**6,594m**	**77.516**	**100**	**6,847m**	**13,441m**

* DEVELOPING COUNTRY PARTIES, IN PARTICULAR THE LEAST DEVELOPED AND SMALL ISLAND DEVELOPING STATES AMONG THEM, AND OTHER PARTIES WITH ECONOMIES IN TRANSITION.

DECISION V/23 | Consideration of options for conservation and sustainable use of biological diversity in dryland, Mediterranean, arid, semi-arid, grassland and savannah ecosystems

The Conference of the Parties

1. *Establishes* a programme of work on the biological diversity of dryland, Mediterranean, arid, semi-arid, grassland, and savannah ecosystems, which may also be known as the programme on "dry and sub-humid lands", bearing in mind the close linkages between poverty and loss of biological diversity in these areas;

2. *Endorses* the programme of work contained in annex I to the present decision;

3. *Urges* Parties, countries, international and regional organizations, major groups and other relevant bodies to implement it, to support scientifically, technically and financially its activities at the national and regional levels and to foster cooperation among countries within regions and subregions sharing similar biomes;

4. *Endorses* the indicative list of levels of implementation and coordination for the various activities which are proposed in annex II, and the process described in the paragraphs 5, 6 and 7 below, and illustrated in annex III;

5. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice to review and assess periodically the status and trends of the biological diversity of dry and sub-humid lands on the basis of the outputs of the activities of the programme of work, and make recommendations for the further prioritization, refinement and scheduling of the programme of work based on the review by the Executive Secretary referred to in paragraph 8 below;

6. *Requests* the Executive Secretary to review this programme of work and identify expected outcomes, further activities to achieve these outcomes, those who should implement these activities, and timetables for action and follow-up, taking into account the suggestions of the technical group of experts, and to present these to the Subsidiary Body on Scientific, Technical and Technological Advice for consideration at a following meeting. This process should be carried out in close collaboration with the Executive Secretary of the United Nations Convention to Combat Desertification and other relevant bodies to provide synergy and avoid duplication;

7. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice to establish an ad hoc technical group of experts with the following tasks:

(a) Consolidate and assess information on the status and trends of biodiversity of dry and sub-humid lands, on the possible establishment of an international network of dry and sub-humid areas of particular value for biodiversity, on indicators, on processes affecting biodiversity, on global benefits derived from biodiversity, and on the socio-economic impacts of its loss, including the interrelationship between biodiversity and poverty;

(b) Assess the progress and the effects of the specific measures that have been taken for the conservation and sustainable use of biodiversity, for resource management and for the support of sustainable livelihoods;

(c) Assess international priorities set up at the regional and global levels and make proposals for expected outcomes, further activities, possible actors that may implement them, and timetables for action;

8. *Requests* the Executive Secretary to collaborate with the Secretariat of the Convention to Combat Desertification, including through the development of a joint work programme, drawing upon the elements contained in the note by the Executive Secretary on coordination between the Convention on Biological diversity and the Convention to Combat Desertification (UNEP/CBD/COP/5/INF/15), as well as with other relevant bodies, in the implementation and further elaboration of the programme of work and further requests the Executive Secretary to seek inputs from and collaborate with countries with sub-humid lands, and with other bodies relevant to sub-humid lands;

9. *Requests* the Executive Secretary to establish a roster of experts on the biological diversity of dry and sub-humid lands. This should be carried out in close collaboration with the Executive Secretary of the Convention to Combat Desertification and other relevant bodies to provide synergy and avoid duplication;

10. *Requests* the Executive Secretary to make available relevant information on the biological diversity of dry and sub-humid lands through various means, including the development in the clearing-house mechanism of a database on dry and sub-humid lands;

11. *Invites* bilateral and international funding agencies to provide support for the implementation of the activities of the programme of work on the biodiversity of dry and sub-humid lands, in particular for capacity-building in developing countries and countries with economies in transition.

ANNEX I
PROGRAMME OF WORK ON DRY AND SUB-HUMID LANDS

I. Introduction

1. The overall aim of the programme of work is to promote the three objectives of the Convention in dry and sub-humid lands.[79]

2. The elaboration and implementation of the programme of work should:

(a) Build upon existing knowledge and ongoing activities and management practices, and promote a concerted response to fill knowledge gaps while supporting best management practices through partnership among countries and institutions;

(b) Ensure harmony with the other relevant thematic programmes of work under the Convention on Biological Diversity, as well as the work on cross-cutting issues;

(c) Promote synergy and coordination, and avoid unnecessary duplication, between related conventions, particularly the United Nations Convention to Combat Desertification, and the programmes of various international orga-

79 The programme of work does not apply to polar and tundra regions.

nizations, while respecting the mandates and existing programmes of work of each organization and the intergovernmental authority of the respective governing bodies;

(d) Promote effective stakeholder participation, including the identification of priorities, in planning, in research and in monitoring and evaluating research;

(e) Respond to national priorities through the implementation of specific activities in a flexible and demand-driven manner;

(f) Support the development of national strategies and programmes and promote the integration of biological-diversity concerns in sectoral and cross-sectoral plans, programmes and policies, in furtherance of Article 6 of the Convention on Biological Diversity, in seeking harmonization and avoiding duplication when undertaking activities relevant to other related conventions, in particular the United Nations Convention to Combat Desertification.

3. The elaboration and implementation of the programme of work should aim at applying the ecosystem approach adopted under the Convention on Biological Diversity. Implementation of the programme of work will also build upon the knowledge, innovations and practices of indigenous and local communities consistent with Article 8(j) of the Convention.

II. Programme of Work

4. The programme of work is divided in two parts, "Assessments" and "Targeted actions in response to identified needs", to be implemented in parallel. Knowledge gained through the assessments will help guide the responses needed, while lessons learned from activities will feed back into the assessments.

PART A: ASSESSMENTS

Operational objective

5. To assemble and analyse information on the state of the biological diversity of dry and sub-humid lands and the pressures on it, to disseminate existing knowledge and best practices, and to fill knowledge gaps, in order to determine adequate activities.

Rationale

6. Ecosystems of dry and sub-humid lands tend to be naturally highly dynamic systems. Assessment of the status and trends of the biological diversity of dry and sub-humid lands is therefore particularly challenging. A better understanding of the biological diversity of dry and sub-humid lands, their dynamics, their socio-economic value and the consequences of their loss and change is needed. This also includes the merits of short-term adaptive management practices compared with long-term management planning. This should not, however, be seen as a prerequisite for targeted actions for the conservation and sustainable use of the biological diversity of dry and sub-humid lands. Indeed, lessons learned from practices, including indigenous and local community practices, contribute to the knowledge

base. Since water constraints are a defining characteristic of dry and sub-humid lands, effective water management strategies underpin their successful management. This requires an appropriate balance between the immediate water requirements of humans, their livestock and crops, and water required to maintain biodiversity and ecosystem integrity.

Activities

ACTIVITY 1. Assessment of the status and trends of the biological diversity of dry and sub-humid lands, including landraces, and the effectiveness of conservation measures.

ACTIVITY 2. Identification of specific areas within dry and sub-humid lands of particular value for biological diversity and/or under particular threat, such as, *inter alia*, endemic species and low lying wetlands, with reference to the criteria in Annex I to the Convention on Biological Diversity.

ACTIVITY 3. Further development of indicators of the biological diversity of dry and sub-humid lands and its loss, for the various ecosystem types, for use in the assessment of status and trends of this biological diversity.

ACTIVITY 4. Building knowledge on ecological, physical and social processes that affect the biological diversity of dry and sub-humid lands, especially ecosystem structure and functioning (e.g., grazing, droughts, floods, fires, tourism, agricultural conversion or abandonment).

ACTIVITY 5. Identification of the local and global benefits, including soil and water conservation, derived from the biological diversity of dry and sub-humid lands, assessment of the socio-economic impact of its loss, and the undertaking of studies on the interrelationship between biodiversity and poverty, including analysis of: (i) the benefits from biodiversity for poverty alleviation; and (ii) the impact of biodiversity conservation on the poorest.

ACTIVITY 6. Identification and dissemination of best management practices, including knowledge, innovations and practices of indigenous and local communities that can be broadly applied, consistent with the programme of work under the Convention on Article 8(j) and related provisions.

Ways and means

7. The activities of part A are to be carried out through:

(a) Consolidation of information from various ongoing sources, including those under other international conventions, the Global Observing Systems, and other programmes. This process would draw upon ongoing work of these existing programmes, with additional catalytic activities, such as workshops, further use of the clearing-house mechanism under the Convention on Biological Diversity, and partnerships between organizations, including, where appropriate, joint activities of the secretariats of the Convention on Biological Diversity and of the Convention to Combat Desertification, drawing upon the elements contained in the note by the Executive Secretary on possible elements of a joint work programme between the two secretariats on the biological

diversity of dry and sub-humid lands (UNEP/CBD/COP/5/INF/15) in determining priorities for these activities;

(b) Targeted research, including existing programmes of international and national research centres and research systems and other relevant international or regional programmes, with additional funding for priority work needed to overcome barriers to the conservation and sustainable use of the biological diversity of dry and sub-humid lands;

(c) Multidisciplinary and interdisciplinary case-studies on management practices, carried out primarily by national and regional institutions, including civil-society organizations and research institutions, with support from international organizations for catalysing the preparation of studies, mobilizing funds, disseminating results, and facilitating feedback and lessons learned to case-study providers and policy makers. New resources could be needed to promote such studies to analyse the results and to provide necessary capacity-building and human-resource development;

(d) Dissemination of information and capacity-building required by assessment activities.

PART B: TARGETED ACTIONS IN RESPONSE TO IDENTIFIED NEEDS

Operational objective

8. To promote the conservation of the biological diversity of dry and sub-humid lands, the sustainable use of its components and the fair and equitable sharing of the benefits arising out of the utilization of its genetic resources, and to combat the loss of biological diversity in dry and sub-humid lands and its socio-economic consequences.

Rationale

9. The activity needed to promote the conservation and sustainable use of the biological diversity of dry and sub-humid lands will depend on the state of the dry and sub-humid lands resources and the nature of the threats. Hence, a range of options needs to be considered, from sustainable use to *in situ* and *ex situ* conservation.

10. Many dry and sub-humid land resources must be managed at the level of watersheds, or at higher spatial levels, implying community or inter-community, rather than individual, management. This is often further complicated by multiple user groups (e.g., agriculturalists, pastoralists and fisherfolk) and the migratory habits of some animal species and users of biological diversity. Institutions need to be developed or strengthened to provide for biological diversity management at the appropriate scale and for conflict resolution.

11. Sustainable use of biological diversity in dry and sub-humid lands may require the development of alternative livelihoods, and the creation of markets and other incentives to enable and promote responsible use.

Activities

ACTIVITY 7. Promotion of specific measures for the conservation and sustainable use of the biological diversity of dry and sub-humid lands, through, *inter alia*:

(a) The use and the establishment of additional protected areas and the development of further specific measures for the conservation of the biological diversity of dry and sub-humid lands, including the strengthening of measures in existing protected areas; investments in the development and promotion of sustainable livelihoods, including alternative livelihoods; and conservation measures;

(b) The rehabilitation or restoration of the biological diversity of degraded dry and sub-humid lands, with the associated benefits arising thereof, such as soil and water conservation;

(c) The management of invasive alien species;

(d) The sustainable management of dry and sub-humid land production systems;

(e) The appropriate management and sustainable use of water resources;

(f) Where necessary, the conservation *in situ* as well as *ex situ*, as a complement to the latter, of the biological diversity of dry and sub-humid lands, taking due account of better understanding of climate variability in developing effective *in situ* biological conservation strategies;

(g) The economic valuation of the biological diversity of dry and sub-humid lands, as well as the development and the use of economic instruments and the promotion of the introduction of adaptive technologies that enhance productivity of dry and sub-humid lands ecosystems;

(h) The sustainable use or husbandry of plant and animal biomass, through adaptive management, bearing in mind the potential population fluctuation in dry and sub-humid lands, and the support by Parties of national policies, legislation and land-use practices, which promote effective biodiversity conservation and sustainable use;

(i) The establishment and promotion of training, education and public awareness;

(j) The facilitation and improvement of the availability, the accessibility and exchange of information on sustainable use of the biological diversity of dry and sub-humid lands;

(k) The establishment and promotion of research and development programmes with a focus on, *inter alia*, building local capacity for effective conservation and sustainable use of the biological diversity of dry and sub-humid lands;

(l) Cooperation with the Ramsar Convention on Wetlands and the Convention on the Conservation of Migratory Species with regard to, *inter alia*, integrated catchment management incorporating wetlands ecosystems as integral parts of dry and sub-humid lands, and the creation of migratory-species corridors across dry and sub-humid lands during seasonal periods, as well as with the Convention on International Trade in Endangered Species (CITES) with regard to rare and endangered species in dry and sub-humid lands;

(m) Cooperation with all relevant conventions, in particular with the Convention to Combat Desertification with respect to, *inter alia*, the sustainable use of the biological diversity of dry and sub-humid lands, the application of the ecosystem approach, the assessment of the status and trends of this biological diversity as well as to its threats.

ACTIVITY 8. Promotion of responsible resource management, at appropriate levels, applying the ecosystem approach, through an enabling policy environment, including, *inter alia*:

(a) Strengthening of appropriate local institutional structures for resource management, supporting indigenous and local techniques of resource use that enable conservation and sustainable use in the long term, and/or combining appropriate existing institutions and techniques with innovative approaches to enable synergies;

(b) Decentralization of management to the lowest level, as appropriate, keeping in mind the need for common resource management and with due consideration to, *inter alia*, involving indigenous and local communities in planning and managing projects;

(c) Creating or strengthening appropriate institutions for land tenure and conflict resolution;

(d) Encouraging bilateral and subregional cooperation to address transboundary issues (such as facilitating access to transboundary rangelands), as appropriate, and in accordance with national legislation and international agreements;

(e) Harmonizing sectoral policies and instruments to promote the conservation and the sustainable use of biological diversity of dry and sub-humid lands, including by, *inter alia*, taking advantage of the existing national action programmes under the Convention to Combat Desertification frameworks at the country level, as well as, as appropriate, other existing and relevant sectoral plans and policies.

ACTIVITY 9. Support for sustainable livelihoods through, *inter alia*:

(a) Diversifying sources of income to reduce the negative pressures on the biological diversity of dry and sub-humid lands;

(b) Promoting sustainable harvesting including of wildlife, as well as ranching, including game-ranching;

(c) Exploring innovative sustainable uses of the biological diversity of dry and sub-humid lands for local income generation, and promoting their wider application;

(d) Developing markets for products derived from the sustainable use of biological diversity in dry and sub-humid lands, adding value to harvested produce; and

(e) Establishing mechanisms and frameworks for promoting fair and equitable sharing of the benefits arising out of the utilization of the genetic resources of dry and sub-humid lands, including bioprospecting.

Ways and means

The activities of part B to be carried out through:

(a) Capacity-building, particularly at the national and local levels, as well as investments in the development and promotion of sustainable livelihoods, including alternative livelihoods, and conservation measures, through participatory and bottom-up processes, with funding from bilateral and multilateral sources, and catalytic support from international organizations;

(b) Establishment of an international network of designated demonstration sites to facilitate the sharing of information and experience in implementing the programme of work, as well as to demonstrate and to promote conservation and sustainable use integration on the context of dry and sub-humid lands;

(c) Case-studies on successful management of dry and sub-humid lands that could be disseminated through, *inter alia*, the clearing-house mechanism;

(d) Improved consultation, coordination and information-sharing, including, *inter alia*, documentation on knowledge and practices of indigenous and local communities, within countries among respective focal points and lead institutions relevant to the implementation of the Convention to Combat Desertification, the Convention on Biological Diversity and other relevant global conventions and programmes, facilitated by the secretariats of the various conventions and other international organizations;

(e) Enhanced interaction between the work programmes of the Convention on Biological Diversity and the Convention to Combat Desertification, through, *inter alia*, the regional networks and action plans of the latter, drawing upon the elements contained in the note by the Executive Secretary on possible elements of a joint work programme between the two secretariats on the biological diversity of dry and sub-humid lands (UNEP/CBD/COP/5/INF/15) in determining priorities for this interaction; and

(f) Partnerships between all relevant stakeholders at all levels, including international organizations and programmes, as well as national and local partners, scientists and land users.

III. Reporting Framework

12. It is proposed that Parties and other bodies be requested to report on the implementation of the programme of work through, *inter alia*:

(a) Appropriate sections of the national reports on biological diversity prepared for the Conference of the Parties under Article 26 of the Convention on Biological Diversity; and/or

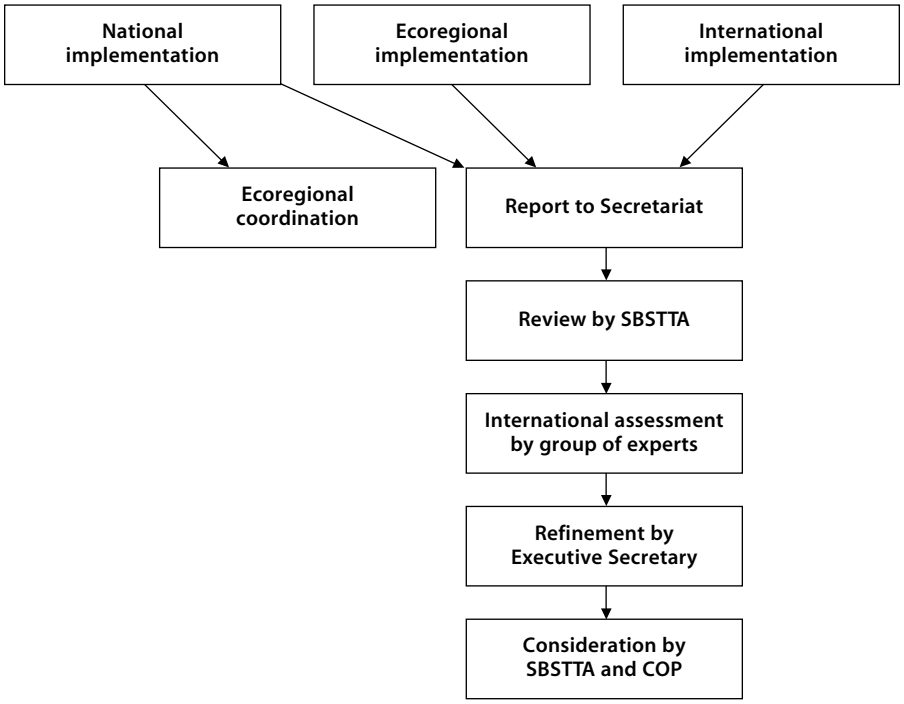
(b) Reports made in the context of the Convention to Combat Desertification and other relevant conventions, with due regard to, *inter alia*, promoting harmonization, avoiding duplication, and enhancing transparency.

13. The Subsidiary Body on Scientific, Technical and Technological Advice is to review such reports and make recommendation for the further prioritization and refinement of the programme of work at that time. Thereafter, the implementation of the programme is to be reviewed as determined by the Conference of the Parties.

ANNEX II
INDICATIVE LIST OF LEVELS OF IMPLEMENTATION OF THE PROGRAMME OF WORK ON DRY AND SUB-HUMID LANDS

ACTIVITY	LEVEL OF IMPLEMENTATION	LEVEL OF COORDINATION
1	National	Ecoregional
2	National	Ecoregional
3	Ecoregional	
5	National, ecoregional, international	
6	Ecoregional	
7a	National, ecoregional	
7b	National	
7c	National, ecoregional	
7d	National	Ecoregional
7e	National, ecoregional	
7f	National, international	
7g	National	Ecoregional
7h	National	Ecoregional
7i	National	Ecoregional
7j	Ecoregional, international	
7k	National, ecoregional	
7l	International	
7m	International	
8a	National	Ecoregional
8b	National	Ecoregional
8c	Ecoregional	
8d	National, ecoregional	
8e	National	Ecoregional
9a	National	Ecoregional
9b	National	Ecoregional
9c	National	Ecoregional
9d	National	Ecoregional
9e	National, international	

ANNEX III
ILLUSTRATION OF THE PROCESS OUTLINED IN PARAGRAPHS 5, 6 AND 7 OF DECISION V/23



DECISION V/24 | Sustainable use as a cross-cutting issue

The Conference of the Parties,

Recognizing that conservation of biodiversity is a global service to humankind and is not captured and adequately recognized by current economic relations and patterns,

Recognizing also that conservation and sustainable use of biological diversity is essential to the survival of species and also benefits humankind particularly those people who are dependent on biological resources for their livelihoods,

Further recognizing the importance of integrating, as far as possible and as appropriate, the conservation and sustainable use of biological diversity into sectoral or cross-sectoral plans, programmes and policies, and recognizing the importance of addressing this issue in national biodiversity strategies and action plans, in accordance with Articles 6 and 10 of the Convention on Biological Diversity,

Taking into account the decisions of the Conference of the Parties and the ecosystem approach,

Noting the synergies between the conservation and sustainable use of biological diversity,

Noting also that the highest levels of biodiversity often occur in the less economically developed regions,

Recognizing the harmful effects of war and poverty on the conservation and sustainable use of biological diversity especially in regions rich in endemic species, and the need for mobilization of financial and technical resources for the rehabilitation and restoration of affected bio-ecological zones,

Noting the important linkages with the programmes of work on indicators (decision V/7) and incentive measures (decision V/15), and that appropriate indicators and incentive measures are essential elements in developing effective approaches to the sustainable use of biological diversity,

1. *Requests* the Executive Secretary to invite organizations involved in sustainable-use initiatives, and other relevant organizations, to gather, compile and disseminate through the clearing-house mechanism and other means, case-studies on best practices and lessons learned from the use of biological diversity under the thematic areas of the Convention, drawing on the experience of Parties, Governments, relevant organizations, the private sector and indigenous and local communities;

2. *Commends* to the Executive Secretary the process being used to develop the ecosystem approach and requests him, together with relevant organizations, to adapt and immediately initiate that process for relevant work on sustainable use;

3. *Requests* the Executive Secretary to assemble, in collaboration with relevant organizations, drawing from an assessment of the case-studies referred to in paragraph 1 above, and the process referred to in paragraph 2 above, practical principles, operational guidelines and associated instruments, and guidance specific to sectors and biomes, which would assist Parties and Governments to develop ways to achieve the sustainable use of biological diversity, within the framework of the ecosystem approach, and to present a progress report for consideration by the Subsidiary Body on Scientific, Technical and Technological Advice prior to the sixth meeting of the Conference of the Parties;

4. *Invites* Parties and Governments to identify indicators and incentive measures for sectors relevant to the conservation and sustainable use of biodiversity;

5. *Invites* Parties, Governments and relevant organizations to undertake appropriate actions to assist other Parties, especially developing countries and countries with economies in transition, to increase their capacity to implement sustainable-use practices, programmes and policies at regional, national and local levels, especially in pursuit of poverty alleviation. Appropriate actions may include:

(a) Workshops;

(b) Assistance to Parties in the identification of sectors where priority action is required;

(c) Assistance to Parties in the development of appropriate action plans;

(d) Information dissemination and appropriate technology transfer under mutually agreed terms;

6. *Urges* Parties, Governments and organizations to develop or explore mechanisms to involve the private sector and indigenous and local communities in initiatives on the sustainable use of biological diversity, and in mechanisms to ensure that indigenous and local communities benefit from such sustainable use;

7. *Recognizes* that sustainable use can be an effective tool in imbuing value to biodiversity, and *invites* Parties to identify areas for conservation that would benefit through the sustainable use of biological diversity, and to communicate this information to the Executive Secretary.

DECISION V/25 | Biological diversity and tourism

The Conference of the Parties,

Recognizing the increasing importance of tourism for social and economic development at local, national and regional levels,

Recognizing also that sustainable tourism depends on community involvement and participation,

Recognizing further that communities should benefit from sustainable tourism,

Recognizing also that tourism is closely linked to the preservation of a healthy environment, which in turn is an essential element of tourism development and helps to raise public awareness on some biodiversity issues,

1. *Endorses* the assessment of the interlinkages between biological diversity and tourism contained in the annex to the present decision, which includes:

(a) The economic importance of tourism and its interrelationship with the conservation and sustainable use of biological diversity;

(b) The potential impacts of tourism on biological diversity, including economic, social and environmental impacts;

2. *Accepts* the invitation to participate in the international work programme on sustainable tourism development under the Commission on Sustainable Development process with regard to biological diversity, in particular, with a view to contributing to international guidelines for activities related to sustainable tourism development in vulnerable terrestrial, marine and coastal ecosystems and habitats of major importance for biological diversity and protected areas, including fragile riparian and mountain ecosystems, bearing in mind the need for such guidelines to apply to activities both within and outside protected areas, and taking into account existing guidelines, and requests the Executive Secretary to prepare a proposal for the contribution on guidelines, for example by convening an international workshop;

3. *Decides* to transmit the assessment of the interlinkages between tourism and biological diversity to the Commission on Sustainable Development, with the

recommendation to the Commission on Sustainable Development to incorporate the assessment in the international work programme on sustainable tourism development;

4. *Recommends* to Parties, Governments, the tourism industry and relevant international organizations, in particular the World Tourism Organization, to consider this assessment as a basis for their policies, programmes and activities in the field of sustainable tourism, and *encourages* them to pay particular attention to:

(a) The unique role of ecotourism – that is, tourism that relies on the existence and maintenance of biological diversity and habitats - and the need to develop clear strategies to develop sustainable ecotourism sectors which provides for full and effective participation and viable income-generating opportunities for indigenous and local communities;

(b) The need to develop, with all the potential stakeholders, strategies and plans, based on the ecosystem approach and aiming at a balance between economic, social, cultural and environmental concerns, while maximizing opportunities for the conservation and sustainable use of biological diversity, the equitable sharing of benefits and the recognition of traditional knowledge, in accordance with Article 8(j) of the Convention, and seeking to minimize risks to biological diversity;

(c) The need for long-term monitoring and assessment, including the development and use of indicators to measure impacts of tourism on biological diversity and consequently to improve strategies and plans for tourism activities;

(d) Tangible benefits to the local economies, such as job creation and the sharing of benefits arising from the sustainable use of biological diversity for tourism purposes. In this regard, small and medium-sized enterprises can play a major role;

(e) The need to develop sustainable tourism which is an important mechanism for the conservation and sustainable use of biological diversity, and to meet the expectations of all stakeholders, while encouraging responsible behaviour on the part of tourists and the tourist industry, tourism enterprises and the local population;

(f) Awareness-raising, information-sharing, education and training of tourism operators and their staff and sensitization of tourists on biological diversity issues and technical and capacity-building at the local level, which enhance the goal of the respect and the conservation of biological diversity and its sustainable use;

(g) The fact that in order to contribute to the sustainable use of biological diversity through tourism, there is a need to implement a flexible mix of instruments, such as integrated planning, multi-stakeholder dialogue that includes indigenous peoples, zoning in land-use planning, environmental impact assessment, strategic environmental assessment, standards, industry performance-recognition programmes, recognized accreditation bodies, ecolabelling, codes of good practice, environmental management and audit systems, economic instruments, indicators and limits regarding the carrying capacity of the natural areas;

(h) The importance of the involvement and the need for the participation of indigenous and local communities and their interface with other sectors in the development and management of tourism, as well as their monitoring and assessment, including of cultural and spiritual impacts;

(i) The importance of the understanding of the values and knowledge of use of biological diversity held by the indigenous and local communities and the opportunities these offer for sustainable tourism and the support of local tourism;

5. *Endorses* the work of the Subsidiary Body on Scientific, Technical and Technological Advice on tourism as an example of sustainable use of biological diversity by exchanging experiences, knowledge and best practices through the clearing-house mechanism, and *encourages* Parties, Governments and relevant organizations to continue to submit to the Executive Secretary case-studies in this regard;

6. In order to contribute further to the international work programme on sustainable tourism development under the Commission on Sustainable Development process with regard to biological diversity, and, in particular, to the review of its implementation, which will be carried out in 2002, *requests* the Subsidiary Body on Scientific, Technical and Technological Advice to transmit its findings, through the Executive Secretary, to the Commission on Sustainable Development at its tenth session;

7. *Encourages* Parties, Governments, the tourism industry and relevant organizations to undertake activities including local capacity-building, that would be supportive of the preparations for both the International Year of Ecotourism and the International Year of Mountains, as well as activities of the International Coral Reef Initiative, and, in particular:

(a) *Urges* the tourism industry to work in partnership with all stakeholders and to commit to work within principles and guidelines for sustainable tourism development;

(b) *Encourages* Parties and Governments to complement voluntary efforts by establishing enabling policies and legal frameworks for the effective implementation of sustainable tourism.

ANNEX
ASSESSMENT OF THE INTERLINKAGES BETWEEN TOURISM AND BIOLOGICAL DIVERSITY

I. The Role of Tourism in the Sustainable Use of Biological Resources

1. The sustainable use of the components of biological diversity is one of the three objectives of the Convention on Biological Diversity. For the purposes of the Convention, "sustainable use" means "the use of components of biological diversity in a way and at a rate that does not lead to the long-term decline of biological diversity, thereby maintaining its potential to meet the needs and aspirations of present and future generations" (Article 2). This definition of sustainable use is consistent

with the concept of sustainable development as elaborated in the Rio Declaration on Environment and Development and Agenda 21, whereby "sustainable development" meets the needs and aspirations of the current generations without compromising the ability to meet those of future generations. Sustainable development cannot be achieved without the sustainable use of the world's biological resources. The concept of sustainable use is grounded in Article 10 of the Convention on Biological Diversity, on sustainable use of components of biological diversity, and in Article 6, on general measures for conservation and sustainable use of biological diversity.

2. Sustainable tourism is developed and managed in a manner that is consistent with Agenda 21 and the ongoing work on this matter as promoted by the Commission on Sustainable Development. As such, sustainable tourism includes such aspects as sustainable use of resources, including biological resources, and minimizes environmental, ecological, cultural and social impacts, and maximizes benefits. For sustainable patterns of consumption and production in the tourism sector, it is essential to strengthen national policy development and enhance capacity in the areas of physical planning, impact assessment, and the use of economic and regulatory instruments, as well as in the areas of information, education and marketing. Particular attention should be paid to the degradation of biological diversity and fragile ecosystems, such as coral reefs, mountains, coastal areas and wetlands. Ecotourism is a new, growing sector of tourism, which relies on the existence and maintenance of biological diversity and habitats. While it may require less infrastructure construction and facility-building than conventional tourism, proper planning and management are important to the sustainable development of ecotourism and to prevent threats to biological diversity on which it is intrinsically dependent.

A. ECONOMIC IMPORTANCE OF TOURISM

3. Tourism is one of the world's fastest growing industries and the major source of foreign exchange earnings for many developing countries. The receipts from international tourism grew at an average annual rate of 9 per cent for the ten-year period from 1988 to 1997, reaching $443 billion in 1997. Tourist arrivals worldwide increased by 5 per cent per annum on average during the same period.[80] According to WTO, tourism receipts accounted for a little over 8 per cent of total world exports of goods and almost 35 per cent of the total world exports of services in 1997. The breakdown of the travel account balance shows that the industrialized countries as a whole are the net importers of such services, while the developing countries as a whole have been increasing their surplus. The surplus for the latter group of countries widened steadily from $4.6 billion in 1980 to $65.9 billion in 1996, offsetting more than two thirds of their current account deficit in 1996. The travel surplus has widened steadily in all developing regions in the past decade. Economies in transition recorded a deficit of $3.5 billion in 1995, which swung back to a surplus of $1.5 billion in 1996.

80 World Tourism Organization, *Tourism Highlights 1997*.

4. From the production point of view, tourism contributes around 1.5 per cent of world gross national product (GNP).[81] Tourism is also a major source of employment, the hotel accommodation sector alone employing around 11.3 million people worldwide.[82] Furthermore, tourism based on the natural environment is a vital and growing segment of the tourism industry, accounting for $260 billion in 1995.[83] In a number of developing countries, tourism has already overtaken cash-crop agriculture or mineral extraction as their major source of national income.[84]

B. TOURISM AND ENVIRONMENT

5. The global social, economic and environmental impacts of tourism are immense and highly complex. Given that a high percentage of tourism involves visits to naturally and culturally distinguished sites, generating large amounts of revenue, there are clearly major opportunities for investing in the maintenance and sustainable use of biological resources. At the same time, efforts must be made to minimize the adverse impacts of the tourism industry on biological diversity.

6. Historical observation indicates that self-regulation of the tourism industry for sustainable use of biological resources has only rarely been successful. This is due to a number of factors. First, as there are many individual operators, local environmental conditions may be viewed as a type of common property resource. It will not be in the interests of any individual operator to invest more than his or her competitors in maintaining the general environmental standards in the resort. Similarly, operators are very likely to "export" their adverse environmental impacts, such as refuse, waste water and sewage, to parts of the surrounding area unlikely to be visited by tourists. This reaches its most extreme form in so-called "enclave" tourism, where tourists may remain for their entire stay in an artificially maintained environment isolated from its surroundings.

7. Second, international tourism operates in an increasingly global market in which investors and tourists have an ever-widening choice of destinations. Indeed the search for new and novel areas and experiences is one of the major engines driving the tourism life-cycle. Moreover, much of the tourism industry is controlled by financial interests located away from tourist destinations. When environmental conditions begin to deteriorate in a given location, operators are likely to shift to alternative locations rather than to invest in improving those conditions.

8. Finally, the international tourism market is fiercely competitive, much of it operating on low profit margins. Operators are therefore often extremely reluctant to absorb any additional costs associated with improving environmental conditions, and instead will often find it economically expedient to shift their area of operation rather than face such costs.

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81 Report of the Secretary-General on tourism and sustainable development, addendum: Tourism and economic development, Commission on Sustainable Development, seventh session, January 1999 (Advance unedited copy).

82 Ibid.

83 Jeffrey McNeely, "Tourism and Biodiversity: a natural partnership", presented at the Symposium on Tourism and Biodiversity, Utrecht, 17 April 1997.

84 Report of the Secretary-General on tourism and sustainable development, addendum: Tourism and economic development, Commission on Sustainable Development, seventh session, January 1999 (Advance unedited copy).

C. POTENTIAL BENEFITS OF TOURISM FOR THE CONSERVATION OF BIOLOGICAL DIVERSITY AND THE SUSTAINABLE USE OF ITS COMPONENTS

9. Despite the potential negative impacts, and given the fact that tourism generates a large proportion of income and that a growing percentage of tourism is nature-based, tourism does present a significant potential for realizing benefits in terms of the conservation of biological diversity and the sustainable use of its components. This section addresses the potential benefits of tourism. Among the benefits are direct revenues generated by fees and taxes incurred and voluntary payments for the use of biological resources. These revenues can be used for the maintenance of natural areas and the contribution of tourism to economic development, including linkage effects to other related sectors and job-creation.

10. *Revenue creation for the maintenance of natural areas*. The most direct means of exploiting tourism for the sustainable use of biological resources is through the harnessing of some proportion of tourism revenues for that end. This may be achieved either through a generalized environmental tax on tourists or particular tourism activities or by charging fees for access to biological resources, the revenue from which can then be used for their maintenance. The latter procedure generally means charging entrance fees to national parks and other protected areas, but also includes fees for activities such as fishing, hunting and diving. Voluntary payment from visitors can also assist in conservation and management of places they visit. It may include donation, membership, sponsorship, merchandise and practical tasks.

11. There are several notable, and evidently expanding, specialist tourism sectors, where participants may be willing to pay such fees. There is growing interest in tourism programmes that involve tourists in biodiversity observation and monitoring to support conservation programmes. The largest single specialist sector at present is probably bird-watching, although it is not clear whether bird-watchers as a group are in fact any more willing to pay than less-specialized tourists. In marine-based wildlife tourism, scuba-diving represents an important specialist sector. The specialist sector which appears to show the highest willingness to pay is sport hunting, where very large licence fees can be charged under some circumstances. It must also be recognized that these fees and taxes can also be used as measures to regulate the level of access to concerned sites and biological resources. In addition, the prospect of their continued revenue generation provides a direct incentive for the maintenance of the populations or ecosystems. One potential negative aspect of specialist tourism, however, can be the relatively low level of local community involvement since relatively few local people will be involved as specialist guides or park managers.

12. *The contribution of tourism to economic development*. Whether tourists are paying access fees or not, they have a major economic impact on the areas that they visit. Tourist expenditures, in net terms, generate income to the host communities by, for example:

(a) *Funding the development of infrastructure and services*. Tourism also stimulates infrastructure investment, such as construction of buildings, roads, railroads, airports, sewage systems, water-treatment facilities and other

tourism-related facilities. Existing infrastructure may also be used in a manner which benefits local communities, where the tourist is using the facility in one way, while the community uses it in another. For example, a school may gain revenue from its use as a campground or conference venue. Improved and cheap transport services might also be brought to local communities by increased tourism;

(b) *Providing jobs*. Tourism generates job opportunities in the sector and offers various related business opportunities derived from tourism. People involved in tourism activities may become more conscious of the value of conserving their natural areas;

(c) *Providing funds for development or maintenance of sustainable practices*. Increasing revenue flows in a region may also allow development of more sustainable land-use practices, by allowing, for example, farmers to use improved rotations and some level of fertilizer input, rather than relying on slash-and-burn cultivation to restore soil fertility through fallow periods;

(d) *Providing alternative and supplementary ways for communities to receive revenue from biological diversity*. Tourism can also provide a viable economic alternative to unsustainable production or harvesting practices or other activities deleterious to the environment, particularly in marginal areas, helping to eradicate poverty;

(e) *Generating incomes*. In some areas, low-input and small-scale agricultural activities that result in both an attractive environment and the maintenance of high levels of biological diversity can also offer an opportunity for tourism. Sale of products (souvenirs, crafts and arts) derived from sustainably harvested natural resources may also provide significant opportunities for income-generation and employment. Tourists who have experienced a country associated with clean and green values may be encouraged to select products from that country.

13. Sustainable tourism can make positive improvements to biological diversity conservation especially when local communities are directly involved with operators. If such local communities receive income directly from a tourist enterprise, they, in turn, increase their evaluation of the resources around them. This is followed by greater protection and conservation of those resources as they are recognized as the source of income.

14. *Public education and awareness*. Tourism can serve as a major educational opportunity, increasing knowledge of natural ecosystems and local communities amongst a broad range of people, in particular by tour operators and guides with specialized training in biological diversity conservation, indigenous and local communities. Such education may be reciprocal. In some parts of the world, local people have become more aware of the uniqueness of their local biological resources, for example the presence of endemic species, through the advent of tourism. Better-informed tourists are more willing to pay for the access to natural sites. Tourism can also provide incentives to maintain traditional arts and crafts and opportunities to learn about different cultures. Furthermore, tourism may, under some circumstances, encourage the maintenance or revitalization of traditional

practices that are favourable to the sustainable use of biological resources and that would otherwise be in danger of being lost.

II. Potential Impacts on Biological Diversity of Tourism

15. In considering the role of tourism in the sustainable use of biological resources and their diversity, it is important that the potential adverse impacts of tourism are fully considered. These are roughly divided into environmental impacts and socio-economic impacts, the latter generally being those imposed on local and indigenous communities. Although such impacts on biological resources may be less easy to quantify and analyse systematically, they may be at least as important as, if not more important than, environmental impacts in the long term. Section A below addresses the potential adverse impacts on environment, while section B contains the potential socio-economic impacts.

A. ENVIRONMENTAL IMPACTS

16. *Use of land and resources*. Direct use of natural resources, both renewable and non-renewable, in the provision of tourist facilities is one of the most significant direct impacts of tourism in a given area. Such use may be one-off or may be recurring. The most important are: (i) the use of land for accommodation and other infrastructure provision, including road networks; and (ii) the use of building materials. Strong competition for the use of land between tourism and other sectors results in rising prices, which increase the pressures on, for example, agricultural land. The choice of site is also an important factor. Generally preferred "attractive landscape sites", such as sandy beaches, lakes and riversides, and mountain tops and slopes, are often transitional zones, normally characterized by species-rich ecosystems. As a result of the construction of buildings in these areas, they are often either destroyed or severely impaired.[85] Deforestation and intensified or unsustainable use of land also cause erosion and loss of biological diversity. Due to lack of more suitable sites for construction of buildings and other infrastructure, coastal wetlands are often drained and filled. Construction of marinas in certain sites and water-based tourist activities can also impact on ecosystems and even coastal coral reefs. In addition, building materials are often extracted in an unsustainable manner from ecosystems. Excessive use of fine sand of beaches, reef limestone and wood can cause severe erosion.[86] Furthermore, creation of congenial conditions for tourists may often entail various forms of environmental manipulation that may have consequences for biological resources beyond the limits of acceptable change.

17. *Impacts on vegetation*. Direct impact on the species composition of vegetation on the ground layer can be caused by trampling and off-road driving. Off-road driving is often carried out in ecosystems perceived as a low value, such as deserts. Deserts are fragile ecosystems which can be seriously damaged by a single passage of a motor vehicle. Plant-picking and uprooting by plant collectors and casual

85 *Biodiversity and Tourism: Conflicts on the world's seacoasts and strategies for their solution*, German Federal Agency for Nature and Conservation ed., 1997.
86 Ibid.

flower-pickers can also lead to loss of individual species. Passage of tourism vehicles, particularly in high volumes along popular routes, and associated vehicle pollution also have adverse effects on vegetation, resulting in a loss of vegetation cover. Furthermore, forest fires may be caused by the careless use of campfires. The choice of sites for construction facilities can also affect vegetation patterns and species diversity.[87]

18. *Impacts on wildlife*. Wildlife tourism and other types of nature-oriented tourism may have a number of direct impacts on natural resources. The severity of these impacts is variable and has rarely been quantified for any specific cases. Actual or potential impacts include: (i) damage caused by tourism activities and equipment; (ii) increased risk of the spread of pathogens from humans or companion animals to wild species; (iii) increased risk of introduction of alien species; (iv) disturbance of wild species, thereby disrupting normal behaviour and conceivably affecting mortality and reproductive success; (v) alterations in habitats; and (vi) unsustainable consumption of wildlife by tourists.

19. One of the direct effects on wildlife of unregulated tourism may be the depletion of local populations of certain species caused by unregulated hunting, shooting and fishing. Uneducated divers and tour operators can cause extensive damage to coral reefs through trampling and anchoring. Tourists and tourist transportation means can increase the risk of introducing alien species. In addition, the manner and frequency of human presence can cause disturbance to the behaviour of animals, in particular, noise caused by radios, motorboat engines and motor vehicles. Even without much noise, some waterfowl can be agitated by canoes and rowing boats. Construction activities related to tourism can cause enormous alteration to wildlife habitats and ecosystems. Furthermore, increased consumption of wildlife by tourists can affect local wildlife populations and local fisheries as well as the amount available for consumption by local people. Souvenir manufacturing using wildlife, in particular such endangered species as corals and turtle shells, can also seriously affect those populations.

20. *Impacts on mountain environments*. Tourism has for many years been focused on mountain areas, which provide opportunities for hiking, white-water rafting, fly fishing, para-gliding and winter sports, especially skiing and related activities. Pressures from these activities on biological resources and their diversity are enormous and include: erosion and pollution from the construction of hiking trails, bridges in high mountains, camp sites, chalets and hotels. There has been increasing awareness of and publicity on the negative effects of tourism on mountains. The Kathmandu Declaration on Mountain Activities was adopted as long ago as 1982 by the International Union of Alpine Associations, in order to address these pressures on the fragile mountain ecosystems and to call for improved practices. The Convention on the Protection of the Alps, signed in 1991, and its Protocol on Tourism are the first international legal instruments addressing the potential risks associated with mountain tourism. The case-study on the Annapurna Conservation Area project also points out the difficulty in managing increased tourism activities in the fragile mountain ecosystems.

87 Ibid.

21. *Impacts on the marine and coastal environment*. Tourism activities may have major impacts on the marine and coastal environment, the resources they host and the diversity of those resources. Most often, those impacts are due to inappropriate planning, irresponsible behaviour by tourists and operators and/or lack of education and awareness of the impacts by, for example, tourist resorts along the coastal zones. But sometimes decisions for tourism development are based only on the potential economic benefit, in spite of the known potential damage to the environment, as in the case of various coral reef resorts. Coastal erosion often affects many coastal infrastructures that have been built for tourism purposes. However, it is often those very infrastructures that have altered dune-replenishment processes (causing beach erosion), modified local currents by building harbour-like structures (causing, for example, the smothering of superficial corals), and led to eutrophication through inappropriate positioning of the resort sewage systems and the often absent treatment of the water discharged. In open waters, shipping for tourism purposes has sometimes been found to cause pollution due to intentional release, and to carry alien invasive species into new environments.

22. While the impact of tourism on coastal resources may already be a serious issue, the degradation of these resources may cause the impoverishment of their diversity, as in the case of mangrove ecosystems adjacent to tourist resorts. This may have significant ecological and economic implications for and displacement of local populations.

23. *Impacts on water resources*. Freshwater, in general, is already facing growing demand from agriculture, industry and households in many parts of the world. In some locations, such as in many small island developing States, additional demand from tourism, which is extremely water-intensive, is an acute problem.[88] The extraction of groundwater by some tourism activities can cause desiccation, resulting in loss of biological diversity. For the quality of water, some activities are potentially more damaging than others. For example, use of motorboats can lead to beach and shoreline erosion, dissemination of aquatic weed nuisances, chemical contamination, and turbulence and turbidity in shallow waters.[89] The disposal of untreated effluents into surrounding rivers and seas can cause eutrophication. It can also introduce a large amount of pathogens into the water body, making it dangerous for swimming. Naturally nutrient-rich ecosystems, such as mangroves, can perform buffer and filtering functions to a certain extent.[90]

24. *Waste management*. Disposal of waste produced by the tourism industry may cause major environmental problems. Such waste can generally be divided into: sewage and waste-water; chemical wastes, toxic substances and pollutants; and solid waste (garbage or rubbish). The effect of direct discharge of untreated sewage leading to eutrophication, oxygen deficit and algal blooms has already been pointed out.

88 Report of the Secretary-General on sustainable tourism development in small island developing States (E/CN.17/1996/20/Add.3), submitted to the Commission on Sustainable Development at its fourth session, held in 1996,

89 *Tourism, ecotourism, and protected areas*, Hector Ceballos-Lascurain, IUCN, 1996.

90 *Biodiversity and Tourism: Conflicts on the world's seacoasts and strategies for their solution*, German Federal Agency for Nature and Conservation ed., 1997.

25. *Environmental impact of travel*. Travel to and from international tourist destinations causes significant environmental impacts through pollution and production of "greenhouse" gases. A high proportion of international tourist travel is by air. Such travel is believed to be the most environmentally costly per passenger-kilometre, although the true costs are difficult to assess accurately, as are the impacts on biological resources and their diversity.

B. SOCIO-ECONOMIC AND CULTURAL IMPACTS OF TOURISM

26. *Influx of people and related social degradation*. Increased tourism activities can cause an influx of people seeking employment or entrepreneurial opportunities, but who may not be able to find suitable employment. This may cause social degradation, such as local prostitution, drug abuse and so forth.[91] In addition, due to the unstable nature of international tourism, communities that come to rely heavily on tourism in economic terms are vulnerable to the changes in the flow of tourist arrivals and may face sudden loss of income and jobs in times of downturn.

27. *Impacts on local communities*. When tourism development occurs, economic benefits are usually unequally distributed amongst members of local communities. There is evidence suggesting that those who benefit are often limited in number and that those who benefit most are often those who were at an economic advantage to begin with, particularly landowners who can afford the investment. Specialist tourism can also involve a relatively small segment of a local community, possibly removing contact of the larger community with the resources in question. In the case of foreign direct investment, much of the profit may be transferred back to the home country. Therefore, tourism can actually increase inequalities in communities, and thus relative poverty. In addition, tourism increases local demand for goods and services, including food, resulting in higher prices and potentially decreased availability for local people. Such trends are often more prevalent where there is a lack of consultation with the peoples and communities involved in tourism.

28. A more direct example of where tourism may conflict directly with the needs and aspirations of local peoples is where the latter are excluded from particular areas given over to tourism, or at least have their rights of access severely curtailed. This is most likely to occur in protected areas created to conserve wildlife. In most cases, however, the designation of such areas as protected, and the exclusion of local people from them, have preceded the development of tourism in such areas, rather than having been a product of it. On the other hand, as in the case of the Maldives, direct conflict can be avoided by isolating the tourism industry from the bulk of the indigenous population. This isolation has been possible in the Maldives because of the availability of a large number of uninhabited islands that can be developed into tourist-resort islands.[92]

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91 For further elaboration, see the addendum to the report of the Secretary-General on tourism and sustainable development entitled "Tourism and social development", submitted to the Commission on Sustainable Development at its seventh session, held in 1999.

92 *Tourism and the Environment Case Studies on Goa, India, and the Maldives*, Kalidas Sawkar, Ligia Noronha, Antonio Mascarenhas, O.S. Chauhan, and Simad Saeed, Economic Development Institute of the World Bank, 1998.

29. *Impacts on cultural values*. Tourism has a highly complex impact on cultural values. Tourism activities may lead to inter-generational conflicts through changing aspirations of younger members of communities who may have more contact with, and are more likely to be affected by, the behaviour of tourists. Furthermore, they may affect gender relationships through, for example, offering different employment opportunities to men and women. Traditional practices and events may also be influenced by the tourist preferences. This may lead to erosion of traditional practices, including cultural erosion and disruption of traditional lifestyles. Additionally, tourism development can lead to the loss of access by indigenous and local communities to their land and resources as well as sacred sites, which are integral to the maintenance of traditional knowledge systems and traditional lifestyles.

DECISION V/26 | Access to genetic resources

A. Access and benefit-sharing arrangements

The Conference of the Parties

1. *Requests* Parties to designate a national focal point and one or more competent national authorities, as appropriate, to be responsible for access and benefit-sharing arrangements or to provide information on such arrangements within its jurisdiction;

2. *Requests* Parties to notify the Executive Secretary of the names and addresses of its focal points and competent authorities;

3. *Urges* Parties to ensure that national biodiversity strategies as well as legislative, administrative or policy measures on access and benefit-sharing contribute to conservation and sustainable-use objectives;

4. *Recognizing* the importance for Parties to promote trust-building and transparency in order to facilitate the exchange of genetic resources, particularly with regard to the implementation of Article 15 of the Convention:

(a) *Urges* Parties to pay particular attention to their obligations under Articles 15, 16 and 19 of the Convention, and *requests* them to report to the Conference of the Parties on the measures they have taken to this effect;

(b) *Notes* that legislative, administrative or policy measures for access and benefit-sharing need to promote flexibility, while recognizing the need for sufficient regulation of access to genetic resources to promote the objectives of the Convention;

(c) *Notes* that all countries are providers and recipients of genetic resources, and *urges* recipient countries to adopt, appropriate to national circumstances, legislative, administrative or policy measures consistent with the objectives of the Convention that are supportive of efforts made by provider countries to ensure that access to their genetic resources for scientific, commercial and other uses, and associated knowledge, innovations and practices of indigenous and

local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity, as appropriate, is subject to Articles 15, 16 and 19 of the Convention, unless otherwise determined by that provider country;

(d) *Recognizing* the complexity of this issue, with particular consideration of the multiplicity of prior informed consent considerations, *invites* Parties to cooperate further to find practical and equitable solutions to this issue;

5. *Notes* that the promotion of a comprehensive legal and administrative system may facilitate access to and use of genetic resources and contribute to mutually agreed terms in line with the aims of the Convention;

6. *Notes* that, in the absence of comprehensive legislation and national strategies for access and benefit-sharing, voluntary measures, including guidelines, may help ensure realization of the objectives of the Convention, and to that end invites the Parties to consider promotion of their use;

7. *Stresses* that it is important that, in developing national legislation on access, Parties take into account and allow for the development of a multilateral system to facilitate access and benefit-sharing in the context of the International Undertaking on Plant Genetic Resources, which is currently being revised;

8. *Notes* the report of the Chairman of the Commission on Genetic Resources for Food and Agriculture of the Food and Agriculture Organization of the United Nations (UNEP/CBD/COP/5/INF/12) and *urges* the Commission to finalize its work as soon as possible. The International Undertaking is envisaged to play a crucial role in the implementation of the Convention on Biological Diversity. The Conference of the Parties *affirms* its willingness to consider a decision by the Conference of the Food and Agriculture Organization of the United Nations that the International Undertaking become a legally binding instrument with strong links to both the Food and Agriculture Organization of the United Nations and the Convention on Biological Diversity, and *calls upon* Parties to coordinate their positions in both forums;

9. *Notes* the common understandings of the Panel of Experts on Access and Benefit-sharing with respect to prior informed consent and mutually agreed terms as contained in paragraphs 156 to 165 of its report (UNEP/CBD/COP/5/8);

10. *Decides* to reconvene the Panel of Experts on Access and Benefit-sharing with a concrete mandate and agenda. The Panel will conduct further work on outstanding issues from its first meeting, especially:

(a) Assessment of user and provider experience in access to genetic resources and benefit-sharing and study of complementary options;

(b) Identification of approaches to involvement of stakeholders in access to genetic resources and benefit-sharing processes; and will include additional expertise. The Panel will submit its report to the Ad Hoc Open-ended Working Group on Access and Benefit-sharing referred to in paragraph 11 below;

11. *Decides* to establish an Ad Hoc Open-ended Working Group, composed of representatives, including experts, nominated by Governments and regional eco-

nomic integration organizations, with the mandate to develop guidelines and other approaches for submission to the Conference of the Parties and to assist Parties and stakeholders in addressing the following elements as relevant to access to genetic resources and benefit-sharing, *inter alia*: terms for prior informed consent and mutually agreed terms; roles, responsibilities and participation of stakeholders; relevant aspects relating to *in situ* and *ex situ* conservation and sustainable use; mechanisms for benefit-sharing, for example through technology transfer and joint research and development; and means to ensure the respect, preservation and maintenance of knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity, taking into account, *inter alia*, work by the World Intellectual Property Organization on intellectual property rights issues.

The above-mentioned elements should, in particular, serve as inputs when developing and drafting:

(a) Legislative, administrative or policy measures on access and benefit-sharing; and

(b) Contracts or other arrangements under mutually agreed terms for access and benefit-sharing.

The results of the deliberations of the Working Group, including draft guidelines and other approaches, shall be submitted for consideration by the Conference of the Parties at its sixth meeting.

The work of the Working Group shall take into account the reports of the Panel of Experts on Access and Benefit-sharing and other relevant information.

The Working Group will be open to the participation of indigenous and local communities, non-governmental organizations, industry and scientific and academic institutions, as well as intergovernmental organizations.

The Working Group shall maintain communication and exchange of information with the Working Group on Article 8(j) and Related Provisions of the Convention on Biological Diversity.

In order to build capacity for access and benefit-sharing, the Open-ended Working Group shall consider issues of capacity-building, including those needs identified in paragraphs 14(a), (b), (c) and (d) below;

12. *Notes* that information is a critical aspect of providing the necessary parity of bargaining power for stakeholders in access and benefit-sharing arrangements, and that, in this respect, there is a particular need for more information regarding:

(a) User institutions;

(b) The market for genetic resources;

(c) Non-monetary benefits;

(d) New and emerging mechanisms for benefit-sharing;

(e) Incentive measures;

(f) Clarification of definitions;

(g) *Sui generis* systems; and

(h) "Intermediaries";

13. *Requests* the Executive Secretary to compile the information referred to in paragraph 12 above and disseminate it through the clearing-house mechanism and relevant meetings, and *requests* Parties and organizations to provide such information to assist the Executive Secretary;

14. *Notes* that further development of capacities regarding all aspects of access and benefit-sharing arrangements is required for all stakeholders, including local governments, academic institutions, and indigenous and local communities, and that key capacity-building needs include:

(a) Assessment and inventory of biological resources as well as information management;

(b) Contract negotiation skills;

(c) Legal drafting skills for development of access and benefit-sharing measures;

(d) Means for the protection of traditional knowledge associated with genetic resources;

15. *Noting* that the Panel of Experts on Access and Benefit-sharing was not able to come to any conclusions about the role of intellectual property rights in the implementation of access and benefit-sharing arrangements, and that the Panel developed a list of specific issues that require further study (UNEP/CBD/COP/5/8, paragraphs 127–138):

(a) *Invites* Parties and relevant organizations to submit to the Executive Secretary information on these issues by 31 December 2000;

(b) *Requests* the Executive Secretary, on the basis of these submissions and other relevant material, to make available for the second meeting of the Panel, or the first meeting of the Ad Hoc Open-ended Working Group, a report on these specific issues;

(c) *Recalls* recommendation 3 of the Inter-Sessional Meeting on the Operations of the Convention, and *requests* the Executive Secretary to prepare his report in consultation with, *inter alia,* the Secretariat of the World Intellectual Property Organization;

(d) *Invites* relevant international organizations, including the World Intellectual Property Organization, to analyse issues of intellectual property rights as they relate to access to genetic resources and benefit-sharing, including the provision of information on the origin of genetic resources, if known, when submitting applications for intellectual property rights, including patents;

(e) *Requests* relevant international organizations, for example, the World Intellectual Property Organization and the International Union for the Protection of New Varieties of Plants, in their work on intellectual property rights issues, to take due account of relevant provisions of the Convention on Biological Diversity, including the impact of intellectual property rights on the conservation and sustainable use of biological diversity, and in particular the value

of knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity;

(f) *Requests* the Executive Secretary to explore experience and possibilities for synergistic interactions resulting from collaboration in research, joint development and the transfer of technology following access to genetic resources.

B. The relationship between intellectual property rights and the relevant provisions of the Agreement on Trade-related Aspects of Intellectual Property Rights and the Convention on Biological Diversity

The Conference of the Parties,

Noting recommendation 3 of the Inter-Sessional Meeting on the Operations of the Convention, concerning the relationship between intellectual property rights and the relevant provisions of the Agreement on Trade-related Aspects of Intellectual Property Rights and the Convention,

1. *Reaffirms* the importance of systems such as *sui generis* and others for the protection of traditional knowledge of indigenous and local communities and the equitable sharing of benefits arising from its use to meet the provisions of the Convention, taking into account the ongoing work on Article 8(j) and related provisions;

2. *Invites* the World Trade Organization to acknowledge relevant provisions of the Convention and to take into account the fact that the provisions of the Agreement on Trade-related Aspects of Intellectual Property Rights and the Convention on Biological Diversity are interrelated and to further explore this interrelationship;

3. *Requests* the Executive Secretary to transmit the present decision to the secretariats of the World Trade Organization and the World Intellectual Property Organization, for use by appropriate bodies of these organizations, and to endeavour to undertake further cooperation and consultation with these organizations;

4. *Renews* its request to the Executive Secretary of the Convention to apply for observer status on the Council for the Trade-related Aspects of Intellectual Property Rights, and *requests* him to report back to the Conference of the Parties on his efforts.

C. *Ex situ* collections acquired prior to the entry into force of the Convention and not addressed by the Commission on Genetic Resources for Food and Agriculture

The Conference of the Parties

1. *Decides* to continue the information-gathering exercise on *ex situ* collections acquired prior to the entry into force of the Convention and not addressed by the Commission on Genetic Resources for Food and Agriculture of the Food and Agriculture Organization of the United Nations initiated by decision IV/8;

2. *Requests* the Executive Secretary to gather available information of the type described in the annexes to the present decision, as appropriate, from Parties, Governments and relevant organizations and forums through questionnaires;

3. *Invites* relevant organizations and forums already involved in consideration of these issues to provide this information to the Executive Secretary;

4. *Invites* Parties, Governments and other organizations to provide capacity-building and technology development and transfer for the maintenance and utilization of *ex situ* collections;

5. *Requests* the Executive Secretary to report to the Conference of the Parties at its sixth meeting on the implementation of the present decision.

ANNEX I
ELEMENTS FOR A QUESTIONNAIRE ON EX SITU COLLECTIONS

A questionnaire to solicit the relevant information may contain the following elements:

1. Number, types and status, including legal status and institutional links, of relevant collections;

2. Approximate number of accessions acquired prior to the entry into force of, or not in accordance with, the Convention on Biological Diversity (<100; >100; >1000; other);

3. Whether the following information is likely to be available: country of origin; name of depositor; date of deposit; terms of access under which the material is available (All available; Some available; None available);

4. Any relevant policies regarding collections that are not addressed by the FAO Commission on Genetic Resources for Food and Agriculture, where appropriate, in particular those addressing the issue of access to the relevant collections, including matters relating to repatriation of information and repatriation of duplicates of germplasm collections;

5. Information regarding the number of requests for information and the exchange of germplasm;

6. Details of the benefits from shared germplasm and information on costs of maintaining such collections;

7. Any other relevant information.

ANNEX II
QUESTIONNAIRE ON EX SITU COLLECTIONS

Objective

To inform consideration of the implementation of the Convention on Biological Diversity by *ex situ* collections.

1. Information on collections

	NUMBER OF ACCESSIONS			
	Pre-Convention on Biological Diversity		Post-Convention on Biological Diversity	
	PUBLIC	PRIVATE	PUBLIC	PRIVATE
Plant Genetic Resources seed gene banks: field collections: (e.g. botanic gardens and arboreta) other: (e.g. DNA, pollen in cold storage, tissue cultures, herbaria)				
Animal Genetic Resources whole animal collections: (e.g. zoological gardens; rare breed collections) other: (e.g. DNA, semen, ova in cold storage)				
Microbial Genetic Resources culture collections: other:				

2. Information on pre-Convention on Biological Diversity collections

(Information to be differentiated between plant genetic resources, animal genetic resources and microbial genetic resources.)

Is information available on:	**For ALL accessions**	**For MOST accessions**	**For SOME accessions**	**For FEW accessions**	**For NO accessions**
country of origin					
name of depositor					
date of deposit					
user institution/ country					

3. Conditions/restrictions on access and use

(Information to be differentiated between plant genetic resources, animal genetic resources and microbial genetic resources):

(a) Description of the main conditions/restrictions (including those contained in national law, those set by the collections themselves and those set by depositors) on access to and use of genetic resources identified separately, if appropriate, for pre-Convention on Biological Diversity and post-Convention on Biological Diversity material;

(b) What limitations, if any (legal or practical), are there on applying the provisions of the Convention on Biological Diversity to the supply of pre-Convention on Biological Diversity materials for collections in your country?

4. Use of collections

(Information to be differentiated between plant genetic resources, animal genetic resources and microbial genetic resources).

Information on the number of requests for genetic resources and for information differentiated by type of collection (public/private) and by the source of the request (national/foreign; public/private).

5. Additional information

(Information to be differentiated between plant genetic resources, animal genetic resources and microbial genetic resources).

Any additional relevant information on other key characteristics of collections, for example:

- Focus on medicinal plants, certain families/genera/species, emphasis on economic importance, certain ecosystems (e.g. drylands);
- Whether the accessions are duplicated elsewhere (for conservation purposes and to determine the genetic diversity of collections world-wide).

DECISION V/27 | Contribution of the Convention on Biological Diversity to the ten-year review of progress achieved since the United Nations Conference on Environment and Development

The Conference of the Parties,

Recognizing the importance of the forthcoming ten-year review of progress achieved in the implementation of the outcome of the United Nations Conference on Environment and Development, scheduled for the year 2002,

1. *Welcomes* General Assembly resolution 54/218, in which the General Assembly, *inter alia*, invited the secretariat of the Convention to provide reports on how its activities are contributing to the implementation of Agenda 21 and the Programme for the Further Implementation of Agenda 21, for the consideration of the General Assembly at its fifty-fifth session,

2. *Also welcomes* the invitation of the Commission on Sustainable Development extended to secretariats of UNCED-related conventions to support preparatory activities of the ten-year review, and to review and assess their respective programmes of work since United Nations Conference on Environment and Development;

3. *Requests* the Executive Secretary to support such preparatory activities and, in particular, to report to the Commission on Sustainable Development on progress made in the implementation of the Convention;

4. *Encourages* Parties, Governments and countries to highlight and emphasize biological diversity considerations in their contributions to the ten-year review.

DECISION V/28 | Tribute to the Government and people of Kenya

The Conference of the Parties,

Having met in Nairobi from 15 to 26 May 2000, at the gracious invitation of the Government of Kenya,

Deeply appreciative of the special courtesy and the warm hospitality extended by the Government and people of Kenya to the Ministers, members of the delegations, observers and members of the Secretariat attending the meeting,

Expresses its sincere gratitude to the Government of Kenya and to its people for the cordial welcome that they accorded to the meeting and to those associated with its work, and for their contribution to the success of the meeting.

DECISION V/29 | Date and venue of the sixth meeting of the Conference of the Parties

The Conference of the Parties

1. *Welcomes* the kind offer of the Government of the Netherlands to host the sixth meeting of the Conference of the Parties;

2. *Decides* that the sixth meeting of the Conference of the Parties will take place in The Hague, the Netherlands, at a date to be specified by the Bureau, in the second quarter of 2002, and communicated to all Parties.

Decisions adopted by the Conference of the Parties to the Convention on Biological Diversity at its sixth meeting

THE HAGUE, THE NETHERLANDS, 7–19 APRIL 2002

DECISION VI/1 | Intergovernmental Committee for the Cartagena Protocol on Biosafety

The Conference of the Parties,

Welcoming the deposit of instruments of ratification, acceptance, approval or accession in respect of the Cartagena Protocol on Biosafety by Parties to the Convention on Biological Diversity and *calling upon* other Parties to the Convention to deposit such instruments as soon as possible,

Calling once again upon States that are not Parties to the Convention to ratify, accept, approve or accede to it, as appropriate, without delay, thereby enabling them also to become Parties to the Protocol,

Recalling the mandate given to the open-ended ad hoc Intergovernmental Committee for the Cartagena Protocol on Biosafety in decision EM-I/3 to undertake, with the support of the Executive Secretary, the preparations necessary for the first meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol,

Recalling also decision V/1 regarding the work plan for the Intergovernmental Committee for the Cartagena Protocol on Biosafety,

Recognizing the need to implement the provisions and requirements of the Protocol at the time of its entry into force,

Having considered the reports of the two meetings of the Intergovernmental Committee for the Cartagena Protocol on Biosafety, held in Montpellier, France, from 11 to 15 December, 2000, and in Nairobi from 1 to 5 October, 2001, respectively,

1. *Endorses* the decision of the Bureau of the Conference of the Parties regarding the authorization of the convening of a third meeting of the Intergovernmental Committee for the Cartagena Protocol on Biosafety back-to-back with the sixth meeting of the Conference of the Parties;

2. *Welcomes* the kind invitation of the Government of the Netherlands to host the third meeting of the Intergovernmental Committee for the Cartagena Protocol on Biosafety in The Hague from 22 to 26 April 2002;

3. *Requests* the Executive Secretary:

(a) In the event that the Protocol enters into force within one year of the sixth meeting of the Conference of the Parties, to convene the first meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol

in conjunction with an extraordinary meeting of the Conference of the Parties, no later than eight months after the entry into force of the Protocol and taking into account that adequate preparations for the first meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol may require at least six months;

(b) In the event that the Protocol enters into force more than one year after the sixth meeting of the Conference of the Parties but before the seventh meeting, to convene the first meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol in conjunction with the seventh meeting of the Conference of the Parties, pursuant to paragraph 6 of Article 29 of the Protocol, taking into account that adequate preparations for the first meeting of the Conference of the Parties serving as the meeting of the Parties may require at least six months;

4. *Decides* that, in the event that the first meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol cannot be held in conjunction with an extraordinary meeting of the Conference of the Parties between the sixth and seventh regular meetings of the Conference of the Parties, further meetings of the Intergovernmental Committee for the Cartagena Protocol on Biosafety may be convened for preparations of the first meeting of the Conference of the Parties serving as the meeting of the Parties, and, to this end, *requests* the Executive Secretary, in consultation with the bureaux of the Conference of the Parties and of the Intergovernmental Committee for the Cartagena Protocol on Biosafety, to keep the situation under review and make appropriate arrangements in this regard;

5. *Invites* Parties and States to make contributions for the supplementary budget for biosafety to the Special Voluntary Trust Fund (BE) for Additional Voluntary Contributions in support of any inter-sessional activities and the meetings of the Intergovernmental Committee for the Cartagena Protocol on Biosafety referred to in paragraph 4 above;

6. *Urges* Parties to renew efforts to facilitate agreement on paragraph 1 of rule 40 of the rules of procedure for meetings of the Conference of the Parties to the Convention, in light of potential implications for the effective operation of the Conference of the Parties serving as the meeting of the Parties to the Protocol;

7. *Urges* Parties to designate national focal points and competent national authorities pursuant to the provisions of paragraph 2 of Article 19 of the Cartagena Protocol on Biosafety.

DECISION VI/2 | Biological diversity of inland waters

The Conference of the Parties

1. *Welcomes* the progress made in the implementation of the programme of work on biological diversity of inland water ecosystems, and of the second joint work plan with the Convention on Wetlands (Ramsar, Iran, 1971), including the River Basin Initiative;

2. *Takes note* of the report of the World Commission on Dams, issued in November 2000, in regard to the implementation of the programme of work on biological diversity of inland water ecosystems;

3. *Emphasizes* the importance of review and elaboration of the programme of work on biological diversity of inland water ecosystems, as outlined in the progress report of the Executive Secretary on thematic programmes of work,[1] and of the implementation of activity 11 of programme of work on the Global Taxonomy Initiative;

4. *Recognizing* the importance of the River Basin Initiative for implementation of the programme of work on biological diversity of inland water ecosystems and application of the ecosystem approach, *requests* the Executive Secretary to strengthen collaboration with the Convention on Wetlands (Ramsar, Iran, 1971) on the implementation of the River Basin Initiative;

5. *Requests* the Executive Secretary and Bureau of the Convention on Wetlands (Ramsar, Iran, 1971) to facilitate the implementation of the third work plan with the Convention on Wetlands (Ramsar, Iran, 1971), as endorsed by the Conference of the Parties in its decision VI/20 C, on cooperation with the Convention on Wetlands;

6. *Urges* the Global Environment Facility, other funding institutions, and development agencies to provide financial support for implementation of the programme of work on the biological diversity of inland water ecosystems as well as the River Basin Initiative.

DECISION VI/3 | Marine and coastal biological diversity

The Conference of the Parties

1. *Takes note* of the progress made in the implementation of the programme of work on marine and coastal biological diversity, including the integration of coral reefs into programme element 2 of the programme of work, as endorsed by the Subsidiary Body on Scientific, Technical and Technological Advice in its recommendation VI/2;

2. *Requests* the Executive Secretary to continue facilitating the implementation of the specific work plan on coral bleaching as contained in annex II to recommendation VI/2 of the Subsidiary Body on Scientific, Technical and Technological Advice and the work plan on physical degradation and destruction of coral reefs as contained in annex I thereto, setting priorities as appropriate, with special emphasis on small island developing States and the least developed States, in active collaboration with the International Coral Reef Initiative and its partners, the regional seas programmes of the United Nations Environment Programme, the Intergovernmental Oceanographic Commission of the United Nations Educational, Scientific and Cultural Organization, and other relevant organizations;

93 UNEP/CBD/COP/6/11, paragraphs 22–24.

3. *Invites* the Executive Secretary to continue developing further the work plan on physical degradation and destruction of coral reefs as contained in annex I to recommendation VI/2 of the Subsidiary Body on Scientific, Technical and Technological Advice;

4. *Invites* the Executive Secretary to strengthen collaboration with regional seas conventions and action plans;

5. *Recognizes* the need for support through the financial mechanism to developing country Parties, in particular the least developed and small island developing States among them, for country-driven activities aimed at enhancing capabilities to address the impacts of mortality related to coral bleaching and physical degradation and destruction of coral reefs, including developing rapid response capabilities to implement measures to address coral-reef degradation, mortality and subsequent recovery.

SBSTTA RECOMMENDATION VI/2: MARINE AND COASTAL BIOLOGICAL DIVERSITY: PROGRESS REPORT ON THE IMPLEMENTATION OF THE PROGRAMME OF WORK, INCLUDING THE INTEGRATION OF CORAL REEFS

The Subsidiary Body on Scientific, Technical and Technological Advice,

Taking note of the analysis of the effects of the physical degradation and destruction of coral reefs as contained in annex II to the note prepared by the Executive Secretary for the sixth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice (UNEP/CBD/SBSTTA/6/4), drawing upon the suggestions in annex I of the present recommendation, for the integration of the issue of physical degradation and destruction of coral reefs into programme element 2 of the programme of work on marine and coastal biological diversity,

1. *Endorses* the following text as operational objective 2.3, for the integration of coral reefs into programme element 2 of the programme of work on marine and coastal biological diversity:

"OPERATIONAL OBJECTIVE 2.3.: To gather and assimilate information on, build capacity to mitigate the effects of, and to promote policy development and implementation strategies to address: (i) the biological and socio-economic consequences of physical degradation and destruction of tropical and cold-water coral-reef ecosystems, including identification and promotion of management practices, methodologies and policies to reduce and mitigate impacts upon marine and coastal biological diversity and to restore and rehabilitate damaged coral reef; and in particular (ii) the impacts of coral bleaching and related mortality on coral-reef ecosystems and the human communities which depend upon coral-reef services, including through financial and technical assistance."

2. *Invites* the Executive Secretary to promote and facilitate the implementation of the specific work plan on coral bleaching, as contained in annex II to the present recommendation and the work plan on physical degradation and destruction of coral reefs as contained in annex I thereto, setting priorities as appropriate, with

special emphasis on small island developing States and the least developed States, in collaboration with the International Coral Reef Initiative and its partners, the regional seas programmes of the United Nations Environment Programme, the Intergovernmental Oceanographic Commission of the United Nations Educational. Scientific and Cultural Organization, and other relevant organizations;

3. *Invites* the Executive Secretary to develop further the work plan on physical degradation and destruction of coral reefs as contained in annex I to the present recommendation;

4. *Recommends* that the Conference of the Parties examine the need for support through the financial mechanism to developing country Parties, in particular the least developed and small island developing States among them, for country-driven activities aimed at enhancing capabilities to address the impacts of mortality related to coral bleaching and physical degradation and destruction of coral reefs, including developing rapid response capabilities to implement measures to address coral-reef degradation, mortality and subsequent recovery.

ANNEX I TO SBSTTA RECOMMENDATION VI/2
ELEMENTS OF A WORK PLAN ON PHYSICAL DEGRADATION AND DESTRUCTION OF CORAL REEFS

Activities

(a) *Assessments and indicators*. To provide a comprehensive analysis of the status and trends of global coral-reef ecosystems, taking into account the note by the Executive Secretary on progress report on the implementation of the programme of work on marine and coastal biological diversity, including the integration of coral reefs prepared for the sixth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA) (UNEP/CBD/SBSTTA/6/4), the including determination of indicators for continued monitoring and the determination of ecological and socio-economic impacts of coral-reef degradation and destruction.

(b) *Management*. To identify management practices, technologies and policies that promote the conservation and sustainable use of coral-reef ecosystems and their associated marine biological diversity, with a view to addressing recognized threats (i.e., overfishing, coastal development, destructive fishing practices, land-based pollution, marine-based pollution and recreational use) and identifying sustainable management approaches.

(c) *Capacity-building*. To strengthen the capacities of Parties, regions, local communities and other stakeholders to manage sustainably coral-reef ecosystems and their associated marine biological diversity, so as to maintain their ecosystem benefits and to promote awareness and responsible action to prevent and mitigate physical degradation and destruction of coral reefs and their effects on marine biological diversity.

(d) *Financing*. To recognize and promote existing programmes and mobilize further mechanisms for financial and technical development assistance to support

implementation of activities addressing the physical degradation and destruction of coral reefs.

(e) *Education and public awareness*. To educate and inform the public, policy makers and other stakeholders of ecological and socio-economic values of coral-reef ecosystems and the importance of an ecosystem approach towards their conservation and sustainable management.

Ways and means

Activities under this operational objective will be implemented primarily at the national and regional levels under the guidance of the Executive Secretary and SBSTTA, and in collaboration with relevant organizations and agencies, recognizing the value of the capacity established through the International Coral Reef Initiative (ICRI) and its operational units.

ANNEX II TO SBSTTA RECOMMENDATION VI/2 SPECIFIC WORK PLAN ON CORAL BLEACHING

Objective: To gather and assimilate information on, build capacity to mitigate the effects of, and to promote policy development and implementation strategies to address the impacts of coral bleaching and related mortality on coral-reef ecosystems and the human communities which depend upon coral reef-services, including through financial and technical assistance.

Activities

1. INFORMATION GATHERING

(a) Implement and coordinate targeted research programmes, including predictive modelling, that investigate: (1) the tolerance limits and adaptation capacity of coral-reef species to acute and chronic increases in sea-surface temperature; (2) the relationship among large-scale coral-bleaching events, global warming, and the more localized threats that already place reefs at risk; and (3) the frequency and extent of coral-bleaching and related mortality events, as well as their impacts on ecological, social and economic systems.

Ongoing initiatives

(i) The Ad Hoc Study Group on Indicators of Coral Bleaching and Subsequent Effects was established in September 2000 under the auspices of the Intergovernmental Oceanographic Commission of the United Nations Educational, Scientific and Cultural Organization (IOC/UNESCO) with three major objectives: to develop possible molecular, cellular, physiological, and community indicators of coral bleaching that are reliable in their ability to detect early stress signals; to examine potential mechanisms of reef corals for adaptation/acclimatization to global environmental change; to investigate long-term response of reef corals to large-scale changes in environmental variables. The group will

meet annually for three years and distribute findings through annual reports and a final publication.

(ii) The Global Coral Reef Monitoring Network (GCRMN) is a global network of coral-reef scientists, Governments and local communities for monitoring and assessment of coral reefs, in terms of both biophysical and socio-economic parameters needed for management. GCRMN is co-hosted by the Australian Institute of Marine Science and the World Fish Center (ICLARM). ICLARM also hosts ReefBase, the official database of GCRMN, with data of over 8,000 coral reefs around the world. The United Nations Environment Programme (UNEP), together with IOC/UNESCO, is a sponsor of the GCRMN and a member of the GCRMN Management Group and the GCRMN Scientific and Technical Advisory Committee.

(iii) GCRMN has developed a comprehensive *Status of Coral Reefs of the World* report to be updated every two years, the most recent edition having been published in October 2000.

(iv) UNEP, through GCRMN, emphasizes the importance of monitoring socio-economic parameters to achieve sustainable use of coral reef ecosystems. A socio-economic manual has recently been developed (October 2000) for monitoring of these parameters for enhanced management capacity.

(v) Contributing to GCRMN are existing regional projects. Regional coral-reef monitoring networks within GCRMN exist for the Indian Ocean, the Pacific and the Wider Caribbean funded by the World Bank, with the goal of assisting in the conservation of the rich biodiversity of coral reefs and their socio-economic value, and in the sustainable management of their resources, through a monitoring network.

(vi) Under the International Coral Reef Action Network (ICRAN), the World Conservation Monitoring Centre (WCMC) and ICLARM are exploring the integration and availability of map-based products through the WCMC website and through ReefBase.

(vii) Some projects within the CORDIO (Coral Reef Degradation in the Indian Ocean) programme in the Indian Ocean region focus on determining the socio-economic impacts of coral mortality and options for mitigating these through management and development of alternative-livelihoods projects investigating methodologies for preventing the introduction of invasive alien species may contribute to the overall health of coral-reef ecosystems, and thus to recovery from bleaching. The GloBallast pilot project of the International Maritime Organization (IMO) is identifying prevention measures to combat introductions from ballast water discharges.

Specific tasks in addition to ongoing initiatives

(i) Provide scientific information on the survival of reef-building corals, including the potentially differing responses of a variety of

reef systems (such as barrier and patch reefs) and degrees of isolation, under global warming to allow some prediction of the adaptation and survival of the biological diversity of coral reefs in coming decades.

(ii) Compile information on existing networks, databases and websites which can provide up-to-date information of the status of coral reefs and the threats thereto; and assess the quality of the data they contain and methodologies used for data collection and analysis.

(iii) Strengthen networks for data collection and dissemination of information on coral-reef status and interpretation of long-term trends resulting from global climate change and anthropogenic stresses to assist effective management and conservation.

(iv) Develop further target research programmes that investigate the impacts of coral bleaching and coral mortality events on social and economic systems.

(v) See activity (k) (i) below.

(b) Implement and coordinate baseline assessments and long-term monitoring to measure the biological and meteorological variables relevant to coral bleaching, mortality and recovery, as well as the socio-economic parameters associated with coral-reef services.

Ongoing initiatives

(i) The objectives of the Ad Hoc Study Group on Indicators of Coral Bleaching and Subsequent Effects referred to under activity (a) above include the identification of biological indicators that would facilitate long-term monitoring.

(ii) GCRMN currently serves as a network for coral-reef assessments and monitoring of biological variables relevant to coral bleaching, mortality and recovery, as well as many socio-economic parameters associated with coral-reef services (see activity (a) above).

(iii) Data repository and dissemination systems such as ReefBase may offer time-line biological data.

(iv) GCRMN, in coordination with the World Bank, IUCN, the Australian Institute of Marine Science and UNEP regional seas programmes, is targeting existing or planned marine protected areas as the focus of some of their monitoring activities. The sites may offer valuable baseline data and serve for long-term monitoring.

(v) GCRMN is currently developing a rapid-assessment methodology for socio-economic and biophysical parameters in the Eastern African region, especially for use in developing countries where limited resources do not always allow for regular high-intensive monitoring.

(vi) The UNEP Division of Environmental Information, Assessment and Early Warning coordinates a variety of information available from remote-sensing technologies and organizations that facilitates dissemination of such information. They are well suited to coor-

dinating assessment of meteorological variables relevant to coral bleaching, mortality and recovery.

(vii) WCMC and ICLARM are exploring the integration and availability of map-based products through the WCMC website and through ReefBase.

Specific tasks in addition to ongoing initiatives

(i) Identify pilot projects that establish training programmes and survey protocols and enhance availability of expert advice at a range of scales, including classification of scale data.

(ii) Support ongoing assessment and monitoring initiatives, such as those of UNESCO, ICRAN, the regional seas conventions and action plans, GCRMN, UNEP and CORDIO.

(c) Develop a rapid response capability to document coral bleaching and mortality in developing countries and remote areas including establishment of training programmes, survey protocols, expert advice, and contingency fund or rapid release of special project funding.

Ongoing initiatives

(i) The objectives of the Ad Hoc Study Group on Indicators of Coral Bleaching and Subsequent Effects referred to under activity (a) above include the identification of physiological early-stress indicators in corals.

(ii) The Sida-SAREC and World Bank programme on coral-reef degradation in the Indian Ocean was initiated as a response to the 1998 coral-bleaching event (CORDIO).

(iii) GCRMN is currently developing a rapid assessment methodology for socio-economic and biophysical parameters in the Eastern African region, especially for use in developing countries where limited resources do not always allow for regular high-intensive monitoring (ReefCheck).

(iv) Within the ICRAN strategic plan, it is intended that these capabilities will be developed and made widely available.

(v) The UNEP Division of Environmental Information, Assessment and Early Warning coordinates a variety of information available from remote sensing technologies and organizations that facilitates dissemination of such information.

Specific tasks in addition to ongoing initiatives

(i) Develop standardized training modules and manuals on detection and documentation of coral-bleaching events, mortality or recovery monitoring

(ii) Organize annual meetings in each region on coral-reef assessment and monitoring methods with particular emphasis on documenting coral bleaching, bleaching related mortality and subsequent recovery. These should be integrated into existing programmes, where possible (regional seas conventions and actions plans may have the best capacity to implement these measures).

(d) Encourage and support countries in the development and dissemination of status-of-the-reefs reports and case-studies on the occurrence and impacts of coral bleaching and related mortality.

Ongoing initiatives

(i) GCRMN has developed a comprehensive *Status of Coral Reefs of the World* report to be updated every two years, the most recent edition having been published in October 2000. This report is largely based on national and regional contributions.

(ii) The Secretariat of the Convention on Biological Diversity, in accordance with decision V/3, paragraph 7, of the Conference of the Parties to the Convention invited Parties to submit case-studies for dissemination through the clearing-house mechanism. The national reporting mechanism of the Convention on Biological Diversity facilitates the collection of information on the status of coral reefs and case-studies on the occurrence and impacts of coral bleaching.

(iii) The CORDIO Status Report 2000 offers reporting opportunities on the status of the reefs for Indian Ocean countries. The dissemination of this information through the CORDIO newsletter has facilitated further communication and coordination on local impacts.

Specific tasks in addition to ongoing initiatives

(i) Support and expand existing networks and initiatives at the regional and national level conducting coral-reef status assessments and monitoring.

(ii) Strengthen dissemination of existing assessment and monitoring information on status of coral reefs and their threats through existing networks (under the ICRAN strategic plan, this is a core role of GCRMN and ReefBase).

(e) Extend the use of early-warning systems for coral bleaching by:

(i) Enhancing current NOAA AVHRR Hot Spot mapping by increasing resolution in targeted areas and carrying out ground-truth validation exercises;

(ii) Encouraging space agencies and private entities to maintain deployment of relevant sensors and to initiate design and deployment of specialized technology for shallow-oceans monitoring;

(iii) Making the products of remote sensing readily accessible at low cost to coral-reef scientists and managers worldwide, in particular to those scientists and managers that are based in developing countries.

Ongoing initiatives

(i) The UNEP Division of Environmental Information, Assessment and Early Warning coordinates a variety of information available

from remote sensing technologies and organizations that facilitates dissemination of such information.

(ii) Under the ICRAN, WCMC and ICLARM are exploring the integration and availability of map-based products through the WCMC website and through ReefBase that include satellite and aerial imagery.

Specific tasks in addition to ongoing initiatives

(i) Expand the use of existing early warning systems (e.g. NOAA early warning mapping) and support the development of Web-based early warning systems.

(ii) Develop local community capacity for remote and local level validation exercises.

(iii) Develop mechanisms to make accessible high-resolution multispectrum imagery worldwide.

2. CAPACITY-BUILDING

(f) Support the training of and career opportunities for marine taxonomists, ecologists, and members of other relevant disciplines, particularly at the national and regional level.

Ongoing initiatives

(i) Various ongoing training activities not necessarily related to coral bleaching but to coral conservation issues, e.g. the Ramsar Wetlands for the Future training initiative for Latin America and the Caribbean; the regional seas programme for Caribbean protected area managers; various activities supported by aid agencies and global and regional development banks.

(ii) Many other training activities are carried out as components of wider projects and programmes. GCRMN is building capacity for coral-reef monitoring and assessments through training workshops, especially in developing countries.

Specific tasks in addition to ongoing initiatives

(i) Further incorporate or support the issue of coral reefs and bleaching in the capacity-building activities of multilateral environmental agreements (e.g. Ramsar Convention, Cartagena Convention) and of their respective contracting parties.

(ii) Develop standardized training modules and manuals on detection and documentation of coral-bleaching events and subsequent recovery.

(iii) Organize annual meetings in each region on coral-reef assessment and monitoring methods with particular emphasis on documenting coral bleaching, bleaching-related mortality and subsequent recovery. These should be integrated into existing programmes, where possible.

(iv) Create scholarship trust funds in each region of the regional seas programmes to provide scholarships at graduate/postgraduate level to at least two people per region to undertake studies on coral-reef ecology and management.
(v) Promote exchange programmes between countries and/or regions.
(vi) Promote further coordination and collaboration of ongoing regional activities.
(vii) Promote the inclusion in national reports under the regional seas conventions, the Convention on Biological Diversity and the United Nations Framework Convention on Climate Change of a section for reporting of ecological and socio-economic impacts of coral-bleaching events.
(viii) Add coral bleaching to the national biodiversity strategies and action plans under the Convention on Biological Diversity.

(g) Encourage and support multidisciplinary approaches to coral-reef research, monitoring, socio-economics and management.

Ongoing initiatives

(i) ICRI and GCRMN activities are intended to encourage and support multidisciplinary approaches to coral-reef research, monitoring, socio-economics and management.
(ii) Regional seas programmes through the ICRAN strategic plan and existing programmes like CORDIO, and the UNEP Caribbean Environment Programme are increasing regional capacity towards monitoring, socio-economics and management, as related to coral bleaching. The four regions currently active under the ICRAN strategic plans are South-East Asia, Pacific, Caribbean and Eastern Africa.

Specific tasks in addition to ongoing initiatives

(i) Develop a formal network of agencies in developed and developing countries, which agree to an annual exchange of staff in areas relevant to coral-reef management.
(ii) Gather and assimilate information on existing training programmes on integrated coastal area management, best practices and related issues, relating to sustainable management of coral reefs.
(iii) Develop and/or expand training opportunities for fishers, protected area managers and related marine resource managers at the national and regional levels, on resource assessment, monitoring, user impact, ecosystem approaches to marine and coastal resource management, surveillance and enforcement, local community integration, and in setting and measuring the achievement of management performance goals and indicators.
(iv) See activity (k) (ii) below.

(h) Build stakeholder partnerships, community participation programmes, and public-education campaigns and information products that address the causes and consequences of coral bleaching.

Ongoing initiatives

(i) ICRI and the International Tropical Marine Ecosystems Management Symposium (ITMEMS) are building the foundation of new ICRI action.

(ii) A number of existing education and capacity-building projects within the regional seas programmes serve to raise awareness regarding coral bleaching.

(iii) IUCN, the Secretariat of the Convention on Biological Diversity, USAID and WWF have produced a publication *Management of Bleached and Severely Damaged Coral Reefs,* to contribute to effective and immediate management action to aid reef protection and regeneration, and to enhance research to develop the necessary tools and measures for long-term success. In addition, the publication is intended to raise awareness of the urgent need to take all possible actions to reduce the impact of climate change on coral reefs.

(iv) The WWF approach to worldwide coral-reef conservation (CoralWeb): training of resource managers, increasing education, raising awareness, and implementing site-based reef management projects to help groups of stakeholders achieve their goals in reef management and sustainable economic development, including through the development of alternatives to destructive practices.

(v) The International Coral Reef Information Network (ICRIN) is the primary public awareness mechanism of the ICRI, and thus serves to disseminate public information products that address the causes and consequences of coral bleaching.

Specific tasks in addition to ongoing initiatives

(i) "Bridge the gap between global and local action through the creation of national and sub-regional coral-reef initiatives" (see ICRI and the International Tropical Marine Ecosystems Management Symposium on Building the Foundation of New ICRI Action).

(ii) Package relevant information from status-of-reefs reports, *Reefs at Risk*, etc., into effective practical materials for the general public, the media, the private sector and policy makers

3. POLICY DEVELOPMENT/IMPLEMENTATION

(i) Use existing policy frameworks to implement the multiple conservation measures outlined in the Renewed Call to Action of the International Coral Reef Initiative, and develop and implement comprehensive local-to-national-scale integrated marine and coastal area management plans that supplement marine protected areas.

Ongoing initiatives

As an example, relevant regional activities within the Wider Caribbean are carried out, *inter alia*, in the framework of the:

• Cartagena Convention and its protocols on oil spills, land-based sources of marine pollution and specially protected areas and wildlife
• Regional ICRI Framework for Action
• Association of Caribbean States (ACS)
• Central American Commission on Environment and Development (CCAD)
• CARICOM

Specific tasks in addition to ongoing initiatives

(i) Assess relevant actions of existing frameworks and how these are directly addressing integrated marine and coastal areas management, in particular coral-reef issues.
(ii) Integrate in existing policies at the regional and national levels the priority issues identified by ICRI and the International Tropical Marine Ecosystems Management Symposium (ITMEMS).
(iii) Make use of the regional seas programmes and other regional agreement (i.e. shipping, fisheries, trade and land-based sources of marine pollution) as vehicles to develop and implement policies related to coral-reef management and protection.

(j) Identify and institute additional and alternative measures for securing the livelihoods of people who directly depend on coral-reef services.

Ongoing initiatives

Some projects within the CORDIO programme in the Indian Ocean region focus on determining the socio-economic impacts of coral mortality and options for mitigating these through management and development of alternative livelihoods. Development is needed of further target research projects that investigate the impacts of coral bleaching and mortality events on social and economic systems in other regions.

Specific tasks in addition to ongoing initiatives

(i) Compile information on the socio-economic impacts of coral bleaching on communities dependent on coral reefs.
(ii) Support and expand existing projects that assess the impacts of coral bleaching on communities dependent on coral reefs, such as the CORDIO project in the Indian Ocean.
(iii) Develop pilot projects for transitioning dependent communities to alternative and sustainable livelihoods.

(k) Initiate efforts to develop joint actions among the Convention on Biological Diversity, the United Nations Framework Convention on Climate Change, and the Ramsar Convention on Wetlands of International Importance especially as Waterfowl Habitat to:

(i) Develop approaches for assessing the vulnerability of coral-reef species to global warming;
(ii) Build capacity for predicting and monitoring the impacts of coral bleaching and related mortality;

(iii) Identify approaches for developing response measures to coral bleaching;
(iv) Implement measures to address coral bleaching and related mortality;
(v) Provide guidance to financial institutions, including the Global Environment Facility (GEF), to support these activities.

Ongoing initiatives

(i) The Executive Secretary has transmitted the view to the United Nations Framework Convention on Climate Change (UNFCCC) that there is significant evidence that climate change is a primary cause of the recent and severe extensive coral bleaching, and that this evidence is sufficient to warrant remedial measures being taken in line with the precautionary approach. In this regard, the Secretariat of the Convention on Biological Diversity, the Secretariat of the UNFCCC, and the Intergovernmental Panel on Climate Change (IPCC) have initiated dialogue to explore the integration of biological diversity concerns into the implementation of the UNFCCC and its Kyoto Protocol.
(ii) GEF Caribbean project on climate change adaptation (CPACC project).

Specific tasks in addition to ongoing initiatives

(i) Promote and implement joint work plans with other relevant agreements, organizations and initiatives, including the Commission on Sustainable Development, FAO, regional seas conventions and action plans, regional trade and economic organizations, the Global Programme of Action (GPA) for the Protection of the Marine Environment from Land-based Activities, ICRI and the Man and Biosphere Programme. In particular, assess and coordinate activities that have been agreed within multilateral environmental agreements about coral reefs.
(ii) Gather the outputs of the Caribbean GEF project on climate change adaptation (CPACC project) as a contribution to activities (k) (i)-(iv) above, and disseminate relevant findings through the clearing-house mechanism and other mechanisms.
(iii) Further development of response measures to coral bleaching and potential guidance to financial institutions, including the GEF may be needed.

(l) Encourage FAO and regional fisheries organizations to develop and implement measures to assess and mitigate the impacts of sea-surface temperature rise on fisheries.

Specific tasks

(i) Investigate potentially deleterious effects of changes in oceanographic patterns and resulting impacts on target fish stocks resulting from sea-surface temperature rise.

(ii) Establish no-fishing zones and limitations on fishing gear to protect breeding grounds and provide fish with a refuge.
(iii) Enforce legislation prohibiting destructive fishing practices that further damage coral-reef ecosystems.
(iv) Investigate strategies for management of coral-reef fisheries that are demonstrably sustainable with respect to fished stocks and the ecosystems that produce them (in collaboration with FAO).

(m) Emphasize that coral bleaching can be monitored as an early warning of the impacts of global warming on marine ecosystems and that the collapse of coral-reef ecosystems could impact ecological processes of the larger marine system of which coral reefs are a part.

Specific tasks

(i) Recognizing that coral bleaching is a cumulative stress response (i.e., global warming is the most widespread stressor, but known human induced stresses exacerbate events), develop education programmes addressing an ecosystem approach to coral-reef management and the relation between ecological parameters of coral reefs, sea-surface temperature rise and other human-induced stresses.
(ii) Investigate the relationship between coral-bleaching events and long-term meteorological data.
(iii) Develop educational programmes on the relationship between coral reefs and larger marine systems (e.g., impacts of coral-reef loss on fisheries, local communities etc).

(n) Emphasize the interdependencies and uncertainties in the relationships among marine, terrestrial and climatic systems.

4. FINANCING

(o) Mobilize international programmes and mechanisms for financial and technical development assistance, as well as national and private sources to support implementation.

Specific tasks

(i) Promote programmes that identify the relationships among financial and technical development assistance and environmental project funding.
(ii) Identify financial and technical assistance mechanisms of national and private sources to assist communities impacted by coral bleaching.

Ways and means: Activities under this operational objective will be implemented primarily at the national and regional levels under the guidance of the Executive Secretary and SBSTTA, and in collaboration with relevant organizations and agencies, recognizing the value of the capacity established through ICRI and its operational units. The additional specific tasks will be prioritized

as appropriate. The role of the Convention on Biological Diversity will be to act primarily as a facilitator of these activities.

Timing of expected outputs: 2000 onwards (minimum three-year time schedule)

DECISION VI/4 | Biological diversity of dry and sub-humid lands

The Conference of the Parties

1. *Takes note* of the progress reports on the implementation of the programme of work on the biodiversity of dry and sub-humid lands prepared by the Executive Secretary and the report of the Ad Hoc Technical Expert Group on the Biodiversity of Dry and Sub-Humid Lands;[2]

2. *Recognizing* the interlinkages between biodiversity, desertification/land degradation and climate change, *requests* the Executive Secretary, in collaboration with the secretariats of relevant conventions, to prepare a proposal for the development of a mechanism to coordinate activities in these areas, and for linking and ensuring integration of the national biodiversity strategies and action plans under the Convention on Biological Diversity and the national action programmes under the Convention to Combat Desertification;

3. *Recognizing* the horizontal nature of this programme of work on dry and sub-humid lands, *recommends* that the Executive Secretary and Parties enhance synergies in the implementation of this and other thematic programmes of work of the Convention.

DECISION VI/5 | Agricultural biological diversity

The Conference of the Parties

Implementation of the programme of work

1. *Notes* the progress made in the implementation of the programme of work and the need for emphasis and further action, within the context of the programme of work, on:

(a) The wider understanding of the functions of biodiversity in agro-ecosystems, and the interactions between its various components, at different spatial scales;

(b) The promotion of methods of sustainable agriculture that employ management practices, technologies and policies that promote the positive and prevent or mitigate the negative impacts of agriculture on biodiversity, focusing on the needs of farmers and indigenous and local communities, to participate efficiently in the process of meetings those particular goals;

2 UNEP/CBD/COP/6/INF/39.

(c) Capacity-building in institutions, human resource development, training, communication, education and public awareness. Moreover, funding for the implementation of the programme of work should be reviewed, in the context of decision V/5 of the Conference of the Parties; and

(d) Mainstreaming;

2. *Adopts* the steps for the further implementation of the programme of work by the Executive Secretary and partner organizations and the reporting schedule contained in annex I to the present decision;

3. *Invites* Parties, other Governments, and relevant organizations to submit case-studies on their experiences with mainstreaming matters related to agricultural biodiversity in their plans, programmes and strategies, to be made available through the clearing-house mechanism;

4. *Invites* Parties and Governments to provide, thematic reports on the implementation of the programme of work on agricultural biodiversity, as part of the third national reports, prior to the eighth meeting of the Conference of the Parties;

5. *Requests* the Executive Secretary to prepare a draft format for the thematic report on agricultural biodiversity, for consideration by the Conference of the Parties at its seventh session;

6. *Requests* the Executive Secretary, in collaboration with the Food and Agriculture Organization of the United Nations, to prepare, in time for consideration by the Conference of the Parties at its the eighth meeting, syntheses of relevant studies and an analysis of gaps and opportunities in the implementation of the programme of work, drawing upon the national thematic reports referred to in paragraph 4 above, as well as information provided by relevant organizations;

7. *Continues* to encourage Parties and Governments to support the application of the Executive Secretary of the Convention on Biological Diversity for observer status in the Committee on Agriculture of the World Trade Organization, in line with paragraph 9 of decision IV/6 and paragraph 14 of decision V/5, of the Conference of Parties.

The International Pollinators Initiative

8. *Adopts*, and *decides* to periodically review, as appropriate, the plan of action for the International Initiative for the Conservation and Sustainable Use of Pollinators on the basis of annex II to the present recommendation;

9. *Welcomes* the leading role played by the Food and Agriculture Organization of the United Nations in facilitating and coordinating this Initiative;

10. *Welcomes* efforts to establish the African Pollinators Initiative, in the framework of the International Pollinators Initiative;

11. *Invites* Parties and other Governments, and relevant organizations to contribute to the implementation of the International Pollinators Initiative;

12. *Invites* Parties, other Governments, the financial mechanism and funding organizations to provide adequate and timely support to the implementation of the

Plan of Action, especially by developing country Parties and Parties with economies in transition, and in particular least developed countries and small island developing States.

Soil biodiversity

13. *Decides* to establish an International Initiative for the Conservation and Sustainable Use of Soil Biodiversity as a cross-cutting initiative within the programme of work on agricultural biodiversity, and *invites* the Food and Agriculture Organization of the United Nations, and other relevant organizations, to facilitate and coordinate this initiative.

Animal genetic resources

14. *Welcomes* the process initiated by the Food and Agriculture Organization of the United Nations for the preparation of the first Report on the State of World's Animal Genetic Resources, as a contribution to the Convention's programme of work on agricultural biodiversity, as adopted by decision V/5;

15. *Encourages* Parties to participate in the development of the first Report on the State of World's Animal Genetic Resources, in particular through the preparation of country reports;

16. *Invites* Parties, other Governments, the financial mechanism and funding organizations to provide adequate and timely support to enable countries, especially developing country Parties and Parties with economies in transition, and in particular least developed countries and small island developing States, to participate fully in the preparatory process for the first Report on the State of World's Animal Genetic Resources, and implement follow-up actions identified through the process that will contribute to conservation sustainable use, access and benefit-sharing of animal genetic resources for food and agriculture.

Impacts of trade liberalization

17. *Requests* the Executive Secretary to study further the impacts of trade liberalization on agricultural biodiversity, in cooperation with the United Nations Environment Programme, the Food and Agriculture Organization of the United Nations, the World Trade Organization and other relevant organizations.

Impacts of the application of genetic use restriction technologies on smallholder farmers, indigenous and local communities and Farmers' Rights

Recalling decision V/5 and, in particular, its paragraphs 23, 24 and 27,

Reaffirming decision V/5, paragraph 23,

18. *Encourages* Parties and other Governments to address generic concerns regarding such technologies as genetic use restriction technologies under international and national approaches to the safe and sustainable use of germplasm;

19. *Urges* Parties and other Governments to assess whether there is a need to develop, and how to ensure the application of, effective regulations at national level which take into account, *inter alia*, the specific nature of variety-specific and trait-specific genetic use restriction technologies, in order to ensure the safety of human health, the environment, food security and the conservation and sustainable use of biological diversity;

20. *Acknowledges* the need for additional research regarding the potential risks of specific genetic use restriction technologies;

21. *Decides* to establish an ad hoc technical expert group on genetic use restriction technologies to further analyse the potential impacts of genetic use restriction technologies on smallholder farmers, indigenous and local communities and on Farmers' Rights, taking into account relevant ongoing work, and, as far as possible, the outcome of the work described in paragraphs 23 and 24 below, as well as comments from Parties, international organizations, and smallholder farmers, indigenous and local communities in order to prepare advice for consideration at its seventh meeting. The ad hoc technical expert group will include experts from smallholder farmers and indigenous and local communities, and will report to both to the Ad Hoc Open-ended Working Group on Article 8(j) and Related Provisions and the Subsidiary Body on Scientific, Technical and Technological Advice prior to the seventh meeting of the Conference of the Parties;

22. *Invites* Parties, other Governments and relevant organizations to protect native species and associated traditional knowledge by paying a particular attention to smallholder farmers, indigenous and local communities and Farmers' Rights in their implementation of the programme of work on agricultural biological diversity and the Global Strategy for Plant Conservation, in order to promote the sustainable use and *in situ* development of genetic resources;

23. *Also invites* the Food and Agriculture Organization of the United Nations to study the potential impacts of the applications of genetic use restriction technologies in the framework of the International Treaty on Plant Genetic Resources for Food and Agriculture, and to consider genetic use restriction technologies in the further development of the Code of Conduct on Biotechnology as it relates to genetic resources for food and agriculture;

24. *Invites* the International Union for the Protection of New Varieties of Plants (UPOV), the Intergovernmental Committee on Intellectual Property and Genetic Resources, Traditional Knowledge and Folklore of the World Intellectual Property Organization (WIPO) and other relevant organizations to examine, in the context of their work, the specific intellectual property implications of genetic use restriction technologies, particularly in respect of indigenous and local communities;

25. *Requests* the Executive Secretary:

(a) To integrate the issues related to the impacts of genetic use restriction technologies on smallholder farmers, indigenous and local communities and on Farmers' Rights in the work under the Convention regarding Article 8(j) and related provisions and Article 14, paragraph 2, on liability and redress;

(b) To invite the Food and Agriculture Organization of the United Nations, in collaboration with other organizations to investigate the potential impacts of the applications of genetic use restriction technologies in forestry, livestock, aquatic and other ecosystems, and to take into account the findings of the these organizations in the development of the relevant programmes of work; and

(b) Given the distinct nature of genetic use restriction technologies and their potential impacts on indigenous and local communities, to invite relevant organizations to examine the applicability of existing, and to explore the need to develop new, legal mechanisms to address the application of genetic use restriction technologies.

ANNEX I

TABLE 1: STEPS FOR THE FURTHER IMPLEMENTATION OF THE PROGRAMME OF WORK BY THE EXECUTIVE SECRETARY AND PARTNER ORGANIZATIONS

PROGRAMME ELEMENT & ACTIVITY	EXPECTED OUTPUTS	ACTORS & PARTNERS	STATUS	MILESTONES
1 Assessments				
1	Comprehensive assessment of the status and trends of the agricultural biodiversity	2007 SCBD, FAO, MA	Planned	Preliminary assessment 2003 Draft full assessment 2005
1.1 Planned assessments	State of the world's plant genetic resources II	2007 FAO (CGRFA)	Planned	Thematic supplements 2003 Country inputs 2004 Full draft report 2006
	State of the world's animal genetic resources	2005 FAO (CGRFA)	In progress	Country reports 2003 Strategic priorities report 2003
1.2 Specific assessments	Status and trends of pollinator diversity	2003	Planned	
1.3 Knowledge, innovations & practices of farmers, indigenous & local communities	State of the world's traditional knowledge on biodiversity	2003 CBD–Article 8(j) process	Planned	Outline of report 2002
1.4 Interactions between agriculture and biodiversity	Component of the Millennium Assessment	2005 Millennium Assessment	In progress	PAGE: Agro-ecosystems 2000
1.5 Methods: Indicators	Agri-environmental indicators	2004 OECD	In progress	First report 2001 Workshop: habitat matrices 2001
	Genetic diversity/erosion	2004 FAO (CGRFA)	Planned	Draft indicators 2002 Field tested indicators 2004
	Agricultural biodiversity	2004 FAO, MA	Planned	Technical workshop 2002
Agreed terminology and classification for production environments		2004 FAO, MA	Planned	Compilation of existing 2002 Classification for MA 2003
2 Adaptive management				
2.1 Case-studies	Plant genetic resources, animal genetic resources, soil, pollinators	2001 Various	In progress	
	Other aspects	2002 Various	Planned	
2.2 Analysis	Information on cost effective practices and technologies	2003 SCBD, FAO	In progress	
	Study on trade liberalization marketing and trade policies	2002 SCBD, FAO, WTO	In progress	
	Study on GURTs	2003 FAO, SCBD	In progress	

PROGRAMME ELEMENT & ACTIVITY	EXPECTED OUTPUTS	ACTORS & PARTNERS	STATUS	MILESTONES
2.3 Promotion	Lessons learned from the case-studies	2004 Various	Planned	
3 Capacity-building				
3.1 Partnerships and forums	Documentation of successful cases	2002 SCBD, FAO, etc	Planned	
3.2 Enhanced capacity	Pilot projects for the application of lessons learned from programme element 2	2005 Various, including Parties, civil-society organizations, funding agencies	Proposed	
3.3 Participation of farmers, indigenous and local communities in national strategies	In-country multi-stakeholder workshops	2005 Parties, SCBD	Proposed	
3.4 Policy change, benefit-sharing and incentive measures	Identification of lessons learned from programme element 2	2003 Parties, SCBD	Proposed	
3.5 Awareness amongst producer organizations and consumers	Dialogue workshops with producer and consumer organizations	2005 Parties, SCBD	Proposed	
3.6 Networks	Five regional workshops	2003 Parties, SCBD	Proposed	
4 Mainstreaming				
4.1 Institutional framework	Best practice guidelines Analysis of case-studies on mainstreaming	2001 BSBP 2003 SCBD	Completed Planned	
4.2 Information systems	Development of the clearing-house mechanism	SCBD, Parties	Ongoing	
4.3 Public awareness	UNESCO-CBD programme	UNESCO-CBD	Ongoing	
4.4 Conservation of genetic resources	Global Plan of Action for the Conservation and Sustainable Use of Plant Genetic Resources for Food and Agriculture	FAO	Ongoing	Reports to FAO CGRFA 2002 2004 2006

ANNEX II
PLAN OF ACTION FOR THE INTERNATIONAL INITIATIVE FOR THE CONSERVATION AND SUSTAINABLE USE OF POLLINATORS

YEAR	MEETING	CONSIDERATION OF ASSESSMENT RESULTS, STUDIES AND RECOMMENDATIONS	REVIEW OF IMPLEMENTATION BY PARTIES
2002	**COP 6**	• Study on trade liberalization • Study on GURTs	Considers second national reports
2003	**SBSTTA 8/9**	• Analysis of lessons learned from case-studies • Preliminary assessment of status and trends of agricultural biodiversity	
2004	**COP 7**	• Recommendations from SBSTTA on capacity-building and policy	
2005	**SBSTTA 10/11**	• Draft comprehensive assessment of status and trends of agricultural biodiversity	(Third national reports due)
2006	**COP 8**	• Analysis of gaps and opportunities in the implementation of the programme of work	Considers third national reports

I. Context

1. Pollination is an essential ecosystem service that depends to a large extent on symbiosis between species, the pollinated and the pollinator. In many cases, it is the result of intricate relationships between plant and animal, and the reduction and loss of either will affect the survival of both parties. Not all plants depend on animals for pollination. Many plants are wind pollinated, like grasses which form the predominant ground-cover of many ecosystems. Similarly, in agriculture most staple foods are wind pollinated. However, at least one-third of the world's agricultural crops depends upon pollination provided by insects and other animals. Diversity among species, including agricultural crops, depends on animal pollination. Therefore pollinators are essential for diversity in diet and for the maintenance of natural resources. The assumption that pollination is a "free ecological service" is erroneous. It requires resources, such as refuges of natural vegetation. Where these are reduced or lost they become limiting and adaptive management practices are required to sustain livelihoods.

2. In fact, throughout the world, agricultural production and agro-ecosystem diversity are threatened by declining populations of pollinators. The major contributors to this decline in pollinator populations are, *inter alia*, habitat fragmentation, agricultural and industrial chemicals, parasites and diseases, and the introduction of alien species.

3. There are over 25,000 different species of bees, which differ tremendously in size, and a diverse range of plants that they visit and pollinate. Both the diversity of wild plants and the variability of food crops depend on this diversity. Though bees form the most important group of pollinators, other insects such as, butterflies and moths, flies and beetles, and vertebrates such as bats, squirrels, birds and

some primates, also contribute. Some plants are visited by many different pollinators, while others have specific requirements. The same applies to the pollinators, some being generalists and others specialists. Therefore, pollination as a science requires detailed investigation, and the technological application of management practices is intricate. In most cases, there is a lack of knowledge about the exact relations between individual plant species and their pollinators, but studies in this field demonstrate that they are often quite specific.

4. In order to secure sustained pollinator services associated with agricultural ecosystems, far more understanding is needed of the multiple goods and services provided by pollinator diversity and the factors that influence their decline and activity. It is necessary to identify adaptive management practices that minimise negative impacts by humans on pollinators, promote the conservation and diversity of native pollinators, and conserve and restore natural areas necessary to optimize pollinator services in agricultural and other terrestrial ecosystems.

5. Considering the urgent need to address the issue of worldwide decline of pollinator diversity, the Conference of the Parties to the Convention Biological Diversity established an International Initiative for the Conservation and Sustainable Use of Pollinators in 2000 (decision V/5, section II) and requested the development of a plan of action. The following proposal for a plan of action was prepared by the Food and Agriculture Organization of the United Nations (FAO), consistent with paragraph 16 of decision V/15.

II. Objectives and approach

6. The aim of the International Initiative for the Conservation and Sustainable Use of Pollinators is to promote coordinated action worldwide to:

(a) Monitor pollinator decline, its causes and its impact on pollination services;

(b) Address the lack of taxonomic information on pollinators;

(c) Assess the economic value of pollination and the economic impact of the decline of pollination services; and

(d) Promote the conservation and the restoration and sustainable use of pollinator diversity in agriculture and related ecosystems.

7. The Initiative is to be implemented as a cross-cutting initiative within the programme of work on agricultural biodiversity, with appropriate links to other thematic programmes of work, particularly those on forest biological diversity and the biodiversity of dry and sub-humid lands, and with relevant cross-cutting issues, particularly the Global Taxonomy Initiative and work on invasive alien species. The Initiative provides an opportunity to apply the ecosystem approach.

III. Elements of the Plan

ELEMENT 1: ASSESSMENT

Operational objective

To provide a comprehensive analysis of status and trends of the world's pollinator diversity and of their underlying causes of its decline (including a focus on the goods and services provided by pollinator diversity), as well of local knowledge of its management. The result of the assessments will determine the further activities that are required.

Rationale

A number of scientific studies and various separate records strongly suggest that the numbers of crop pollinators are declining in many parts of the world. The yields of some crops are diminishing as a result of insufficient pollinators and many specialists, agronomists and fruit growers are concerned about the sharp declines in the numbers of bees in recent years. However, the scarcity of sound data hampers the elaboration of a comprehensive assessment of the status and trends of pollinator diversity, which is needed in order to inform policy change.

Similarly, a realistic evaluation of the economic value of animal-effected pollination is essential for the efficient planning of the world's agriculture. Existing estimates are contentious. The description and evaluation, in economic terms, of pollinator contributions to agriculture and environmental diversity will improve informed decision making at farm, regional, national and international levels.

In addition to the "taxonomic impediment" (see element 3), there is also a global "taxonomic deficit," that is, the unacceptably high numbers of bee genera for which identification keys are not available.

Activities

1.1 Monitor the status and trends of pollinators, through:

(a) The establishment of a global network of cooperators to monitor changes in the diversity, population levels and frequency of pollinators through time in selected areas of the world. The network would share findings and discuss local and global trends in pollinators;

(b) The implementation of a pilot global monitoring programme in selected areas worldwide;

(c) The development, assessment and compilation of methods for monitoring pollinators, their diversity and efficiency;

(d) The progressive development and implementation of a global programme for monitoring pollinator diversity, building upon activities (a), (b) and (c) above.

1.2 Assess the economic value of pollinators, including evaluation, in economic terms, of different crop-pollinator-pollination systems for optimal use of pollinators in sustainable agricultural systems, through economic analysis of data from various crop-pollinator-pollination systems, including those provided through case-studies under element 2.

1.3 Assess the state of scientific and indigenous knowledge on pollinator conservation, in order to identify gaps in knowledge and opportunities for application of knowledge; including:

(a) Taxonomic knowledge; and

(b) The knowledge, innovations and practices of farmers and indigenous and local communities in sustaining pollinator diversity and agro-ecosystem services for and in support of food production and food security.

1.4 Promote the development of identification keys for bee genera.

Ways and means

Exchange and use of experiences, information and findings from the assessments shall be facilitated by Parties, Governments and networks with consultation between countries and institutions, including the use of existing networks. Capacity-building activities from programme element 3 will assist countries in contributing to the assessment process. Case-studies, carried out under programme element 2, will also assist the assessment process by highlighting and examining important issues in pollinator conservation and sustainable use and in some cases providing data.

The global monitoring programme of pollinators could be carried out in two stages. A first stage would include activities 1.1(a), (b), and (c), and 1.4. A second stage would apply the findings of the first stage at a larger and representative number of field sites throughout the world in order to collect the data needed to detect changes in diversity and frequency of pollinators, especially of bee species. The project cannot be contemplated without the active participation of many nations, institutions and co-operators. Substantial additional financial resources would be required, especially for the second stage. Mechanisms will need to be put in place to ensure the continuity and sustainability of monitoring over the long term.

Timing of expected outputs

The first stage of the global programme for monitoring of pollinator diversity should be completed by 2005. The second stage would be conducted for an initial period of five years (2006–2010) and then, depending on the progress made, renewed for a further five years at a time thereafter. Important and significant trends are likely to emerge only after several years (5–10) of monitoring.

A preliminary report on the state of the world's pollinators would be prepared by 2004 based on existing data, and early results from elements 1 and 2. A first comprehensive report would be prepared by 2010, drawing upon, *inter alia*, the results of the monitoring programme, and the economic analyses.

ELEMENT 2: ADAPTIVE MANAGEMENT

Operational objective

To identify management practices, technologies and policies that promote the positive and mitigate the negative impacts of agriculture on pollinator diversity and activity, in order to enhance productivity and the capacity to sustain livelihoods, by expanding knowledge, understanding and awareness of the multiple goods and services provided by pollinators.

Rationale

In order to secure sustained pollinator services in agricultural and other ecosystems, far more understanding is needed of the multiple goods and services provided by pollinator diversity and the factors that influence their decline. In particular, it is necessary to identify the various interactions between dimensions of agricultural biodiversity at different spatial scales that support effective pollinator functioning. In addition, it is necessary to identify adaptive management practices that minimise negative impacts by humans on pollinators, promote the conservation and diversity of native pollinators, and conserve and restore natural areas necessary to optimise pollinator services in agricultural and other ecosystems.

Activities

2.1. Carry out a series of case-studies, in a range of environments and production systems, and in each region:

(a) To identify key goods and services provided by pollinator diversity, the role of components of biological diversity in agricultural and other ecosystems in supporting such diversity, and threats to such diversity including, for example, use of pesticides, habitat change and the introduction of exotic pollinators;

(b) To identify best management practices; and

(c) To monitor and assess the actual and potential impacts of existing and new agricultural technologies.

This activity would address the multiple goods and services provided by pollinator diversity and the interaction between its various components, for example:

(i) The impacts of introduction of pollinators;
(ii) The impacts of alien invasive species on pollinators;
(iii) The impacts of fragmentation and habitat loss on pollinators diversity, and the ecosystems that support them;
(iv) The impact of pesticides on pollinators diversity and abundance, including pest control programmes;
(v) Sustainable management of pollinators;
(vi) Decline of Honeybees, other bees and other pollinators;
(vii) The dynamics of pollinators diversity decline;
(viii) The interactions between pollination and genetically-modified crops;
(ix) Conservation and restoration of pollinators diversity;
(x) Mainstreaming and stakeholder engagement;
(xi) Economics of pollination.

2.2. Identify and promote the dissemination of information on cost-effective practices and technologies, and related policy and incentive measures that enhance the positive and mitigate the negative impacts of agriculture on pollinator diversity, productivity and capacity to sustain livelihoods, through:

(a) Comprehensive analyses in selected production systems of the costs and benefits of alternative management practices and technologies on pollinator conservation and effectiveness, and the valuation of the goods and services provided by pollinator diversity including the pollination requirements and best pollinators of each crop species and the impact of pollinator presence/absence on fruit and seed yield;

(b) Comprehensive analyses of the impacts of agricultural production, including their intensification and extensification, on the environment and identification of ways to mitigate negative and promote positive impacts;

(c) Identification, at international and national levels, in close collaboration with relevant international organizations, of appropriate marketing and trade policies, legal and economic measures which may support beneficial practices. This may include certification practices, possibly within existing certification programmes, and the development of codes of conduct.

2.3. Promote methods of sustainable agriculture that employ management practices, technologies and policies that promote the positive and mitigate the negative impacts of agriculture on pollinator diversity. This could include, for example, the protection of natural habitats, within agricultural landscapes, as sources of wild pollinators for crop improvement; the development of guidelines for policy makers and farmers; and the development of model-testing protocols for the introduction of non-native pollinators and to assess impacts of agrochemicals and other technologies on pollinators and pollinator activities.

Ways and means

Case-studies will be carried out and provided by national institutions, civil-society organizations, and research institutes, with support from international organizations for catalysing preparation of studies, mobilizing funds, disseminating results, and facilitating feedback and lessons learned to case-study providers and policy makers. Inputs would be sought from all relevant stakeholders. A framework for the case-studies is provided by the indicative outline for case-studies on agricultural biological diversity <http://www.biodiv.org/thematic/agro>.

Timing of expected outputs

A first set of case-studies is already under preparation. Further case-studies would be studies published, analysed and disseminated by 2005. The case-studies should be representative of regional issues and prioritize best practices and lessons learned that can be broadly applied.

ELEMENT 3: CAPACITY-BUILDING

Operational objective

To strengthen the capacities of farmers, indigenous and local communities, and their organizations and other stakeholders, to manage pollinator diversity so as to increase its benefits, and to promote awareness and responsible action.

Rationale

The management of pollinator diversity involves many stakeholders and often implies transfers of costs and benefits between stakeholder groups. It is therefore essential that mechanisms be developed not only to consult stakeholder groups, but also to facilitate their genuine participation in decision-making and in the sharing of benefits. Farmer groups, and other producer organizations, can be instrumental in furthering the interests of farmers in optimizing sustainable, diversified, production systems and consequently in promoting responsible actions concerning the conservation and sustainable use of pollinator diversity.

One major area which needs addressing is the capacity of countries to address the taxonomic impediment, which derives from serious shortfalls in investment in training, research and collections management. It seriously limits our capability to assess and monitor pollinator decline globally, in order to conserve pollinator diversity and to manage it sustainably. The global taxonomic impediment is costly, especially when expressed in terms of those research initiatives in pollination and conservation ecology which are wholly dependent on access to sound bee taxonomy and are rendered wholly non-viable in its absence. There is also a global taxonomic deficit, that is, the unacceptably high numbers of bee genera for which identification keys are not available.

Activities

3.1. Promote awareness about the value of pollinator diversity and the multiple goods and services it provides for sustainable productivity, amongst producer organizations, agricultural cooperatives and enterprises, and consumers, with a view to promoting responsible practices.

3.2. Identify and promote possible improvements in the policy environment, including benefit-sharing arrangements and incentive measures, to support local-level management of pollinators and related dimensions of biodiversity in agricultural ecosystems. This could include consideration of how existing or new certification schemes might contribute to the conservation and sustainable use of pollinator diversity.

3.3. Promote enhanced capabilities to manage pollinator diversity at local level by promoting partnerships among and between farmers, researchers, extension workers and food processors, *inter alia*, through the establishment of local-level forums for farmers, and other stakeholders to evolve genuine partnerships, including training and education programmes.

3.4. Build taxonomic capacity to carry out inventories of the pollinator diversity and distribution in order to optimise their management, through, *inter alia*, the training of taxonomists and parataxonomists of bees and other pollinators.

3.5. Develop tools and mechanisms for the international and regional exchange of information for the conservation, restoration and sustainable use of pollinators. This may include:

(a) Establishing an inventory of existing pollination and pollinators experts to serve as a pool for consultations in technology transfer, and establish an international advisory group on pollinator conservation.

(b) Disseminating information on pollination in agricultural environments through databases, Websites, and networks. This may include the establishment of an international information network on pollinator conservation and promotion of networks of farmers and farmers' organizations at regional level for exchange of information and experiences.

(c) Developing and updating global and national lists of threatened pollinator species, and produce multilingual manuals on pollinator conservation and restoration for farmers.

Ways and means

This element is to be implemented primarily through initiatives within countries, including through extension services, local government, educational and civil-society organizations, including farmer/producer and consumer organizations, and mechanisms emphasizing farmer-farmer exchange. There are opportunities for cooperation with the food processing industry in terms of supplying pesticide-free or low-residue products from agricultural systems that maintain pollinator diversity. Pilot projects for this element might be generated under the Initiative. Funding is likely to be on a project or programme basis. Catalytic support may need to be provided through national, regional and global programmes, organizations, facilities and funding mechanisms, in particular to support capacity-building, exchange and feedback of policy and market information, and of lessons learned from this and programme element 2, between local organizations and policy makers, nationally, regionally and globally.

The taxonomic elements would also be promoted through the Global Taxonomy Initiative.

Timing of expected outputs

Ten on-the-ground cases of enhanced partnerships resulting in greater conservation of pollinator diversity at the local level, by 2006. Introduction of mechanisms promoting pollinator diversity by 2010.

ELEMENT 4: MAINSTREAMING

Operational objective

To support the development of national plans or strategies for the conservation and sustainable use of pollinator diversity and to promote their mainstreaming and integration in sectoral and cross-sectoral plans and programmes.

Rationale

Many countries are now developing biodiversity strategies and action plans in the context of the Convention on Biological Diversity, and many also have a number of other policies, strategies and plans related to agriculture, the environment and national development. Decision V/5 of the Conference of Parties to the Convention on Biological Diversity seeks to promote the mainstreaming of agricultural biodiversity considerations into national strategies and action plans; to mainstream the action plans for components of agricultural biodiversity in sectoral development plans concerned with food, agriculture, forestry and fisheries, and to promote synergy and avoid duplication between the plans for the various components. Pollinator conservation and sustainable use is an important aspect of agricultural biodiversity and should be integrated into this mainstreaming process. In addition, this requires reliable and accessible information, but many countries do not have well developed information, communication or early-warning systems or the capacity to respond to identified threats.

Activities

4.1. Integrate considerations of pollinator diversity, and related dimensions of agricultural biodiversity, including host-plant diversity, at species, ecosystem and landscape levels, consistent with the ecosystem approach, into biodiversity strategies and action plans, and into planning processes in the agricultural sector.

4.2. Support the development or adaptation of relevant systems of information, early warning and communication to enable effective assessment of the state of pollinator diversity and threats to it, in support of national strategies and action plans, and of appropriate response mechanisms.

4.3. Strengthen national institutions to support taxonomy of bees and other pollinators, through, *inter alia*:

(a) Assessing national taxonomic needs (this would contribute to activity 1.3);

(b) Maintaining continuity of taxonomic and reference collections of bees and other pollinators;

(c) Recognition of centres of excellence in bee taxonomy and establishment of centres of excellence as appropriate;

(d) Repatriation of data through capacity-building and benefit-sharing.

4.4. Include considerations of pollinator diversity, and related dimensions of agricultural biodiversity, including host-plant diversity, at species, ecosystem and landscape levels, consistent with the ecosystem approach, in formal educational programmes at all levels. Integrate pollination issues as a component of sustainable management into agricultural, biological and environmental science courses and curricula and in primary and secondary schools by using local examples and relevant examples from other regions. Promote applied research on pollination in agricultural ecosystems through training of postgraduates.

Ways and means

Activities would be implemented primarily at national level through enhanced communication, coordination mechanisms and planning processes that involve all stakeholder groups, facilitated by international organizations, and by funding mechanisms.

Additional resources may be needed for national capacity-building.

The taxonomic elements would also be promoted through the Global Taxonomy Initiative.

Timing of expected outputs

Progressively increased capacity at national level for taxonomy, information management, assessment and communication.

Consideration of pollinators and related dimensions of agricultural biodiversity incorporated into national biodiversity and/or agricultural sector plans in 50 countries by 2010.

DECISION VI/6 | The International Treaty on Plant Genetic Resources for Food and Agriculture

The Conference of the Parties

1. *Congratulates* the Food and Agriculture Organization of the United Nations and its Commission on Genetic Resources for Food and Agriculture, where the International Treaty on Plant Genetic Resources for Food and Agriculture was negotiated, on successfully completing this important process;

2. *Recognizes* the important role that the International Treaty on Plant Genetic Resources for Food and Agriculture will have, in harmony with the Convention on Biological Diversity, for the conservation and sustainable utilization of this important component of agricultural biological diversity, for facilitated access to plant genetic resources for food and agriculture, and for the fair and equitable sharing of the benefits arising out of their utilization;

3. *Appeals* to Parties and other Governments to give priority consideration to the signature and ratification of the International Treaty on Plant Genetic Resources for Food and Agriculture, so that it may enter expeditiously into force;

4. *Decides to* establish and maintain cooperation with the Commission on Genetic Resources for Food and Agriculture acting as the Interim Committee for the International Treaty on Plant Genetic Resources for Food and Agriculture, and, upon the entry into force of the Treaty, with the Governing Body;

5. *Requests* the Executive Secretary to develop cooperation with the Secretariat of the Commission on Genetic Resources for Food and Agriculture acting as the Interim Committee for the International Treaty on Plant Genetic Resources for Food and Agriculture and, upon its establishment, with the Secretariat of the International Treaty on Plant Genetic Resources for Food and Agriculture;

6. *Requests* the Executive Secretary to convey the present decision to the Commission on Genetic Resources for Food and Agriculture acting as the Interim Committee for the International Treaty on Plant Genetic Resources for Food and Agriculture.

DECISION VI/7 | Identification, monitoring, indicators and assessments

A. Further development of guidelines for incorporating biodiversity-related issues into environmental-impact-assessment legislation or processes and in strategic impact assessment

The Conference of the Parties

1. *Endorses* the draft guidelines for incorporating biodiversity-related issues into environmental impact assessment legislation and/or processes and in strategic environmental assessment contained in the annex to the present decision;

2. *Urges* Parties, other Governments and organizations to apply the guidelines as appropriate in the context of their implementation of paragraph 1 of Article 14 of the Convention and share their experience, *inter alia*, through the clearing-house mechanism and national reporting;

3. *Requests* the Executive Secretary to compile and disseminate, through the clearing-house mechanism and other means of communication, current experiences in environmental impact assessment and strategic environmental assessment procedures that incorporate biodiversity-related issues, as well as experiences of Parties in applying the guidelines; in light of this information, to prepare, in collaboration with relevant organizations, in particular the International Association for Impact Assessment, proposals for further development and refinement of the guidelines, particularly to incorporate all stages of the environmental impact assessment and strategic environmental assessment processes taking into account the ecosystem approach (particularly principles 4, 7 and 8) and to provide a report of this work to the Subsidiary Body prior to the seventh meeting of the Conference of the Parties.

ANNEX
GUIDELINES FOR INCORPORATING BIODIVERSITY-RELATED ISSUES INTO ENVIRONMENTAL IMPACT ASSESSMENT LEGISLATION AND/OR PROCESS AND IN STRATEGIC ENVIRONMENTAL ASSESSMENT

1. For the purpose of these guidelines, the following definitions are used for environmental impact assessment and strategic environmental assessment:

(a) *Environmental impact assessment* is a process of evaluating the likely environmental impacts of a proposed project or development, taking into account inter-related socio-economic, cultural and human-health impacts, both beneficial and adverse. Although legislation and practice vary around the world, the fundamental components of an environmental impact assessment would necessarily involve the following stages:

(ii) Screening to determine which projects or developments require a full or partial impact assessment study;
(iii) Scoping to identify which potential impacts are relevant to assess, and to derive terms of reference for the impact assessment;
(iv) Impact assessment to predict and identify the likely environmental impacts of a proposed project or development taking into account inter-related consequences of the project proposal, and the socio-economic impacts;
(iv) Identifying mitigation measures (including not proceeding with the development, finding alternative designs or sites which avoid the impacts, incorporating safeguards in the design of the project, or providing compensation for adverse impacts);
(v) Deciding whether to approve the project or not; and
(vi) Monitoring and evaluating the development activities, predicted impacts and proposed mitigation measures to ensure that unpredicted impacts or failed mitigation measures are identified and addressed in a timely fashion;

(b) *Strategic environmental assessment* is the formalized, systematic and comprehensive process of identifying and evaluating the environmental consequences of proposed policies, plans or programmes to ensure that they are fully included and appropriately addressed at the earliest possible stage of decision-making on a par with economic and social considerations.[94] Strategic environmental assessment, by its nature, covers a wider range of activities or a wider area and often over a longer time span than the environmental impact assessment of projects. Strategic environmental assessment might be applied to an entire sector (such as a national policy on energy for example) or to a geographical area, (for example, in the context of a regional development scheme). The basic steps of strategic environmental assessment are similar to the steps in environmental impact assessment procedures,[95] but the scope differs. Strategic environmental assessment does not replace or reduce the need for project-level environmental impact assessment, but it can help to streamline the incorporation of environmental concerns (including biodiversity) into the decision-making process, often making project-level environmental impact assessment a more effective process.

1. Purpose and approach

2. The objective of these draft guidelines is to provide general advice on incorporation of biodiversity considerations into new or existing environmental impact assessment procedures, noting that existing procedures take biodiversity into consideration in different ways. A draft framework has been developed to address the screening and scoping phases of environmental impact assessment. Further development of the framework will be required to address the incorporation of biodiversity into subsequent stages of the environmental impact assessment process,

94 Based on Sadler and Verheem, 1996.
95 Saddler and Verheem, 1996; South Africa, 2000; Nierynck, 1997; Nooteboom, 1999.

including impact assessment, mitigation, evaluation and monitoring, and into strategic environmental assessment.

3. Individual countries may redefine the steps in the procedure to their needs and requirements as befits their institutional and legal setting. The environmental impact assessment process, in order to be effective, should be fully incorporated into existing legal planning processes and not be seen as an "add-on" process.

4. As a prerequisite, the definition of the term "environment" in national legislation and procedures should fully incorporate the concept of biological diversity as defined by the Convention on Biological Diversity, such that plants, animals and micro-organisms are considered at the genetic, species/community and ecosystem/habitat levels, and also in terms of ecosystem structure and function.

5. With regard to biodiversity considerations, the ecosystem approach, as described in decision V/6 of the Conference of the Parties and taking into account any further elaboration of the concept within the framework of the Convention, is an appropriate framework for the assessment of planned action and policies. In accordance with the approach, the proper temporal and spatial scales of the problems should be determined as well as the functions of biodiversity and their tangible and intangible values for humans that could be affected by the proposed project or policy, the type of adaptive mitigation measures and the need for the participation of stakeholders in decision-making.

6. Environmental impact assessment procedures should refer to other relevant national, regional and international legislation, regulations, guidelines and other policy documents such as the national biodiversity strategy and action plan documents, the Convention on Biological Diversity and biodiversity-related conventions and agreements including, in particular, the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), the Convention on the Conservation of Migratory Species of Wild Animals and the related agreements, the Convention on Wetlands (Ramsar, Iran, 1971), the Convention on Environmental Impact Assessment in a Transboundary Context; the United Nations Convention on the Law of the Sea; the European Union directives on environmental impact assessment, and the Protocol for the Protection of the Mediterranean Sea against Pollution from Land-based Sources.

7. Consideration should be given to improving integration of national biodiversity strategy and action plans and national development strategies using strategic environmental assessment as a tool for such integration to promote the establishment of clear conservation targets through the national biodiversity strategy and action plan process and the use of those targets for the screening and scoping targets of environmental impact assessment and for developing mitigation measures.

2. Biodiversity issues at different stages of environmental impact assessment

A. SCREENING

8. Screening is used to determine which proposals should be subject to impact assessment, to exclude those unlikely to have harmful environmental impacts and to indicate the level of environmental appraisal required. If screening criteria do not include biodiversity measures, there is a risk that proposals with potentially significant impacts on biodiversity will be screened out.

9. Since a legal requirement for environmental impact assessment on environmental grounds does not guarantee that biological diversity will be taken into account, consideration should be given to incorporating biodiversity criteria into existing or new screening criteria.

10. Types of existing screening mechanisms include:

(a) Positive lists identifying projects requiring environmental impact assessment. A few countries use (or have used) negative lists, identifying those projects not subject to environmental impact assessment. These lists should be reassessed to evaluate their inclusion of biodiversity aspects;

(b) Expert judgement (with or without a limited study, sometimes referred to as "initial environmental examination" or "preliminary environmental assessment"); and

(c) A combination of a positive list and expert judgement; for a number of activities an environmental impact assessment is more appropriate, for others an expert judgement may be desirable to determine the need for an environmental impact assessment.

11. The result of screening can be that:

(a) An environmental impact assessment is required;

(b) (i) A limited environmental study is sufficient because only limited environmental impacts are expected; the screening decision is based on a set of criteria with quantitative norms or threshold values;

(ii) There is still uncertainty whether an environmental impact assessment is required and an initial environmental examination has to be conducted to determine whether a project requires environmental impact assessment or not, and

(c) The project does not require an environmental impact assessment.

12. How to use these guidelines for screening:

(a) Countries with a positive list identifying projects requiring environmental impact assessment should use, as appropriate, appendices I and II below for guidance on reconsidering their existing positive list with respect to biological diversity considerations. By assessing the possible impacts of categories of activities on biological diversity the existing list can be adjusted, if required;

(b) In countries where screening is based on expert judgement, experience has shown that professionals make screening decisions, often using "mini environmental impact assessment" to come to this decision. These guidelines, its appendices and other guidelines help provide these professionals with the means to come to a motivated, transparent and consistent screening decision. Furthermore, the expert teams should include professionals with biodiversity expertise;

(c) In countries where screening is based on a combination of a positive list and expert judgement, country-specific thematic or sector guidelines, often including quantitative norms or thresholds, facilitate the responsible people to make a well-founded and defendable decision. For biodiversity, thematic guidelines could be developed,[96] sector guidelines need to be reviewed on biodiversity considerations.

The screening criteria

13. Screening criteria may relate to: (i) categories of activities, including thresholds referring to magnitude of the activity and/or size of the intervention area, duration and frequency or to (ii) a magnitude of biophysical change that is caused by the activity, or to (iii) maps indicating areas important for biodiversity with special legal status or of high biodiversity value and endemism, species patterns, breeding sites, or areas with species of high genetic value.

14. Determining norms or threshold values is partly a technical and partly a political process of which the outcome may vary for countries and for ecosystems. The technical process should at least provide a description of:

(a) Categories of activities that may affect biological diversity and the direct and indirect biophysical changes likely to result from these activities, taking into account characteristics such as: type or nature of activity, magnitude, extent/location, timing, duration, reversibility/irreversibility, likelihood, and significance; possibility of interaction with other activities or impacts;

(b) Area of influence. Knowing the biophysical changes that result from an activity, the expected area of influence of these changes can be modelled or predicted, including the probability of off-site effects;

(c) Biodiversity maps indicating ecosystems and/or land-use types and their use and non-use values (showing the use and non-use values of biodiversity).

15. The process of developing a national biodiversity strategy and action plan can generate valuable information such as conservation priorities and targets which can guide further development of environmental impact assessment screening criteria.[97] Appendix 2 below presents a generic list of criteria, intended to be a practical reference for further in-country development of criteria.

Pertinent questions for screening

16. Considering the objectives of the Convention on Biological Diversity, i.e., in particular, conservation, sustainable use and equitable sharing of benefits derived

96 Some concrete targets in the draft global strategy for plant conservation (see item 17.3 below).
97 Summarized in the IAIA information document by Treweek, 2001, box 2.

from biological diversity, fundamental questions need to be answered in an environment impact assessment study:

(a) Does the intended activity affect the physical environment in such a manner or cause such biological losses that it influences the chance of extinction of cultivars, varieties, populations of species, or the chance of loss of habitats or ecosystems?

(b) Does the intended activity surpass the maximal sustainable yield, the carrying capacity of a habitat/ecosystem or the maximum and minimum[98] allowable disturbance level of a resource, population, or ecosystem?

(c) Does the intended activity result in changes to the access to and rights over biological resources?

17. To facilitate the development of criteria, the questions above have been reformulated for the three levels of diversity, reproduced in appendix 1 below.

B. SCOPING

18. Scoping narrows the focus of the broad issues found to be significant during the screening stage. It is used to derive terms of reference (sometimes referred to as guidelines) for environmental impact assessment. Scoping also enables the competent authority (or environmental impact assessment professionals in countries where scoping is voluntary):

(a) To guide study teams on significant issues and alternatives to be assessed, clarify how they should be examined (methods of prediction and analysis, depth of analysis), and according to which guidelines and criteria;

(b) To provide an opportunity for stakeholders to have their interests taken into account in the environmental impact assessment;

(c) To ensure that the resulting environmental impact statement is useful to the decision maker and is understandable to the public.

19. During the scoping phase, promising alternatives can be identified for in-depth consideration during the environmental impact assessment study.

20. The following sequence provides an example of iterative mechanism for scoping, impact assessment and consideration of mitigation measures, which should be carried out with the help of existing information and the available knowledge among stakeholders:

(a) Describe the type of project, its nature, magnitude, location, timing, duration and frequency;

(b) Describe the expected biophysical changes in soil, water, air, flora and fauna;

(c) Describe biophysical changes that result from social change processes as a result of the proposed project;

(d) Determine the spatial and temporal scale of influence of each biophysical change;

98 For example, fire can be too frequent and too infrequent to sustain the integrity/health of a given ecosystem.

(e) Describe ecosystems and land-use types potentially influenced by the biophysical changes identified;

(f) Determine for each ecosystem or land-use type if the biophysical changes affect one of the following components of biological diversity: the composition (what is there), the temporal/spatial structure (how are biodiversity components organized in time and space), or key processes (how is biodiversity created and/or maintained);

(g) Identify in consultation with stakeholders the current and potential use-functions, non-use functions and other longer-term less tangible benefits of biological diversity provided by the ecosystems or land-use types and determine the values these functions represent for society (see appendix 3 for an indicative list of functions);

(h) Determine which of these functions will be significantly affected by the proposed project, taking into account mitigation measures;

(i) For each alternative, define mitigation and/or compensation measures to avoid, minimize or compensate the expected impacts;

(j) With the help of the biodiversity checklist on scoping (see appendix 4 below), determine which issues will provide information relevant to decision making and can realistically be studied;

(k) Provide information on the severity of impacts, i.e. apply weights to the expected impacts for the alternatives considered. Weigh expected impacts to a reference situation (baseline), which may be the existing situation, a historical situation, or an external reference situation;

(l) Identify necessary surveys to gather comprehensive information about the biological diversity in the affected area where appropriate.

21. The expected impacts of the proposed activity, including identified alternatives, should be compared with the selected reference situation and with the autonomous development (what will happen with biodiversity over time if the project is not implemented). There should be awareness that doing nothing may in some cases also have significant effects on biological diversity, sometimes even worse than the impacts of the proposed activity (e.g. projects counteracting degradation processes).

22. At present, evaluation criteria for biological diversity, especially at ecosystem level, are under-developed and need serious attention when developing in-country mechanisms to incorporate biodiversity in environmental impact assessment.

C. IMPACT ANALYSIS AND ASSESSMENT

23. Environmental impact assessment should be an iterative process of assessing impacts, redesigning alternatives and comparison. The main tasks of impact analysis and assessment are:

(a) Refinement of the understanding of the nature of the potential impacts identified during screening and scoping and described in the terms of reference. This includes the identification of indirect and cumulative impacts, and of the likely

causes of the impacts (impact analysis and assessment). Identification and description of relevant criteria for decision-making can be an essential element of this period;

(b) Review and redesign of alternatives; consideration of mitigation measures; planning of impact management; evaluation of impacts; and comparison of the alternatives; and

(c) Reporting of study results in a environmental impact statement.

24. Assessing impacts usually involves a detailed analysis of their nature, magnitude, extent and effect, and a judgement of their significance, i.e., whether the impacts are acceptable to stakeholders, require mitigation, or are just unacceptable. Biodiversity information available is usually limited and descriptive and cannot be used as a basis for numerical predictions. There is a need to develop or compile biodiversity criteria for impact evaluation and to have measurable standards or objectives against which the significance of individual impacts can be evaluated. The priorities and targets set in the national biodiversity action plan and strategy process can provide guidance for developing these criteria. Tools will need to be developed to deal with uncertainty, including criteria on using risk assessment techniques, precautionary approach and adaptive management.

D. CONSIDERATION OF MITIGATION MEASURES

25. If the evaluation process concludes that the impacts are significant, the next stage in the process is to propose mitigation ideally drawn together into an "environmental management plan." The purpose of mitigation in environmental impact assessment is to look for better ways to implement project activities so that negative impacts of the activities are avoided or reduced to acceptable levels and the environmental benefits are enhanced, and to make sure that the public or individuals do not bear costs which are greater than the benefits which accrue to them. Remedial action can take several forms, i.e. avoidance (or prevention), mitigation (including restoration and rehabilitation of sites), and compensation (often associated with residual impacts after prevention and mitigation).

E. REPORTING: THE ENVIRONMENTAL IMPACT STATEMENT (EIS)

26. The environmental impact statement is designed to assist: (i) the proponent to plan, design and implement the proposal in a way that eliminates or minimizes the negative effect on the biophysical and socio-economic environments and maximizes the benefits to all parties in the most cost effective manner; (ii) the Government or responsible authority to decide whether a proposal should be approved and the terms and conditions that should be applied; and (iii) the public to understand the proposal and its impacts on the community and environment and provide an opportunity for comments on the proposed action for consideration by decision makers. Some adverse impacts may be wide ranging and have effects beyond the limits of particular habitats/ecosystems or national boundaries. Therefore, environmental management plans and strategies contained in the environmental impact statement should consider regional and transboundary impacts, taking into account the ecosystem approach.

F. REVIEW

27. The purpose of review of the environmental impact statement is to ensure that the information for decision makers is sufficient, focused on the key issues, scientifically and technically accurate, and if the likely impacts are acceptable from an environmental viewpoint and the design complies with relevant standards and policies, or standards of good practice where official standards do not exist. The review should also consider whether all of the relevant impacts of a proposed activity have been identified and adequately addressed in the environmental impact assessment. To this end, biodiversity specialists should be called upon for the review and information on official standards and/or standards for good practice to be compiled and disseminated.

28. Public involvement, including minority groups, is important in various stages of the process and particularly at this stage. The concerns and comments of all stakeholders are considered and included in the final report presented to decision makers. The process establishes local ownership of the proposal and promotes a better understanding of relevant issues and concerns.

29. Review should also guarantee that the information provided in the environmental impact statement is sufficient for a decision maker to determine whether the project is compliant with or contradictory to the objectives of the Convention on Biological Diversity.

G. DECISION-MAKING

30. Decision-making takes place throughout the process of environmental impact assessment in a incremental way from the screening and scoping stages to decisions during data-collecting and analysis, and impact prediction to making choices between alternatives and mitigation measures and finally the decision between refusal or authorization of the project. Biodiversity issues should play a part in decision-making throughout. This final decision is essentially a political choice about whether or not the proposal is to proceed, and under what conditions. If rejected, the project can be redesigned and resubmitted. It is desirable that the proponent and the decision-making body are two different entities.

31. The precautionary approach should be applied in decision-making in cases of scientific uncertainty about risk of significant harm to biodiversity. As scientific certainty improves, decisions can be modified accordingly.

H. MONITORING AND ENVIRONMENTAL AUDITING

32. Monitoring and auditing are used to see what actually occurs after project implementation has started. Predicted impacts on biodiversity should be monitored, as should the effectiveness of mitigation measures proposed in the environmental impact assessment. Proper environmental management should ensure that anticipated impacts are maintained within predicted levels, and unanticipated impacts are managed before they become a problem and the expected benefits (or positive developments) are achieved as the project proceeds. The results of monitoring provide information for periodic review and alteration of environmental management

plans, and for optimizing environmental protection through good practice at all stages of the project. Biodiversity data generated by environmental impact assessment should be made accessible and useable by others and should be linked to biodiversity assessment processes being designed and carried out under the Convention on Biological Diversity.

33. An environmental audit is an independent examination and assessment of a project's (past) performance, is part of the evaluation of the environmental management plan and contributes to the enforcement of EIA approval decisions.

3. Incorporation of biodiversity considerations in strategic environmental assessments

34. The guidelines proposed for the integration of biodiversity in environmental impact assessment are also applicable to strategic environmental assessment, taking into account that for the latter type of assessment, biological diversity concerns should be considered from the early stages of the drafting process, including when developing new legislative and regulatory frameworks (decision V/18, paragraphs 1(c) and 2(a)), and at the decision-making and/or environmental planning levels (decision V/18, para. 2(a)), and that strategic environmental assessments by their nature cover policies and programmes, a wider range of activities over a wider area.

35. Strategic environmental assessment, while not a new process, is not practised as widely as environmental impact assessment. As experience accumulates in countries, it may then be necessary to draw more specific guidelines for the incorporation of biodiversity in the process.

4. Ways and means

A. CAPACITY-BUILDING

36. Any activity aimed at the incorporation of biodiversity considerations into national environmental impact assessment systems should be accompanied by appropriate capacity development activities. Expertise in taxonomy,[99] conservation biology, ecology, and traditional knowledge is required as well as local expertise in methodologies, techniques and procedures. Environmental impact assessments should involve ecologists with extensive knowledge on the relevant ecosystem(s) in the assessment team.

37. It is also recommended to develop training workshops on biodiversity and environmental impact/strategic environmental assessment for both assessment practitioners and biodiversity specialists to build a common understanding of the issues. School and university curricula should be reviewed to ensure that they incorporate material on biodiversity conservation, sustainable development and environmental impact/strategic environmental assessment.

38. Biodiversity-relevant data should be organized in regularly updated and accessible databases, making use of rosters of biodiversity experts.

99 See the Global Taxonomy Initiative and the programme of work (decision VI/8).

B. LEGISLATIVE AUTHORITY

39. If environmental impact assessment and strategic environmental assessment procedures are incorporated into legislation, and the requirements for project/policy developers to find the most environmentally sound, efficient options that avoid, reduce or mitigate biodiversity and other adverse impacts are made explicit, this will prompt developers to, at a very early stage, use environmental impact assessment tools to improve the development process prior to the project consent stage or in some cases prior to screening procedures.

C. PARTICIPATION

40. Relevant stakeholders or their representatives, and in particular indigenous and local communities should be involved in the development of guidelines or recommendations for environmental impact assessments as well as throughout the assessment processes relevant to them, including decision-making.

D. INCENTIVES

41. The possible link between impact assessment and incentive measures is pointed out in decision III/18 of the Conference of the Parties, on incentive measures. In paragraph 6 of that decision, the Conference of the Parties encouraged Parties to incorporate biological diversity considerations into impact assessments as a step in the design and implementation of incentive measures. The endorsement of the impact assessment process and its implementation within a legislative framework can act as an incentive, especially if applied at the policy level, to protect and, in certain cases even restore and rehabilitate biological diversity.[9] Financial or other incentives can also be part of a negotiated approval package for a project.

E. COOPERATION

42. Regional collaboration is of particular importance, including for the development of criteria and indicators for the evaluation of impact and possibly criteria and indicators that can provide early warning of potential threats and adequately distinguish the effects of anthropogenic activities from natural processes, and the use of standardized methods of collection, assembly and exchange of information is needed to ensure regional compatibility and accessibility of data. Guidelines and sharing of information and experiences should be made available through, *inter alia*, the Convention's clearing-house mechanism.

43. As a follow-up to the implementation of decision IV/10 C of the Conference of the Parties, collaboration between the Convention on Biological Diversity and other biodiversity-related conventions, including in particular the Ramsar Convention and the Convention on Migratory Species, which have listed sites and binding agreements on certain species, and other relevant organizations and bodies will facilitate the development and implementation of any guidelines agreed upon for the integration of biodiversity-related issues in environmental impact assessment and strategic environmental assessment. Such a collaborative approach, also

100 UNEP/CBD/COP/4/20 and UNEP/CBD/SBSTTA/4/10.

embodied in resolution VII.16 of the Conference of the Parties to the Ramsar Convention ("The Ramsar Convention and impact assessment: strategic, environmental and social"), could lead to the development of an umbrella set of guidelines on impact assessment for biodiversity-related conventions.

44. Web-based resources such as the clearing-house mechanism of the Convention on Biological Diversity may help to raise awareness about best available methods and useful sources of information and experience, and should be developed and used for the provision and exchange of information on environmental impact assessment.

45. Communication between practitioners of environmental impact assessment and scientists working in the biodiversity domain is in urgent need of improvement and should be enhanced through workshops and case-study assessments.[101]

Appendix 1
Questions pertinent to screening on biological diversity impacts

Level of Diversity	Biological diversity perspective	
	CONSERVATION OF BIOLOGICAL DIVERSITY (NON-USE VALUES)	SUSTAINABLE USE OF BIODIVERSITY (USE VALUES)
GENETIC DIVERSITY[1]	(I) Does the intended activity cause a local loss of varieties/cultivars/ breeds of cultivated plants and/or domesticated animals and their relatives, genes or genomes of social, scientific and economic importance?	
SPECIES DIVERSITY[2]	(II) Does the intended activity cause a direct or indirect loss of a population of a species?	(III) Does the intended activity affect the sustainable use of a population of a species?
ECOSYSTEM DIVERSITY[2]	(IV) Does the intended activity lead to serious damage or total loss of (an) ecosystem(s) or land-use type(s), thus leading to a loss of ecosystem diversity (i.e., the loss of indirect use values and non-use values)?	(V) Does the intended activity affect the sustainable exploitation of (an) ecosystem(s) or land-use type(s) by humans in such manner that the exploitation becomes destructive or non-sustainable (i.e., the loss of direct use values)?

(1) THE POTENTIAL LOSS OF NATURAL GENETIC DIVERSITY (GENETIC EROSION) IS EXTREMELY DIFFICULT TO DETERMINE, AND DOES NOT PROVIDE ANY PRACTICAL CLUES FOR FORMAL SCREENING. THE ISSUE PROBABLY ONLY COMES UP WHEN DEALING WITH HIGHLY THREATENED, LEGALLY PROTECTED SPECIES WHICH ARE LIMITED IN NUMBERS AND/OR HAVE HIGHLY SEPARATED POPULATIONS (RHINOCEROS, TIGERS, WHALES, ETC.), OR WHEN COMPLETE ECOSYSTEMS BECOME SEPARATED AND THE RISK OF GENETIC EROSION APPLIES TO MANY SPECIES (THE REASON TO CONSTRUCT SO-CALLED ECO-DUCTS ACROSS MAJOR LINE INFRASTRUCTURE). THESE ISSUES ARE DEALT WITH AT SPECIES OR ECOSYSTEM LEVEL.

(2) SPECIES DIVERSITY: THE LEVEL AT WHICH "POPULATION" IS TO BE DEFINED FULLY DEPENDS ON THE SCREENING CRITERIA USED BY A COUNTRY. FOR EXAMPLE, IN THE PROCESS OF OBTAINING A SPECIAL STATUS, THE CONSERVATION STATUS OF SPECIES CAN BE ASSESSED WITHIN THE BOUNDARIES OF A COUNTRY (FOR LEGAL PROTECTION), OR CAN BE ASSESSED GLOBALLY (IUCN RED LISTS). SIMILARLY, THE SCALE AT WHICH ECOSYSTEMS ARE DEFINED DEPENDS ON THE DEFINITION OF CRITERIA IN A COUNTRY.

101 See UNEP/CBD/COP/5/INF/34.

Appendix 2

THE SCREENING CRITERIA

This is a suggested outline of a set of screening criteria, to be elaborated on country level. It only deals with biodiversity criteria and thus is an add-on to already existing screening criteria.

CATEGORY A: *Environmental impact assessment mandatory:*

Only in the case criteria can be based on formal legal backing, such as:

- National legislation, for example in case of impact on protected species and protected areas;
- International conventions such as CITES, the Convention on Biological Diversity, Ramsar Convention on Wetlands, etc.;
- Directives from supranational bodies, such as the European Union directive 92/43/EEC of 21 May 1992 on conservation of natural habitats and of wild fauna and flora and directive 79/409/EEC on the conservation of wild birds.

Indicative list of activities for which an environmental impact assessment could be mandatory:

(a) *At the genetic level* (relates to screening question I in appendix 1 above):

- Directly or indirectly cause a local loss of legally protected varieties/cultivars/breeds of cultivated plants and/or domesticated animals and their relatives, genes or genomes of social, scientific and economic importance e.g., by introducing living modified organisms that can transfer transgenes to legally protected varieties/cultivars/breeds of cultivated plants and/or domesticated animals and their relatives.

(b) *At species level* (relates to screening question II and III in appendix 1 above):

- Directly affect legally protected species, for example by extractive, polluting or other disturbing activities;
- Indirectly affect legally protected species, for example by reducing its habitat, altering its habitat in such a manner that its survival is threatened, introducing predators, competitors or parasites of protected species, alien species or GMOs;
- Directly or indirectly affect all of the above for cases which are important in respect of e.g., stop-over areas for migratory birds, breeding grounds of migratory fish, commercial trade in species protected by CITES;
- Directly or indirectly affect non-legally protected, threatened species.

(c) *At ecosystem level* (screening questions IV and V in appendix 1 above):

- Are located in legally protected areas;
- Are located in the vicinity of legally protected areas;
- Have direct influence on legally protected areas, for example by emissions into the area, diversion of surface water that flows through the area, extraction of groundwater in a shared aquifer, disturbance by noise or lights, pollution through air.

CATEGORY B: *The need for, or the level of environmental impact assessment, is to be determined:*

In cases where there is no legal basis to require an environmental impact assessment, but one can suspect that the proposed activity may have a significant impact on biological diversity, or that a limited study is needed to solve uncertainties or design limited mitigation measures. This category covers the frequently referred to but difficult to use concept of "sensitive areas." As long as so-called sensitive areas do not have any legal protected status it is difficult to use the concept in practice, so a more practical alternative is provided.

The following categories of criteria point towards possible impacts on biological diversity, and further attention is thus required:

(a) *Activities in, or in the vicinity of, or with influence on areas with legal status having a probable link to biological diversity but not legally protecting biological diversity* (*relates to all five screening questions in appendix 1 above*). For example: a Ramsar site has the official recognition of having internationally important wetland values, but this recognition does not automatically imply legal protection of biological diversity in these wetlands). Other examples include areas allocated to indigenous and local communities, extractive reserves, landscape preservation areas, sites covered by international treaties or conventions for preservation of natural and/or cultural heritage such as the UNESCO biosphere reserves and World Heritage Sites;

(b) *Impacts on biological diversity possible or likely, but the environmental impact assessment is not necessarily triggered by law:*

(i) *At the genetic level:*
• Replacing agricultural, forestry or fishery varieties or breeds by new varieties, including the introduction of living modified organisms (LMOs) (*screening questions I and II*).

(ii) *At the species level:*
• All introductions of non-indigenous species (*questions II and III*);
• All activities which directly or indirectly affect sensitive or threatened species if or in case these species are not yet protected (good reference for threatened species is provided by the IUCN Red Lists); sensitive species may be endemic, umbrella species, species at the edge of their range, or with restricted distributions, rapidly declining species (*question II*). Particular attention should be given to species which are important in local livelihoods and cultures;
• All extractive activities related to the direct exploitation of species (fisheries, forestry, hunting, collecting of plants (including living botanical and zoological resources, etc.) (*question III*);
• All activities leading to reproductive isolation of populations of species (such as line infrastructure) (*question II*).

(iii) *At the ecosystem level:*

- All extractive activities related to the use of resources on which biological diversity depends (exploitation of surface and groundwater, open pit mining of soil components such as clay, sand, gravel, etc.) (*questions IV and V*);
- All activities involving the clearing or flooding of land (*questions IV and V*);
- All activities leading to pollution of the environment (*questions IV and V*);
- Activities leading to the displacement of people (*questions IV and V*);
- All activities leading to reproductive isolation of ecosystems (*question IV*);
- All activities that significantly affect ecosystem functions that represent values for society (see appendix 3 below for a list of functions provided by nature). Some of these functions depend on relatively neglected taxa;
- All activities in areas of known importance for biological diversity (*questions IV and V*), such as areas containing high diversity (hot spots), large numbers of endemic or threatened species, or wilderness; required by migratory species; of social, economic, cultural or scientific importance; or which are representative, unique (e.g. where rare or sensitive species occur) or associated with key evolutionary or other biological processes.

CATEGORY C: *No environmental impact assessment required:*

Activities which are not covered by one of the categories A or B, or are designated as category C after initial environmental examination.

The generic nature of these guidelines does not allow for the positive identification of types of activities or areas where environmental impact assessment from a biodiversity perspective is not needed. At country level, however, it will be possible to indicate geographical areas where biological diversity considerations do not play a role of importance and, conversely, areas where they do play an important role (biodiversity-sensitive areas).

Appendix 3
Indicative list (non-exhaustive) of examples of functions of the natural environment that are directly (flora and fauna) or indirectly (services provided by ecosystems such as water supply) derived from biological diversity.

PRODUCTION FUNCTIONS

Natural production

- Timber production
- Firewood production
- Production of harvestable grasses (construction and artisanal use)
- Naturally produced fodder & manure
- Harvestable peat
- Secondary (minor) products
- Harvestable bush meat (food)
- Fish and shellfish productivity
- Drinking water supply
- Supply of water for irrigation and industry
- Water supply for hydroelectricity
- Supply of surface water for other landscapes
- Supply of ground water for other landscapes

Nature-based human production

- Crop productivity
- Tree plantations productivity
- Managed forest productivity
- Rangeland/livestock productivity
- Aquaculture productivity (freshwater)
- Mariculture productivity (brackish/saltwater)

CARRYING FUNCTIONS

- Suitability for constructions
- Suitability for indigenous settlement
- Suitability for rural settlement
- Suitability for urban settlement
- Suitability for industry
- Suitability for infrastructure
- Suitability for transport infrastructure
- Suitability for shipping/navigation
- Suitability for road transport
- Suitability for rail transport
- Suitability for air transport
- Suitability for power distribution
- Suitability for use of pipelines
- Suitability for leisure and tourism activities
- Suitability for nature conservation

PROCESSING AND REGULATION FUNCTIONS

Land-based processing and regulation functions

- Decomposition of organic material (land based)
- Natural desalinization of soils
- Development/prevention of acid sulphate soils
- Biological control mechanisms
- Seasonal cleansing of soils
- Soil water storage capacity
- Coastal protection against floods
- Coastal stabilization (against accretion/erosion)
- Soil protection

Water related processing and regulation functions

- Water filtering function
- Dilution of pollutants function
- Discharge of pollutants function
- Flushing/cleansing function
- Bio-chemical/physical purification of water
- Storage for pollutants function
- Flow regulation for flood control
- River base flow regulation
- Water storage capacity
- Ground water recharge capacity
- Regulation of water balance
- Sedimentation/retention capacity
- Protection against water erosion
- Protection against wave action
- Prevention of saline groundwater intrusion
- Prevention of saline surface-water intrusion
- Transmission of diseases

AIR-RELATED PROCESSING AND REGULATION FUNCTIONS

- Filtering of air
- Carry off by air to other areas
- Photo-chemical air processing (smog)
- Wind breaks
- Transmission of diseases
- Carbon sequestration

BIODIVERSITY-RELATED REGULATION FUNCTIONS

- Maintenance of genetic, species and ecosystem composition
- Maintenance of horizontal and vertical spatial structure, and of temporal structure
- Maintenance of key processes for structuring or maintaining biological diversity
- Maintenance of pollinator services

SIGNIFICATION FUNCTIONS

- Cultural/religious/scientific/landscape functions

Appendix 4
Biodiversity checklist on scoping for the identification of the impacts of proposed projects on components of biodiversity (Not exhaustive).

Levels of Diversity	Biological diversity perspective			
	COMPOSITION	STRUCTURE (TEMPORAL)	STRUCTURE (SPATIAL: HORIZONTAL AND VERTICAL)	KEY PROCESSES
GENETIC DIVERSITY	• Minimal viable population (avoid destruction by inbreeding/gene erosion). • Local cultivars. • Living modified organisms.	• Cycles with high and low genetic diversity within a population.	• Dispersal of natural genetic variability. • Dispersal of agricultural cultivars.	• Exchange of genetic material between populations (gene flow). • Mutagenic influences. • Intraspecific competition.
SPECIES DIVERSITY	• Species composition, genera, families etc., rarity/ abundance, endemism/ exotics. • Population size and trends. • Known key species (essential role). • Conservation status.	• Seasonal, lunar, tidal, diurnal rhythms (migration, breeding, flowering, leaf development, etc). • Reproductive rate, fertility, mortality, growth rate. • Reproductive strategy.	• Minimal areas for species to survive. • Essential areas (stepping stones) for migrating species. • Niche requirements within ecosystem (substrate preference, layer within ecosystem) • Relative or absolute isolation.	• Regulation mechanisms such as predation, herbivory, parasitism. • Interactions between species. • Ecological function of a species.
ECOSYSTEM DIVERSITY	• Types and surface area of ecosystems. • niqueness/abundance. • Succession stage, existing disturbances and trends (=autonomous development).	• Adaptations to/ dependency on regular rhythms: seasonal. • Adaptations to/ dependency on irregular events: droughts, floods, frost, fire, wind. • Succession (rate).	• Spatial relations between landscape elements (local and remote). • Spatial distribution (continuous or discontinuous/ patchy). • Minimal area for ecosystem to survive. • Vertical structure (layered, horizonts, stratified).	• Structuring process(es) of key importance for the maintenance of the ecosystem itself or for other ecosystems.

B. DESIGNING NATIONAL-LEVEL MONITORING PROGRAMMES AND INDICATORS

The Conference of the Parties

1. *Requests* the Executive Secretary to report on the development and use of indicators in all the thematic areas and cross cutting issues to the Subsidiary Body on Scientific, Technical and Technological Advice prior to the seventh meeting of the Conference of the Parties;

2. *Urges* Parties that have yet not done so to respond to the questionnaire on the subject of indicators that was sent by the Executive Secretary in May 2001 so as to enable the Executive Secretary to update the analysis;

3. *Requests* the Executive Secretary to convene a meeting of an expert group that is broadly representative of experts from both United Nations and biogeographical regions. The group should further develop the three annexes to the note of the Executive Secretary on ongoing work on indicators[102] on:

(a) Principles for developing national-level monitoring and indicators;

(b) A set of standard questions for developing national-level indicators; and

(c) A list of available and potential indicators based on a conceptual framework that has qualitative and quantitative approach;

4. *Requests* the Executive Secretary to report to a meeting of the Subsidiary Body on Scientific, Technical and Technological Advice prior to the seventh meeting of the Conference of Parties. In doing so, the Executive Secretary should take into account the specific comments of delegates in the seventh meeting of the Subsidiary Body on Scientific, Technical and Technological Advice and the following guidance:

(a) Give particular attention to the note by the Executive Secretary on recommendations for a core set of indicators on biological diversity prepared for the third meeting of the Subsidiary Body[103] and background paper prepared for the same meeting by the liaison group on indicators of biological diversity[104] and subsequent related papers;

(b) Consider development and segregation of the key questions contained in annex II to the note by the Executive Secretary on ongoing work on indicators[102] according to the three levels of biodiversity, and reorder them to correspond to articles of the convention as far as possible, and give attention to the use of early warning indicators;

(c) Consider developing and organizing the list of indicators for each thematic area grouped as driver, pressure, state, impact and response to pressure on biodiversity;

(d) Regional approaches to indicator development should be promoted in order to assess the status and trends of biodiversity. For the development of the list of indicators, there is a need for harmonization and collaboration with regional and international initiatives, including the Organisation for Economic

102 UNEP/CBD/SBSTTA/7/12.
103 UNEP/CBD/SBSTTA/3/9.
104 UNEP/CBD/SBSTTA/3/INF.13.

Co-operation and Development, the Commission on Sustainable Development, the Ramsar Convention on Wetlands, the Pan-European processes (the Pan-European Biological and Landscape Strategy and the Ministerial Conference on the Protection of Forests in Europe), the Montreal process on criteria and indicators for the conservation and sustainable management of temperate and boreal forests, the Food and Agriculture Organization of the United Nations and the United Nations Forum on Forests;

(e) Note that the list of indicators should provide a resource that will support users in identifying the most appropriate indicators for their needs, and to access experience in other countries, regions and sectors, and that indicators must be policy and management relevant.

C. SCIENTIFIC ASSESSMENTS

The Conference of the Parties

1. *Welcomes* the outline for the assessment reports developed by the Millennium Ecosystem Assessment;[105]

2. *Encourages* Parties to support the involvement of experts in the Millennium Ecosystem Assessment process and provide assistance to developing countries and countries with economics in transition that are interested in undertaking national or regional assessments within the framework of the Millennium Ecosystems Assessment;

3. *Requests* the Subsidiary Body on Scientific, Technical, and Technological Advice to review the findings of the Millennium Ecosystem Assessment and provide recommendations to the Conference of the Parties based on the review;

4. *Recognizing* the importance of the assessment of the status of the world's protected areas,[106] encourages the Executive Secretary, in close collaboration with the World Conservation Monitoring Centre of the United Nations Environment Programme and IUCN, to facilitate development and implementation of this assessment.

DECISION VI/8 | Global Taxonomy Initiative

The Conference of the Parties,

Understanding taxonomy to be a priority in implementing the Convention on Biological Diversity,

Noting that some groups of organisms provide particular taxonomic difficulties in national and regional monitoring and assessment work, particularly organisms at the micro level,

Recognizing the need for a programme of work at the national, regional and global levels, and the particular value of regional activities,

105 UNEP/CBD/COP/6/INF/38, annex I.
106 UNEP/CBD/COP/6/INF/25.

1. *Endorses* the programme of work for the Global Taxonomy Initiative, as annexed to the present decision, and the further submission and elaboration of potential pilot projects, including those listed in the progress report by the Executive Secretary on the Global Taxonomy Initiative[107] and the report on progress and status of the Global Taxonomy Initiative;[108]

2. *Urges* Parties, Governments, international and regional organizations, and other relevant organizations to promote, and, as appropriate, carry out, the programme of work;

3. *Recognizing* the value of supporting and building on existing national, regional, subregional and global initiatives, partnerships and institutions, *invites* the Executive Secretary to encourage the involvement of such entities to support Parties, Governments and relevant organizations in carrying out the programme of work, and recommends the continuation of the regional workshops on the Global Taxonomy Initiative to facilitate this process;

4. *Emphasizes* the need to coordinate activities with other existing initiatives, such as the Global Biodiversity Information Facility and the clearing-house mechanism of the Convention on Biological Diversity;

5. *Requests* the Executive Secretary to complete the guide to the Global Taxonomy Initiative, and provide information and clarification to Parties and Governments concerning the Global Taxonomy Initiative, in particular on the process for developing projects aimed at implementing the programme of work, including existing guidance from the financial mechanism;

6. *Requests* all Parties and other Governments to:

(a) Designate a national focal point for the Global Taxonomy Initiative, linked to other national focal points, as requested in decision V/9, paragraph 4;

(b) Provide updated information, through the clearing-house mechanism, about legal requirements for exchange of biological specimens and about current legislation and rules for access and benefit-sharing in terms of the needs of the Global Taxonomy Initiative;

(c) Initiate the setting up of national and regional networks to aid the Parties in their taxonomic needs in implementing the Convention on Biological Diversity;

7. *Considers* capacity development at the national and regional levels as a driving force in implementing the programme of work;

8. *Decides* that the post of Global Taxonomy Initiative Programme Officer within the Secretariat of the Convention on Biological Diversity be made permanent, with funding from the core budget of the Convention, and that adequate operational funds be provided to enable the occupant of the post to carry out her or his duties.

107 UNEP/CBD/SBSTTA/6/INF/4.
108 UNEP/CBD/COP/6/INF/23.

ANNEX
PROGRAMME OF WORK FOR THE GLOBAL TAXONOMY INTIATIVE

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I. Introduction

1. Broadly understood, taxonomy is the classification of life, though it is most often focused on describing species, their genetic variability, and their relationships to one another. For the purposes of the Convention taxonomy is taken in its broadest sense and is inclusive of systematics and biosystematics at the genetic, species and ecosystem levels.

2. The Global Taxonomy Initiative (GTI) covers the taxonomic work required to support the implementation of the Convention at all three levels of biodiversity (genetic, species and ecosystem), and is concerned with all organisms, i.e. plants, animals and micro-organisms.

3. The GTI has been established under the Convention on Biological Diversity to underpin decision-making in conservation of biological diversity, sustainable use of its components and equitable sharing of the benefits derived from the utilization of genetic resources, by addressing:

(a) The lack of taxonomic information on the identity of components of biological diversity in many parts of the world; and

(b) The need to build capacity for taxonomic activity in all regions, but especially developing countries, including reference materials, databases, and taxonomic expertise relevant to the objectives of the Convention on Biological Diversity.

4. In its decision V/9, adopted at its fifth meeting, the Conference of the Parties requested the Executive Secretary to draft as a component of the Strategic Plan[109] for the Convention on Biological Diversity a programme of work for the GTI defining timetables, goals, products and pilot projects.

5. The Conference of the Parties established the GTI specifically to support its work programmes in the thematic areas (marine and coastal biological diversity, agricultural biodiversity, dry and sub-humid land biological diversity, inland water biological diversity, forest biological diversity and mountain biological diversity), and in the cross-cutting issues (invasive alien species, access and benefit-sharing, scientific assessments, indicators, traditional knowledge) under the Convention.

6. Section II contains a programme of work for the GTI. It presents successively (i) the overall objectives of the programme of work, (ii) activities addressing taxonomic needs assessments at the global, regional and national levels, and (iii) targeted actions within the broader work programmes of the Convention on Biological Diversity.

II. Programme of work

A. OVERALL OBJECTIVES

1. What Has the Conference of the Parties Asked the GTI to Be?

7. In its decision III/10, on identification, monitoring and assessment, the Conference of the Parties established the need for specific action under the Convention

109 See decision VI/26.

in capacity-building in taxonomy, through its endorsement of SBSTTA recommendation II/2.

8. In decision IV/1 D, the Conference of the Parties endorsed, as initial advice, a set of Suggestions for Action to develop and implement a Global Taxonomy Initiative. The Conference of the Parties stressed the urgent need for the further implementation of recommendation II/2 of the Subsidiary Body on Scientific, Technical and Technological Advice concerning capacity-building in all fields of taxonomy to assist in the implementation of the Convention, through the incorporation of targeted actions in its work plan, including promoting regional activities to set regional agendas.

9. In decision V/9, the Conference of the Parties adopted a range of activities for the GTI, including the preparation of a programme of work for the GTI defining timetables, goals, products and pilot projects. The format adopted has taken into account that provided in decision V/20, on the operations of the Convention, which specifies the following parameters:

(a) Planned activities;

(b) The expected products;

(c) The timing of each of these activities and products;

(d) The actors carrying out these activities and cooperation with relevant organizations;

(e) The mechanisms used to realize and/or support the goals and activities, or to generate the expected products; and

(f) Financial, human-resource and other capacity requirements.

10. Also in decision V/9, the Conference of the Parties urged that "pilot projects" for the GTI be submitted to the Executive Secretary and the GTI Coordination Mechanism by Parties, Governments and relevant organizations by 31 December 2001.

2. What should the GTI achieve?

11. The GTI should seek to provide the key information required for the implementation of the Convention on Biological Diversity, particularly Article 7, on identification and monitoring, through increasing the fundamental biological data essential to underpin the conservation, sustainable use and equitable sharing of the benefits from the utilization of biological diversity. That is, to address the problems of insufficient knowledge of all components of biological diversity (including their classification, description, value and function) and lack of taxonomic capacity, to overcome what has been termed "the taxonomic impediment."

12. In formulating the programme of work to achieve this end, the GTI should provide the global platform to help accelerate current taxonomic efforts in areas identified as high priority by countries and regional groupings of countries.

13. The GTI programme of work has been designed to focus on supplying the needed taxonomic information to support the major work areas of the Convention,

and the need to support capacity-building to ensure the ability of countries to undertake the priority taxonomic work required to implement the Convention.

14. This programme of work is intended to fulfil the following functions:

(a) To contribute to the implementation of the Convention's Strategic Plan (in preparation).

(b) To set operational objectives with clear expected outputs and ways and means through which to achieve the set objectives;

(c) To provide the rationale for the choice of the operational targets, with indications of opportunities for further elaboration of the programme of work; and

(d) To serve as a guide to all biodiversity stakeholders on specific objectives to which they can contribute individually or collectively, at the local, national or international level.

3. Operational objectives

15. In considering the following five operational objectives, it will be necessary to address capacity-building specifically with regard to human resources, systems and infrastructure needs in taxonomy, at the local, national, regional and global levels. It has been recognized that, for operational objectives 4 and 5, further setting of priorities might be required for integration within the work plans of the Convention:

OPERATIONAL OBJECTIVE 1: Assess taxonomic needs and capacities at national, regional and global levels for the implementation of the Convention.

OPERATIONAL OBJECTIVE 2: Provide focus to help build and maintain the human resources, systems and infrastructure needed to obtain, collate and curate the biological specimens that are the basis for taxonomic knowledge.

OPERATIONAL OBJECTIVE 3: Facilitate an improved and effective infrastructure/system for access to taxonomic information; with priority on ensuring that countries of origin gain access to information concerning elements of their biodiversity.

OPERATIONAL OBJECTIVE 4: Within the major thematic work programmes of the Convention include key taxonomic objectives to generate information needed for decision-making in conservation and sustainable use of biological diversity and its components.

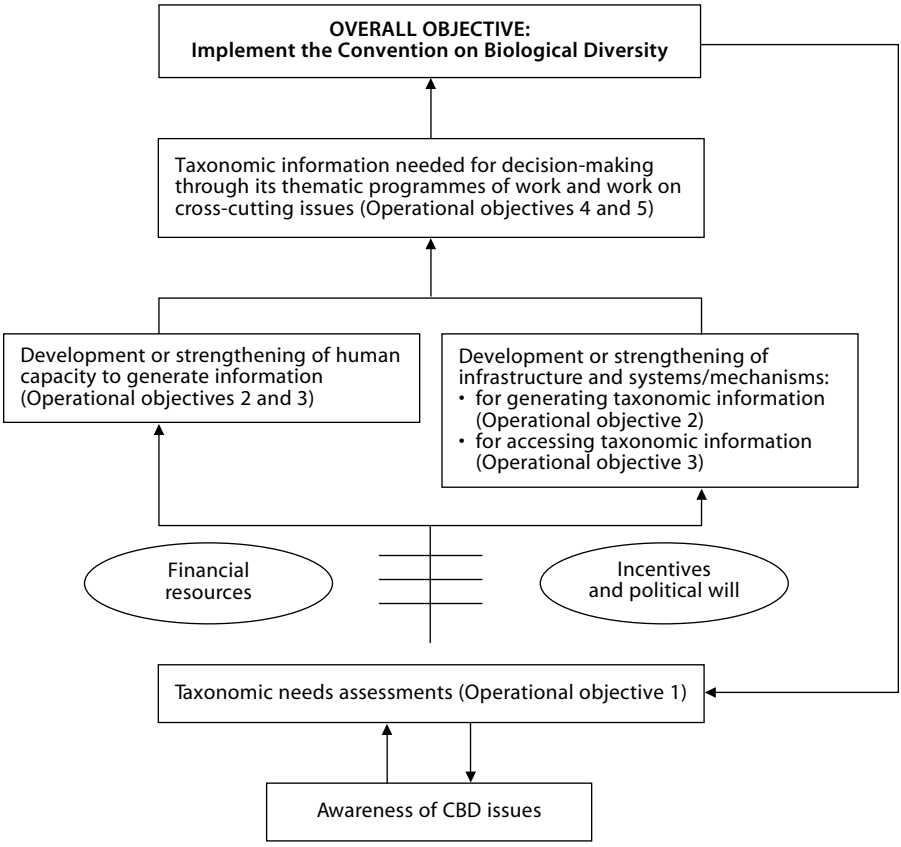
OPERATIONAL OBJECTIVE 5: Within the work on cross-cutting issues of the Convention, include key taxonomic objectives to generate information needed for decision-making in conservation and sustainable use of biological diversity and its components.

16. Diagram 1 summarizes the rationale and linkages between the above operational objectives.

17. It is important to note that the planned activities described in sections B and C below are designed to be mutually reinforcing in achieving the overall objective of the GTI, and outputs from one objective will help facilitate greater achievement of the other activities. Particular stress may be placed upon the necessity outlined in planned activity 3 for capacity development at national, regional and global lev-

els, with emphasis on facilitating and fostering both South-South and South-North partnerships and information exchange. Bilateral, multinational and regional cooperation and networking will be of importance in implementing the programme of work.

DIAGRAM 1: RATIONALE AND LINKAGES BETWEEN THE FIVE OPERATIONAL OBJECTIVES OF THE PROGRAMME OF WORK



B. TAXONOMIC NEEDS ASSESSMENTS AT THE NATIONAL, REGIONAL AND GLOBAL LEVELS

1. OPERATIONAL OBJECTIVE 1: Assess taxonomic needs and capacities at national, regional and global levels for the implementation of the Convention

1.1. PLANNED ACTIVITY 1: Country-based taxonomic needs assessments and identification of priorities

(i) Rationale

In its decision IV/1 D, the Conference of the Parties recognized the need for each country to conduct a national taxonomic needs assessment. Furthermore, in decision V/9, the Conference of the Parties urged Parties, Governments and relevant organizations to undertake as a priority activity, assessments of national taxonomic capacity to identify and, where possible, quantify national and regional-level taxonomic impediments and needs. Assessments should be undertaken within the framework of undertaking the necessary planning to produce or update national biodiversity strategies and action plans under the Convention. To this end, the needs assessments will be required to clearly articulate how the lack of taxonomic information and/or capacity is an impediment to the implementation of national biodiversity strategies and action plans.

The Global Environment Facility (GEF) has been requested to support developing countries in undertaking the necessary needs assessments upon which to base action. (Decision III/5 provides additional guidance to the GEF to provide financial resources to developing countries for country-driven activities and programmes, targeting capacity-building, including taxonomy, to enable developing countries to develop and carry out an initial assessment for designing, implementing and monitoring programmes. Decision V/9 urges eligible Parties and consortia of eligible Parties to seek resources for the agreed priority actions, including needs assessments, through the financial mechanism.)

(ii) Outputs

Each country would provide through their national biodiversity strategies and action plans, as well as through national reports to the Conference of the Parties, a report on their taxonomic capacity and priority needs, which would then be disseminated through the Convention's clearing-house mechanism.

(iii) Timing

In its decision V/9, the Conference of the Parties urged Parties, Governments and relevant organizations to undertake this priority activity and, while not setting a specific timeframe, requested Parties to report on their actions to the Conference of the Parties at its sixth meeting (April 2002). As this is a fundamental part of the process of clearly identifying solutions to current lack of capacity it is very important for all countries to complete their needs assessment as soon as possible. Full or preliminary needs assessments should have been reported to the Executive Secretary by December 2001 for report to the Conference of the Parties at its sixth meeting, and final assessments by December 2002.

(iv) Actors

National Governments, with the support of national and international organizations and institutions as needed, would take primary carriage of this activity. The Executive Secretary would compile completed assessments into an information paper for the seventh meeting of the Conference of the Parties.

(v) Mechanisms

The GEF was requested to provide funds for countries to undertake their needs assessments as part of a broader biodiversity information requirements process. An approach for the development of a standardized framework and instruments will facilitate compilation and comparison of information for baseline assessments and ongoing monitoring. As initial advice, a list of issues to be addressed has been developed by DIVERSITAS, and was provided to SBSTTA at its fourth meeting.[110]

(vi) Financial, human resources and other capacity requirements

National Governments will be required to fund this activity, potentially with additional support from donors.

(vii) Pilot projects

The development of guidelines for the preparation of country-based taxonomic needs assessments, with specific advice on the integration within the overall implementation of national biodiversity strategies and action plans, is proposed as a pilot project to be undertaken by a relevant international organization or consortium of organizations.

1.2. PLANNED ACTIVITY 2: Regional taxonomic needs assessments and identification of priorities

(i) Rationale

Ideally, country-level needs assessments provide the core input into the development of an assessment of regional capacity, the gaps in capacity across the region, and finally the setting of priority actions to fill the gaps. In many regions of the world it will be advantageous to pool resources and to act cooperatively in building taxonomic capacity to support conservation and decision-making. Regional activities in taxonomy have been supported by the Conference of the Parties in decisions III/10, IV/1 D and V/9, which all identify regional level activities as a major activity for the GTI. Decision III/10 endorsed recommendation II/2 of the SBSTTA, which sought to prioritize strengthening of regional and subregional networks for taxonomy, regional collaboration and regional and subregional training programmes. Decision IV/1 D stressed the urgent need for the further implementation of recommendation II/2 of the SBSTTA concerning capacity-building in all fields of taxonomy to assist in the implementation of the Convention, through the incorporation of targeted actions in its work plan, including promoting regional activities to set regional agendas. Decision V/9 also called for the identification of national and

110 UNEP/CBD/SBSTTA/4/INF/7.

regional priority taxonomic information requirements. Furthermore, decision V/9 called for short-term activities, including regional meetings of scientists, managers and policy-makers to prioritize the most urgent global taxonomic needs and facilitate the formulation of specific regional and national projects to meet the needs identified.

(ii) Outputs

Combined with best available information on national taxonomic needs (if possible national taxonomic needs assessments), regionally agreed plans of action, that provide identified priorities, will provide a clear focus for activities under the GTI. To develop such plans of action regional workshops will be held, under the general guidance of the Executive Secretary and the GTI coordination mechanism. The challenge of the workshops will be to blend academic advice and perspective with country needs to fulfil its obligations under the Convention.

(iii) Timing

Two regional workshops, one in Africa and one in Central America, have taken place in 2001. Planning for a workshop in Asia, which will be held in 2002, has begun. Other meetings, including in South America, North America, Europe and a second one in Africa, are being discussed.

Ideally the GTI should endeavour to hold all regional workshops by the end of 2003, preferably by December 2003 as input to discussions at the seventh meeting of the Conference of the Parties.

(iv) Actors

National governments, taxonomic institutions and global, regional and bilateral funding agencies are the main actors in the development of regional taxonomic needs assessments and priorities.

(v) Mechanisms

Existing or proposed regional biodiversity projects, as well as national biodiversity strategies and action plans, will provide a key mechanism for identification of the most urgent taxonomic information requirements at the regional level. The development of regional taxonomic needs assessments and priorities is best facilitated through regional workshops supported by prior research into country level capacity, compiled into regional syntheses. Active regional networks of taxonomists would be best placed to facilitate the compilation of national needs assessments into cohesive regional syntheses.

(vi) Financial, human resources and other capacity requirements

The Government of Sweden, through the Swedish International Development Cooperation Agency (SIDA), has funded two regional workshops in 2001. Japan has agreed to partially fund the Asian workshop, but no sources of funding have been agreed at this stage for additional workshops.

(vii) Pilot projects

Existing or proposed activities (or elements of activities) in some regions could be considered as pilot studies in the preparation of regional based taxonomic needs assessments, such as SABONET and SAFRINET in southern Africa, and BOZONET in Eastern Africa. However these existing activities need to be broadened to include all taxa, as well as input from the full range of biodiversity stakeholders needing taxonomic information. It is intended that the outputs from each regional workshop will be shared with all future workshops in order to facilitate clear and unambiguous, readily achievable pilot projects.

1.3. PLANNED ACTIVITY 3: Global taxonomic needs assessment

(i) Rationale

Given the nature of taxonomic activity, and the lack of knowledge of key groups of organisms with global distributions of importance to humankind and biodiversity concerns, a global dimension is critical. It is widely recognized that generally there is very little data available on global diversity and distribution patterns, and where it does exist it is usually in non-standardized formats that may restrict its usefulness. Agreed global cooperation to finalize taxonomic work on globally important groups should involve both developed and developing countries, and will provide a major input into development of capacity-building initiatives. The global taxonomic needs assessment can result from a compilation of the regional taxonomic needs assessments, with activity to provide some agreed priority actions that can be undertaken at the global level.

(ii) Outputs

A concise global plan of action using the outputs from the regional workshops, with the advice and support of international organizations and the GTI Coordination Mechanism.

(iii) Timing

Progress towards production of a draft global plan of action on priority groups for study was reported to the Executive Secretary by December 2001, as input to discussions at the sixth meeting of the Conference of the Parties. A draft plan should be finalized by December 2002.

(iv) Actors

National Governments, taxonomic institutions and global, regional and bilateral funding agencies are the main actors in the development of global taxonomic needs assessments and priorities. At the global level organisations such as, but not limited to, FAO, IUCN, UNEP-WCMC, UNESCO, the Ecosystem Conservation Group (ECG), and programmes such as BioNET INTERNATIONAL, DIVERSITAS, the Global Biodiversity Information Facility (GBIF), Species 2000, and Systematics Agenda 2000 International among others, will also have key roles to play.

(v) Mechanisms

A workshop focusing on global level taxonomic priorities should be organized, perhaps through the Ecosystem Conservation Group and GBIF. The taxonomic requirements of the Millennium Ecosystem Assessment should be a significant focus of setting global priorities. Such a workshop could be held in a developing country to highlight their special needs.

(vi) Financial, human resources and other capacity requirements

Funding should be sought for this activity from Parties and key intergovernmental and non-governmental science based institutions interested in this activity.

(vii) Pilot projects

Some pilot projects already exist that address some elements of this activity, such as ECOPORT, Species 2000, and the developing GBIF projects.

1.4. PLANNED ACTIVITY 4: Public awareness and education

(i) Rationale

The need to raise awareness and to educate on the importance of taxonomy to underpin the Convention is critical to the success of the Global Taxonomy Initiative, and, within the programme of work, it is necessary to identify and target those groups who would benefit from increased awareness and education. This will include those working in and associated with work in areas of high biodiversity. In developing a public awareness and education package it will be necessary to balance the needs for formal education against the need for wider public awareness-raising. This activity will best be developed in conjunction with the activity under way following decision V/17 on education and public awareness, being carried out jointly by the Secretariat of the Convention on Biological Diversity and UNESCO. This joint activity will provide the focus for public awareness and education on taxonomy within the Convention through the development of a specific module on taxonomy. The module would test out techniques to develop regionally appropriate public awareness tools to help remove the taxonomic impediment, which would be refined in the later stages of the education and public awareness activity under the Convention, and should focus on educational materials for training to facilitate implementation of the Convention.

(ii) Outputs

A package of materials and activities aimed at broadening public understanding of the importance of taxonomy in achieving the objectives of the Convention. Examples could include a brochure on the GTI, enhancement of Web pages, tutorials for education managers, popular scientific films, etc. A special focus on using the public awareness activity to acquire new levels of taxonomic information, through, *inter alia*, public involvement in parataxonomic activity, should form part of these initiatives.

(iii) Timing

Activities will be planned in 2002, and further developed as appropriate.

(iv) Actors

At the global level this activity could be jointly executed by the Convention Secretariat and UNESCO, but with prime carriage for this project by regional networks in conjunction with key taxonomic institutions that already have considerable experience in public-awareness programmes, and have indicated a willingness to participate in GTI activities.

(v) Mechanisms

Toolkits addressing particular taxonomic issues will be developed by the lead agencies for trial in selected regions of developing and developed countries. A key mechanism will involve participatory activity by local communities to strengthen the training and awareness raising for parataxonomists.

(vi) Financial, human resources and other capacity requirements

This work element will be undertaken under the Global Initiative on Biodiversity Education and Public Awareness being elaborated by the Convention Secretariat and UNESCO, as called for in decision V/17 of the fifth meeting of the Conference of the Parties.

(vii) Pilot projects

Pilot projects should be developed within the joint public-awareness activity of the Convention Secretariat and UNESCO. The recent activities of Systematics Agenda 2000 International and BioNET-INTERNATIONAL in this area could also be expanded into pilot projects under the GTI.

C. TARGETED ACTIONS

2. OPERATIONAL OBJECTIVE 2: Provide focus to help build and maintain the systems and infrastructure needed to obtain, collate and curate the biological specimens that are the basis for taxonomic knowledge.

2.1. PLANNED ACTIVITY 5: Global and regional capacity-building to support access to and generation of taxonomic information

(i) Rationale

A significant impediment to greatly increasing the world's taxonomic base for the implementation of the Convention, and indeed more effectively utilizing the current taxonomic knowledge, lies in the limited capacity in many nations, and the decreasing taxonomic capacity world-wide. A key objective of the GTI should thus be to address the global and regional capacity-building needs, particularly of developing countries. There are two main areas of concern that need to be addressed simultaneously:

(a) Human capacity-building; and

(b) Infrastructure capacity-building.

Human capacity-building requires major increases in training programmes for taxonomists and parataxonomists throughout the world, for it is now well established that the "taxasphere," the world's global taxonomic expertise, is currently shrinking just at the time when we need it to advance our knowledge base rapidly. In addition to training, new employment opportunities should be created.

Maintaining and improving the existing taxonomic infrastructure can be achieved only through adequate funding, and new strategies are required to make optimal use of our past investments, while minimizing the costs and maximizing the benefits of future investments. In its decisions IV/1 D and V/9, the Conference of the Parties has urged countries to establish or consolidate regional and national taxonomic reference centres. There is a need to explore globally how the best possible outcomes for improving taxonomic capacity can be achieved. The GTI should address at the global and regional levels the coordination of collections infrastructure within countries and regions leading to improvements of long-term infrastructure regionally. Furthermore, such strategic planning should therefore encourage the creation or strengthening of national and regional taxonomic reference centres.

(ii) Outputs

Increased human and institutional taxonomic capacity directed at meeting the needs of implementing the Convention.

(iii) Timing

Activities need to begin immediately and be included in all work elements throughout the programme of work, with priority in covering the major upcoming work areas of the Convention in a timely manner, such that increases in capacity are achieved prior to the major element of work being undertaken.

(iv) Actors

All Governments, international and national funding agencies, biosystematic institutions and taxonomic organizations have a role to play. Expert institutions in developed and developing countries and their professional staff with expertise in taxonomic groups around the world have much to offer in terms of capacity-building. Within planned activities 1 and 2 above, the development of national and regional taxonomic priorities, detailed regional priorities for capacity-building, both human and institutional, should be addressed.

(v) Mechanisms

In its decision III/10, the Conference of the Parties endorsed SBSTTA recommendation II/2, concerning capacity-building for taxonomy, in which the GEF was requested to provide funds for training programmes, strengthening reference collections, making information housed in collections available to countries of origin, producing and distributing taxonomic guides, strengthening infrastructure and disseminating taxonomic information through, *inter alia*, the clearing-house mechanism.

(vi) Financial, human resources and other capacity requirements

The financial and human resources requirements of this activity are substantial. Funding needs may extend beyond possible contributions from individual Parties. However, through national and regional priority-setting, it will be possible to take a staged approach to undertaking the work required.

(vii) Pilot projects

Consortia of major institutions should participate in the development of pilot projects to identify priority activities including capacity-building and development of information, through facilitating regional conferences to document existing holdings and by designating lead agencies in a collegiate process to maximize taxonomic effort across all groups.

SABONET and BioNET-INTERNATIONAL are two existing examples of projects that could be considered pilots of a regional and global approach respectively, that could be strengthened to provide greater capacity-building activities. The Smithsonian Institution has submitted a potential pilot project on neo-tropical moths that could also be considered for regional capacity-building.

2.2. PLANNED ACTIVITY 6: Strengthening of existing networks for regional cooperation in taxonomy

(i) Rationale

To facilitate the development of cooperative programmes that increase taxonomic capacity in developing countries through fostering North-South and South-South collaboration.

Taxonomic capacity in terms of both human and institutional capacity varies widely between countries and regions. Although many developed countries have relatively comprehensive reference collections and a number of experts, no single country has a complete taxonomic inventory of national biodiversity, nor experts in all relevant taxonomic groups. In many cases, developing countries have very little or no physical reference collections of local biodiversity, nor trained personnel. Much of the existing reference material from developing countries resides in the expert institutions of the developed world, as do the experts in particular taxonomic groups. However, even in developed countries taxonomy has been underresourced for many years, leading to a general decline in infrastructure, and a dearth of younger professionals.

In order to facilitate taxonomic capacity-building to underpin the Convention on Biological Diversity, cooperative programmes need to be established and/or strengthened between the countries with the expertise and reference materials and those without. A number of regional networks that facilitate cooperation between countries in building taxonomic capacity in certain taxonomic groups currently exist, e.g., SABONET, a cooperative network between 10 countries in southern Africa focused on flowering plants. The most comprehensive network currently in existence is that fostered by BioNET-INTERNATIONAL, the Global Network for Taxonomy. This initiative currently has seven extant subregional networks covering some 120 countries, with another four under development, and a further five planned. It is envisaged that these 16 networks will provide a global coverage of collaborative North-South

and South-South networks for taxonomic capacity-building. The Global Network for Taxonomy is a donor-funded programme and the rate of network establishment is dependent on adequate continued funding. In establishing subregional cooperative networks, BioNET-INTERNATIONAL works through official governmental endorsement and comprehensive needs assessment activities to establish regional and national priorities.

(ii) Outputs

A global network, ideally comprised of increasingly self-sufficient subregional networks, that covers all taxa. While the actual capacity-building initiatives should have a finite project-based life, ideally the networks themselves would remain in perpetuity once established and underpinned by member country Governments.

(iii) Timing

Given that the lack of taxonomic capacity is a severe impediment to the abilities of countries to meet their obligations under the Convention on Biological Diversity, and that most taxonomic capacity can readily be shared and utilized across institutional and national boundaries, it follows that building of taxonomic capacity can best be facilitated by subregional cooperative networks and global partnerships. Therefore plans for strengthening and/or building of regional networks should at least be in place by December 2002, particularly ensuring that existing relevant networks become fully operational across the full spectrum of taxonomic groups. Strategies should be in place to complete the global coverage by December 2002. In addition, over the next five years, taxonomic institutions should look for opportunities to build capacity-development partnerships, particularly between institutions in developed and developing countries.

(iv) Actors

Existing regional and subregional networks, with assistance from organizations such as BioNet-INTERNATIONAL and UNESCO, and with regional and extra-regional partner organizations and networks, could be utilized to build a more complete coverage. These networks should play the role of implementing mechanisms, such that the GTI has access to, and interaction with all relevant taxonomic institutions within a subregion.

To facilitate this development the expert institutions of the developed world that house the relevant subregional taxonomic reference materials and information, and the professional staff with expertise in taxonomic groups from these subregions, should be actively involved.

(v) Mechanisms

An agreed strategy on strengthening and building networks to ensure global coverage both geographically and by taxon group is a huge undertaking. Different countries and regions have different levels of capacity, and different taxonomic needs and priorities. Existing subregional networks can serve as implementing mechanisms for improving taxonomic capacity in developing countries. These existing networks need to be broadened in scope, and the establishment of the remain-

ing networks currently under development or in the planning stages needs to be undertaken as soon as possible. This will require completion of needs assessments and priority setting for each network, where these do not exist or need updating and/or expansion. Regional taxonomic reference centres that house network reference materials and host the network's Information and Communications System provide a useful mechanism to prevent duplication of infrastructure, but they require sound means of communication to provide all countries involved with equal access to the information. As part of this, improved access by taxonomists of all Parties to the taxonomic reference material itself, particularly type specimens and material presently held outside countries of origin, is important in developing work within the GTI.

(vi) Financial, human resources and other capacity requirements

Funding will be required to support the work programmes of the individual networks, but the countries themselves need to endorse the operations and specifically the human resource and institutional costs of maintaining, operating and developing such collaborative networks. These costs will depend on the status of each country's capacity and the scope of the work programmes. Such collaborative networks can be cost-saving mechanisms in certain taxonomic groups/areas because of the 'economies of scale' produced by the sharing of taxonomic capacity, and reduce the need for each country to attempt to build the needed capacity individually.

Ideally the networks should have a dedicated full-time secretariat, but depending on needs, they can be operated on a part-time basis by staff already employed within relevant institutions.

Capacity-building in taxonomy necessarily includes the infrastructure capacity to house reference material, together with all of the reference material and equipment to enable identifications.

(vii) Pilot projects

Three pilot projects can be proposed. The first pilot project could work with one of the existing BioNET-INTERNATIONAL networks and evaluate the current structure, mechanisms and operations of the network to assess its ability to expand to fully meet the objectives of the GTI in underpinning the Convention on Biological Diversity. Currently, many of the existing BioNET-INTERNATIONAL networks are focused on micro-organisms and invertebrates, often with an agricultural orientation, and as such would need to be expanded to include all taxon groups and relevant institutions. The second pilot project could be undertaken in partnership with BioNET-INTERNATIONAL in the establishment of new networks designed to meet the requirements of the Convention. The third project is currently under formulation under the name BOZONET and is an eastern African taxonomic capacity-building project for botany and zoology.

3. OPERATIONAL OBJECTIVE 3: Facilitate an improved and effective infrastructure/system for access to taxonomic information; with priority on ensuring that countries of origin gain access to information concerning elements of their biodiversity

3.1. PLANNED ACTIVITY 7: Develop a coordinated global taxonomy information system

(i) Rationale

Existing taxonomic information is widely scattered and not centrally available. This activity will firstly identify the current status of major taxonomic information systems in particular their major foci, and plan a coordinated approach to the development of a global taxonomic information infrastructure, as the major element of the GTI under the Convention's clearing-house mechanism.

(ii) Outputs

An agreed strategy to develop information services that optimizes access to taxonomic information systems world-wide, in appropriate formats. This strategy would also include common standards for exchange of data and consideration of intellectual property rights.

(iii) Timing

Work took place in 2001 and information was provided as an input to discussions by the sixth meeting of the Conference of the Parties; the activity will be further developed within a five-year framework and reports provided to SBSTTA as appropriate.

(iv) Actors

Actors will include ECOPORT, GBIF, Species 2000, the Integrated Taxonomic Information System (ITIS), Tree of Life, NABIN, ISIS, BIN21, BCIS, BioNET-INTERNATIONAL, as well as large-scale biosystematics research institutions and other stakeholders of taxonomic information, in collaboration with the clearing-house mechanism of the Convention on Biological Diversity.

(v) Mechanisms

Assessment of the objectives of each system, and their prospective target audience, as a means to evaluate the fulfilment of the needs of Parties in accessing taxonomic information required under the Convention on Biological Diversity. The existing International Plant Names Index (IPNI) and the Global Plant Checklist (IOPI) among others could provide useful models for developing a global strategy.

(vi) Financial, human resources and other capacity requirements

Sources of funding need to be identified.

(vii) Pilot projects

As a precursor to developing pilot projects it is proposed to hold a workshop that brings together stakeholders of all the existing global and major regional biodi-

versity information systems to identify overlaps, synergies, and gaps in order to develop a coordinated global strategy for harmonizing the existing systems.

Several pilot projects are already under way including SABONET and Species Analyst, and several potential projects have been put forward in recent international taxonomic meetings, and submitted to the GTI as potential pilot projects, such as GLOBIS, a butterfly information system for the world, and the World Termite Database.

4. OPERATIONAL OBJECTIVE 4: Within the major thematic work programmes of the Convention include key taxonomic objectives to generate information needed for decision-making in conservation and sustainable use of biological diversity and its components

It is recognized that taxonomy is fundamental to the thematic areas of the Convention on Biological Diversity through discovery, identification, and documentation of biological diversity. Because there are inadequate global taxonomic resources to meet all demands, it is important to indicate taxonomic priorities within each of the thematic areas of the Convention on Biological Diversity. Such priorities should recognize indigenous knowledge systems where appropriate permission has been obtained. Within existing thematic work programmes, workshops should be conducted in appropriate regions, involving taxonomic experts to identify key taxa for inventory and monitoring programmes. Sufficient flexibility should be maintained in order to respond to possible future modifications of priorities.

4.1. PLANNED ACTIVITY 8: Forest biological diversity

(i) Rationale

In the annex to decision IV/7, on forest biological diversity, containing the work programme on forest biological diversity, under programme element 3 on criteria and indicators for forest biological diversity, the following activity is identified: *Taxonomic studies and inventories at the national level, which provide for a basic assessment of forest biological diversity.*

(ii) Outputs

An increased knowledge of the species composition of forests, through national taxonomic studies and inventories. Using this increased knowledge base facilitates selection of criteria and indicators for forest biological diversity and may guide in the selection of sites to be protected and in the valuation of resources.

(iii) Timing

As this activity is carried out at the national level there will be variable timetables globally. The second round of national reports for the implementation of the Convention was due in May 2001 and provided an opportunity for countries to report on taxonomic studies and inventories carried out at the national level that provide for a basic assessment of forest biological diversity.

(iv) Actors

National governments and institutions will have the main responsibility, with possible advice from a collaborative partnership of forest members on methodologies for the development of appropriate criteria and indicators. The active involvement of international organizations such as the Center for International Forestry Research (CIFOR), the International Centre for Research in Agroforestry (ICRAF), and the United Nations Forum on Forests (UNFF) will provide useful links between existing initiatives.

(v) Mechanisms

In decision IV/7, the Conference of the Parties agreed that countries would review specific indicators of forest biological diversity derived by the major international processes related to sustainable forest management. Depending on the selection of the criteria and indicators chosen, additional taxonomic studies and inventories will then be required.

(vi) Financial, human resources and other capacity requirements

These requirements will be country-dependent, and resource requirements and sources will vary.

(vii) Pilot projects

To facilitate the implementation of one element of the programme of work on forest biological diversity, a pilot project is proposed in the selection of indicators for below-ground diversity in forests in each of the three forest biomes: tropical, temperate, boreal. While there is a need to continue developing knowledge in many components of forest ecosystems, the least known, and highest priority, is the below-ground biological diversity. It is understood that it plays a major role in contributing to the development and the health of the above-ground biological diversity by, for instance, processing nutrients or minerals that are then made available to, and assimilated by, plant biodiversity.

4.2. PLANNED ACTIVITY 9: Marine and coastal biological diversity

(i) Rationale

Two major elements of taxonomic work within marine and coastal ecosystems can be considered as high priority for achieving the Convention's objectives in marine and coastal systems, namely ballast water organisms, and key organisms for monitoring the health of mangrove systems through their invertebrate fauna. The ballast water organisms sub-element will require, *inter alia*, a focus on pelagic juvenile stages of benthic organisms. The second element focuses on mangroves, which are among the world's most rapidly changing systems. Within the marine and coastal biodiversity programme of work there is a need to develop taxonomic support for baseline monitoring of invertebrate fauna in mangrove systems.

(ii) Outputs

Identification aids for quarantine and other officials to identify and monitor the introduction of novel marine organisms.

Taxonomic guides to key invertebrate organisms in mangrove systems to aid management of the continuum from natural to disturbed mangrove ecosystems. Taxonomic data will also assist in selecting sites for protected areas and for resource valuation.

(iii) Timing

Within the timeframe of the GloBallast programme, produce basic guides for the identification of major organism groups found in ballast water at major sources.

Within the next three years, develop taxonomic guides to the identification of mangrove invertebrate fauna that can be used as indicators of habitat change.

(iv) Actors

The International Maritime Organization (IMO) should take the lead role in the taxonomic work in ballast water, under their GloBallast work programme, which would then be integrated with the activities foreseen under the invasive alien species work of the Convention on Biological Diversity, and the GTI programme of work.

International conventions, in particular the Ramsar Convention on Wetlands of International Importance especially as Waterfowl Habitat, and taxonomic institutions with expertise in coastal invertebrates should play a key role in conjunction with national institutions from Parties with significant extent of mangrove ecosystems under threat, in the implementation of the necessary taxonomic work.

(v) Mechanisms

The IMO GloBallast work programme could include a taxonomic component for the identification of marine pelagic taxa, including those with adult benthic forms, which will form a key element of the GTI in the marine environment. The International Society for Mangrove Ecology (ISME) could facilitate the development of the work element on mangrove invertebrate fauna, including training workshops of key personnel from taxonomic institutions in tropical areas. Three workshops, one in Africa, one in the neotropics and one in Asia have been suggested and are in preparation for 2001 with support from UNESCO. The International Coral Reef Initiative (ICRI) and its network can assist with regard to coral reefs.

(vi) Financial, human resources and other capacity requirements

The IMO GloBallast programme could provide the appropriate resources for a pilot project involving six developing countries.

Funding support is required for the three capacity-building workshops as well as appropriate infrastructure support for the mangrove invertebrate taxonomy and production of guides and ICRI work.

(vii) Pilot projects

The GloBallast programme is a pilot project under the IMO, with direct relevance to the invasive alien species and GTI programmes of work.

A pilot project focused in south-east Asia on mangrove invertebrates, particularly involving Malaysia, Indonesia and Philippines, could be developed in conjunction with the International Center for Living Aquatic Resources Management (ICLARM) and ISME.

4.3. PLANNED ACTIVITY 10: Dry and sub-humid lands biodiversity

(i) Rationale

Decision V/23 on consideration of options for conservation and sustainable use of biological diversity in dryland, Mediterranean, arid, semi-arid, grassland and savannah ecosystems establishes a programme of work, including, *inter alia*, assessment of the status and trends, identification of specific areas within dry and sub-humid lands of particular value for biological diversity and/or under particular threat, and the further development of indicators. Under each of these activities targeted actions on furthering the knowledge base on the organisms that maintain the crucial soil crust should be developed at national and regional levels, as well as the need for greater knowledge of the micro-organisms in nutrient cycling, and increased taxonomic information of pests and diseases.

Correct identification of indicator taxa, such as crust-forming lichens, often requires special identification aids and techniques, and the development of such tools is necessary for increasing the capacity of rangeland managers to understand their function in maintaining dryland ecosystems. In many parts of the world, there is a need to increase taxonomic capacity to identify the lichens, and to then develop identification tools. It is important that such identification tools be designed in such a way that they can be used by rangeland managers to help in identification of key organisms.

(ii) Outputs

Enhanced understanding among agricultural and rangeland managers of lichens as key indicators warning of the advance of soil degradation. This will usually take the form of loss of particular species from the system. Taxonomic work will need to develop easy-to-use identikits for key soil lichens, algae, soil invertebrates, pest insects and other herbivores, and other taxa that will be the harbingers of change.

(iii) Timing

By the seventh meeting of the Conference of the Parties, have developed identification aids in consultation with appropriate national taxonomy and management agencies.

(iv) Actors

The Convention to Combat Desertification (CCD) and other environmental conventions and their relevant collaborators, international agencies (including Interna-

tional Agriculture Research Centres (IARCs)), rangeland managers and national Governments.

(v) Mechanisms

Cooperation with the CCD and other key players among international organizations

(vi) Financial, human resources and other capacity requirements

To facilitate global and regional cooperation and synergy in this work, a project which could attract funding from the IARCs, in conjunction with FAO, can be proposed.

(vii) Pilot projects

A pilot project could be developed among CCD, FAO and UNEP to assess different biological and biochemical indicators of land degradation. This project would require input from a range of taxonomic experts, including algologists and lichenologists. Input would also be required from soil scientists, who can link abiotic information with the taxonomic information obtained. Results can be distilled to a simple identikit system that will allow local managers to identify key species and determine the health of their arid/semi-arid system.

4.4. PLANNED ACTIVITY 11: Inland waters biological diversity

(i) Rationale

As in all other major ecosystems the current status of taxonomic knowledge in inland waters is varied both geographically, and according to the major taxon groups. For the purposes of the GTI targeted activities in rapidly increasing worldwide knowledge of freshwater fish and invertebrates are proposed as high priority.

(ii) Outputs

A series of regional guides to freshwater fish and invertebrates (including adult terrestrial forms where appropriate) as an input to ecosystem monitoring for river and lake health.

(iii) Timing

Produce field-usable regional guides within two years for both professional and public use.

(iv) Actors

National agencies and taxonomic institutions, especially museums, should play a principal role in the implementation of this activity. International support and coordination could be provided through the UNESCO key science activity "Water and Ecosystems." Parataxonomists, in the form of interested members of the public and school students in a number of countries, have been using the technique to monitor aquatic health. This is an area that could be built upon, and maybe also linked to planned activity 11.

(v) Mechanisms

Changes in the species compositions and abundance of macro-invertebrates in freshwater systems are now being studied worldwide as part of approaches to monitoring of ecosystem health. A number of key potential partners are possible for this activity, including from developed and developing country perspectives. The Scientific and Technical Review Panel of the Ramsar Convention on Wetlands of International Importance especially as Waterfowl Habitat should also be involved in this project to provide specialist expertise, and a focus on the concept of using taxonomy to help understand ecological change.

(vi) Financial, human resources and other capacity requirements

There is opportunity to build on existing projects here, or assist regional collaboration between existing projects, which would contribute to the implementation of the GTI while simultaneously improving monitoring of ecosystem health.

4.5. PLANNED ACTIVITY 12: Agricultural biological diversity

(i) Rationale

Within the programme of work on agricultural biological diversity, several areas require taxonomic capacity in order to deliver fully on their objectives. The need for taxonomy ranges from classical taxonomy of the species living in agricultural ecosystems, to the taxonomy of wild relatives of agriculturally important species, to access to existing taxonomic information including basic knowledge on the functional relationships between organisms often recorded by taxonomists.

The value of training and knowledge-sharing among researchers, extension workers, farmers and indigenous peoples is highlighted in decision V/5 of the Conference of the Parties to the Convention on Biological Diversity. Within the agricultural biodiversity work programme specific taxonomy-related activities are envisaged in the following subject areas: pollinators; soil and other below-ground biodiversity, to support agricultural production systems, especially in nutrient cycling; and natural enemies of pests and diseases.

As the agricultural biological diversity work programme develops, significant taxonomic activities will need to be integrated within the proposals for work.

(ii) Outputs

Outputs would include: easy-to-use keys to families, genera and species of pollinators; automated identification systems for pollinators; development of standard methods for identification of soil biodiversity to different taxonomic levels; increased knowledge of soil biodiversity to aid in the identification of indicators of the "health" of below-ground biological diversity; and taxonomic training for farmers and ecosystem managers.

(iii) Timing

Within the agricultural biodiversity work programme the taxonomy related activities are part of the timeframe for the development of the overall activity. Current timeframes are as follows:

(a) *Pollinators*—In order to initiate the process of implementation of the International Initiative for the Conservation and Sustainable Use of Pollinators a planning meeting took place at the FAO in late 2000. A plan of action was adopted at the sixth meeting of the Conference of the Parties;

(b) *Soil biota*—Ongoing efforts by Governments and relevant organizations will develop projects with appropriate timing;

(c) *Pest and disease regulation organisms*—Proposals for activities may be developed by countries and relevant organizations as determined in the programme of work on agrobiodiversity.

(iv) Actors

FAO has been invited by the Conference of the Parties in decision V/5 to lead the International Pollinators Initiative (IPI), and will prepare a proposal for the development of the IPI for the seventh meeting of SBSTTA.

Parties should make contributions on soil biota and organisms involved in pest and disease regulation. In addition, the tropical soil biology and fertility (TSBF) programme hosted by UNESCO in Nairobi is the proposed implementing agency for a full-sized GEF project, which includes major taxonomic components for assessing below-ground biodiversity. Also, the Global Integrated Pest Management (IPM) Facility, based in Rome, which is a programme co-sponsored by FAO, UNEP, UNDP and the World Bank, may contribute as an organisation involved in pest and disease regulation.

(v) Mechanisms

The International Pollinators Initiative (IPI) will contain a major taxonomic component, and the project is currently under development.

A major taxonomic element needs to be built into all current and proposed projects dealing with the sustainable use or conservation of agricultural and non-agricultural lands, if we are to advance our knowledge base on the functional aspects of maintaining ecosystem processes.

As concerns organisms involved in pest and disease regulation, a scoping exercise should be undertaken to determine where the limitations exist in terms of taxonomic information, from basic alpha-taxonomy of pests and natural enemies, to how the information is presented and distributed. This work can be carried out by farmers' networks and research institutions, including the IARC system.

(vi) Financial, human resources and other capacity requirements

All three elements require resources to be identified within existing and new projects, as well as additional resources to be made available to increase technical capacity in most countries of the world.

(vii) Pilot projects

A major UNEP project entitled "Conservation and sustainable management of below-ground biodiversity" in seven countries is currently under assessment by UNEP. A Canadian report "Soil biodiversity: issues for Canadian agriculture" is

being prepared and may be a suitable pilot. A pilot project on termites submitted by the Smithsonian Institution could also be considered.

4.6. PLANNED ACTIVITY 13: Mountain biological diversity

Development of this activity will be undertaken following discussion of this thematic work area at the seventh meeting of the Conference of the Parties. The GTI Coordination Mechanism could play an important role in proactively defining taxonomic needs related to this planned thematic activity.

5. OPERATIONAL OBJECTIVE 5: Within the work on cross-cutting issues of the Convention include key taxonomic objectives to generate information needed for decision-making in conservation and sustainable use of biological diversity and its components.

5.1. PLANNED ACTIVITY 14: Access and benefit-sharing

(i) Rationale

The Conference of the Parties, in its decision V/26, identified "Assessment and inventory of biological resources as well as information management" as key capacity-building needs with respect to access and benefit-sharing arrangements. Indeed, the inventory of biological resources could provide useful information in view of the elaboration of measures regarding access to genetic resources and the equitable sharing of benefits arising from their exploitation. In order to carry out this inventory, increased capacity is often needed at the country level. The primary goal of the GTI is to assist countries in carrying out this inventory in a timely and efficient manner. A major element in increasing capacity to properly inventory and access biological resource information is effective information management. Therefore a key element of the GTI must be the development of appropriate information-technology tools to allow access to existing data, as well as to provide efficient entry of new information generated from any increased knowledge.

The more each country can develop its capacity to properly inventory, collect, classify, and then commercialize its biological resources, the greater will be the return of benefits to that country. These four elements (inventory, collection, classification, commercialization) can be seen as a hierarchy of increasing capacity. The GTI will concentrate on developing capacity in the collection and classification of biodiversity. The GTI should include projects designed to develop capacity in collecting and maintaining biological collections, as well as the proper classification and knowledge of the biological resources. Taxonomic information, in particular at the genetic level, will be critical in tracing the origin of resources and living modified organisms (LMOs).

Increasing access by countries of origin to existing information on biological resources held elsewhere has also been highlighted as a major element of the Global Taxonomy Initiative. In decision V/26, the Conference of the Parties urged countries to adopt measures that are supportive of efforts to facilitate access to genetic resources for scientific, commercial and other uses, and associated knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity.

The first step in facilitating access is provision of information, and the Parties have agreed in decision IV/1 D to a series of actions that would increase access to information world-wide. Operational objective 3 of the present programme of work sets out a plan to begin to address this issue.

(ii) Outputs

Interactive catalogues of material available, linked to taxonomic collections in herbaria and museums. Taxonomic support, including at the molecular level, to provide clear identification of specimens in the *ex situ* collections, especially in developing countries, is needed.

A series of country-driven projects could be carried out, combining the development of basic taxonomic capacity and an improved information base on biological resources.

These would assist in developing better linkages between existing initiatives that provide information electronically on genetic resources, as well as new projects to improve the access to, and range of, publicly available taxonomic information. In turn, a basis for the commercialization of components of that biological diversity would be provided.

(iii) Timing

Progress in global networking between countries and taxonomic institutions holding significant *ex situ* collections should be accelerated within a five-year timeframe.

Development of pilot projects should occur as soon as possible.

(iv) Actors

National (and international) culture collections, including microbial collections. The IARC system, especially the Consultative Group on International Agricultural Research (CGIAR), should be involved to select priorities for needed taxonomic effort.

Taxonomic institutions in many countries contain significant holdings of *ex situ* materials from other countries, and in particular from developing countries. Botanical gardens hold both dead and live material that may be of considerable interest to the country of origin of that material, and may also develop new or improved conservation techniques that could aid countries of origin in their conservation and sustainable use efforts.

The FAO Commission on Genetic Resources for Food and Agriculture could play a key partnership role.

The Global Biodiversity Information Facility (GBIF) may be usefully involved in this activity.

(v) Mechanisms

One of the first most important measures any country can take to encourage the sustainable use of its resources and ensure proper sharing of benefits derived from their exploitation is through developing knowledge regarding their own biodiversity, and in particular full cataloguing of its diversity. Through acknowledging the

importance of developing taxonomic capacity and adopting a series of suggested actions and priority activities (in its decisions IV/1 D and V/9), the Conference of the Parties has clearly indicated to Parties, Governments and relevant organizations the major work that needs to be undertaken to build taxonomic capacity within countries.

The basic mechanism for undertaking these actions and activities is through country-driven projects at the national, regional and subregional levels, which are to be implemented with the assistance of developed and developing country institutions that house *ex situ* collections (i.e. herbaria, botanical gardens, museums and zoos), and the financial mechanism. These country-driven projects need to be developed to show clearly how the development of basic taxonomic capacity leads to an improved knowledge base and understanding of the biological resources held by the country, which can then be used to attract the necessary investment in the full range of commercial uses of components of that biological diversity.

Achieving tangible results in the short term will require the promotion of a series of projects that have existing support from within both developing and developed world institutions and that clearly lead to a conservation or sustainable use outcome. A major action plan should be developed with FAO, IARCs (especially CGIAR) and BioNET-INTERNATIONAL as the key intergovernmental organizations and non-governmental organizations, among others.

(vi) Financial, human resources and other capacity requirements

Capacity-building of taxonomic institutions is a costly and ongoing matter, and strategic input to help conservation and sustainable use efforts significantly must be based on those areas where useful outcomes can be demonstrated in the short to medium term. It is to be hoped that demonstrating benefit may then lead to further investment in infrastructure support and development.

New resources are needed to initiate activities, although existing resources within key organizations may be able to be mobilized for the development of an action plan.

5.2. PLANNED ACTIVITY 15: Invasive alien species

Development of this activity will be undertaken based on priorities identified through GISP phase I, the review of the status of invasive alien species and of ongoing measures addressing invasive alien species under way within the Convention on Biological Diversity, and the contents of the decisions taken by the sixth meeting of the Conference of the Parties to the Convention on Biological Diversity regarding invasive alien species.[111]

5.3. PLANNED ACTIVITY 16: Support in implementation of Article 8(j)

(i) Rationale

The Conference of the Parties has acknowledged that traditional biodiversity-related knowledge (TBRK) has the potential to inform the activities of the Convention on Biological Diversity. Before it can do so, indigenous and local com-

111 See decision VI/23.

munities require protection of their intellectual property in any collaborative efforts aimed at meshing traditional knowledge and science. Given that the GTI has the potential to make traditional biodiversity-related knowledge more accessible to a wide range of users, due regard must be given to the concerns raised by indigenous and local communities regarding the right to preserve, protect and manage traditional biodiversity-related knowledge, particularly traditional taxonomic knowledge.

In its decision V/16, the Conference of the Parties endorsed a programme of work to implement Article 8(j) based on a number of principles, including full and effective participation of indigenous and local communities, the valuing of traditional knowledge, acknowledgment of spiritual and cultural values and the requirement for prior informed consent from traditional knowledge holders.

Paragraph 17 of that decision requests the Parties to support the development of registers of traditional knowledge, innovations and practices of indigenous and local communities through participatory programmes and consultations with indigenous and local communities, taking into account strengthening legislation, customary practices and traditional systems of resources management, such as the protection of traditional knowledge against unauthorized use.

A number of tasks in the programme of work for the implementation of Article 8(j) have a direct bearing on the proposed activities of the GTI, in particular tasks 1, 2 and 7 in phase 1 and tasks 6, 10, 13, and 16 in phase 2 (decision V/16).

Traditional knowledge systems include taxonomic information, which if used in combination with Linnaean taxonomies could support the GTI. Access to and use of traditional knowledge must have the prior informed consent of the holders of that knowledge and be based on mutually agreed terms. When this has occurred, comparison of indigenous taxonomies and Linnaean taxonomies in different regions could be made to provide general principles to assist in the conservation and sustainable use of elements of biodiversity in different ecosystems.

(ii) Outputs

Regional and subregional guides based on ethical research practices and developed with full and effective participation of indigenous and local communities. These guides could highlight the similarities and differences between the two taxonomies and may be in the form of catalogues and species lists, or be more targeted resource material that provides interpretation information for a wide variety of environmental managers, in particular protected area and conservation managers.

(iii) Timing

Preparation of guides to be completed as part of implementation activities under Article 8(j).

(iv) Actors

National and subnational governments, indigenous and local groups, indigenous research centres and indigenous non-governmental organizations should take the lead in this work element. Potentially the GBIF could play a lead role in providing a global role in information distribution. Some international and national institu-

tions already hold significant information and have active programs in compiling indigenous and local taxonomies. These institutions, with the full and effective participation of indigenous and local communities, should be encouraged through additional "catalytic" funding to ensure that their research practices are based on agreement between parties and the principle of prior informed assent.

(v) Mechanisms

The Convention on Biological Diversity, UNESCO, the International Social Science Council (ISSC) and the International Council of Scientific Unions (ICSU) offer the appropriate platform to develop with the full and effective participation of indigenous and local communities suitable plans of work leading to project development. The Ad Hoc Open-ended Working Group on Article 8(j) should play a key role in advising on the development of projects.

(vi) Financial, human resources and other capacity requirements

New resources are required to initiate this activity.

5.4. PLANNED ACTIVITY 17: Support for ecosystem approach and work under the Convention on Biological Diversity on assessment including impact assessments, monitoring and indicators

(i) Rationale

Under the ecosystem approach, a key activity will be the Millennium Ecosystem Assessment. The Millennium Ecosystem Assessment will require considerable scientific effort for the characterization of ecosystems, including better data on key species that comprise ecosystems and their role in maintaining ecosystem processes. In many regions taxonomic knowledge needed to fulfil these efforts is not available, which will therefore require specific activities to be undertaken (created under the GTI). The Millennium Ecosystem Assessment seeks policy-relevant information; the GTI is a policy response to a recognized impediment, or knowledge block, in our system of biodiversity understanding. The GTI seeks to facilitate gathering of the pertinent species information that would be used to characterize ecosystems, including those that help to illustrate the value of goods and services flowing from ecosystems.

The Millennium Ecosystem Assessment will be required to report on issues such as patterns of species and ecosystem diversity—the activities of the GTI in facilitating better knowledge of the species and their distribution will help provide this information. All information fed into the Millennium Ecosystem Assessment will need appropriate geo-referencing—which is a key plank for all activities envisaged under the GTI. The GTI will also be focusing on taxonomic activity in areas of relevance to the Convention, especially the key ecosystem themes. Thus the products of the GTI can complement the Millennium Ecosystem Assessment activity in thematic ecosystems, which in turn may illustrate the extent of removal of the taxonomic impediment – providing a positive feedback process.

The GTI also has relevance to the suite of environmental conventions associated with the Convention on Biological Diversity (e.g., the Convention on the Conservation of Migratory Species of Wild Animals, the Convention on International

Trade in Endangered Species of Wild Fauna and Flora (CITES), and the Convention on Desertification), and to the Commission on Sustainable Development, all of which have a direct interest in the outcomes of the Millennium Ecosystem Assessment. There is scope for linking envisaged work programmes under the Millennium Ecosystem Assessment with the key action areas under the GTI.

(ii) Outputs

Production of taxonomic overviews to help guide the Millennium Ecosystem Assessment to focus on key areas and issues of importance. These overviews can be compiled from work under the other operational objectives, but may need special focus for the global ecosystem context of the Millennium Ecosystem Assessment.

(iii) Timing

To be linked with the Millennium Ecosystem Assessment development and programme.

(iv) Actors

The Millennium Ecosystem Assessment advisory mechanisms, and the UNEP World Conservation Monitoring Centre (WCMC) and UNESCO as key synthesizers.

(v) Mechanisms

The Convention's cross-cutting issue of assessments and the programme of work on indicators of biological diversity include a number of programme elements where input from the GTI would be required, including the development of a menu of indicators in thematic areas and development of methodology sheets, guidelines and training for supporting the development of national monitoring and indicator programmes. Specific input required from the GTI would be in the identification, development and testing of suitable indicators, and priority taxonomic information required as input to scientific assessments.

(vi) Financial, human resources and other capacity requirements

The development of financial and human resource requirements will need to be undertaken within the development of specific Millennium Ecosystem Assessment project proposals, as well as through agreed activities in indicator development.

5.5. PLANNED ACTIVITY 18: Protected areas

Development of this activity will be undertaken following discussion of this cross-cutting work area. The GTI Coordination Mechanism could play an important role in proactively defining taxonomic needs related to this planned activity for the ninth meeting of SBSTTA, prior to the seventh meeting of the Conference of the Parties.

III. Monitoring and Assessment of the GTI

The GTI Coordination Mechanism has been tasked to assist the Executive Secretary to facilitate international cooperation and to coordinate activities on matters pertaining to the implementation and development of the GTI, and in this role will provide overall monitoring and assessment of the activities undertaken as part of the GTI.

The Parties will provide regular updates on activities under the GTI through the national reporting process under the Convention on Biological Diversity.

Reports on the progress of implementing the GTI programme of work will be made by the Executive Secretary to SBSTTA to enable review of progress by that body.

DECISION VI/9 | Global Strategy for Plant Conservation

The Conference of the Parties

1. *Adopts* the Global Strategy for Plant Conservation, including outcome-oriented global targets for 2010, annexed to the present decision;

2. *Invites* relevant international and regional organizations to endorse the strategy and to contribute to its implementation, including to adopt these targets, in order to promote a common effort towards halting the loss of plant diversity;

3. *Emphasizes* that the targets should be viewed as a flexible framework within which national and/or regional targets may be developed, according to national priorities and capacities, and taking into account differences in plant diversity between countries;

4. *Invites* Parties and Governments to develop national and/or regional targets, and, as appropriate, to incorporate them into relevant plans, programmes and initiatives, including national biodiversity strategies and action plans;

5. *Stresses* the potential role of the strategy in contributing to poverty alleviation and sustainable development;

6. *Emphasizes* the need for capacity-building, particularly in developing countries, small island developing States, and countries with economies in transition, in order to enable them to implement the strategy;

7. *Invites* Parties, other Governments, the financial mechanism, and funding organizations to provide adequate and timely support to the implementation of the strategy, especially by developing country Parties, in particular the least developed countries and small island developing States among them, and Parties with economies in transition;

8. *Decides* to review, at its eighth and tenth meetings, the progress made in reaching the global targets, and provide additional guidance in light of those reviews, including, as necessary, refinement of the targets;

9. *Decides* to consider the Global Strategy for Plant Conservation as a pilot approach for the use of outcome targets under the Convention within the context of the Strategic Plan and, also consider the wider application of this approach to other areas under the Convention, including other taxonomic groups;

10. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice:

(a) To take the targets into consideration in its periodic reviews of the thematic and cross-cutting programmes of work of the Convention;

(b) To develop ways and means, within the Convention's thematic and cross-cutting programmes of work, for promoting implementation of the global strategy for plant conservation, and for monitoring and assessing progress; and to report to the Conference of the Parties at its seventh meeting;

11. *Welcomes* the contribution of the "Gran Canaria Group" in developing this Strategy, and invite the organizations involved, and other relevant organizations, in collaboration with the Executive Secretary, to contribute to the further development, implementation and monitoring of the Strategy.

ANNEX
GLOBAL STRATEGY FOR PLANT CONSERVATION

A. Objectives

1. The ultimate and long-term objective of the Global Strategy for Plant Conservation is to halt the current and continuing loss of plant diversity.

2. The Strategy will provide a framework to facilitate harmony between existing initiatives aimed at plant conservation, to identify gaps where new initiatives are required, and to promote mobilization of the necessary resources.

3. The Strategy will be a tool to enhance the ecosystem approach to the conservation and sustainable use of biodiversity and focus on the vital role of plants in the structure and functioning of ecological systems and assure provision of the goods and services such systems provide.

4. The Strategy will also:

(a) Provide a pilot exercise under the Convention for the setting of targets that relate to ultimate objectives of the Convention;

(b) Act as a means to develop and implement the thematic programmes of work of the Convention.

5. Within the ultimate and long-term objective, a number of sub-objectives can be identified as follows:

(a) *Understanding and documenting plant diversity:*

(i) Document the plant diversity of the world, including its use and its distribution in the wild, in protected areas and in *ex situ* collections;

(ii) Monitor the status and trends in global plant diversity and its conservation, and threats to plant diversity, and identify plant species, plant communities, and associated habitats and ecosystems, at risk, including consideration of "red lists";
(iii) Develop an integrated, distributed, interactive information system to manage and make accessible information on plant diversity;
(iv) Promote research on the genetic diversity, systematics, taxonomy, ecology and conservation biology of plants and plant communities, and associated habitats and ecosystems, and on social, cultural and economic factors that impact biodiversity, so that plant diversity, both in the wild and in the context of human activities, can be well understood and utilized to support conservation action;

(b) *Conserving plant diversity:* Improve long-term conservation, management and restoration of plant diversity, plant communities, and the associated habitats and ecosystems, *in situ* (both in more natural and in more managed environments), and, where necessary to complement in situ measures, *ex situ*, preferably in the country of origin. The Strategy will pay special attention to the conservation of the world's important areas of plant diversity, and to the conservation of plant species of direct importance to human societies;

(c) *Using plant diversity sustainably:*

(i) Strengthen measures to control unsustainable utilization of plant resources;
(ii) Support the development of livelihoods based on sustainable use of plants, and promote the fair and equitable sharing of benefits arising from the use of plant diversity;

(d) *Promoting education and awareness about plant diversity:* Articulate and emphasize the importance of plant diversity, the goods and services that it provides, and the need for its conservation and sustainable use, in order to mobilize necessary popular and political support for its conservation and sustainable use;

(e) *Building capacity for the conservation of plant diversity:*

(i) Enhance the human resources, physical and technological infrastructure necessary, and necessary financial support for plant conservation;
(ii) Link and integrate actors to maximize action and potential synergies in support of plant conservation.

B. Rationale, scope and general principles

6. Plants are universally recognized as a vital part of the world's biological diversity and an essential resource for the planet. In addition to the small number of crop plants used for basic food and fibres, many thousands of wild plants have great economic and cultural importance and potential, providing food, medicine, fuel, clothing and shelter for vast numbers of people throughout the world. Plants play

a key role in maintaining the planet's basic environmental balance and ecosystem stability and provide an important component of the habitats for the world's animal life. At present, a complete inventory of the plants of the world has not been assembled, but it is estimated that the total number of vascular plant species may be of the order of 300,000. Of particular concern is the fact that many are in danger of extinction, threatened by habitat transformation, over-exploitation, alien invasive species, pollution and climate change. The disappearance of such vital and large amounts of biodiversity sets one of the greatest challenges for the world community: to halt the destruction of the plant diversity that is so essential to meet the present and future needs of humankind. The Global Strategy for Plant Conservation is proposed to address this challenge. While the entry point for the Strategy is conservation, aspects of sustainable use and benefit-sharing are also included.

7. The rationale for a strategy focusing on plants has two aspects:

(a) Plants are primary producers and provide habitat infrastructure for many ecosystems;

(b) Setting meaningful targets is feasible since scientific understanding of at least higher plants, though incomplete, is better than for most other groups.

8. Accordingly, the Strategy addresses the Plant Kingdom with focus on higher plants, and other well-described groups such as Bryophytes and Pteridophytes. The setting of measurable targets for this set of taxa is more credible than for many lower plant groups. This does not imply that these groups do not have important ecological functions, nor that they are not threatened. However, effective action will be best achieved by focusing, in an initial phase at least, on achievable outcomes for known taxa. Parties may choose on a national basis to include lower taxa.

9. The Strategy applies to plant genetic diversity, plant species and communities and their associated habitats and ecosystems.

10. The Strategy would provide a framework for actions at global, regional, national and local levels. A global dimension to the Strategy is important because it can:

(a) Facilitate the development of a global consensus of key objectives, targets and actions;

(b) Strengthen possibility of implementing necessary transnational actions (such as some recovery programmes);

(c) Optimize availability and usefulness of information;

(d) Be used to focus research on key generic issues (such as conservation methods);

(e) Allow the identification of appropriate standards for plant conservation;

(f) Mobilize support for globally significant actions (globally threatened species; "centres of plant diversity" and "hot spots"); and

(g) Allow for collaboration between national, regional and international entities.

11. The Global Strategy for Plant Conservation will:

(a) Apply the Convention provisions on access and benefit-sharing, drawing as appropriate on the Bonn Guidelines for access and benefit-sharing, with a view to ensuring a fair and equitable sharing of benefits arising from the use of genetic resources, and consistent with the International Treaty on Plant Genetic Resources for Food and Agriculture;

(b) Build upon the knowledge, innovations and practices of indigenous and local communities, with the approval and involvement of the holders of such knowledge, innovations and practices, and contribute to the implementation of Article 8(j) of the Convention;

(c) Apply the ecosystem approach adopted under the Convention, recognizing the interaction of plants and plant communities, with other components of ecosystems, at all scales, and their role in ecosystem functions and processes. The ecosystem approach also implies, *inter alia*, intersectoral cooperation, decentralization of management to the lowest level appropriate, equitable distribution of benefits, and the use of adaptive management policies that can deal with uncertainties and are modified in the light of experience and changing conditions;

(d) Employ *in situ* conservation measures as the primary approach for conservation, complementing them where necessary with *ex situ* measures. The Strategy provides an opportunity to explore linkages between *in situ* and *ex situ* conservation, including in restoration programmes.

(e) Adopt a multidisciplinary approach that takes into account scientific, social and economic issues;

(f) Strengthen initiatives on national inventories.

C. Targets

12. The global targets for the year 2010[112] are as follows, and their terms and technical rationale are appended to the present Strategy:

(a) *Understanding and documenting plant diversity:*

(i) A widely accessible working list of known plant species, as a step towards a complete world flora;

(ii) A preliminary assessment of the conservation status of all known plant species, at national, regional and international levels;

(iii) Development of models with protocols for plant conservation and sustainable use, based on research and practical experience;

(b) *Conserving plant diversity:*

(iv) At least 10 per cent of each of the world's ecological regions effectively conserved;

(v) Protection of 50 per cent of the most important areas for plant diversity assured;

112 The date of 2010 has been used to synchronize the Strategy with the Convention's Strategic Plan (see decision VI/26).

(vi) At least 30 per cent of production lands managed consistent with the conservation of plant diversity;
(vii) 60 per cent of the world's threatened species conserved *in situ*;
(viii) 60 per cent of threatened plant species in accessible *ex situ* collections, preferably in the country of origin, and 10 per cent of them included in recovery and restoration programmes;
(ix) 70 per cent of the genetic diversity of crops and other major socio-economically valuable plant species conserved, and associated indigenous and local knowledge maintained;
(x) Management plans in place for at least 100 major alien species that threaten plants, plant communities and associated habitats and ecosystems;

(c) *Using plant diversity sustainably:*

(xi) No species of wild flora endangered by international trade;
(xii) 30 per cent of plant-based products derived from sources that are sustainably managed;
(xiii) The decline of plant resources, and associated indigenous and local knowledge, innovations and practices that support sustainable livelihoods, local food security and health care, halted;

(d) *Promoting education and awareness about plant diversity:*

(xiv) The importance of plant diversity and the need for its conservation incorporated into communication, educational and public-awareness programmes;

(e) *Building capacity for the conservation of plant diversity:*

(xv) The number of trained people working with appropriate facilities in plant conservation increased, according to national needs, to achieve the targets of this Strategy;
(xvi) Networks for plant conservation activities established or strengthened at national, regional and international levels.

13. These targets provide a framework for policy formulation and a basis for monitoring. National targets developed within this framework may vary from country to country, according to national priorities and capacities taking into account differences in plant diversity.

D. The Strategy as a framework

14. The Strategy is not intended to be a "programme of work" analogous to existing thematic and cross-cutting programmes of work under the Convention. It does not, therefore, contain detailed activities, expected outputs, etc. Rather, the Strategy provides a framework by means of setting outcome-orientated targets (these differ from the "process" targets used so far under the Convention). It is envisaged that the activities necessary to reach those targets could be developed within this framework. In many cases, activities are already under way, or envisaged in existing initiatives. These include:

(a) Activities aimed at plant conservation within national biodiversity strategies and action plans and relevant sectoral and cross-sectoral plans, programmes and policies. In this respect, Parties and Governments may wish to report on the incorporation of the Strategy in their national plans, programmes and policies;

(b) Relevant activities under existing relevant initiatives, in particular: the Strategic Plan and work of the Plants Committee of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), the International Plant Protection Convention (IPPC); the International Treaty on Plant Genetic Resources of the Food and Agriculture Organization; the Berne Convention on the Conservation of European Wildlife and Natural Habitats, the FAO Global Plan of Action for Plant Genetic Resources for Food and Agriculture; the Man and the Biosphere programme of the United Nations Educational, Scientific Cultural Organization (UNESCO); the Global Strategy on Invasive Alien Species of the Global Invasive Species Programme (GISP); the plant conservation programme of the IUCN Species Survival Commission; the International Agenda for Botanic Gardens in Conservation; activities of the International Association of Botanic Gardens; the WWF-UNESCO people and plants programme, and regional strategies such as the European Plant Conservation Strategy of the Council of Europe and Planta Europa; and

(c) Relevant activities under the programmes of work of the Convention on Biological Diversity, including those relating to agricultural biodiversity, forest biological diversity, inland water biological diversity, marine and coastal biological diversity, and dry and sub-humid lands, as well as activities involving cross-cutting issues such as access and benefit-sharing, sustainable use, indicators, alien species, the Global Taxonomy Initiative, and issues related to Article 8(j).

15. The Strategy and its 16 targets are intended to provide a framework for policy makers and public opinion and catalyse the reforms necessary to achieve plant conservation. Clear, stable, long-term targets that are adopted by the international community can help shape expectations and create the conditions in which all actors, whether Governments, the private sector, or civil society, have the confidence to develop solutions to address threats to plant diversity. For the targets to be widely understood, and appealing to public opinion, they need to be kept fairly simple and straightforward. They should be understood in a commonsensical rather than a literal way. In order that the number of targets be kept manageable, they need to focus on a set of activities that are strategic, rather than aiming to be comprehensive. Targets may be reviewed, and appropriate revised, as major new scientific evidence becomes available on important areas for plant diversity, threats to diversity, and major alien species that threaten plants, plant communities and associated habitats and ecosystems.

E. Further work required to develop and implement the Strategy

16. Measures to implement the Strategy will need to be put in place at international, national, and subnational levels. This will include development of national targets and their incorporation into relevant plans, programmes and initiatives, including national biodiversity strategies and action plans. National targets will

vary from country to country according to differences in levels of plant diversity and national priorities. Multilateral and bilateral funding agencies should consider putting in place policies and procedures to ensure that their funding activities are supportive of and do not run counter to the strategy and its targets.

17. For each target, the scope of activities may need to be clarified and sub-targets, or milestones, developed. In order to monitor progress towards achieving the targets, baseline data and a series of indicators may need to be developed. This would draw upon relevant national and international data sets (such as national "red lists"), and make full use of the clearing-house mechanism.

18. Regional components of the Strategy might be developed, perhaps using a biogeographical approach.

19. In addition to the Parties to the Convention, the design, development and implementation of the strategy should involve a range of actors, including:

(a) International initiatives (e.g., intergovernmental organizations, United Nations agencies, multilateral aid agencies);

(b) Conservation and research organizations (including protected-area management boards, botanic gardens, gene banks, universities, research institutes, non-governmental organizations and networks of non-governmental organizations);

(c) Communities and major groups (including indigenous and local communities, farmers, women, youth);

(d) Governments (central, regional, local authorities);

(e) The private sector.

20. In order to promote implementation of the strategy and facilitate cooperation between these initiatives, the Executive Secretary will collaborate with relevant stakeholders. To ensure full participation, the actors mentioned in paragraph 19 above should reflect not only United Nations geographical regions but also biogeographical regions. This collaboration will aim at avoiding duplication of effort, promote collaboration and synergies among existing initiatives, and facilitate analysis of the status, trends, and effectiveness of different measures on the conservation and sustainable use of plant diversity. Consideration might also be given to the establishment of a flexible coordination mechanism.

Appendix
Terms and Technical Rationale for the Sixteen Targets of the Global Strategy for Plant Conservation

A. UNDERSTANDING AND DOCUMENTING PLANT DIVERSITY

TARGET 1: *A widely accessible working list of known plant species, as a step towards a complete world flora*

A working list of known plant species is considered to be a fundamental requirement for plant conservation. The target is considered to be attainable by 2010, especially given that is to be a *working* rather than a definitive list, and it is limited to *known*

organisms (currently about 270,000, which may increase by 10–20% by 2010). Some 900,000 scientific names are known for these 270,000 species. In effect the target will require the compilation and synthesis of existing knowledge, focusing on names and synonyms, and geographical distribution. Both national flora and compilations and international initiatives are important in this respect. The list could be made *accessible* through the World Wide Web, complemented by CD-ROM and printed versions. Further work on national and regional floras is necessary to lay the basis for the longer term aim of developing a complete world flora, including local and vernacular names.

TARGET 2: *A preliminary assessment of the conservation status of all known plant species, at national, regional and international levels*

Over 60,000 species have been evaluated for conservation status according to internationally accepted criteria, of which 34,000 are classified as globally threatened with extinction (IUCN, 1997). In addition, many countries have assessed the conservation status of their own floras. There are currently about 270,000 known species. Of those still to be evaluated, sufficient information for a full assessment is only available for a proportion. Thus, only a *preliminary* assessment will have been carried out on the remaining, "data-deficient" species. Subsequently, further fieldwork will be essential to enable more comprehensive assessments to be undertaken.

TARGET 3: *Development of models with protocols for plant conservation and sustainable use, based on research and practical experience*

Conservation biology research, and methodologies and practical techniques for conservation are fundamental to the conservation of plant diversity and the sustainable use of its components. These can be applied through the development and effective dissemination of relevant models and protocols for applying best practice, based on the results of existing and new research and practical experience of management. 'Protocols' in this sense, can be understood as practical guidance on how to conduct plant conservation and sustainable use activities in particular settings. Key areas where the development of models with protocols is required include: the integration of *in situ* and *ex situ* conservation; maintenance of threatened plants within ecosystems; applying the ecosystem approach; balancing sustainable use with conservation; and methodologies for setting conservation priorities; and methodologies for monitoring conservation and sustainable use activities.

B. CONSERVING PLANT DIVERSITY

TARGET 4: *At least 10 per cent of each of the world's ecological regions effectively conserved*

About 10% of the land surface is currently covered by protected areas. In general, forests and mountain areas are well represented in protected areas, while natural grasslands (such as prairies) and coastal and estuarine ecosystems, including mangroves, are poorly represented. The target would imply: (i) increasing the representation of different ecological regions in protected areas, and (ii) increasing the

effectiveness of protected areas. Since some ecological regions will include protected areas covering more than 10% of their area, the qualifier "at least" is used. In some cases, ecosystems restoration and rehabilitation may be necessary. Effective conservation is understood to mean that the area is managed to achieve a favorable conservation status for plant species and communities. Various approaches are available for use in the identification of ecological regions, based on major vegetation types. Further targets may be agreed in the future.

TARGET 5: *Protection of 50 per cent of the most important areas for plant diversity assured*

The most important areas for plant diversity would be identified according to the criteria including endemism, species richness, and/or uniqueness of habitats, including relict ecosystems, also taking into account the provision of ecosystem services. They would be identified primarily at local and national levels. *Protection* would be *assured* through effective conservation measures, including protected areas. Experience from regional initiatives on important plant areas, as well as a similar approach on important bird areas suggests that 50% is a realistic target for 2010. In the longer term the protection of all important plant areas should be assured.

TARGET 6: *At least 30 per cent of production lands managed consistent with the conservation of plant diversity*

1. For the purpose of the target, *production lands* refer to lands where the primary purpose is agriculture (including horticulture), grazing, or wood production. *Consistent with conservation of plant diversity* implies that a number of objectives are integrated into the management of such production lands:

- Conservation of plant diversity which is an integral part of the production system itself (i.e., crop, pasture or tree species and genetic diversity);
- Protection of other plant species in the production landscape that are unique, threatened, or of particular socio-economic value;
- Use of management practices that avoid significant adverse impacts on plant diversity in surrounding ecosystems, for example by avoiding excessive release of agro-chemicals and preventing unsustainable soil erosion.

2. Increasingly, integrated production methods are being applied in agriculture, including integrated pest management, conservation agriculture, and on-farm management of plant genetic resources. Similarly, sustainable forest management practices are being more broadly applied. Against this background, and with the above understanding of the terms used, the target is considered feasible. Higher targets are appropriate for natural or semi-natural forests and grasslands.

TARGET 7: *60 per cent of the world's threatened species conserved* in situ

Conserved *in situ* is here understood to mean that populations of the species are effectively maintained in at least one protected area or through other *in situ* management measures. In some countries this figure has already been met, but it would require additional efforts in many countries. The target should be seen as a step towards the effective *in situ* conservation of all threatened species.

TARGET 8: *60 per cent of threatened plant species in accessible* ex situ *collections, preferably in the country of origin, and 10 per cent of them included in recovery and restoration programmes*

Currently, over 10,000 threatened species are maintained in living collections (botanic gardens, seed banks, and tissue culture collections), representing some 30% of known threatened species. It is considered that this could be increased to meet the proposed target by 2010, with additional resources, technology development and transfer, especially for species with recalcitrant seeds. Within this target it is suggested that priority be given to critically endangered species, for which a target of 90% should be attained. It is estimated that currently about 2% of threatened species are included in recovery and restoration programmes. Against this baseline, a target of 10% is recommended.

TARGET 9: *70 per cent of the genetic diversity of crops and other major socio-economically valuable plant species conserved, and associated indigenous and local knowledge maintained*

Theory and practice demonstrate that, with an appropriate strategy, 70% of the genetic diversity of a crop can be contained in a relatively small sample (generally, less than one thousand accessions). For any one species, therefore, the target is readily attainable. For some 200–300 crops, it is expected that 70% of genetic diversity is already conserved *ex situ* in gene banks. Genetic diversity is also conserved through on farm management. By working with local communities, associated indigenous and local knowledge can also be maintained. Combining genebank, on farm, and other *in situ* approaches, the target could be reached for all crops in production, as well as major forage and tree species Other major socio-economically important species, such as medicinal plants, could be selected on a case-by-case basis, according to national priorities. Through the combined actions of countries, some 2,000 or 3,000 species could be covered in all.

TARGET 10: *Management plans in place for at least 100 major alien species that threaten plants, plant communities and associated habitats and ecosystems*

There is no agreed reliable estimate of the number of alien species that threaten indigenous plants, plant communities and associated habitats and ecosystems to such an extent that they may be considered as "major." It is recommended therefore that the target be established for an absolute number of such major invasive alien species. The wording "At least 100" is considered appropriate. The 100 invasive alien species would be selected on the basis of national priorities, also taking into account their significance at regional and global levels. For many alien species, it is expected that different management plans will be required in different countries in which they threaten plants, plant communities and associated habitats and ecosystems. This target would be considered as a first step towards developing management plans for all major alien species that threaten plants, plant communities and associated habitats and ecosystems.

C. USING PLANT DIVERSITY SUSTAINABLY

TARGET 11: *No species of wild flora endangered by international trade*

The proposed formulation of the target is more precise since it focuses on those species that are actually threatened by international trade. So formulated, the target is attainable and is complementary to target 12. Species of wild flora endangered by international trade include but are not limited to species listed on CITES appendix 1. The target is consistent with the main purpose of the CITES Strategic Plan (to 2005): "No species of wild flora subject to unsustainable exploitation because of international trade."

TARGET 12: *30 per cent of plant-based products derived from sources that are sustainably managed*

1. *Plant-based products* include food products, timber, paper and other wood-based products, other fibre products, and ornamental, medicinal and other plants for direct use.

2. *Sources that are sustainably managed* are understood to include:

   • Natural or semi-natural ecosystems that are sustainably managed (by avoiding over-harvesting of products, or damage to other components of the ecosystem), excepting that commercial extraction of resources from some primary forests and near-pristine ecosystems of important conservation value might be excluded.
   • Sustainably managed, plantation forests and agricultural lands.

3. In both cases, sustainable management should be understood to integrate social and environmental considerations, such as the fair and equitable sharing of benefits and the participation of indigenous and local communities.

4. Indicators for progress might include:

   • Direct measures e.g.: products meeting relevant verified standards (such as for organic food, certified timber, and intermediate standards that codify good practices for sustainable agriculture and forestry);
   • Indirect measures e.g.: products from sources considered to be sustainable, or near-sustainable, on the basis of farming system analyses, taking into account the adoption of integrated production methods. Assessment of progress will be assisted by the development of criteria and indicators of sustainable agricultural and forest management.

5. Certified organic foods and timber currently account for about 2% of production globally. For several product categories, examples exist of 10–20% of products meeting intermediate standards. Against this baseline, the target is considered to be attainable. It would be applied to each category of plant-based products, understanding that for some categories it will be more difficult to reach and more difficult to monitor progress. Implementation would require a combination of product-specific and sector-wide approaches, consistent with the Convention's programme of work on agricultural biodiversity.

TARGET 13: *The decline of plant resources, and associated indigenous and local knowledge innovations and practices, that support sustainable livelihoods, local food security and health care, halted.*

Plant diversity underpins livelihoods, food security and health care. This target is consistent with one of the widely agreed international development targets, namely to "ensure that current trends in the loss of environmental resources are effectively reversed at both global and national levels by 2015." It is recommended feasible to halt the decline by 2010 and subsequently to reverse the decline. Relevant plant resources and methods to address their decline are largely site specific and thus implementation must be locally driven. The scope of the target is understood to encompass plant resources and associated ethnobotanical knowledge. Measures to address the decline in associated indigenous and local knowledge should be implemented consistent with the Convention's programme of work on Article 8(j) and related provisions.

D. PROMOTING EDUCATION AND AWARENESS ABOUT PLANT DIVERSITY

TARGET 14: *The importance of plant diversity and the need for its conservation incorporated into communication, education and public awareness programmes*

Communication, education and the raising of public awareness about the importance of plant diversity are crucial for the achievement of all the targets of the strategy. This target is understood to refer to both informal and formal education at all levels, including primary, secondary and tertiary education. Key target audiences include not only children and other students, but also policy-makers and the public in general. Consideration should be given to developing specific indicators to monitor progress towards achievement of the overall target. It may be helpful to develop indicators for specific target audiences. Given the strategic importance of education about plant conservation, this issue should be included not only in environmental curricula, but should also be included in broader areas of mainstream education policy.

E. BUILDING CAPACITY FOR THE CONSERVATION OF PLANT DIVERSITY

TARGET 15: *The number of trained people working with appropriate facilities in plant conservation increased, according to national needs, to achieve the targets of this Strategy*

The achievement of the targets included in the Strategy will require very considerable capacity-building, particularly to address the need for conservation practitioners trained in a range of disciplines, with access to adequate facilities. In addition to training programmes, the achievement of this target will require long-term commitment to maintaining infrastructure. "Appropriate facilities" are understood to include adequate technological, institutional and financial resources. Capacity-building should be based on national needs assessments. It is likely that the number of trained people working in plant conservation world-wide will need to double by 2010. Given the current geographical disparity between biodiversity and expertise, this is likely to involve considerably more than a doubling of capacity in many developing countries, small island developing States and coun-

tries with economies in transition. Increased capacity should be understood to include not only in-service training, but also the training of additional staff and other stakeholders, particularly at the community level.

TARGET 16: *Networks for plant conservation activities established or strengthened at national, regional and international levels*

Networks can enhance communication and provide a mechanism to exchange information, know-how and technology. Networks will provide an important component in the coordination of effort among many stakeholders for the achievement of all the targets of the strategy. They will also help to avoid duplication of effort and to optimise the efficient allocation of resources. Effective networks provide a means to develop common approaches to plant conservation problems, to share policies and priorities and to help disseminate the implementation of all such policies at different levels. They can also help to strengthen links between different sectors relevant to conservation, e.g. the botanical, environmental, agricultural, forest and educational sectors. Networks provide an essential link between on-the-ground conservation action and coordination, monitoring and policy development at all levels. This target is understood to include the broadening of participation in existing networks, as well as the establishment, where necessary, of new networks.

DECISION VI/10 | Article 8(j) and related provisions

The Conference of the Parties,

Recalling decision V/16,

Also recalling the second phase of the programme of work and the general principles on the implementation of Article 8(j) and related provisions,

Further recalling paragraph 2 of decision V/16 to complete task 7 relating to the fair and equitable sharing of benefits and task 12 concerning the safeguard and full guarantee of the rights of indigenous and local communities over their traditional knowledge, innovations and practices (which could include *sui generis* systems) within the context of the Convention of the first phase of the programme of work, and that tasks 5 and 11 have not been completed,

Emphasizing the need for dialogue with representatives of indigenous and local communities, particularly women for the conservation and sustainable use of biological diversity within the framework of the Convention,

Noting the progress made in the integration of relevant tasks of the programme of work in the thematic programmes of the Convention, and in the implementation of the priority tasks of the programme of work on Article 8(j) and related provisions,

Recalling principle 10 of the Rio Declaration on Environment and Development,

Recognizing the need to further explore ways and means to enhance the full and effective participation of indigenous and local communities in the Convention process,

Recognizing that the Convention on Biological Diversity is the primary international instrument with the mandate to address issues regarding the respect, preservation and maintenance of knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity,

Also recognizing that indigenous and local communities have their own systems for the protection and transmission of traditional knowledge as part of their customary law,

Further recognizing the need to strengthen national laws, policies and other measures, where necessary, and the need for synergies with measures at the international level for the protection of traditional knowledge, innovations and practices of indigenous and local communities,

Noting with appreciation the work of the Intergovernmental Committee on Intellectual Property, Genetic Resources, Traditional Knowledge and Folklore of the World Intellectual Property Organization, and that of the Permanent Forum on Indigenous Issues established by the Economic and Social Council, the Working Group on Indigenous Populations of the United Nations Commission on Human Rights, the United Nations Development Programme, the United Nations Environment Programme, the United Nations Educational, Scientific and Cultural Organization, the United Nations Conference on Trade and Development, and the World Health Organization, the International Labour Organization and encourages further collaboration among them and with the Convention on Biological Diversity,

Noting that other relevant international and intergovernmental bodies such as the United Nations Conference on Trade and Development, the United Nations Environment Programme, the Food and Agriculture Organization of the United Nations, the United Nations Educational, Scientific and Cultural Organization, the World Trade Organization, the Working Group on Indigenous Populations of the Commission on Human Rights, and the World Health Organization are also discussing related matters in their work programmes,

Noting the ongoing review process of the World Trade Organization Agreement on Trade-related Aspects of Intellectual Property Rights, particularly with respect to Article 27.3(b) and Article 71 of the Agreement,

Noting also the work on the role of intellectual property rights in the implementation of access and benefit-sharing arrangements with the framework of the Ad Hoc Open-ended Working Group on Access and Benefit-Sharing,

Further noting paragraph 19 of the Declaration of the World Trade Organization Doha Ministerial Meeting related to the examination by World Trade Organization Council on Trade-related Aspects of Intellectual Property Rights of the relationship between the Agreement on Trade-related Aspects of Intellectual Property Rights and the Convention on Biological Diversity as well as the protection of traditional knowledge,

A. Report on progress in the integration of relevant tasks of the programme of work on Article 8(j) and related provisions into the thematic programmes of the Convention on Biological Diversity

1. *Requests* the Executive Secretary of the Convention to examine, in collaboration with the Food and Agriculture Organization of the United Nations, the implication of the International Treaty on Plant Genetic Resources for Food and Agriculture on the issues under Article 8(j) and related provisions;

2. *Notes* the progress made in the integration of the relevant tasks of the programme of work in the thematic programmes of the Convention and *emphasizes* to Parties the need for further action on:

(a) With regard to forest biological diversity, the development of methodologies to advance the integration of traditional forest-related knowledge into sustainable forest management, promotion of activities to assemble management experiences and scientific, indigenous and local information at the national and local levels, and dissemination of research results and syntheses of reports on relevant scientific and traditional knowledge on key forest biological issues;

(b) With regard to marine and coastal biological diversity, the provision of information regarding approaches to the management of marine and coastal living resources in relation to those used by indigenous and local communities;

(c) With regard to inland water ecosystems, the implementation of the guidelines for establishing and strengthening local communities' and indigenous peoples' participation in the management of wetlands, adopted by the Conference of the Parties to the Ramsar Convention, through its resolution VII.8;

(d) With regard to agricultural biological diversity, the need to support local dryland and sub-humid ecosystems, and capacity-building to promote farming practices and information exchange to assist farmers and indigenous and local communities to transform unsustainable agricultural practices to sustainable ones and to increase productivity;

3. *Urges* Parties, where they have not already done so, to include information in their national reports on each of the thematic programmes dealt with under the Convention on Biological Diversity, on:

(a) The status and trends in relation to traditional knowledge, innovations and practices of indigenous and local communities;

(b) Measures taken to enhance the participation of indigenous and local communities, particularly that of women from such communities, and their relevant organizations in the implementation of national work programmes in each of the thematic areas; and

(c) Capacity-building measures taken to facilitate the involvement of indigenous and local communities and the application of the knowledge they hold, with their prior informed consent, in the management, conservation and sustainable use of biological diversity in each of the thematic areas at national, subnational and local levels;

4. *Requests* the Executive Secretary to prepare a progress report on the integration of the relevant tasks of the programme of work on Article 8(j) into each of the thematic areas, taking into account the above information, for the consideration of the Ad Hoc Working Group on Article 8(j) and Related Provisions at its third meeting;

5. *Reminds* Parties of the need for further action in relation to the potential impacts of genetic use restriction technologies on the indigenous and local communities and on Farmer's Rights, according to the studies and reports elaborated by different relevant organizations, the consultations held by the Executive Secretary, and other appropriate analysis and information sources.

B. Review of progress in the implementation of the priority tasks of the programme of work on Article 8(j) and related provisions

Recalling paragraph 6 of decision V/19, in which it is recommended that Parties prepare their national reports through a consultative process involving all relevant stakeholders, as appropriate, or by drawing upon information developed through other consultative processes, and requests Parties to ensure that indigenous and local communities, as well as women are included in the consultative process, particularly in relation to the preparation of those sections of the national report dealing with Article 8(j) and related provisions and the programme of work,

6. *Requests* the Executive Secretary to prepare a report on progress on the implementation of the programme of work on Article 8(j) and related provisions based on information submitted in national reports, and other relevant information, for the next meeting of the Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions;

7. *Decides* that one meeting of the Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions be organized prior to the seventh meeting of the Conference of the Parties in order to ensure further advancement of the implementation of the work programme on Article 8(j) and related provisions.

C. Outline of the composite report on the status and trends regarding the knowledge, innovations and practices of indigenous and local communities relevant to the conservation and sustainable use of biodiversity

8. *Adopts* the outline of the composite report on the status and trends regarding the knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity as a basis for proceeding with the first phase of information-gathering and reporting, as contained in annex I to the present decision;

9. *Requests* the Executive Secretary to undertake the first phase of the composite report, based upon elements 1 and 2 in the outline, and to submit the first phase report to the next meeting of the Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions. This will include recommendations for the subsequent phases and, as necessary, revision of the outline;

10. *Also requests* the Executive Secretary to use the information contained in the report to support further advancement of the programme of work on Article 8(j) and related provisions of the Convention on Biological Diversity;

11. *Further requests* the Executive Secretary to ensure the full and effective participation of indigenous and local communities, particularly women, in the completion of the report, through, *inter alia*, the organization of regional workshops, and *encourages* Parties and Governments to hold national workshops. In that regard, appropriate financing should be provided. The outcome of the workshops will be submitted to the Secretariat as a contribution to the composite report.

D. Recommendations for the conduct of cultural, environmental and social impact assessment regarding developments proposed to take place on, or which are likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities

12. *Adopts*, pursuant to Article 8(j) and Article 14 of the Convention on Biological Diversity and decision V/16 of the Conference of the Parties, the recommendations for the conduct of cultural, environmental, and social impact assessments regarding development proposed to take place on, or which are likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities contained in annex II to the present decision;

13. *Requests* the Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions, at its third meeting, to carry out further work on guidelines for the conduct of cultural, environmental and social impact assessments regarding developments proposed to take place on, or which are likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities. Such work, with the aim of strengthening the social and cultural aspects, should complement and be in conjunction with the "guidelines for incorporating biodiversity-related issues into environmental assessment legislation and/or processes and in strategic environmental assessment," endorsed by the Conference of the Parties in its decision VI/7 A, and address institutional and procedural considerations;

14. *Also requests* the Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions to submit the outcome of its work from its third meeting for consideration at the seventh meeting of the Conference of the Parties;

15. *Invites* Parties and Governments to pay due regard to these recommendations until the complete set of guidelines for impact assessment is finalized;

16. *Requests* Parties and Governments to undertake education and awareness-raising and develop communication strategies that allows indigenous and local communities, with special attention to indigenous and local community women, relevant government departments and agencies, private sector developers, potential stakeholders in development projects, and the public at large to be made aware of these recommendations, for incorporation, as appropriate, into policies and processes for the assessment of proposed developments;

17. *Invites* those secretariats of intergovernmental agreements, agencies, organizations and processes whose mandates and activities involve potential significant impacts on biological diversity, or who are in the process of developing guidelines or policies regarding such impacts, to take into consideration the recommendations contained in annex II to the present decision;

18. *Also invites* international funding and development agencies that provide funding and other forms of assistance to Governments, developing countries, in particular least developed countries and small island developing States, to facilitate the incorporation of the recommendations into policies and processes for the assessment of proposed developments;

19. *Further invites* international funding and development agencies and relevant non-governmental organizations, where requested, and in accordance with their mandates and responsibilities, to consider providing assistance to indigenous and local communities, particularly women, for the conduct of cultural, environmental and social impact assessments regarding developments proposed to take place on territories, lands and waters traditionally occupied or used by them, and which take into account the recommendations in annex II to the present decision.

E. Participatory mechanisms for indigenous and local communities

20. *Invites* Parties, Governments and relevant international, non-governmental and indigenous and local community organizations, to submit to the Executive Secretary information on their national experiences, case-studies, best practices, and lessons learned concerning participatory mechanisms for indigenous and local communities in matters related to the objectives of Article 8(j) and related provisions of the Convention;

21. *Requests* the Executive Secretary to prepare a synthesis report based on the information referred to in paragraph 20 above, and, taking into account that conditions may vary from country to country, *invites* Parties and Governments to use the report as a basis for the establishment and/or strengthening of mechanisms at the national and local levels aimed at promoting full and effective participation of indigenous and local communities, especially women, in the decision-making process regarding the preservation, maintenance and utilization of traditional knowledge relevant for the conservation and sustainable use of biological diversity;

22. *Requests* the Executive Secretary to explore and, as appropriate, secure potential sources of funding to facilitate the full and effective participation of indigenous and local communities of all geographical regions in meetings organized within the framework of the Convention and to report thereon to the Conference of the Parties;

23. *Urges* Parties and Governments to strengthen their efforts to support capacity-building aimed at the full and effective participation of indigenous and local communities, particularly women, in decision-making processes regarding the preservation, maintenance and utilization of traditional knowledge relevant for the conservation and sustainable use of biological diversity at all levels (local, national, regional and international); and, where indigenous and local communities and Par-

ties and Governments deem appropriate, promote their participation in the management of biological diversity; and encourage the capacity-building efforts of indigenous and local communities in getting access to existing protections in national and international laws regarding the preservation, maintenance and utilization of their traditional knowledge;

24. *Also urges* Parties and Governments and, as appropriate, international organizations to encourage and support the development of communication mechanisms, such as the Indigenous Biodiversity Information Network, among indigenous and local communities in response to their need for better understanding of the objectives and provisions of the Convention on Biological Diversity and for supporting discussions on guidelines, priorities, time-lines and the implementation of the thematic programmes of the Convention;

25. *Requests* the Executive Secretary to consult with the secretariats of relevant environmental conventions and programmes, such as the United Nations Convention to Combat Desertification, the United Nations Framework Convention on Climate Change, the Convention on Wetlands (Ramsar, Iran, 1971), the Convention on the Conservation on Migratory Species of Wild Animals, and the Convention on International Trade in Endangered Species of Wild Fauna and Flora, and to explore the possibility of cooperating in order to facilitate collaboration among the different conventions with regard to the participation and involvement of indigenous and local communities in discussions related to the maintenance and application of traditional knowledge relevant for the conservation and sustainable use of biological diversity;

26. *Also requests* the Executive Secretary to communicate with the Permanent Forum on Indigenous Issues, established as a subsidiary organ of the United Nations Economic and Social Council, and other relevant bodies such as the World Intellectual Property Organization, the United Nations Conference on Trade and Development and the United Nations Educational, Scientific and Cultural Organization, in order to explore possibilities of coordination and collaboration on matters of mutual concern;

27. *Urges* Parties and Governments to develop, implement and evaluate, in cooperation with indigenous and local communities, strategies aimed at promoting awareness and enhancing access by indigenous and local communities to information on issues relating to Article 8(j) and related provisions of the Convention;

28. *Requests* the Executive Secretary to establish a technical expert group to develop the roles and responsibilities of the thematic focal point within the clearing-house mechanism of the Convention on issues related to Article 8(j) and related provisions, in accordance with task 8 of the programme of work adopted by the Conference of the Parties in its decision V/16;

29. Also *requests* funding agencies, in particular the Global Environment Facility, to provide information on activities and processes, including information on the criteria for eligibility and access to project funding, and make such information easily accessible to Parties, Governments and indigenous and local communities (for example, through electronic, print/broadcast, popular publications, and other means);

30. *Invites* the Global Environment Facility to give special consideration in funding to projects that clearly contain elements of participation of indigenous and local communities, where appropriate, and to continue to apply the Global Environment Facility's policy on public involvement to support the full and effective participation of indigenous and local communities.

F. Assessment of the effectiveness of existing subnational, national and international instruments, particularly intellectual property rights instruments, that may have implications for the protection of the knowledge, innovations and practices of indigenous and local communities

31. *Invites* the Intergovernmental Committee on Intellectual Property and Genetic Resources, Traditional Knowledge and Folklore of the World Intellectual Property Organization to continue its efforts to promote the more effective participation of indigenous and local communities in its work and invites the Intergovernmental Committee to examine and consider mechanisms to protect traditional knowledge, such as the disclosure of the origin of relevant traditional knowledge in applications for intellectual property rights;

32. *Invites* the Scientific, Technical, and Research Commission of the Organization of African Unity to continue its work and requests the Executive Secretary to encourage and assist the African Union to facilitate implementation of, in a manner consistent with the Convention on Biological Diversity, the African Model Law for the Protection of the Rights of Local Communities, Farmers and Breeders and for the Regulation of Access to Biological Resources;

33. *Also invites* Parties and Governments, with the approval and involvement of indigenous and local communities representatives, to develop and implement strategies to protect traditional knowledge, innovations and practices based on a combination of appropriate approaches, respecting customary laws and practices, including the use of existing intellectual property mechanisms, *sui generis* systems, customary law, the use of contractual arrangements, registers of traditional knowledge, and guidelines and codes of practice, with the support of relevant intergovernmental organizations such as the Working Group on Indigenous Populations of the United Nations Commission on Human Rights, the Permanent Forum on Indigenous Issues established by the Economic and Social Council, the World Health Organization, the World Intellectual Property Organization, the United Nations Educational, Scientific and Cultural Organization, and the United Nations Conference on Trade and Development;

34. *Requests* the Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions of the Convention on Biological Diversity to address the issue of *sui generis* systems for the protection of traditional knowledge, focusing in particular on the following issues:

(a) Clarification of relevant terminology;

(b) Compiling and assessing existing indigenous, local, national and regional *sui generis* systems;

(c) Making available this compilation and assessment through the clearing-house mechanism of the Convention;

(d) Studying existing systems for handling and managing innovations at the local level and their relation to existing national and international systems of intellectual property rights, with a view to ensure their complementarity;

(e) Assessing the need for further work on such systems at the local, national, regional and international levels;

(f) Identifying the main elements to be taken into consideration in the development of *sui generis* systems;

(g) The equitable sharing of benefits arising from the utilization of traditional knowledge, innovations and practices of indigenous and local communities, taking into account the work carried out by the Intergovernmental Committee Intellectual Property and Genetic Resources, Traditional Knowledge and Folklore with a view to promote mutual supportiveness, and existing regional, subregional, national and local initiatives;

35. *Also requests* the Executive Secretary to continue to compile information provided by Parties and Governments relating to existing national legislation and other measures for the protection of traditional knowledge, innovations and practices;

36. *Invites* the World Trade Organization and the World Intellectual Property Organization to make available to the Executive Secretary information referred to in paragraph 35 above provided through their respective notification systems;

37. *Requests* the Executive Secretary to make the information referred to in paragraphs 35 and 36 above available through, *inter alia*, the clearing-house mechanism, with a view to enabling Parties and Governments to monitor the implementation of Article 8(j) and to identify best practices;

38. *Invites* the World Intellectual Property Organization to forward to the Executive Secretary all documents considered to be relevant with respect to advances made by the Intergovernmental Committee so that they be included in documentation for meetings of the Working Group on Article 8(j);

39. *Encourages* Parties and Governments, where they have not already done so, to take measures to establish or improve operational links between their national governmental intellectual-property bodies, national focal points of the Convention on Biological Diversity, and indigenous and local communities and their organizations in order to better coordinate and institute measures to protect their traditional knowledge, innovations and practices relevant to the conservation and sustainable use of biological diversity, particularly with regard to traditional-knowledge documentation initiatives and community-based registries of traditional knowledge;

40. *Also encourages* Parties and Governments, with the assistance of international development agencies and other relevant organizations, as appropriate, and with the participation, involvement and consent of the concerned indigenous and local communities, to undertake pilot projects in order to evaluate the effectiveness of existing intellectual property rights regimes, contractual methods and new systems being developed as a means of protection of traditional knowledge;

41. *Invites* Parties and Governments, with the approval and involvement of indigenous and local communities to examine the feasibility of establishing mechanisms to protect the traditional knowledge, innovations and practices of these communities relevant to the conservation and sustainable use of biological diversity, taking into consideration customary laws and practices, and subject to national legislation:

42. *Also invites* Parties, Governments, international development agencies, and other relevant international organizations and institutions to provide technical and financial assistance to developing country Parties, in particular the least developed and small island developing States among them, and countries with economies in transition, and to indigenous and local communities, in consultation with the national focal points, where appropriate, for the enhancement of national capacities for the establishment and maintenance of mechanisms to protect traditional knowledge at national and subnational levels, and for building the capacity of indigenous and local communities to develop strategies and systems for the protection of traditional knowledge;

43. *Further invites* Parties and Governments, indigenous and local communities and relevant organizations to exchange national experiences among countries where progress has been made in incorporating elements of customary law relevant for the protection of traditional knowledge, innovations and practices of indigenous and local communities in national legislation;

44. *Also invites* Parties and Governments, indigenous and local community organizations and other relevant organizations to submit case-studies and other relevant information for the Executive Secretary to compile and disseminate through the clearing-house mechanism concerning:

(a) Information regarding the nature, diversity and status under national laws of customary laws of indigenous and local communities, collected with their full and effective participation;

(b) The development of strategies by indigenous and local communities to protect their traditional knowledge, innovations and practices, emphasizing the approaches used, the method of implementation and problems encountered;

(c) The establishment of operational links between national intellectual-property authorities and indigenous and local communities to facilitate the protection of their traditional knowledge, innovations and practices relevant to the conservation and sustainable use of biological diversity;

(d) Experiences in the implementation of regionally harmonized *sui generis* systems; and

(e) The activities and conduct of researchers and academic institutions pertinent to the protection and promotion of traditional knowledge, innovations and practices;

45. *Requests* the Executive Secretary to disseminate the case-studies and information referred to in paragraph 44 above through the clearing-house mechanism and other relevant means;

46. *Invites* Parties and Governments to encourage the disclosure of the origin of relevant traditional knowledge, innovations and practices of indigenous and local communities relevant to the conservation and sustainable use of biological diversity in applications for intellectual property rights, where the subject matter of the application concerns or makes use of such knowledge in its development;

47. *Urges* Parties and Governments to examine, as appropriate, relevant provisions of the Convention on Biological Diversity with respect to prior informed consent and mutually agreed terms where traditional knowledge is used in its original form or in the development of new products and/or new applications;

48. *Invites* Parties and Governments, with the assistance of the World Intellectual Property Organization, to take into account traditional knowledge in the examination of novelty and inventive step in patent applications;

49. *Also invites* Parties, Governments and relevant international organizations to submit information on the feasibility of establishing appropriate dispute-settlement or arbitration procedures and mechanisms, including the possible application of Article 27 of the Convention on Biological Diversity, to address cases of disputes between contracting Parties concerning the interpretation or application of the Convention relating to traditional knowledge, innovations and practices.

ANNEX I
OUTLINE OF THE COMPOSITE REPORT ON THE STATUS AND TRENDS REGARDING THE KNOWLEDGE, INNOVATIONS AND PRACTICES OF INDIGENOUS AND LOCAL COMMUNITIES RELEVANT TO THE CONSERVATION AND SUSTAINABLE USE OF BIODIVERSITY, AND THE PLAN AND TIMETABLE FOR ITS PREPARATION

I. Outline of the Composite Report

The following is an indicative list of possible topics and sub-topics that could be addressed in the composite report. Review of phase I will lay the necessary foundation for the subsequent review under phase II.

A. PHASE I

1. The state of the retention of traditional biodiversity-related knowledge

1. The state of retention of traditional knowledge varies considerably from country to country and within countries; in relation to global food and medicinal security; and across and within major ecosystem categories. In many indigenous and local communities, some traditional practices relevant to the conservation and sustainable use of biological resources have ceased as a result of such factors as loss of land, disappearance of subsistence species from local ecosystems, and national programmes for modernization and resettlement. However, the knowledge of those practices still remains, making their reintroduction, in relevant circumstances, a practical option for the purposes of indigenous and local communities. In this section, it is proposed, under the following headings, to assess the state of retention of traditional knowledge in relation to three important biological diversity sectors

(food, medicine, and conservation and sustainable use of flora and fauna) and in relation to the major ecosystem categories, and also assess the feasibility of taking measures to conserve and protect threatened traditional knowledge and practices associated with the conservation and sustainable use of biological diversity.

1.1 Status of traditional knowledge of plant genetic resources for food and agriculture (PGRFA).

1.2 Status of traditional knowledge of animals and microorganisms for food and other purposes.

1.3 Status of traditional medicinal knowledge.

1.4 Status of traditional knowledge systems concerning the following ecosystem categories:

1.4.1 Forests
1.4.2 Dryland and steppes ecosystems
1.4.3 Marine and coastal ecosystems
1.4.4 Island ecosystems
1.4.5 Mountain and valley ecosystems
1.4.6 Inland waters
1.4.7 Arctic ecosystems.

1.5 Knowledge versus practice: state of retention of traditional knowledge concerning practices relevant to the customary management, conservation and sustainable use of biological diversity that are no longer maintained or are at risk of disappearing.

1.6 Assessing the feasibility of using existing traditional knowledge to maintain customary practices relevant for the management, conservation and sustainable use of biological diversity.

2. The research should be conducted in a fashion that is not intrusive, gives effect to the need to respect, preserve and maintain traditional knowledge, innovations and practices, and respects the capacity of indigenous and local communities to protect traditional knowledge.

2. Identification and assessment of measures and initiatives to protect, promote and facilitate the use of traditional knowledge

3. National reports to date have revealed a range of measures that have been taken in various countries at national and local levels to stem the loss of traditional knowledge. Such measures include legislation governing access to genetic resources that also requires the free prior informed consent of affected indigenous and local communities; recognition of customary systems of land tenure; establishment of traditional knowledge registers; introduction of *sui generis* laws to protect traditional knowledge; language programmes to recover and/or maintain local languages; constitutional recognition of the rights of indigenous and local communities, with empowerment at the local level to enact various laws that can be used to protect the interests of the community; wider application of traditional knowledge, with the consent and involvement of its holders, in a range of biodiversity conservation

and sustainable use measures; repatriation from museums and other holding institutions of important objects and associated information to communities of origin, researchers to return knowledge and information of indigenous peoples to the respective groups; and the establishment of codes of ethics, to be determined by indigenous peoples, to guide conduct of researchers. While measures differ from country to country and among communities, a mix of appropriate initiatives is emerging that can facilitate the revival and maintenance of traditional knowledge and cultural practices relevant to the conservation and sustainable use of biological diversity. It is proposed that these initiatives be assessed under the following headings:

2.1 Regional and national land use practices.

2.2 Incentive measures.

2.3 Capacity-building measures.

2.4 Repatriation of objects and associated information to communities of origin.

2.5 Strategic planning for conservation and sustainable use of biological diversity within the context of community development planning.

2.6 Legislative (including policy and administrative) measures.

B. SUBSEQUENT PHASES

3. The relationship between biological, cultural and linguistic diversity

4. A number of studies have highlighted the fact that many of the centres of highest biological diversity are also places of high cultural and linguistic diversity, and have demonstrated that the relationship between biological, cultural and linguistic diversity is mutually dependent in many of these regions. A decrease in the diversity of any of these components could lead to a loss of traditional knowledge and therefore diminish humanity's capacity to conserve and sustainably use many of the Earth's vital ecosystems. It is proposed that the issues raised with respect to the continued maintenance and application of traditional knowledge, innovations and practices by virtue of the nature of the relationship between biological, cultural and linguistic diversity be addressed under the following headings:

3.1 Diversity: the key to a sustainable future.

3.2 Loss of local languages as a factor in the loss of traditional knowledge.

3.3 Loss of biological diversity as a factor in the loss of traditional knowledge, and vice versa.

3.4 Cessation of cultural practices relevant to the conservation and sustainable use of biological diversity as a factor in the loss of traditional knowledge.

3.5 Impoverishment.

3.6 Migration.

3.7 Reduction in numbers of indigenous peoples.

3.8 Loss of ancestral lands and territories.

4. Identification of national processes that may threaten the maintenance, preservation and application of traditional knowledge

5. Many of the processes that may continue to threaten the maintenance and survival of traditional knowledge have their roots in the histories of many countries, for example, in the processes of colonization involving conflict, introduced diseases, dispossession of territories, resettlement, forced assimilation, and marginalization of indigenous and local communities. Some studies have indicated that national development programmes and policies, modernization of agricultural production and other natural resource-based industries, education and training programmes, and employment strategies often do not take into sufficient account the needs of indigenous and local communities. Similarly, there has been a lack of effective indigenous and local community involvement in the design of the necessary policies and programmes to enable such communities to protect their traditional knowledge or to capitalize on their innovative capacities for the conservation and sustainable use of biological diversity within the national and global economies. It is proposed that these issues could be addressed as follows:

4.1 Demographic factors.

4.2 National development policies/programmes.

4.3 Education, training and employment policies/programmes.

4.4 National programmes for modernization through the development, transfer and adoption of new technologies.

4.5 Identification of activities, actions, policies and legislative and administrative procedures that may discourage the respect for, preservation and maintenance of traditional biodiversity-related knowledge.

5. Identification of processes at the local community level that may threaten the maintenance, preservation and application of traditional knowledge

6. A number of factors that may threaten the maintenance of traditional knowledge also occur at the local community level, by disrupting the processes of intergenerational transmission of languages, cultural traditions and skills. The significance of these factors will vary from country to country, but they generally include changes to patterns of settlement; the movement of young people to cities for employment, education and lifestyle opportunities; introduction of new technologies, foods and medicines, making people less reliant on traditional ways; low levels of life expectancy brought about by changes in lifestyle and new epidemics such as HIV-AIDS; and a host of new cultural influences disseminated through modern media. Many indigenous and local communities, while having a solid natural resource base and the traditional knowledge to conserve and use it sustainably, nevertheless, may not have sufficient capacity to be able to develop these assets for the benefit of their communities in today's economy. In some instances, this situation has encouraged the development of these assets by outside interests to the detriment of the communities and has resulted in their further marginalization. These issues would be explored under the following headings:

5.1 Territorial factors and factors affecting communal lands.

5.2 Cultural factors.

5.3 Economic factors (including the relationship between poverty and ecosystem stress).

5.4 Social factors (including demographic, gender and familial factors).

5.5 Constraints on the exercise of customary laws relevant to the management, conservation and sustainable use of biological diversity.

5.6 Lack of capacity to manage contemporary threats to biological diversity resulting from development, over-use and socio-economic pressures generated outside the community.

5.7 The impact of HIV-AIDS on the maintenance of traditional knowledge systems.

5.8 Impact of organized religions on traditional knowledge and practices.

6. Trends regarding the recognition and implementation of Article 8(j) and related provisions

7. While measures taken in support of Article 8(j) and related provisions both internationally and nationally are relatively recent, it may be possible to discern trends in terms of which measures are proving more effective, how they are being monitored, and what improvements can be made. Many indigenous and local communities, particularly women, have also taken their own initiatives to preserve, protect and promote the use of their traditional knowledge. It is proposed that these trends be analysed according to the following headings:

6.1 International trends:

6.1.1 Intergovernmental agencies and processes
6.1.2 Non-governmental organizations.

6.2 The role of the World Bank and the regional development banks.

6.3 National trends.

6.4 Trends at the local level.

6.5 Private sector trends.

6.6 Articulation and application of traditional knowledge (including indigenous knowledge) and contemporary scientific management practices for the conservation and sustainable use of biological diversity.

6.7 Implications of globalization.

7. Conclusions: lessons learned and identification of best practices for the maintenance, preservation and application of traditional knowledge

8. The report would include conclusions based on the findings emerging from the consideration of the previous topics and sub-topics.

C. PLAN FOR THE PREPARATION OF THE REPORT

9. The objective is to produce the first phase of a composite report on the status and trends regarding the knowledge, innovations and practices of indigenous and local communities relevant to the conservation and sustainable use of biological diversity for the consideration of the third meeting of the Ad Hoc Open-ended Inter-Sessional Working Group on Article 8(j) and Related Provisions so that the Working Group can make recommendations for the consideration of the Conference of the Parties at its seventh meeting.

10. Accordingly, the following stages are proposed for the preparation of the first phase of the report:

(a) *Stage 1*: Selection and appointment of a consultant to prepare the report; the consultant should be engaged as soon as possible after the sixth meeting of the Conference of the Parties;

(b) *Stage 2*: Based on the decision of the Conference of the Parties at its sixth meeting regarding the outline of the report, address the elements of the report. This stage will entail literature surveys, extraction and analysis of information, and preparation of a written report for each of the elements (chapters) identified in the outline. Research and the writing up of the chapters should be completed within 12 months of starting (i.e., September 2003);

(c) *Stage 3*: The separate chapters of the report are to be edited, and the introduction and concluding chapters, the executive summary and recommendations are to be prepared by the consultant. The executive summary and recommendations should be prepared in a format suitable for presentation to the Ad Hoc Working Group on Article 8(j) and Related Provisions for consideration at its third meeting. This stage should be completed by 31 December 2003, with the distribution of the executive summary and recommendations to Parties, indigenous and local communities, and relevant organizations;

(d) *Stage 4*: Review of the report by the Ad Hoc Working Group on Article 8(j) and Related Provisions at its third meeting. It is assumed that the third meeting would take place in February or March 2004 to enable sufficient time for the preparation and presentation of the report;

(e) *Stage 5*: Consideration of the report by the Conference of the Parties at its seventh meeting, taking into account recommendations from the third meeting of the Ad Hoc Working Group on Article 8(j) and Related Provisions.

D. OVERVIEW OF TIMETABLE FOR PREPARATION OF THE FIRST PHASE OF THE COMPOSITE REPORT

STAGE	TASK	RESPONSIBILITY	DURATION	DEADLINE	MEETING
STAGE 1	Appointment of consultant to prepare report	Executive Secretary		30 September 2002	
STAGE 2	Compile the chapters of the first phase of the report	Consultant	12 months	30 September 2003	
STAGE 3	Complete the first phase of the report and distribute to Parties, etc.	Consultant and Executive Secretary	3 months	31 December 2003	
STAGE 4	Review of the first phase of the report	Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions			Third meeting of the Working Group
STAGE 5	Consideration of the first phase of the report and recommendations	Conference of the Parties			Seventh meeting of the Conference of the Parties

II. Considerations Regarding the Size and Scope of the Report

11. An accurate and comprehensive assessment of the status and trends with regard to the state of traditional knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity is essential to the formulation of policies, plans and strategies at international, regional, national and local levels.

12. The most important considerations concerning the composite report are its scope and size as these will have a direct bearing on the amount of time and resources needed to complete the task. Two factors that have significant bearing on the elements to be addressed in the report are:

(a) The size and diversity of the global population of the world's indigenous and local communities embodying traditional lifestyles, and, in particular, those communities comprised of small groups of indigenous peoples; and

(b) The fact that, because of a multitude of factors operating at international, national and local levels, traditional knowledge relevant to the conservation and sustainable use of biological diversity is being lost at an appalling rate—a trend that must prevented and arrested.

13. To date, no definition of what or who constitutes an indigenous or local community embodying a traditional lifestyle has been advanced for the purposes of the Convention, although matters of definition will be addressed as part of task 12 of the programme of work. A possible working definition and use of terms for the purpose of this report must respect the diversity, in all aspects, of indigenous and local communities.

14. A number of recent studies have shown a direct correlation between biological, cultural and linguistic diversity. The implication being that a loss of cultural diversity will also have a direct impact on biological diversity. According to estimates by the United Nations Educational, Scientific and Cultural Organization (UNESCO), indigenous people comprise between 70 and 80 per cent of the world's estimated 6,000 cultures and speak most of the estimated 6,700 languages in the world today. Most of the world's linguistic diversity is carried by very small communities of indigenous and minority people. Nearly 2,500 languages are in danger of immediate extinction; and an even higher number are losing the ecological contexts that keep them as vibrant languages, resulting in mass extinction of cultural and linguistic diversity and incalculable consequences for the conservation and sustainable use of many of the world's ecosystems.

15. Given the large body of traditional knowledge, innovations and practices relevant for the conservation and sustainable use of biological diversity maintained by indigenous and local communities, and the diverse threats to its maintenance and preservation, it is suggested that the composite report present a thorough and comprehensive analysis as the necessary basis for informed decision-making, policy formulation and implementation, and strategic planning for the conservation and sustainable use of world biological diversity by the Conference of the Parties, Parties and Governments, intergovernmental agencies, regional economic integration organizations, indigenous and local communities, and relevant scientific and non-governmental organizations. However, in presenting such an analysis, it is noted that the possible impacts of intellectual property protection systems on the protection, preservation, maintenance and application of traditional knowledge, innovations and practices have been the subject of a number of analyses.[113] An ongoing assessment of the mechanisms for the protection of traditional knowledge has been carried out by the World Intellectual Property Organization (WIPO), in collaboration with the Convention on Biological Diversity, therefore the impact of intellectual property systems on the protection of traditional knowledge is not further considered in the present report.

16. Indigenous and local communities, as holders of traditional knowledge, will be the primary beneficiaries of the report, as it will identify and assess measures and initiatives to protect, promote and facilitate the use of traditional knowledge.

III. Outline of Composite Report: Rationale

17. The traditional biodiversity-related knowledge of indigenous and local communities and the languages that sustain it are being lost at an accelerating rate. Many communities fear that much of this precious knowledge will be lost with the passing of the current generation of Elders. The erosion of this knowledge creates an irrevocable loss to our storehouse of knowledge of the Earth's biological

113 See, for example, the report of the Executive Secretary on progress in the integration of relevant tasks of the programme of work on Article 8(j) and related provisions into the thematic programmes of the Convention on Biological Diversity (UNEP/CBD/WG8J/1/2) and *Intellectual Property Needs and Expectations of Traditional Knowledge Holders: World Intellectual Property Organization Report on Fact-Finding Missions on Intellectual Property and Traditional Knowledge (1998–1999)* (WIPO, 2001, Geneva).

diversity, its conservation, management and sustainable use, and represents a grave threat to world food and medicinal security and indigenous and local community livelihoods. It is imperative that positive measures to counteract them should be put in place and pursued.

18. The composite report will be compiled in the sequence of priorities determined by the Parties and set out in section I above, with a strong emphasis on item 2 of phase I. It would describe the current situation of the respect for, preservation and maintenance of traditional knowledge, innovations and practices relevant to the conservation and sustainable use of biological diversity at the global level, and identify what is required to ensure their continued maintenance and application, thereby laying the foundation for some form of global plan of action to reverse the loss of this vast body of knowledge essential to the maintenance of much of the planet's biological diversity.

19. It is also anticipated that, for the purposes of the Convention, the report will provide baseline data and information—both quantitative and qualitative—by which future trends in the maintenance, preservation and application of traditional biodiversity-related knowledge, innovations and practices might be monitored and assessed.

20. To the extent feasible, the composite report will be geographically balanced, and will take into consideration regional initiatives as a basis for a global analysis, which will also include information from international sources.

IV. Sources and Availability of Information

21. The priority elements should be compiled from existing published reports and any supplementary information provided by Parties, Governments, organizations representing indigenous and local communities, and it would be based on information already available released in the public domain. The consultant shall observe the applicable national legislation when accessing and using these sources of information.

NATIONAL REPORTS

23. National reports and other relevant information submitted by Parties will ensure comprehensive coverage of the status and trends relating to traditional knowledge, innovations and practices in terms of its state of preservation; recognition and incorporation within national biological diversity programmes and strategies; and national measures being undertaken to enhance and secure respect, preservation and maintenance of traditional knowledge.

AGENCY REPORTS

23. Consistent with the ways and means for undertaking the programme of work identified in section IV of the annex to decision V/16, the Executive Secretary is to consult with and invite relevant international organizations to contribute to the undertaking of task 5, also with a view to avoiding duplication and to encourage synergies. Accordingly, information relevant to task 5 is to be sought

from international agencies such as the World Intellectual Property Organization (WIPO), the World Trade Organization (WTO), the Food and Agriculture Organization of the United Nations (FAO), the World Health Organization (WHO), the Office of the United Nations High Commissioner for Human Rights (UNHCHR), the United Nations Educational, Scientific and Cultural Organization (UNESCO), the International Labour Organization (ILO), the United Nations Conference on Trade and Development (UNCTAD), the World Bank, and the United Nations Development Programme (UNDP), and from the secretariats of environment-related conventions such as the Convention to Combat Desertification, the Convention on Wetlands (Ramsar, Iran, 1971), the Convention on Migratory Species, the United Nations Convention on the Law of the Sea, the Convention on International Trade in Endangered Species, the World Heritage Convention, and the United Nations Framework Convention on Climate Change.

24. In recent years, many United Nations agencies such as UNEP, FAO, UNHCHR, WIPO, ILO, UNCTAD, UNESCO and WHO, and intergovernmental agencies and processes have undertaken surveys and studies, and compiled reports concerning issues relevant to task 5. As examples of these reports , the following can be cited:

(a) Food and Agriculture Organization of the United Nations, *The State of the World's Plant Genetic Resources for Food and Agriculture*. (FAO, Rome, 1998);

(b) Oloka-Onyango J and Udagama D, *The realization of Economic, Social and Cultural Rights: Globalization and its Impact on the Full Enjoyment of Human Rights: Preliminary Report* (Commission on Human Rights, Geneva, document E/CN.4/Sub.2/2000/13, 15 June 2000);

(c) Posey DA (ed), *Cultural and Spiritual Values of Biodiversity: A Complementary Contribution to the Global Biodiversity Assessment* (Intermediate Technology Publications, London and United Nations Environment Programme, Nairobi, 1999);

(d) World Intellectual Property Organization, *Intellectual Property Needs and Expectations of Traditional Knowledge Holders: World Intellectual Property Organization Report on Fact-finding Missions on Intellectual Property and Traditional Knowledge (1998–1999)* (WIPO, Geneva, 2001).

INDIGENOUS AND LOCAL COMMUNITY ANALYSIS AND INFORMATION

25. Indigenous and local community organizations are well suited to provide relevant assessments of the host of issues that affect the respect, preservation, maintenance and application of their traditional knowledge, innovations and practices. The scope of the work should reflect reasons for traditional knowledge loss and the loss of traditional practices and innovations. On a regional basis, the efforts of indigenous and local communities should be resourced to address this problem. The global diversity of indigenous and local communities must be recognized and taken into account, respecting prevailing traditional practices, with the help of the International Indigenous Forum on Biodiversity.

26. In many countries, peak organizations representing indigenous and local communities have undertaken relevant studies, and proposed policy initiatives and strategies for incorporation into national biological diversity action plans. Many indigenous and local communities also have major responsibilities with government agencies for the management of protected areas under joint or cooperative arrangements. In addition, there is also a wealth of anthropological studies and assessments of the issues confronting indigenous and local communities as they seek to maintain their cultural identities in an increasingly globalized society.

REPORTS BY NON-GOVERNMENTAL ORGANIZATIONS

27. As with international agencies, a number of non-governmental organizations such as the World Wide Fund for Nature (WWF), Terralingua, the African Centre for Technology Studies (ACTS), the Rural Advancement Foundation International (RAFI), Cultural Survival, International Work Group for Indigenous Affairs and the Third World Network, have also published important studies, reports and other information relevant to task 5. One such example is the recent study published by the WWF and Terralingua:

> Oviedo G, Maffi L and Larsen PB, *Indigenous and Traditional Peoples of the World and Ecoregion Conservation: An Integrated Approach to Conserving the World's Biological and Cultural Diversity* (WWF International and Terralingua, Gland, Switzerland, 2000).

V. Ways and Means for the Preparation of the Composite Report

28. With regard to the compilation of the composite report, and in light of the comments made in section II above regarding its possible size and scope and following the recommendation of the Working Group on Article 8(j), the Conference of the Parties endorsed following approach for the preparation of the report:

(a) A consultant team should be employed by the Secretariat, for a period of 12 to 15 months, to prepare a report of some 100–120 pages, including the executive summary (10–15 pages for the benefit of policy makers) and recommendations for distribution to Parties and Governments, relevant intergovernmental agencies, indigenous and local communities and relevant organizations for their consideration prior to the third meeting of the Working Group on Article 8(j);

(b) Terms of reference for consultant team selection should include background, qualifications, experience, including regional experience, direct knowledge of indigenous cultures, understanding and involvement with indigenous and local communities. An advisory group/steering committee, in which indigenous and local populations will be represented, should assist the work of the consultant and provide a liaison with regional groups and local communities;

(c) The review of the report should include the full and effective participation of indigenous and local communities, while being mindful to avoid intrusiveness. The report would make particular use of national reports, case-studies, other data submitted to the Executive Secretary in response to various decisions of the Conference of the Parties, and other relevant published information (see

section IV above). Work would essentially entail desktop analysis of this information. The report should be focused, thoroughly researched and scientifically rigorous. It would also include up-to-date information provided by Parties and indigenous and local community organizations. In this context, a mechanism for full participation that respects the needs of indigenous communities should be established. The report must be approved by the Conference of the Parties prior to its formal dissemination in final form;

(d) In preparing the report, the communities' established codes of ethics guidelines, which entail permission and/or consent of indigenous and local communities to enter the communities and conduct the research, will be respected and followed.

VI. Sources of Funding

29. Consistent with the ways and means for undertaking the programme of work identified in section IV of the annex to decision V/16, Parties, Governments, and international, regional and national organizations should provide appropriate financial support, including to indigenous and local communities, for the development of this report.

ANNEX II
RECOMMENDATIONS FOR THE CONDUCT OF CULTURAL, ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENTS REGARDING DEVELOPMENTS PROPOSED TO TAKE PLACE ON, OR WHICH ARE LIKELY TO IMPACT ON, SACRED SITES AND ON LANDS AND WATERS TRADITIONALLY OCCUPIED OR USED BY INDIGENOUS AND LOCAL COMMUNITIES

1. The purpose of these recommendations is to help facilitate:

(a) Appropriate participation and involvement of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biodiversity (hereinafter referred to as "indigenous and local communities");

(b) Taking into account the cultural, environmental and social concerns and interests of indigenous and local communities;

(c) The inclusion of traditional knowledge, innovations and practices, including technologies and customary methods of indigenous and local communities as part of environmental, social and cultural impact assessment processes.

2. These recommendations are voluntary and intended to serve as guidance for Parties and Governments, according to their national legislation, in the development of their impact assessment regimes.

I. Recommendations for the integration of cultural, environmental and social impact assessments as a single process

3. The recommendations allow for the consideration of the integration of cultural, environmental, social impact assessments as a single process. Accordingly, the con-

duct of impact assessments should meet the requirements of the Convention on Biological Diversity as defined in its Articles 14 and 8(j), and take into account the general principles guiding the programme of work on Article 8(j) and related provisions. These recommendations should take into account work on integration of biodiversity issues into the environmental impact assessment and strategic impact assessment in accordance with Article 14 of the Convention, and pay special attention to cultural and socio-economic considerations.

A. CULTURAL IMPACT ASSESSMENTS

4. Through the cultural impact assessment process, issues that are of particular cultural concern should be identified, such as beliefs and religions, customary practices, forms of social organization, systems of natural resources use, including patterns of land use, places of cultural significance, sacred sites and ritual ceremonies, languages, customary law systems, political structures, roles and customs.

5. There is a need to respect both the custodians and holders of traditional knowledge and the knowledge itself.

6. Possible impacts on all aspects of culture, as indicated in paragraph 4 above, including sacred sites should therefore be taken into consideration while developing cultural impact assessments.

B. ENVIRONMENTAL IMPACT ASSESSMENTS

7. In order to effectively undertake an environmental impact assessment for a proposed development, the analysis should include areas of significant conservation value, environmental constraints, geographical aspects and potential synergistic impacts.

8. The direct and indirect impacts of the development proposal on local biological diversity at ecosystem, species and genetic levels should be assessed, and particularly in terms of those components of biological diversity that the relevant community and its members rely upon for their subsistence, livelihood, and other needs.

9. Development proposals should be rigorously assessed for their potential to introduce alien invasive species into local ecosystems.

10. With respect to living modified organisms, due regard should be paid to Article 8(g) of the Convention on Biological Diversity and other relevant international agreements, and, in particular, the Cartagena Protocol on Biosafety.

C. SOCIO-ECONOMIC IMPACT ASSESSMENTS

11. In order to effectively undertake a socio-economic impact assessment for a proposed development, analysis should be carried out with respect to demographic factors, housing and accommodation, employment, infrastructures and services, income and asset distribution, traditional systems of production as well as educational needs, technical skills and financial implications.

12. Proposed developments should be evaluated in relation to tangible benefits to such communities, such as job creation, viable revenue from the levying of appro-

priate fees, access to markets and diversification of income-generating (economic) opportunities for small and medium-sized enterprises.

13. Developments involving changes to traditional practices for food production, or involving the introduction of commercial cultivation and harvesting of a particular wild species should have those changes and introductions assessed.

14. In socio-economic impact assessments, social development indicators consistent with the views of indigenous and local communities should be developed and should give consideration to gender, generational considerations, health, safety, food and livelihood security aspects and the possible effects on social cohesion and mobilization.

II. General Provisions

15. Indigenous and local communities should be fully and effectively involved in the assessment process. The traditional biodiversity-related knowledge of involved indigenous and local communities should be applied along with modern scientific assessment methodologies and procedures. Consultation should allow for sufficient time and should take place in the appropriate language and in a culturally appropriate manner.

16. Where the national legal regime requires prior informed consent of indigenous and local communities, the assessment process shall consider whether such prior informed consent has been obtained.

17. The vital role that women play, in particular indigenous women, in the conservation and sustainable use of biological diversity and the need for the full and effective participation of women in policy-making and implementation for biological diversity conservation should be fully taken into consideration, in accordance with the Convention.

18. Recognition should be given to the resource and capacity-building needs of indigenous and local communities and assistance should be provided, to the extent possible, to facilitate their full and effective participation in impact assessment procedures, including the provision of resources (technical, educational and other needs).

19. All human rights, including social and cultural rights, and any rights related to the environment, must be respected.

20. Pursuant to national legislation, the customary laws and intellectual property rights of indigenous and local communities, with respect to their traditional biodiversity-related knowledge, innovations and practices shall be respected in all circumstances related to the proposed development.

21. In the absence of any legal mechanisms for the protection of traditional knowledge, innovations and practices, indigenous and local communities should, if desired, define their own protocols for access to and use of traditional knowledge in impact assessment procedures, and Governments will assist and participate in such initiatives if required by and according to their national legislation.

22. Consistent with the ecosystem approach, proponents of development proposals should recognize the importance of understanding and applying the values and knowledge, where relevant, of use of biological diversity held by indigenous and local communities and their application for sustainable development.

23. In the context of impact assessments, and particularly with respect to mitigation and threat-abatement measures associated with the development, where there is a threat of significant reduction or loss of biodiversity, lack of full scientific certainty should not be used as a reason for postponing measures to avoid or minimize such a threat.

24. In order to manage any disputes that may arise in relation to a development proposal and in the ensuing impact assessment processes, dispute-resolution means or mechanisms should be available or be established.

DECISION VI/11 | Liability and redress (Article 14, paragraph 2)

The Conference of the Parties,

Recalling decision V/18 adopted at its fifth meeting,

Taking note of the recommendations of the Workshop on Liability and Redress in the Context of the Convention on Biological Diversity, held in Paris from 18 to 20 June 2001,[114]

Recognizing the central importance of capacity-building and cooperation measures under the Convention to strengthen capacities at the national level with regard to measures for the prevention of damage to biological diversity, the establishment and implementation of national legislative regimes, policy and administrative measures on liability and redress, including through the elaboration of guidelines,

1. *Requests* the Executive Secretary to convene a group of legal and technical experts composed of government-nominated experts based on a fair and equitable geographical representation and including observers from relevant international organizations, including non-governmental organizations and convention secretariats, and with the mandate to review information gathered in accordance with paragraph 2 below, and conduct further analysis of pertinent issues relating to liability and redress in the context of paragraph 2 of Article 14 of the Convention, and in particular:

(a) Clarifying basic concepts and developing definitions relevant to paragraph 2 of Article 14 (such as the concept of damage to biological diversity, its valuation, classification, and its relationship with environmental damage, the meaning of "purely internal matter");

(b) Proposing the possible introduction of elements, as appropriate, to address specifically liability and redress relating to damage to biological diversity into existing liability and redress regimes;

114 UNEP/CBD/COP/6/INF/5, annex I.

(c) Examining the appropriateness of a liability and redress regime under the Convention on Biological Diversity, as well as exploring issues relating to restoration and compensation;

(d) Analysing activities and situations that contribute to damage to biological diversity, including situations of potential concern; and

(e) Considering preventive measures on the basis of the responsibility recognized under Article 3 of the Convention.

The legal and technical expert group shall report to the seventh meeting of the Conference of the Parties;

2. *Requests* the Executive Secretary to continue collecting relevant information and to conduct analysis of such information and other relevant issues, with the cooperation of Parties, Governments and relevant organizations, and to make such information and analysis available prior to convening the group of legal and technical experts. Such information-gathering should focus, as appropriate, on: updating the documentation on sectoral international and regional legal instruments dealing with activities which may cause damage to biological diversity (oil, chemicals, hazardous wastes, wildlife conventions, etc.), as well as developments in private international law; national legal and policy frameworks allowing for mutual recognition and enforcement of judgments, access to justice, liability and redress (restitution, restoration and compensation), extra-judicial settlements, contractual agreements, etc; and case-studies pertaining to transboundary damage to biological diversity including but not limited to case law. Further analysis to be undertaken should relate to the coverage of existing international regimes regarding damage to biological diversity; activities/situations causing damage, including situations of potential concern and whether they can be effectively addressed by means of a liability and redress regime; and concepts and definitions relevant to paragraph 2 of Article 14;

3. *Urges* Parties, Governments and relevant international organizations to cooperate with a view to strengthening capacities at the national level with regard to measures for the prevention of damage to biological diversity, establishment and implementation of national legislative regimes, and policy and administrative measures on liability and redress, and to provide financial resources for this purpose.

DECISION VI/12 | Ecosystem approach

The Conference of the Parties,

Recalling its decisions IV/1 B and V/6 on ecosystem approach,

Noting that, in many countries, implementation of the ecosystem approach has been slow due to financial constraints,

Recognizing the necessity to apply the ecosystem approach in national policies and legislation, and to integrate the approach in thematic and cross-sectoral programmes of the Convention at the local, national and regional level, and with a

view to facilitating the integration of the approach, as appropriate, in the work of other forums and relevant international agreements,

Underlining the importance of developing regional guidelines to apply the ecosystem approach, while *recognizing* efforts made in this direction,

1. *Urges* Parties, other Governments and relevant organizations that have not done so to submit case-studies and lessons learned on the development and implementation of the ecosystem approach at the national and regional levels;

2. *Requests* the Executive Secretary:

(a) To continue the collection, compilation and dissemination of case-studies and lessons learned and to prepare a report for consideration by the Subsidiary Body on Scientific, Technical and Technological Advice at a meeting prior to the seventh meeting of the Conference of the Parties;

(b) Within the availability of resources and in collaboration with relevant organizations and bodies, in particular the United Nations Forum of Forests, to convene a meeting of experts to compare the ecosystem approach with sustainable forest management, and develop proposals for their integration;

(c) To develop proposals for the refinement of the principles and operational guidance of the ecosystem approach on the basis of case-studies and lessons learned, including indicators and strategies for the integration of the ecosystem approach into the programmes of work of the Convention, taking into account regional differences;

3. *Invites* Parties, other Governments and organizations to provide technical and financial resources for the organization of regional workshops to promote the exchange of experiences and regional, national and local capacity-building, and to enhance awareness.

DECISION VI/13 | Sustainable use

The Conference of the Parties,

Recognizing that the challenge of sustainable use of biodiversity is to balance the need to maximize human livelihoods against the necessity of conserving the underlying natural resource base,

Recognizing that sustainable use is a cross-cutting issue relevant to different ecosystems, sectors and thematic areas,

Recognizing the need to further investigate the relationship and balance between conservation and sustainable use of biological diversity, and in particular the role and contribution of sustainable use to the conservation of biological diversity,

Recognizing that the involvement and participation of all stakeholders, including indigenous and local communities, in natural resource management is a prerequisite for their conservation and sustainable use,

Recognizing further the important role played by women in the conservation and sustainable use of biological diversity,

1. *Welcomes* the outcome of the three regional workshops on the Sustainable Use of Biological Diversity, which took place in Maputo (Mozambique) in September 2001, Hanoi (Viet Nam) in January 2002 and Salinas (Ecuador) in February 2002;

2. *Expresses its appreciation* to the Government of the Netherlands for the financial support for these three workshops;

3. *Notes with appreciation* the collaborative efforts and synergies developed during the three workshops by the Convention on Biological Diversity and other international organizations such as the Convention on International Trade in Endangered Species of Wild Fauna and Flora, the Convention on Wetlands (Ramsar, Iran, 1971), the Food and Agriculture Organization of the United Nations, IUCN, the International Tropical Timber Organization and the World Wide Fund For Nature, *welcomes* their future contributions to the process, and *invites* other relevant international organizations to participate in the process;

4. *Requests* the Executive Secretary to organize a fourth open-ended workshop on the sustainable use of biodiversity to synthesize the outcomes of the three workshops, integrate different views and regional differences and develop a set of practical principles and operational guidelines for the sustainable use of biological diversity, to be submitted to the Subsidiary Body on Scientific, Technical and Technological Advice for its consideration prior to the seventh meeting of the Conference of the Parties;

5. *Invites* Parties, other Governments and relevant international organizations to provide appropriate financial support for the organization of the fourth workshop on the sustainable use of biological diversity, with a view to ensuring broad-based participation in the fourth open-ended workshop on the sustainable use of biodiversity;

6. *Reiterates* its invitation to Parties, other Governments, international organizations and other relevant organizations to submit case-studies on the sustainable use of biological diversity;

7. *Requests* the Executive Secretary to continue compiling case-studies submitted by Parties, other Governments, international organizations and other relevant organizations on the sustainable use of biological diversity and make them available through the clearing-house mechanism of the Convention.

DECISION VI/14 | Biological diversity and tourism

The Conference of the Parties,

Recognizing that sustainable tourism, including tourism based on the natural environment (ecotourism), is a vital growing segment of the tourism industry and has a significant potential for realizing benefits in terms of the conservation of biological diversity and the sustainable use of its components,

Recognizing the need to build public awareness and education on the benefits of sustainable tourism and to actively involve the private sector in the conservation and sustainable use of biological diversity through sustainable tourism activities and developments;

Recognizing the need to enhance the participation and involvement of indigenous and local communities in the planning and management of sustainable tourism activities and developments,

1. *Welcomes* the joint efforts of the Convention on Biological Diversity, the United Nations Environment Programme, the Commission on Sustainable Development and the World Tourism Organization with regard to the international work programme on sustainable tourism development;

2. *Takes note* of the progress made in the development of the guidelines for activities related to sustainable tourism development and biological diversity in vulnerable terrestrial, marine and mountain ecosystems;[115]

3. *Requests* the Executive Secretary:

(a) To transmit the draft guidelines on sustainable tourism development in vulnerable areas to the World Ecotourism Summit, which will take place in Quebec City from 19 to 22 May 2002;

(b) To review the current draft guidelines taking into account the results of the electronic consultation on the draft international guidelines for activities related to sustainable tourism development[116] and the outcome of the World Ecotourism Summit, and to transmit the reviewed draft to the Subsidiary Body on Scientific Technical and Technological Advice for its consideration at a meeting prior to the seventh meeting of the Conference of the Parties for its consideration;

(c) To gather and compile existing case-studies on the implementation of the guidelines and make them available to the Subsidiary Body on Scientific, Technical and Technological Advice for its consideration at a meeting prior to the seventh meeting of the Conference of the Parties.

DECISION VI/15 | Incentive measures

The Conference of the Parties,

Underlining the special importance of designing and implementing incentive measures in reaching the objectives of the Convention, especially in regard to the sustainable use of biological diversity, as well as in removing negative impacts on biodiversity,

Recognizing the importance of incentive measures for other cross-cutting issues, such as access to genetic resources and the fair and equitable sharing of benefits arising from their utilization,

115 UNEP/CBD/SBSTTA/7/5, annex I.
116 UNEP/CBD/COP/6/12/Add.2.

Underlining the need for cooperation and collaboration of international organizations in efforts to assist Governments in designing and implementing incentive measures,

1. *Takes note with appreciation* of the progress made in the implementation of the programme of work on incentive measures, established in decision V/15 of the fifth meeting of the Conference of the Parties;

2. *Endorses* the proposals for the design and implementation of incentive measures and the recommendations for further cooperation on incentive measures, contained respectively in annexes I and II to the present decision, as far as they are consistent with Parties' national policies and legislation as well as their international obligations;

3. *Invites* Parties to take these proposals into consideration when designing and implementing incentive measures for conservation and sustainable use of biological diversity;

4. *Recognizes* that further work has to be undertaken on positive incentives and their performance, as well as on perverse incentives and ways and means for their removal or mitigation;

5. *Encourages* Parties and relevant organizations to submit case-studies, lessons learned and other relevant information on incentive measures, especially on positive and perverse incentives, to the Executive Secretary;

6. *Requests* the Executive Secretary to continue compiling and disseminating the information on incentive measures submitted by Parties and organizations, through the clearing-house mechanism of the Convention and other means;

7. *Also requests* the Executive Secretary, in collaboration with relevant organizations, to elaborate proposals for the application of ways and means to remove or mitigate perverse incentives, for consideration by the Subsidiary Body for Scientific, Technical and Technological Advice at a meeting prior to the seventh meeting of the Conference of the Parties;

8. *Requests* Parties, Governments, international and other relevant organizations to provide financial support for the programme of work on incentive measures, taking into consideration the specific circumstances of countries, in particular small island developing States and countries with economies in transition.

ANNEX I
PROPOSALS FOR THE DESIGN AND IMPLEMENTATION OF INCENTIVE MEASURES

1. In general terms, incentive measures should be designed to address the conservation and sustainable use of biological diversity, while taking into account:

(a) Local and regional knowledge, geography, circumstances and institutions;

(b) The mix of policy measures and structures in place including sectoral considerations;

(c) The need to match the scale of the measure to the scale of the problem;

(d) The measures' relationship to existing international agreements.

2. The following elements should be taken into consideration in the design and implementation of incentive measures for the conservation and sustainable use of biological diversity:

A. Identification of the problem: purpose and issue identification

3. *Goals of the incentive measures*. An incentive measure should have a defined purpose. Consistent with decision V/15, the purpose of incentive measures is to change institutional and individual behaviour in order to achieve in whole or in part the following objectives of the Convention on Biological Diversity: the conservation of biodiversity, the sustainable use of the components of biodiversity and the fair and equitable sharing of benefits arising out of the utilization of genetic resources.

4. *Underlying causes/threats to biodiversity*. The identification of the proximate and underlying causes and the importance of threats to biodiversity and its components are a prerequisite for the selection of the appropriate measure to stop or reverse degradation. Policies that create incentives without removing the underlying causes of biodiversity loss (including perverse incentives) are unlikely to succeed. Therefore, prior to embarking on an exercise to develop incentive measures for conservation or sustainable use, it is important to undertake a thorough study to identify and evaluate the respective and mutually reinforced impacts of any underlying pressures.

5. This study should specifically include threats generated by social or economic forces or by the institutional framework. In some cases social and economic issues are at the root of unsustainable practices and, while addressing market and policy failures with incentive measures may help correct this behaviour, the measures may not address core problems such as lack of resources or poverty and unjustified human demands beyond needs. This might also include the analysis of existing incentive measures, at the national and at the international level; specifically, perverse incentives that might threaten biodiversity, and the barriers that stand in the way of their removal, should be identified.

6. While most of the underlying causes in general are listed in the OECD Handbook of Incentive Measures for Biological Diversity: Design and Implementation,[117] it is important that each country implement incentive measures that are targeted at specific causes relevant to its circumstances. Incentives may be directed to correct some underlying causes related to economic development trends, poverty, lack of policy integration, sectoral policy impacts, and perverse measures undertaken at the national, supra-national and international levels.

7. *Identification of relevant experts and stakeholders*. As well as including policy-makers, experts and scientists, the range of stakeholders should include the private sector, women, and local communities as well as individuals, relevant national and multilateral organizations, non-governmental organizations and representatives of indigenous and local communities. These stakeholders may have contributed to

117 OECD Handbook of Incentive Measures for Biological Diversity: Design and Implementation (OECD, 1999).

the issue and/or have practical knowledge of it and could be key players in its successful implementation. Moreover, different levels of decision-making (local, subnational, national, subregional, regional, international) and their interrelationship must be taken into consideration in order to ensure coherence of the measure.

8. *Establish processes for participation*. In order to ensure that incentive measures are developed in a manner that is participatory and promotes effective policy integration and stakeholder participation, processes should be established to facilitate intergovernmental dialogue as well as dialogue with relevant stakeholders including indigenous and local communities and representatives of civil society.

9. *Set clear targets and indicators*. To the extent feasible, incentive measures should have targets that are specific, measurable, time-driven, and based on an analysis of their effects. The successful monitoring and evaluation of their impacts is an important factor in ensuring the ultimate success of incentive measures. For example, indicators can facilitate the evaluation of a measure and provide useful information in determining the need for corrective action.

B. Design

10. *Ecosystem approach*. The design of incentive measures should, where appropriate and feasible, be based on an ecosystem approach as defined in the framework of the Convention.

11. *Sectoral approach*. The design of incentive measures should also be based, where possible, on an analysis of the incentives of the different economic sectors such as tourism, forestry, fisheries and agriculture.

12. *Sectoral mainstreaming*. Consideration should be given to integrating biodiversity incentives into the incentives provided through other sectors, where appropriate.

13. *Carrying capacity*. The carrying capacity of the different ecosystems has to be fully considered in the design of incentive measures, as the use of resources may be limited by carrying capacity.

14. *Precautionary approach*. Combined with the ecosystem approach, a precautionary approach requires that programmes on incentive measures err on the side of caution when scientific knowledge is uncertain and where there is a threat of significant reduction or loss of biological diversity.

15. *The efficiency objective*. Programmes on incentive measures should primarily consider those measures which best meet biodiversity objectives, and should be designed to ensure that expected benefits are greater than or equal to the cost of implementation, administration, and enforcement. The social and institutional context of a country can affect these costs considerably. Whenever benefits cannot be adequately quantified, cost-effectiveness analysis (i.e., to achieve a given target at minimum cost) should be applied.

16. *Internalization*. Internalization should be considered as one of the guiding principles for selecting appropriate incentive measures to prevent, arrest or reverse the loss of biodiversity and take into account other relevant environmental concerns,

such as climate change, desertification and deforestation. Internalization refers to the incorporation of external costs and benefits into the decisions of producers and consumers. External costs and benefits are essentially environmental "side-effects" of economic activities and incentive measures should strive to internalize a greater proportion of these effects in the calculation of decision makers and consumers. When full internalization is not possible (due to economic and social circumstances), incentives should be designed so as to make sustainable activities more attractive than unsustainable ones.

17. *Undertaking valuation*. While recognizing that full internalization is often not possible because of limitations of valuation methods, as recognized by the Conference of the Parties in its decision IV/10, valuation is nevertheless an important step for better internalizing and raising awareness of the importance of biodiversity values.

18. *Underlying cause of biodiversity loss*. Programmes on incentives should be designed to address the underlying causes of biodiversity loss.

19. *Comprehensibility*. While recognizing the interaction of many factors, incentive measures should remain as simple and focused as possible, allowing for faster implementation and clearer assessment of their effects. They should be easily understood by all stakeholders.

20. *Equity: distributional impacts*. In designing incentive measures, it is important to ensure that the definition of beneficiary communities is inclusive and equitable. A participatory approach to the design and implementation of incentive measures can help ensure that these issues are considered. Any conservation measure has some impact on stakeholders; incentive measures should aim to take into account those who benefit and those who assume the cost of the measure. Incentive measures should be designed and introduced in a way to support poverty alleviation and reduction of disparities between rural and urban communities.

21. *Capturing value for indigenous and local communities*. The value of biological diversity for subsistence, cultural or commercial purposes should be recognized and incentive measures designed so that, to the extent possible, they support the social and economic development needs of indigenous and local communities. The approach of these communities in determining the values of biological diversity should be taken into consideration.

22. *Raising awareness of biodiversity values and services*. Identifying and assessing the value of biodiversity and of the environmental services that it provides can be an incentive in itself and supports the design of other incentive measures. Raising awareness among all stakeholders of the value and services of biodiversity improves the chances for incentive measures to be successful.

23. *Mix of measures*. In many cases, a combination or combinations of various measures is likely to be necessary in order to realize both the public benefits of protecting biodiversity and the private benefits brought about by the sustainable use of its components.

24. *Monitoring and evaluation*. Incentive measures should be designed to facilitate monitoring and evaluation of their successes and failures.

25. *Political and cultural acceptability*. The political and cultural context in which any incentive measure is developed should be taken into account in the design of the instrument.

26. *Funding*. Funding, as appropriate, should be ensured in the design of the incentive measure.

C. Provision of capacity and building of support: facilitating implementation

27. *Physical and human capacity.* Implementation of incentive measures will require adequate physical and human capacity. This includes scientific and technical capacity, as well as capacity related to administrative, educational, training and communications issues. In many cases, in the implementation phase of incentive measures, there will be an ongoing need for training of trainers, managers and other workers, public-education programmes and other forms of human capacity-building. In other cases, there may be a need for physical capacity-building, including the installation of monitoring equipment or other infrastructure needs. Training will often be a necessary component for the effective implementation of incentive measures.

28. *Institutional mechanisms*. Institutional mechanisms are required to encourage dialogue and communication between policy makers within government and stakeholders outside of government at the national and local levels, in order to promote policy integration. Ensuring that avenues exist for intra-governmental dialogue between relevant ministries and agencies with an interest in biodiversity is important, as government agencies will often share responsibilities in the implementation of incentive measures. Community institutional structures should be developed to make indigenous and local communities equal partners in the implementation of incentive measures. For the implementation of incentive measures, existing institutional arrangements should be recognized and strengthened or new ones should be established, as necessary for the conservation and sustainable use of biological diversity.

29. *Transparency and dissemination of public information*. Dissemination of information can play a key role in building support for incentives for conservation and sustainable use. Information on the effects of pressures on biodiversity should be disseminated among stakeholders, administrative and policy authorities and civil society. The provision of information regarding the incentive measure itself to stakeholders and transparency in implementation are also important.

30. *Stakeholder involvement*. Even after the design of a measure, stakeholders should be involved to ensure that incentive measures are implemented effectively on the ground. Relevant stakeholders should play a role in building the capacity of local institutions and individuals in order to enhance their awareness of the importance of biodiversity conservation measures and facilitate their capacity to participate in all stages of the process, from design to implementation.

31. *Funding*. Funding should be ensured for capacity-building.

D. Management, monitoring and enforcement

32. *Administrative and legal capacity*. The ultimate success of any incentive measure is contingent upon successful management, monitoring, enforcement and evaluation of its impact. Adequate capacity to manage, monitor and enforce incentive measures rests in part on adequate stakeholder involvement and the existence of appropriate institutions. It also depends on available administrative and legal capacity.

33. *Policy-impact indicators*. The development of sound policy-impact indicators is key to any useful valuation of the success or failure of incentive measures.

34. *Information systems*. Information systems could facilitate the process of managing, monitoring and enforcing incentive measures.

35. *Funding*. Adequate funding should be available to ensure the effective management, monitoring and enforcement of incentive measures.

E. Guidelines for selecting appropriate and complementary measures

36. The following are guidelines for selecting appropriate and complementary measures:

(a) Any decision-making process for selecting appropriate and complementary measures should take into account the specific circumstances of the country involved;

(b) It is important to consider the context in which the incentive measure is being introduced to assist final decision-making on a particular measure or measures;

(c) A key consideration in the design of an incentive measure is the recognition that a single measure will often not suffice to address the complexities involved in decisions on biodiversity conservation or sustainable use, and that a mix of measures may be needed;

(d) Equity considerations, such as poverty alleviation, should be given a prominent role in the design and selection of appropriate incentive measures;

(e) The implementation of incentive measures should not result in a significant increase in the cost of living and/or increase in government revenue;

(f) The size of the country's economy is an important factor in the selection of financial incentive measures;

(g) Well defined land and property rights are an important factor in the design and implementation of incentive measures in the conservation of biological diversity and the promotion of sustainable use;

(h) Positive incentives can influence decision-making by recognizing and rewarding activities that are carried out for conservation and sustainable use purposes;

(i) The removal of perverse incentives eases pressure on the environment. The identification of both internal and external perverse incentives and other threats to biodiversity conservation and to the promotion of sustainable use, is essential

to the selection and design of incentive measures. The removal of perverse incentives may improve economic efficiency and reduce fiscal expenditures;

(j) Disincentives continue to be an important tool for ensuring the conservation and sustainable use of biological diversity and can be used in combination with positive incentives.

37. In the process of decision-making, the general or specific features of various types of instruments should be taken into account. The following table[118] illustrates a range of existing instruments, their general advantages, disadvantages and applicability. It should be taken into account that this list is not comprehensive since a number of other non-economic incentives (e.g., social and cultural incentives) and international incentives should also be considered in a similar fashion. Furthermore, it has to be taken into consideration that some of the enumerated instruments are still under discussion with respect to their effectiveness and their possible shortcomings.

118 Based on the OECD Handbook of Incentive Measures for Biological Diversity: Design and Implementation.

INSTRUMENT	ADVANTAGES	DISADVANTAGES	APPLICABILITY
Environmental taxes/charges	• Maximize economic efficiency. • Easily understandable.	• Rely on measurability of single components and on agreement about external cost values. • Can require extensive monitoring.	Applicable in situations where impacts are easily measurable (e.g., hunting) and sources of impacts can be easily monitored.
Market creation	• Results in the most efficient allocation of resources between competing users, and generates appropriate prices for them. • Low monitoring requirements.	• May be imperfect where there are (large) external effects and/or monopolies.	Applicable where clearly defined property rights can be established and upheld for easily identifiable goods and services, and transaction costs are low enough.
Removal of perverse incentives	• Reforming or removing these incentives can lead to an easing of pressures on the environment, improved economic efficiency and reduced fiscal expenditures.	• Perverse incentives can often be difficult to identify (lack of transparency). • They may be politically difficult to reform because of the strong opposition from recipients.	Applicable where clear benefits in terms of budgetary, economic efficiency and/or environmental goals can be identified and potential compensatory measures exist to facilitate the support removal process.
Regulations	• Easily understandable. • Legally binding. • Can target directly particular activities or processes.	• Can be economically inefficient or costly method of achieving environmental goals, especially if proscribing certain technologies. • Strict enforcement is necessary. • Inflexible. • May be complex and detailed.	Most applicable where there is a limited range of easily identifiable environmental impacts that need circumscription and/or where the number of actors is limited.
Environmental funds	• Transparent and high visibility. • Positive public relations.	• May not maximize economic efficiency. • May be inflexible because funds are earmarked to some extent.	Applicable where Governments have difficulties raising general funds, where fiscal infrastructure is weak and where clearly identifiable and highly popular causes exist.
Public financing	• Popular with recipients. • Promotes desirable activities rather than prohibiting undesirable ones.	• Requires funding. • May lead to economic inefficiencies. • May encourage rent-seeking behaviour.	Applicable in situations where desirable activities would not be undertaken without support or to create a differential in favour of such activities where it is not feasible to discourage the undesirable alternatives.

ANNEX II
RECOMMENDATIONS FOR FURTHER COOPERATION ON INCENTIVE MEASURES

1. Cooperation to assist Governments in designing and implementing incentive measures should be based on the following elements, building on work already under way.

Information

2. It is recognized that the effective design and implementation of incentive measures requires a sound body of knowledge and information. The following measures would assist Parties in ensuring the availability of the required information:

(a) Biodiversity incentives information systems (Internet, flyers, CDs, hard copies, translations, etc.) should be established or strengthened. This could be achieved through the clearing-house mechanism of the Convention, as well as through other competent international, regional, subregional and national organizations;

(b) Information systems should include the following elements:

(i) Indicators, valuation and assessment methodologies;
(ii) Meta-analysis of existing cases;
(iii) Reference manuals and toolkits.

3. Information systems, whether at the national or international level, should be linked to the clearing-house mechanism of the Convention on Biological Diversity.

4. Such information systems would allow Parties to share experiences and lessons learned with other Parties and facilitate the implementation of incentive measures through the use of guidelines.

5. Parties should carry out an assessment of their national biodiversity strategies and action plans to determine whether they are providing incentives for conservation and sustainable use and whether they are identifying and removing perverse incentives.

The involvement of stakeholders including indigenous and local communities

6. States should develop and apply participatory and coherent approaches to policy-making for biodiversity conservation and sustainable use that fully engage all stakeholders including relevant government departments, non-governmental organizations, the private sector, philanthropic organizations and indigenous and local communities in a meaningful dialogue in a timely fashion and promote a consistent approach to the use of incentive measures for conservation and sustainable use of biodiversity.

7. Particular emphasis could be placed on the following elements:

(a) Advising policy makers directly on the design and implementation of incentive measures;

(b) Mobilizing key stakeholder groups in policy dialogues relating to the design and implementation of incentive measures, across governments, non-governmental organizations, the private sector, philanthropic organizations, and indigenous and local communities;

(c) Building a network of experts on biodiversity incentives who can provide guidance and information related to specific requests from Governments, civil society and the private sector.

8. In order to encourage a participatory approach, the development of a strategy for policy coordination and stakeholder involvement might be considered. This could include an educational component, a communications component, and a component that highlights successful processes that have been used to generate effective public participation. The Parties would be encouraged to adapt successful processes or components of such a strategy to correspond to their own priorities and situations. Such a coherent and participatory approach to policy-making might also encourage the integration of biodiversity concerns into other sectors and policy areas.

Capacity-building

9. Another key to the effective development and implementation of incentive measures is the existence of appropriate legal and policy frameworks and supporting human capacity. The Conference of the Parties has encouraged Governments to develop supportive legal and policy frameworks for the design and implementation of incentive measures. Furthermore, raising awareness of decision makers and stakeholders on the importance of incentives to achieve the objectives of the Convention is an important aspect of human capacity-building.

10. The following elements are proposed in order to meet this requirement:

(a) Training biodiversity specialists and decision makers in the design and implementation of incentive measures including training in the use of valuation tools;

(b) Implementing training programmes on basic scientific and economic issues related to the conservation and sustainable use of biodiversity;

(c) Explaining the value of biodiversity at the community level and within sectors, such as agriculture and forestry;

(d) Building capacity related to public awareness;

(e) Developing capacity to conduct research and analysis on incentive measures;

(f) Developing supportive legal and policy frameworks;

(g) Undertaking legislative reviews and providing advice on incentive measures;

(h) Developing avenues for financing where necessary.

Valuation

11. Despite the challenges associated with non-market valuation, it is nonetheless important to pursue ways of creating market signals for the social, cultural and economic values of biodiversity. The Conference of the Parties has recognized the importance of valuation as a tool for designing appropriate incentives.[119]

12. Continued work on valuation can be costly, requires considerable expertise and the ultimate results may be difficult to communicate and the derived monetary values open to challenge. Nevertheless, the methodologies for undertaking valuations should be developed further, as they play a strategic role in the development of incentives for biodiversity conservation and sustainable use. Further cooperative work might include:

(a) Continued exploration of methodologies for valuation of biodiversity and biodiversity resources;

(b) Developing and refining non-market methods of valuation;

(c) Disseminating information on existing techniques for valuation.

13. Work on valuation could be undertaken as a core component of an action plan in partnership with relevant international organizations.

Interlinkages between multilateral environmental agreements (MEAs)

14. There is a need to examine the policies and programmes under different multilateral environmental agreements to ensure that they provide mutually reinforcing incentives. In this respect, the Conference of the Parties noted the joint work programme between the Convention on Biological Diversity and the Convention on Wetlands (Ramsar, Iran, 1971), which includes a focus on incentives, and suggested attention to incentives with regard to other linkages, such as the Convention to Combat Desertification with regard to dryland biodiversity, and the Convention on International Trade in Endangered Species of Wild Fauna and Flora with respect to conservation and sustainable use of species, and the United Nations Framework Convention on Climate Change with respect to land-use change and forest biodiversity. In addition, the United Nations Framework Convention on Climate Change is encouraged to give priority to incentives to avoid deforestation, as a substantial amount of greenhouse gas emissions is due to the destruction of forests, the greatest terrestrial repository of biodiversity.

Linking biodiversity to macro-economic policies

15. It is important to explore the linkages with international organizations/agreements focused on economic policies, in particular trade policies under the World Trade Organization and other policies such as labour (the International Labour Organization) and health (the World Health Organization). In addition, linkages

119 Decision IV/10 of the Conference of the Parties to the Convention on Biological Diversity states that: "economic valuation of biodiversity and biological resources is an important tool for well-targeted and calibrated economic incentive measures."

to regional and sectoral economic organizations/agreements should be explored to determine their incentive compatibility with the objectives of the Convention.

16. These linkages should not only be explored at the international level but also at the national level. In particular, the Conference of the Parties noted the need to link national biodiversity strategies and action plans with economic development strategies at the macro-economic public sector planning and sectoral levels, such as tourism, forestry, fisheries and agriculture.

Categories of incentive measures

17. The Conference of the Parties recognized that there is a vast array of incentive measures available. Measures should be tailored to the peculiarities of each situation and country. Consideration should also be given to coordination in the development of incentive measures for different sectors, in order to ensure their coherence.

Ecosystem focus

18. Assessments should be prioritized in line with the thematic programmes adopted by the Conference of the Parties. In this regard, the Conference of the Parties also noted the incentive focus in the joint programme of work between the Convention on Biological Diversity and Convention on Wetlands (Ramsar, Iran, 1971).

Pilot projects/case-studies/workshops

19. There is a need to launch pilot projects to strengthen the understanding and capacity to design, implement and assess incentive measures. Pilot projects could focus on a number of activities including awareness-raising, valuation studies, assessment of existing incentives, development of new incentive schemes and removal of barriers to incentives. Such pilot projects should have built-in linkages to existing initiatives under way in UNEP and other relevant organizations.

20. It is important that such pilot projects be country-driven and build the capacities of local institutions and policy makers.

21. Workshops can be valuable means to exchange both positive and negative experiences and best practices with respect to the design and implementation of incentive measures. Country-driven case-studies that reflect both the experiences of developing and developed countries could provide a good basis through which the strengths and weaknesses of specific incentive measures could be evaluated, taking into account the peculiarities of countries, ecosystems and sectors.

Role of international organizations

22. Competent international organizations are invited to support the efforts of Parties in their work on incentive measures, in particular through the dissemination of information, the provision of expertise and technical guidance, and training.

23. An inter-agency coordination committee should be established, based on the liaison group established by the Executive Secretary (including representatives from the Food and Agriculture Organization of the United Nations (FAO), the Organisation for Economic Co-operation and Development (OECD), the United Nations Conference on Trade and Development (UNCTAD), the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP) and IUCN as set out in decision V/15 of the Conference of the Parties) to coordinate activities at the international level, thus avoiding overlapping initiatives and activities while providing support to Parties. The committee should also include representatives from the World Bank and the secretariats of other relevant multilateral environmental agreements.

DECISION VI/16 | Additional financial resources

The Conference of the Parties,

Recalling the commitments made by all Parties in Articles 20 and 21 of the Convention on Biological Diversity,

Taking note of the report by the Executive Secretary on additional financial resources,[120] the report of the Workshop on Financing for Biological Diversity held in Havana on 16–17 July 2001[121] and the first *CBD News Supplement on Financing for Biological Diversity*, as well as the outcomes of the International Workshop on Financial Support for the Development of National Biosafety Frameworks organized by the United Nations Environment Programme in Havana on 14 July 2001,

Taking note of the importance of additional financial resources to implement the Strategic Plan of the Convention,

Recognizing that the Global Environment Facility has made a significant contribution to the implementation of the Convention,

Noting that the level of official development assistance is of concern to all Parties to the Convention on Biological Diversity, and *emphasizing* the need for a substantial increase of international financial support to the implementation of the Convention and the easier flow of such assistance,

Welcoming the positive outcome of the United Nations International Conference on Financing for Development, held in Monterrey, Mexico, in March 2002 as reflected in the Monterrey Consensus, which represents a crucial step towards achieving the goals of poverty eradication, sustained economic growth and promotion of sustainable development,

1. *Commends* the Executive Secretary for the information concerning access to funding for biodiversity projects that has been provided on the website of the Convention;

120 UNEP/CBD/COP/6/14.
121 CBD-GEF/WS-Financing/2.

2. *Commends also* the efforts made by some Governments and organizations to develop partnerships aiming at promoting financial investments in biodiversity;

3. *Notes* the recent initiation of the Conservation Finance Alliance (CFA) facilitated by The Nature Conservancy, the Bureau of the Convention on Wetlands (Ramsar, Iran, 1971) and the Wildlife Conservation Society, involving non-governmental organizations, bilateral and multilateral agencies;

4. *Welcomes* the strong support for a substantial third replenishment of the Global Environment Facility, expressed by both developing and developed countries at the sixth meeting of the Conference of the Parties to the Convention on Biological Diversity;

5. *Urges* donor countries to substantially replenish the Global Environment Facility to levels higher than the current for supporting developing countries, in particular the least developed and the small island developing States, and countries with economies in transition, to implement the Convention on Biological Diversity;

6. *Invites* Parties and Governments, funding institutions and development agencies, as well as other donors to communicate to the Executive Secretary their funding procedures, eligibility criteria and programme priorities in relation to biological diversity as well as their experience in mainstreaming biodiversity into funding operations;

7. *Invites* Parties and Governments to:

(a) Share, through the clearing-house mechanism, their experiences on developing and implementing financial measures for supporting national biodiversity strategies and action plans, such as biodiversity trust funds and promotion of the private sector in supporting biological diversity;

(b) Review national budgets and monetary policies, including the effectiveness of official development assistance allocated to biological diversity, with a view to promoting the conservation and sustainable use of biological diversity, paying particular attention to positive incentives and their performance as well as perverse incentives and ways and means for their removal or mitigation;

8. *Urges* Parties and Governments, the World Bank, the International Monetary Fund, the United Nations Development Programme and other relevant institutions to take concrete action to review and further integrate biodiversity considerations in the development and implementation of major international development initiatives, such as the Highly Indebted Poor Countries (HIPC) Initiative, Poverty Reduction Strategies (PRSs), and Comprehensive Development Frameworks (CDF), as well as in national sustainable development plans and relevant sectoral policies and plans;

9. *Requests* the Global Environment Facility to explore opportunities to further develop, enhance and strengthen its catalytic role in identifying and promoting co-financing resources, and, also, to take definitive actions to explore and examine innovative and creative financing modalities to leverage increased funds from the private sector and non-traditional sources of funding;

10. *Encourages* the Organisation for Economic Co-operation and Development to integrate data collection efforts on aid targeting the implementation of the Convention on Biological Diversity into its regular data-collection activities, and *invites* the Organisation for Economic Co-operation and Development to provide information on financial flow statistics relating to the objectives of the Convention on Biological Diversity to the Conference of the Parties at its seventh meeting;

11. *Requests* the Executive Secretary:

(a) In collaboration with the Global Environment Facility, to promote coordination, coherence, and synergies in financing for biological diversity among donor Parties and Governments, bilateral, regional and multilateral funding institutions and development agencies in order to avoid duplication of work, identify gaps in activities, and identify necessary activities and funding;

(b) In consultation with the Global Environment Facility, to make available, through the clearing-house mechanism, relevant funding information including success stories and best practices of utilizing available financial resources;

(c) To explore possible cooperation with relevant institutions to address the need for centralizing information on biodiversity related activities of funding institutions and other donors;

(d) In collaboration with the Global Environment Facility, to explore with interested partners opportunities of developing a global initiative on banking, business and biodiversity, taking into account the existing mechanisms and institutions, and other global and regional initiatives or processes, with a view to increasing funding for biodiversity and mainstreaming biodiversity into the financial sector;

(e) To follow up on the outcomes of the World Summit on Sustainable Development that are relevant to additional financial resources;

(f) To compile information concerning the impacts of external debts on the conservation and sustainable use of biodiversity, and examine the possibility of utilizing debt for nature initiatives for supporting the implementation of the Convention on Biological Diversity, and make this information available on the Website of the Convention;

(g) To prepare a progress report on the implementation of the present decision for consideration by the Conference of the Parties at its seventh meeting.

DECISION VI/17 | Financial mechanism under the Convention

The Conference of the Parties,

Recalling the relevant provisions of the Convention on Biological Diversity in its decisions I/2, II/6, III/5, III/8, IV/11, IV/13, V/12 and V/13,

Taking note of the report of the Global Environment Facility,[122] and the Second Overall Performance Study of the Global Environment Facility,[123]

Taking note also of the compilation of past guidance to the financial mechanism,[124] the executive summary[125] and the final report of the independent evaluator commissioned for purposes of the second review of the effectiveness of the financial mechanism,[126]

Noting with satisfaction the strong and growing collaboration established between the secretariats of the Convention on Biological Diversity and the Global Environment Facility,

Welcoming the strong support for a substantial third replenishment of the Global Environment Facility, expressed by both developing and developed countries at the sixth meeting of the Conference of the Parties,

1. *Notes* the strong support expressed by developing countries, in particular the least developed and the small island developing States amongst them, and countries with economies in transition, as well as developed countries, for assistance from the Global Environment Facility in the implementation of the Convention;

2. Noting the importance of the Small Grants Programme of the Global Environment Facility, *welcomes* its continued expansion to other developing countries, in particular the least developed countries and the small island developing States;

3. Noting the efforts of the Global Environment Facility in providing financial resources to Parties with economies in transition for biodiversity-related projects, *welcomes* the continuation of these efforts;

4. *Reiterates* the call to the Global Environment Facility for improving and further streamlining its processes for increased flexibility and improving access to resources from the Global Environment Facility, taking into consideration the findings included in the Second Overall Performance Study of the Global Environment Facility and the second review of the effectiveness of the financial mechanism;

5. *Requests* the Global Environment Facility to consider the benefits to Parties, particularly small island developing States, of an appropriate balance between national and regional projects in the implementation of decisions of the Conference of the Parties;

6. *Requests* the Global Environment Facility, in consultation with the Executive Secretary and other multilateral and bilateral organizations, to explore funding

122 UNEP/CBD/COP/6/9 and Add.1.
123 UNEP/CBD/COP/6/INF/29.
124 UNEP/CBD/COP/6/INF/3.
125 UNEP/CBD/COP/6/13/Add.1.
126 UNEP/CBD/COP/6/INF/4.

modalities for facilitating the preparation of future national reports and thematic reports from Parties, taking into account the comments made by Parties on their experience in accessing relevant funds during the sixth meeting of the Conference of the Parties as well as the recommendations included in the second Overall Performance Study of the GEF and the second review of the effectiveness of the financial mechanism;

7. *Requests* the Global Environment Facility, in consultation with the Executive Secretary of the Convention, to initiate a dialogue to more effectively implement the guidance to the financial mechanism, drawing from the experiences and lessons learned from projects and programmes funded by the Global Environment Facility, and explore opportunities for streamlining the guidance;

8. *Requests* the Global Environment Facility, in its plan of action to respond to the Second Overall Performance Study, to take into consideration the recommendations of the second review of the effectiveness of the financial mechanism, and to report to the Conference of the Parties on how it has done so;

9. *Requests* the Executive Secretary and the Global Environment Facility to explore possible synergies between the review processes of the Convention and the Global Environment Facility, and make suggestions on the arrangements for the third review of the effectiveness of the financial mechanism;

10. *Decides* to provide the following additional guidance to the Global Environment Facility in the provision of financial resources, in accordance with Article 20 and Article 21, paragraph 1 of the Convention and in conformity with decisions I/2, II/6, III/5, IV/13 and V/13 of the Conference of the Parties. In this regard, the Global Environment Facility shall provide financial resources to developing countries Parties, taking into account the special needs of the least developed countries and the small island developing States amongst them, for country-driven activities and programmes, consistent with national priorities and objectives, recognizing that economic and social development and poverty eradication are the first and overriding priorities of developing countries, and taking fully into consideration all relevant decisions from the Conference of the Parties. The Global Environment Facility as the institutional structure operating the financial mechanism should provide financial resources:

(a) As a priority, for the elaboration, development, and revision as necessary, of national biodiversity strategies and action plans, and for activities which assist their implementation consistent with guidance to the Global Environment Facility from the Conference of the Parties;

(b) For national capacity-building in biosafety, in particular for enabling effective participation in the Biosafety Clearing-House and in the implementation of the Action Plan for Building Capacities for the Effective Implementation of the Cartagena Protocol on Biosafety proposed by the Intergovernmental Committee on Cartagena Protocol at its second meeting, and for other needs identified in the recommendations of the Intergovernmental Committee at its second meeting for assisting developing countries to prepare for the entry into force of the Protocol;

(c) For country-driven projects focusing on the identified national priorities, as well as regional and international actions that assist the implementation of the expanded work programme considering conservation of biological diversity, sustainable use of its components and fair and equitable sharing of the benefits from genetic resources in a balanced way, underscoring the importance of ensuring long-term conservation, sustainable use, and benefit-sharing of native forests;

(d) For country-driven capacity-building activities by developing country Parties, in particular, least developed countries and small island developing States among them, for the implementation of the Global Strategy for Plant Conservation;

(e) For country-driven activities aimed at enhancing capabilities to address the impacts of mortality related to coral bleaching and physical degradation and destruction of coral reefs, including developing rapid response capabilities to implement measures to address coral-reef degradation, mortality and subsequent recovery;

(f) For national and regional taxonomic capacity-building, as a basis for implementing the programme of work for the Global Taxonomy Initiative, with particular attention to funding country-driven pilot projects identified under the Global Taxonomy Initiative, taking into consideration the special needs of least developed countries and small island developing States;

(g) For projects that assist with the implementation of the Plan of Action for the International Initiative for the Conservation and Sustainable Use of Pollinators by developing country Parties, in particular, least developed countries and small island developing States;

(h) To build capacity of developing country Parties, in particular least developed countries and small island developing States, to participate effectively in the preparatory process for the first Report on the State of World's Animal Genetic Resources;

(i) For projects that assist with the implementation of the programme of work on biological diversity of inland water ecosystems;

(j) For projects that assist with the implementation of the programme of work on incentive measures, taking into consideration the specific circumstances of countries, in particular, least developed countries and small island developing States;

(k) As a priority, for projects that assist with the development and implementation, at national and regional levels, of the invasive alien species strategies and action plans called for in paragraph 6 of decision V/8, in particular those strategies and actions related to geographically and evolutionarily isolated ecosystems, paying particular attention to the needs of least developed countries and small island developing States, including needs related to capacity-building;

(l) In a timely manner, to eligible Parties for the preparation of national reports;

(m) For projects that assist with the implementation of the Action Plan on Capacity-building for Access and Benefit-sharing in support of the implementation of the

Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of the Benefit Arising out of their Utilization;

(n) For the enhancement of national capacities for the establishment and maintenance of mechanisms to protect traditional knowledge at national and subnational levels, and for building the capacity of indigenous and local communities to develop strategies and systems for the protection of traditional knowledge;

(o) For capacity development and country-driven projects prioritized in the Global Initiative on Communication, Education and Public Awareness;

11. *Requests* the Global Environment Facility to report on the implementation of the present decision to the Conference of the Parties at its seventh meeting.

DECISION VI/18 | Scientific and technical cooperation and the clearing-house mechanism

The Conference of the Parties

1. *Invites* Parties to use effectively the central portal of the clearing-house mechanism and to establish or strengthen national, subregional or regional focal points for the clearing-house mechanism, if they have not done so already;

2. *Requests* the Executive Secretary to commission a review to assess the current and potential role of the clearing-house mechanism in promoting technical and scientific cooperation, including its role in facilitating the transfer of technology and know-how and capacity-building to support implementation of the Convention at the national level, and to report on this review to the Conference of the Parties at its seventh meeting;

3. *Recommends* that the Executive Secretary update and further develop the clearing-house mechanism tool kit referred to in decision IV/2 of the Conference of the Parties, incorporating the use of guidelines, best practices and new information formats, protocols and standards to assist Parties in the establishment or improvement of national, subregional or regional focal points for the clearing-house mechanism;

4. *Urges* the Executive Secretary to convene additional capacity-building workshops at the national, subregional and regional levels referred to in decision V/14 of the Conference of the Parties for clearing-house activities and training in support of national capacities to implement the Convention;

5. *Urges* the Executive Secretary, in collaboration with existing international networks of indigenous and local communities and, as appropriate, national focal points, to assist in the further development of communication networks for use by these communities, with an initial emphasis on information-sharing formats, protocols and standards, having regard to ethical issues pertaining to traditional knowledge. These networks would not be used to exchange or disclose traditional knowledge.

DECISION VI/19 | Communication, education and public awareness

The Conference of the Parties,

Global Initiative on Communication, Education and Public Awareness

Recalling the provisions of Article 13 of the Convention on Biological Diversity and its decisions IV/10 B, paragraph 6, and V/17,

Taking note of the information provided by the Executive Secretary with regard to biodiversity education and public awareness,[127]

Noting with appreciation the work done by the Consultative Working Group of Experts convened according to decision V/17,

Recognizing that communication, education and public awareness are essential elements for the successful and effective implementation of the Convention,

Further recognizing the central role of communication, education and public awareness in the implementation of the Strategic Plan,

Emphasizing that communication and education are two distinct yet complementary disciplines,

Noting that key actors in the implementation of the Convention need effective instruments on communication, education and public awareness to engage major stakeholders and to convey the appropriate messages to mainstream biodiversity,

Recognizing the complementary nature of a global initiative on education and public awareness and the corporate communication of the Secretariat of the Convention on Biological Diversity,

1. *Decides* to adopt the programme of work for a Global Initiative on Communication, Education and Public Awareness, as contained in the annex to the present decision;

2. *Invites* Parties to strongly and effectively promote biodiversity-related issues through the press, the various media, and public relations and communications networks at national levels;

3. *Requests* the Parties to the Convention and other Governments:

(a) To support the national, regional and international activities prioritized by the Global Initiative on Education and Public Awareness;

(b) To develop adequate capacity to deliver initiatives on communication, education and public awareness, taking into account special needs of developing countries, in particular, the least developed countries and small island developing States;

4. *Requests* the Executive Secretary, in consultation with the United Nations Educational, Scientific and Cultural Organization, the United Nations Environment Programme, the IUCN Commission for Education and Communication, and other

127 UNEP/CBD/COP/6/13, section V, and UNEP/CBD/COP/6/13/Add.2.

members of the Consultative Working Group of Experts established by decision V/17, as well as any relevant institutions, to:

(a) Monitor and evaluate the implementation of the Global Initiative according to the conditions established in the annex to the present decision for its start-up phase and report regularly on its implementation to the meetings of the Conference of the Parties;

(b) Review the communication, education and public-awareness dimensions of existing and new cross-cutting issues and thematic areas, and specifically those priorities and action plans established in the Strategic Plan for the Convention;

(c) Promote, in collaboration with the relevant agencies, the development and implementation of demonstration projects that can serve as models to initiate similar projects that can be adopted by Parties, and to report thereon to the Conference of the Parties at its seventh meeting;

(d) Seek the submission of relevant case-studies on biodiversity communication, education and public awareness from relevant sources;

(e) Develop and implement a corporate communication strategy for the Secretariat.

5. *Invites* the Global Environment Facility to include expertise relating to communication, education and public awareness when evaluating projects for funding approval and to strengthen its involvement in and support of the national implementation of the Global Initiative;

6. *Invites* the private sector to become an active player in the Global Initiative and encourages the private sector to mobilize resources for this Initiative;

7. *Invites* the United Nations Environment Programme:

(a) To promote biodiversity-related communication, education and public-awareness activities across multilateral environmental agreements and programmes;

(b) To promote capacity-building for communication, education and public awareness at the regional level in cooperation with IUCN and others;

(c) To develop international mechanisms that facilitate access to environmental information, environmental justice and public participation.

8. *Urges* the United Nations Educational, Scientific and Cultural Organization to develop a plan to integrate biodiversity into all levels of formal education;

9. *Invites* other agencies such as the United Nations Development Programme, the World Bank, and development banks:

(a) To reflect in their funding policies the Global Initiative on Communication, Education and Public Awareness according to the conditions established in the annex to the present decision;

(b) To include expertise on communication, education and public awareness when evaluating projects for funding approval.

10. *Invites* indigenous people's organizations, community-based organizations and non-governmental organizations to include communication, education and

public awareness in their relevant activities and to support the global initiative on education and public awareness according to the conditions established in the annex to the present decision.

Library and publications

Welcoming the significant increase in the number and variety of publications prepared by the Secretariat, in particular the *Global Biodiversity Outlook*, the Handbook of the Convention, the Technical Series and the various brochures,

11. *Invites* Parties to facilitate the increase in the number of biodiversity-related publications in their national libraries in order to facilitate further dissemination of knowledge on biodiversity issues among the general public;

12. *Requests* the Executive Secretary to:

(a) Develop appropriate partnerships with public and private research and academic institutions for the exchange of publications related to biodiversity;

(b) Examine the possibility of establishing formal liaison with schools of environmental education to further disseminate decisions of the Conference of the Parties to future specialists;

(c) Make available all publications in the area of biodiversity communication, education and public awareness that have been produced by the Secretariat in the six official United Nations languages, subject to the availability of funding, and promote the translation of those publications in the languages of indigenous and local communities;

13. *Invites* United Nations bodies and other international and regional organizations to send copies of their biodiversity-related publications to the library of the Secretariat.

ANNEX
PROGRAMME OF WORK FOR THE GLOBAL INITIATIVE ON COMMUNICATION, EDUCATION AND PUBLIC AWARENESS (CEPA)

It is recognized that:

(a) The concept of biodiversity poses particular communication and education challenges due to its comprehensiveness, complexity and ill-defined nature;

(b) Key actors in the implementation of the Convention on Biological Diversity need effective technical instruments to engage major stakeholders and to convey the appropriate messages to mainstream biodiversity;

(c) Despite repeated stated support for education and public awareness, education and communication instruments fail to be effectively utilized in the processes of the Convention. Education and communication instruments lack appropriate funding and are inadequately advised by relevant professional expertise;

(d) Education and communication, as social instruments, work best when part of an instrument mix designed to formulate, implement and manage the national biodiversity strategy and action plans;

(e) Biodiversity conservation, sustainable use and equitable sharing call for social change. Education and public awareness are long-term investments towards this change. At the same time, biodiversity issues need to be communicated effectively to ensure the participation of major stakeholders from different sectors. A distinction must therefore be established between communication strategies, on the one hand, and education[128] and public awareness on the other. For this reason, the expression communication, education and public awareness is used to refer to both disciplines;

(f) The three programme elements contained below represent two strategic priorities: (i) institutional arrangements; and (ii) programmatic priority areas.

PROGRAMME ELEMENT 1: TOWARDS A GLOBAL COMMUNICATION, EDUCATION AND PUBLIC AWARENESS NETWORK

Operational objectives

1. To establish and manage a global communication, education and public awareness network composed of new information technologies and traditional communication mechanisms;

2. To stimulate the creation of national, subregional and regional communication, education and public awareness networks;

3. To create synergy between existing networks relevant to communication, education and public awareness.

Proposed actions

1. Develop an electronic portal and an alternative information dissemination mechanism towards the establishment of a global network on communication, education and public awareness, building on, where possible, existing initiatives.[129] The portal will be composed of new communication tools and resources including Internet-based technologies, CD-ROMs, DVDs, etc. The alternative information dissemination mechanism will use traditional media such as brochures and pamphlets and other communication modes such as theatre, music and dance. Using Internet-based and traditional information resources, this global network will:

(a) Make visible the expertise in biodiversity communication and education including communication, education and public awareness training databases;

(b) Stimulate moderated electronic discussions on issues of interest to communication, education and public awareness professionals;

128 See relevant UNESCO documentation on terminology.

129 Such as the Biodiversity Education and Public Awareness—BEPA Online and the Inter-American Biodiversity Information Network (IABIN).

(c) Link the portal to other networks and websites on communication and education, for example, those of the Convention on Wetlands (Ramsar, Iran, 1971), the United Nations Framework Convention on Climate Change, etc.;

(d) Provide access to relevant projects and publications;

(e) Link with established learning institutions and centres of excellence to ensure the quality of products and materials;

(f) Stimulate and provide means for people to find those working on similar projects, problems or issues;

(g) Create access to standards of best practices;

(h) Ensure that the global network is service- and demand-oriented;

(i) Promote communication and public awareness at the community level.

2. Identify potential partners and stakeholders:

Create a registry of education and communications experts, organizations and networks (governmental; non-governmental; indigenous; religious; sectoral – business and industry, agriculture, fisheries, forests, tourism; media).

Beneficiaries

Parties, coordinators of national biodiversity strategies and action plans, educators, communicators, non-governmental organizations and governmental implementing agencies.

Expected results

1. The communication, education and public awareness global network for networking is operational and linked to the clearing-house mechanism;

2. Lists of networks and contact addresses, available on the Internet and on CD-ROMs;

3. Enhanced communication and knowledge exchange nationally and regionally.

Lead organization

Secretariat of the Convention, in cooperation with IUCN—the World Conservation Union.

Partners

Parties, UNESCO, UNEP, the IUCN Commission for Education and Communication, the International Union of Biological Sciences (IUBS), the Convention on Wetlands (Ramsar, Iran, 1971).

Time frame

Three years.

Budget

Phase 1: $250,000 first year; $100,000 each subsequent year.

Phase 2: Establish phase 2 budget as part of the review process by the Conference of the Parties at its seventh meeting.

PROGRAMME ELEMENT 2: EXCHANGE OF KNOWLEDGE AND EXPERTISE

Operational objectives

1. To enhance exchange of knowledge and expertise among professionals, enhancing development and innovation on communication, education and public awareness;

2. To meet knowledge needs of Parties and other stakeholders for Article 13.

Proposed actions

1. Document and analyse national reports from the Parties on communication, education and public awareness to develop needs for communication, education and public awareness support;

2. Identify links and provide searchable means to access biodiversity knowledge through the clearing-house mechanism;

3. Research, collect and exchange communication, education and public awareness projects and case-studies through the World Wide Web, workshops, CD-ROMs, and publications;

4. Sharing knowledge about tools and criteria for best practices;

5. Provide copyright free graphics and materials, subject to available funding, for adaptation;

6. Develop the global network in programme element 1 to facilitate actions in programme element 2.

Beneficiaries

Parties, coordinators of national biodiversity strategies and action plans, governmental implementing agencies, educators, communicators, non-governmental organizations.

Expected results

1. Biodiversity communication and education solutions for practitioners and parties and stakeholders;

2. Professional exchange of expertise made more accessible.

Lead organization

Secretariat of the Convention on Biological Diversity, in cooperation with UNESCO and IUCN.

Partners

Parties, UNEP, IUBS.

Time frame

Three years.

Budget

$400,000 per annum ($1.2 million total).

PROGRAMME ELEMENT 3: CAPACITY-BUILDING FOR COMMUNICATION, EDUCATION AND PUBLIC AWARENESS

Operational objectives

1. Develop capacity of the Parties to market biodiversity to other sectors, and mainstream biodiversity into the work of other sectors;

2. Develop professional capacity of educators and communicators;

3. Enhance stakeholder participation and community development though communication, education and public awareness.

Proposed actions

1. Create and deliver training programmes including: courses help desks, coaching, manuals, check lists, exchange on application of methods to work with stakeholders;

2. Establish system for professional exchanges;

3. Promote twinning programmes;

4. Establish a distance-learning programme on communication, education and public awareness;

5. Improve synergies between communication, education and public awareness research and practice;

6. Build capacity to evaluate and define principles for the evaluation of good communication, education and public awareness practice;

7. Develop appropriate sets of tools for communicators on biodiversity;

8. Establish partnerships with journalists and broadcasters engaged in communicating biodiversity related issues through the mass media;

9. Build capacity for fund-raising.

Beneficiaries

Parties, coordinators of national biodiversity strategies and action plans, educators, communicators, non-governmental organizations, governmental implementing agencies.

Expected results

1. A range of individuals and institutions with an enhanced understanding of the needs, methods and mechanisms of stakeholder participation;

2. A range of individuals and institutions with capacity to plan and manage biodiversity communication and education;

3. Communicators pack – set of tools (among others);

4. Online training course in communication (among others);

5. Greater access at the community level to communication and public education and awareness programmes, courses and resources.

Lead organization

Secretariat of the Convention on Biological Diversity, with the cooperation of UNEP, UNESCO, UNDP, the United Nations Institute for Training and Research (UNITAR), IUCN and WWF.

Partners

Parties.

Time frame

Three years.

Budget

$300,000 per annum ($900,000 total).

DECISION VI/20 | Cooperation with other organizations, initiatives and conventions

Cooperation with various international organizations, initiatives and other conventions

The Conference of the Parties

1. *Reaffirms* the importance of cooperation and the need to design and implement mutually supportive activities with other conventions, international organizations and initiatives, as specified under this and other decisions;

2. *Welcomes* the further contribution that the Millennium Ecosystem Assessment, the Global International Waters Assessment, the Forest Resources Assessment 2000, the report on the State of the World's Plant and Animal Resources of the Food and Agriculture Organization of the United Nations, the World Water Assessment Programme and the IUCN Red List assessment have made to the work of the Subsidiary Body on Scientific, Technical and Technological Advice and the Convention;

3. *Invites* those conducting these assessments to keep the Subsidiary Body on Scientific, Technical and Technological Advice informed of their work, and *further invites* them to report to the Subsidiary Body on Scientific, Technical and Technological Advice at its eighth and ninth meetings;

4. *Welcomes* the work of the United Nations Environment Programme on the harmonization of environmental reporting and encourages its continuation, whilst recognizing the need to ensure that this does not affect the ability of the Conference of the Parties to adjust national reporting procedures under the Convention in order to better meet the needs of Parties;

5. *Recognizes* the importance of collaboration with the United Nations Forum on Forests on issues related to forest biological diversity and encourages practical cooperation at the level of the respective secretariats;

6. *Recognizes* the need to establish cooperation with the United Nations Permanent Forum for Indigenous Issues, in particular on matters relevant to Article 8(j) and related provisions;

7. *Invites* the Food and Agriculture Organization of the United Nations to continue its close working relationships with the Executive Secretary and to extend its cooperation on those relevant areas identified in the decisions of the current meeting under the item on agricultural biological diversity, in particular on the International Treaty on Plant Genetic Resources for Food and Agriculture;

8. *Urges* Parties to take steps to harmonize policies and programmes, at the national level, among the various multilateral environmental agreements and relevant regional initiatives, with a view to optimising policy coherence, synergies and efficiency in their implementation, at the national, regional and international levels.

Cooperation with the United Nations Convention on Climate Change and the Convention to Combat Desertification

9. *Welcomes* the activities being undertaken with the United Nations Framework Convention on Climate Change, including its Kyoto Protocol, and *requests* the Subsidiary Body on Scientific, Technical and Technological Advice and the Executive Secretary to continue to cooperate with the United Nations Framework Convention on Climate Change, including its Kyoto Protocol, and the Intergovernmental Panel on Climate Change (IPCC) on relevant issues such as dry and sub-humid lands, agricultural biological diversity, forest biological diversity, marine and coastal biological diversity, especially coral reefs, and incentive measures and impacts of measures envisaged under the Kyoto Protocol with a view to maximizing synergies between these processes;

10. *Recognizes* that there is a need to take immediate actions under the Convention on Biological Diversity and the United Nations Framework Convention on Climate Change to reduce and mitigate the impacts of climate change on the biological diversity of coral reefs and their associated socio-economic effects;

11. *Welcomes* the conclusions of the sixth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice of the Convention on Biological Diversity and the Subsidiary Body for Scientific and Technological Advice of the United Nations Framework Convention on Climate Change regarding cooperation among the United Nations Framework Convention on Climate Change, the United Nations Convention to Combat Desertification and the Convention on Biological Diversity;

12. *Welcomes further* the establishment of the joint liaison group among the United Nations Framework Convention on Climate Change, the United Nations Convention to Combat Desertification and the Convention on Biological Diversity and *urges* the joint liaison group to become fully operational in order to facilitate cooperation between the conventions both at national and international levels;

13. *Takes note* of the terms of reference of the joint liaison group of the secretariats of the Convention on Biological Diversity, the United Nations Convention to Combat Desertification and the United Nations Framework Convention on Climate Change, and the proposed programme of work agreed upon at the fifteenth session of the Subsidiary Body for Scientific and Technological Advice of the United Nations Framework Convention on Climate Change and *encourages* further coordinated work, especially on issues relating to the national level;

14. *Invites* Parties to provide views to the Executive Secretary on the need for further enhanced cooperation between the Subsidiary Body for Scientific and Technological Advice of the United Nations Framework Convention on Climate Change and the Subsidiary Body on Scientific, Technical and Technological Advice of the Convention on Biological Diversity, including suggestions for specific actions by 30 May 2002.

Cooperation with the Convention on Wetlands (Ramsar, Iran, 1971)

15. *Welcomes and endorses* the third joint work plan (2002–2006) between the Convention on Biological Diversity and the Convention on Wetlands (Ramsar, Iran, 1971);[130]

16. *Notes* that the third joint work plan includes a range of cooperative actions in relation to several ecosystem themes and cross-cutting issues of the Convention on Biological Diversity, as well as proposing actions to harmonize institutional processes, and *requests* the Subsidiary Body on Scientific, Technical and Technological Advice and the Executive Secretary to take these actions fully into consideration in furthering the respective programmes of work for these areas.

Cooperation with the Convention on the Conservation of Migratory Species of Wild Animals

17. *Welcomes and endorses* the joint work programme between the Convention on Biological Diversity and the Convention on the Conservation of Migratory Species of Wild Animals;[131]

18. *Notes* that the joint work programme between the Convention on Biological Diversity and the Convention on Migratory Species includes a range of cooperative actions in relation to several ecosystem themes and cross-cutting issues of the Convention on Biological Diversity, as well as proposing actions to harmonize institutional processes, and *requests* the Subsidiary Body on Scientific, Technical and Technological Advice and the Executive Secretary to take these actions fully into consideration in furthering the respective programmes of work for these areas;

130 UNEP/CBD/COP/6/INF/14.
131 UNEP/CBD/COP/6/INF/15.

19. *Recognizes* migratory species as a unique globally important component of biological diversity under the Convention on Migratory Species, and *further recognizes* that the conservation and sustainable use of migratory species need to be undertaken in their migratory range and through cooperative actions.;

20. *Invites* the Secretariat of the Convention on Migratory Species and Parties to that Convention, to compile and disseminate through the clearing-house mechanism of the Convention on Biological Diversity case-studies on migratory species and their habitats, relevant to thematic areas and cross-cutting issues under the Convention on Biological Diversity;

21. *Invites* the Executive Secretary to generate, in collaboration with the Secretariat of the Convention on Migratory Species and relevant organizations, guidance for the integration of migratory species into the national biodiversity strategies and action plans and ongoing and future programmes of work under the Convention on Biological Diversity;

22. *Urges* Parties to report through their national reports on the extent to which they address migratory species at the national level, and on their cooperation with other range States;

23. *Recognizes* the Convention on Migratory Species as the lead partner in conserving and sustainably using migratory species over their entire range and *also recognizes* that the Convention on Migratory Species provides an international legal framework through which range States can cooperate on migratory species issues.

Cooperation with the Convention on International Trade in Endangered Species of Wild Fauna and Flora

24. *Invites* the secretariats of the Convention on International Trade in Endangered Species of Wild Fauna and Flora and the Convention on Biological Diversity to continue to cooperate and coordinate activities with a view to facilitating the exchange of relevant information and experience and enhancing synergies in areas of mutual interest.

Cooperation with the World Trade Organization

25. *Reaffirms* the need to promoting increased mutual supportiveness of trade and environment agreements in achieving sustainable development, as stressed in decision IV/15 of the fourth meeting of the Conference of the Parties, and reiterated in the Cartagena Protocol on Biosafety and the Doha Ministerial Declaration of the World Trade Organization adopted on 14 November 2001;

26. *Notes* the Doha Ministerial Declaration, which welcomes a continued cooperation by the World Trade Organization with United Nations Environment Programme and other intergovernmental environmental organizations, and encourages efforts to promote cooperation between the World Trade Organization and relevant international environmental and developmental organizations;

27. *Recognizes* the importance of cooperation with the World Trade Organization with regard to matters that are relevant to the Cartagena Protocol on Biosafety and

in preparing for the implementation of the Protocol, emphasizes the need to ensure mutual supportiveness with the relevant agreements under the World Trade Organization, in particular with the Agreement on Sanitary and Phytosanitary Measures and the Agreement on Technical Barriers to Trade, with a view to achieving sustainable development;

28. *Welcomes* the practice established between the Executive Secretary and the World Trade Organization to exchange information regarding developments under the Intergovernmental Committee for the Cartagena Protocol on Biosafety;

29. *Requests* the Executive Secretary to apply to the World Trade Organization for an observer status and to represent the Convention on Biological Diversity in the meetings of the Committee on Sanitary and Phytosanitary Measures and the Committee on Technical Barriers to Trade;

30. *Further requests* the Executive Secretary to renew the application to the World Trade Organization for observer status in the Council for the Agreement on Trade-related Aspects of Intellectual Property Rights.

Cooperation with the International Plant Protection Convention

31. *Welcomes* the recommendations of the Open-ended Working Group of the Interim Commission on Phytosanitary Measures on Specifications for an International Standard for Phytosanitary Measures on Living Modified Organisms, in particular to include expertise on the provisions and implementation of the Cartagena Protocol on Biosafety and on the requirement for consistency with the Protocol;

32. *Requests* the Executive Secretary to continue to maintain close cooperation with the Interim Commission on Phytosanitary Measures of the International Plant Protection Convention as regards the development of standards for plant pest risk analysis involving living modified organisms;

33. *Encourages* Parties to the Convention on Biological Diversity and Governments participating in the International Plant Protection Convention process to include experts on the Cartagena Protocol on Biosafety and the Convention on Biological Diversity in their delegations to meetings under the International Plant Protection Convention;

34. *Urges* the Interim Commission on Phytosanitary Measures to ensure that the international standards to be developed for the purpose of phytosanitary measures regarding living modified organisms are in harmony with the objective and all relevant requirements of the Cartagena Protocol on Biosafety.

Cooperation with the World Intellectual Property Organization

35. *Recognizes* the leading role of the Convention on Biological Diversity in international biological diversity issues and the role of the World Intellectual Property Organization as the lead specialized agency to address intellectual property rights, and *emphasizes* continued cooperation between the Convention and the Organization;

36. *Encourages* the Executive Secretary to pursue, in accordance with paragraph 17 of decision IV/9, the Memorandum of Understanding between the secretariat of the Convention and the World Intellectual Property Organization with a view to enhancing cooperation between the Convention and the Organization on intellectual property issues arising from the implementation of the Convention such as those in access and benefit-sharing and Article 8(j) and related provisions;

37. *Invites* the World Intellectual Property Organization to address, as a matter priority, the invitation extended to it under paragraph 4 of its decision VI/24 C, on the role of intellectual property rights in the implementation of access and benefit-sharing arrangements;

38. *Encourages* the World Intellectual Property Organization to take into account the objectives and principles of the Convention on Biological Diversity when dealing with issues related to access and benefit-sharing and traditional knowledge;

39. *Invites* the World Intellectual Property Organization to further strengthen the complementarity of its work programme with that of the Convention on intellectual property issues arising from access and benefit-sharing and Article 8(j) and related provisions and to provide appropriate information on these issues with a view to enhancing mutual supportiveness in the relevant work programmes that fall within the respective mandates of the Convention and the Organization.

DECISION VI/21 | Annex to The Hague Ministerial Declaration of the Conference of the Parties to the Convention on Biological Diversity

The Conference of the Parties,

Recalling its decision V/27 on the contribution of the Convention on Biological Diversity to the ten-year review of progress achieved since the United Nations Conference on Environment and Development,

Noting the outcome of the third meeting of the Commission on Sustainable Development acting as the Preparatory Committee for the World Summit on Sustainable Development,

Convinced that the World Summit on Sustainable Development should be an excellent opportunity to mobilize more political will and resources to promote the implementation of the Convention on Biological Diversity and reinvigorate the global commitment to sustainable development,

Deeply concerned that, despite many successful and continuing efforts of the international community since the entry into force of the Convention and the fact that some progress has been made, the condition of biodiversity in the world's major ecosystems continues to deteriorate, almost without exception and often at an accelerating rate,

Recalling resolution 55/199 of the United Nations General Assembly on the ten-year review of progress achieved in the implementation of the outcome of the

United Nations Conference on Environment and Development which invited, *inter alia*, conventions related to the Conference to participate fully in the ten-year review of progress achieved in the implementation of Agenda 21,

Noting with appreciation the outcomes of the International Conference on Financing for Development which took place in Monterrey, Mexico, in March 2002,

1. *Welcomes* the contribution of the Executive Secretary to the preparations for the World Summit on Sustainable Development;

2. *Adopts* the annexed contribution to the World Summit on Sustainable Development and *requests* the President of the Conference of the Parties to transmit this contribution from the Conference of the Parties to the World Summit on Sustainable Development, as well as prior to and on the occasion of the fourth preparatory committee meeting to be held in Bali, Indonesia;

3. *Requests* the Executive Secretary to continue to participate actively in the preparatory process for the World Summit on Sustainable Development, and in the Summit itself, with a view to ensuring that the objectives of the Convention, particularly those relating to poverty eradication and sustainable development; are duly reflected in its outcome, and to report to the seventh meeting of the Conference of the Parties accordingly;

4. *Encourages* Governments to promote partnership initiatives for biodiversity programmes involving the public and private sectors and other major stakeholders to be included in the outcome of the World Summit on Sustainable Development;

5. *Encourages* Governments to involve national focal points for the Convention on Biological Diversity in the World Summit on Sustainable Development process, and other major stakeholders, including non-governmental organizations, to participate in that process, and *invites* developed countries to provide support to that end through appropriate channels;

6. *Requests* the President of the Conference of the Parties, in close cooperation with the Bureau and the Executive Secretary, to analyse the outcome of the World Summit on Sustainable Development as it relates to the Convention process and to report thereon to the Conference of the Parties at its seventh meeting.

ANNEX
CONTRIBUTION FROM THE CONFERENCE OF THE PARTIES TO THE CONVENTION ON BIOLOGICAL DIVERSITY TO THE WORLD SUMMIT ON SUSTAINABLE DEVELOPMENT

A. Introduction: the Convention on Biological Diversity and Agenda 21

1. The maintenance of biodiversity is a necessary condition for sustainable development and as such constitutes one of the great challenges of the modern era.

2. The rate of biodiversity loss is increasing at an unprecedented rate, threatening the very existence of life as it is currently understood.

3. Addressing the major threats to biodiversity will require long-term and fundamental changes in the way resources are used and benefits are distributed. Achieving this adjustment will require broad-based action among a wide range of actors.

4. The importance of the biodiversity challenge was universally acknowledged at the United Nations Conference on Environment and Development, which met in Rio de Janeiro in 1992, and through the adoption of the Convention on Biological Diversity.

5. In becoming Parties to the Convention, States have committed themselves to undertaking national, regional and international measures aimed at achieving its three objectives: the conservation of biological diversity; the sustainable use of its components; and the fair and equitable sharing of benefits arising out of the utilization of genetic resources.

6. The Conference of the Parties has met six times and, on each occasion, through its decisions has taken steps to translate the general provisions of the Convention into practical action. This process has initiated national biodiversity strategies and action plans in over 100 countries, raised awareness about biodiversity and led to the adoption of the Cartagena Protocol on Biosafety, a treaty that provides an international regulatory framework for the safe transfer, handling and use of living modified organisms resulting from modern biotechnology.

B. Experience gained and lessons learned in implementing the Convention on Biological Diversity

7. The last ten years have clearly demonstrated that the Convention is the principal global instrument relevant to achieving the goals set out in chapter 15 of Agenda 21 titled "Conservation of Biological Diversity." During that period the Convention has realized significant achievements:

- The Cartagena Protocol on Biosafety was adopted by an extraordinary meeting of the Conference of the Parties in Montreal on 29 January 2000;
- National biodiversity strategies and action plans have been developed by over 100 Parties to the Convention and are under active implementation;
- A clearing-house mechanism has been established and operationalized to promote and facilitate technical and scientific cooperation amongst Parties;
- Public awareness of the importance of biodiversity and of the objectives of the Convention has been raised considerably in many countries;
- A Global Biodiversity Outlook which provides a general view on the status of biodiversity, the main pressures contributing to its loss, and the state of implementation of the Convention has been prepared and widely circulated;
- Indigenous and local communities have been effectively involved in the Convention process;
- A Strategic Plan for the Convention has been adopted; and
- The Global Environment Facility as the institutional structure operating the financial mechanism of the Convention, other financial mechanisms, donors and international organizations have made significant contributions to the progress in the implementation of the Convention by Parties in the last decade, particularly through multi-stakeholder processes.

8. Notwithstanding these important achievements much still remains to be done.

9. The experience and lessons learnt from the work of the Convention also indicate several key areas where implementation of the Convention and of Agenda 21 can be mutually reinforcing. Such areas include:

AGENDA 21	CONVENTION ON BIOLOGICAL DIVERSITY
Promoting education, public awareness and training (chapter 36)	Public education and awareness (Article 13)
Environmentally sound management of biotechnology (chapter 16)	Cartagena Protocol on Biosafety
Recognizing and strengthening the role of indigenous people and their communities (chapter 26)	Traditional biodiversity knowledge (Article 8(j) and related provisions)
Financial resources and mechanisms (chapter 33)	Financial resources and mechanisms (Articles 20 and 21)
Integrating environment and development in decisions making (chapter 8)	National biodiversity planning and integration into plans, programmes and policies (Article 6)
Promoting sustainable agriculture and rural development (chapter 14)	Work programme on agricultural biological diversity
Combating deforestation (chapter 11)	Work programme on forest biological diversity
Protection of oceans, all kinds of seas, including enclosed and semi-enclosed seas, and coastal areas and the protection, rational use and development of their living resources (chapter 17)	Work programme on marine and coastal biological diversity
Global action for women towards sustainable and equitable development (chapter 24)	Traditional biodiversity-related knowledge (Article 8(j) and related provisions); Sustainable Use of Components of Biological Diversity (Articles 10(c) and 10(d))

10. The most important lesson of the last ten years is that the objectives of the Convention will be impossible to meet until consideration of biodiversity is fully integrated into other sectors. The need to mainstream the conservation and sustainable use of biological resources across all sectors of the national economy, the society and the policy-making framework is a complex challenge at the heart of the Convention.

11. While many countries have made some start in this, notably in those sectors most immediately associated with biodiversity such as forestry, fisheries and agriculture, much more needs to be done, particularly in areas that traditionally are economically and politically dominant such as industry, trade and transport. Even in those sectors where a start has been made in incorporating the consideration of biodiversity into decision-making, more cross-sectoral integration is needed, for example consideration of the impacts of forestry, agriculture or aquaculture on sustainable use of inland water biodiversity, of fishing on marine and coastal biodiversity, or of land-use change on forest or dry-land biodiversity.

12. At the global level, what is needed above all is for other international regimes to take into consideration the concerns of this Convention.

13. The experience of integration has been mixed. On some issues there have been encouraging advances, albeit slower than desired. In others no headway has been made.

14. Another key lesson of the last ten years is the need for leadership in setting the international agenda on biodiversity. Leadership is required in order to ensure that a wide range of stakeholders involved in achieving the aims of the Convention work in harmony. Leadership is required in order to ensure that other sectors effectively consider the aims of the Convention in their activities. Leadership is required in order to ensure that conflicts over uses are minimized. Leadership is required in order to ensure that in the work of the World Summit on Sustainable Development in addressing the needs of the poor and promoting sustainable development, due account is taken of the role of biological diversity.

15. Although the Convention has raised public awareness of biological diversity, of the goods and services it provides, and of the threats that human activities pose to its long-term viability, it is widely recognized that more needs to be done if the aims of the Convention are to be realized. A key need in this regard is increasing stakeholder involvement in implementation of the Convention at international, regional and national levels.

16. The world's poor, particularly the rural poor, are often expected to bear much of the cost of maintaining biodiversity, for example in the form of foregone benefits of land conversion when areas are set aside for the protection of unique or threatened ecosystems or species. Unless they are fully involved in decision-making and benefit-sharing, it is unlikely that long-term solutions to the problem of biodiversity loss can be found. In developing mechanisms to ensure such involvement, it is vital that issues of gender and social structure are properly addressed. Already, there is a growing number of rural communities, especially in developing countries, who have begun to address their poverty issues through innovative approaches to the sustainable use of their biological resources, demonstrating their effectiveness. In this context, it should be ensured that such initiatives are promoted, communicated and supported, as they represent practical means to address the three objectives of the Convention.

17. Biotechnology is a rapidly evolving technology that provides both challenges and opportunities for developing countries. As a knowledge-intensive, rather than a capital-intensive industry, biotechnology provides promising opportunities for developing countries to establish internationally competitive industries and gain market share. The application of this technology and the types of regulatory measures put in place are major policy issues that will receive increasing attention in the coming decade. Chapter 16 of Agenda 21 sets out a basic framework for the sustainable management of this technology. The Cartagena Protocol on Biosafety is one of the principal global instruments for implementing this framework and provides an important opportunity for many developing countries to gain access to information and technology. In order for this opportunity to materialize, early ratification is required to enable the Protocol to enter into force and its institutions

and procedures to be effectively established. There is also need to encourage Parties to take measures to accomplish their obligations as provided for in Article 16 of the Convention, in order to ensure the transfer of environmentally sound and safe technology to developing countries.

18. Completing and adopting national biodiversity strategies and action plans is clearly a priority for all those countries that have not yet done so. For others, implementation of completed strategies and action plans is a high priority. Biodiversity strategies and action plans should be integral parts of national sustainable development strategies and, for those countries eligible for external assistance, they should be central to funding strategies and programming.

19. Donor institutions have made great strides in recognizing the importance of incorporating environmental considerations into their plans, programmes and strategies. The Global Environment Facility as one of the donor institutions has contributed to the realization of these objectives. Nevertheless much more remains to be done, in particular with regard to mainstreaming biodiversity and treating it as an integrating factor, and not a subject to be treated separately from other development concerns. Donor countries could ensure, for example through the Development Assistance Committee of the Organisation for Economic Co-operation and Development, that their development assistance priorities are supportive of the Convention's objectives. The World Bank's Comprehensive Development Framework and Poverty Reduction Strategies offer the possibility for ensuring that the National Biodiversity Strategies and Action Plans and National Strategies for Sustainable Development of its borrowers become central to its overall lending. IMF stabilization and structural adjustment programmes could place more importance on national investments in environmental management and critically examine budget cuts for such measures.

20. Donors of all types should commit to increasing funding for projects that directly address biodiversity. However, there is also a pressing need for donors to review the way in which such projects are funded. Most problems relating to the maintenance and sustainable use of biodiversity are not amenable to the "quick fix" solutions, and it is often clearly unrealistic to expect local sustainability of activities at the end of a three- or five-year project. Although there is increasing awareness of this in the international community, many donors still appear to be wedded to short-term project cycles. The long-term impact of this approach may be actively counter-productive and it is probable that longer-term commitments involving smaller annual disbursements may be more effective than spending larger amounts of money over a shorter period. Donors should also ensure that biodiversity planning processes are country-driven and not donor-driven, in order to increase their effectiveness and the prospects for sustainability at the end of the funding period.

21. The proposed strengthening of the role of United Nations resident coordinators, contained in the Secretary-General's reform plan, will create the opportunity to provide harmonized and synergistic support by United Nations agencies to national implementation of the Convention through the country-level United Nations Development Assistance Framework. The current process of decentrali-

sation from headquarters to regional centres offers the United Nations Development Programme the opportunity to ensure that regional and field office staff are familiar with the objectives and programmes of the Convention, and actively seek to identify with Governments opportunities for integrating these into its full range of development activities (from policy to operations) for simultaneous poverty reduction and environmental protection.

22. The Convention has 183 Parties, making it one of the most inclusive multilateral agreements in any field. However membership is not universal. There is a small number of countries that have not yet ratified the Convention. Achieving the objectives of the Convention requires action on a global scale, and it is important that all countries make the commitment to work together for its implementation.

C. Ideas and proposals for the way forward for the further implementation of Agenda 21

23. In light of the foregoing and in order to assist in the further implementation of the Convention on Biological Diversity and of Agenda 21, the Conference of the Parties invites the World Summit on Sustainable Development to:

(a) Reaffirm that 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 are essential to achieving sustainable human development in the twenty-first century and that implementing the objectives of the Convention will require policy coherence between all relevant instruments and processes, renewed political will on the part of Governments, and a renewed commitment to cooperation and to providing the resources and technology required;

(b) Reaffirm further that biological diversity is an essential part of the national resource base and its value for sustainable development needs to be underlined while addressing other specific challenges such as poverty alleviation, unsustainable production and consumption patterns, and globalization;

(c) Recognize the important contribution that community-based sustainable management of biological resources can make to the alleviation of poverty and the achievement of conservation and sustainable use objectives;

(d) Acknowledge that the Convention on Biological Diversity is the principal International instrument for setting the global agenda and priorities of biological diversity and for achieving the goals of chapter 15 of Agenda 21 (Conservation of biological diversity) and that its Cartagena Protocol on Biosafety is one of the principal global instruments for achieving the goals of chapter16 of Agenda 21 (Environmentally sound management of biotechnology), and calling on Member States to take concrete measures to ensure the effective implementation of their provisions;

(e) Acknowledge the need to foster partnerships and linkages with other biodiversity-related conventions, urge biodiversity-related conventions, agreements and programmes to conclude cooperative arrangements with the Convention

on Biological Diversity for fostering such partnerships and reaffirm the leading role of the Convention in such cooperative arrangements;

(f) Urge Member States who have not yet done so to become Parties to the Convention on Biological Diversity and its Cartagena Protocol on Biosafety;

(g) Urge Member States and all relevant stakeholders to make further efforts to incorporate and mainstream the objectives of the Convention into relevant national sectoral or cross-sectoral plans, programmes and policies and to recall that the conservation of sustainable use of biological diversity is a cross-cutting issue;

(h) Urge Member States to actively promote policy coherence in national positions under different international instruments and processes;

(i) Stress the importance of investing in programmes of public education and awareness as the principal way of engendering support for the changes in behaviour necessary at all levels of society in all countries if sustainable development is to be achieved, and the inclusion of promotion of the aims of the Convention in such programmes, and the role of information sharing in facilitating the implementation of the Convention;

(j) Stress the importance of increasing the active participation by all stakeholders in the implementation of Agenda 21 and of the Convention, in particular, in the elaboration, implementation and evaluation of national biodiversity strategies and action plans;

(k) Urge Member States to collaborate and actively promote the joint implementation of Agenda 21 and the Convention on Biological Diversity at the international, regional and national levels;

(l) Urge the United Nations, its programmes, related organizations and specialized agencies to take the opportunities offered by the proposed enhanced role of the United Nations resident coordinator contained in the reform plan of the Secretary-General and by the process of decentralization within the Organization, to provide harmonized and synergistic support at the national level to implementation of the Convention, including through national United Nations Development Assistance Frameworks;

(m) Invite Member States and international organizations to renew their commitments to leveraging and providing the necessary financial resources, promoting the transfer of technology and cooperation, and building capacities in order to facilitate more effective implementation of the Convention, in particular through the full replenishment of the Global Environment Facility and securing additional financial resources from the private sector.

DECISION VI/22 | Forest biological diversity

The Conference of the Parties

Expert group meetings and other inter-sessional meetings

1. *Welcomes* the report of the Ad Hoc Technical Expert Group on Forest Biological Diversity established by the Conference of the Parties at its fifth meeting,[132] and *takes note* of the assessment of status and trends of, and major threats to, forest biological diversity contained in the report;

2. *Expresses its gratitude* to the Government of Canada and to the Government of the United Kingdom for their financial support to the work of the Ad Hoc Technical Expert Group on Forest Biological Diversity, and to the other Governments and international organizations for the participation of their representatives;

3. *Also expresses its gratitude* to the Co-Chairs, the experts and the Secretariat of the Convention on Biological Diversity for their work regarding the Ad Hoc Technical Expert Group on Forest Biological Diversity;

4. *Welcomes* the report of the Workshop on Forests and Biological Diversity, held in Accra from 28 to 30 January 2002[133] and *takes note* of the recommendations of the Workshop for an effective collaboration on forests and biodiversity among the Convention on Biological Diversity, the United Nations Forum on Forests, and their partners contained in the report;

5. *Expresses its gratitude* to the Government of Ghana for hosting the Workshop on Forests and Biological Diversity and the Government of the Netherlands for its financial support, and to the other Governments and international organizations for the participation of their representatives;

6. *Expresses its gratitude* to the Co-Chairs, the experts and the Secretariats of the Convention on Biological Diversity and the United Nations Forum on Forests for their work regarding the Workshop;

7. *Welcomes* the report of the first meeting of the Ad Hoc Technical Expert Group on Biological Diversity and Climate Change, held in Helsinki from 21 to 25 January 2002,[134] and *expresses its gratitude* to the Government of Finland for hosting the workshop and the Government of Switzerland for financial support, and to the Co-Chairs and the experts;

8. *Takes note* of the report of the Expert Meeting on Harmonization of Forest-related Definitions,[135] held in Rome from 23 to 25 January 2002, under the auspices of the Food and Agriculture Organization of the United Nations, the Intergovernmental Panel on Climate Change, the Center for International Forestry Research, and other partners;

9. *Welcomes* the establishment of the liaison group of the secretariats of the Convention on Biological Diversity, the United Nations Convention to Combat Deser-

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tification and the United Nations Framework Convention on Climate Change and *encourages* the activities of the group in promoting complementarity and synergies in their activities on forests and forest ecosystems.

Expanded programme of work

Noting that the elements for an expanded programme of work on forest biological diversity developed by the Subsidiary Body on Scientific, Technical and Technological Advice, as annexed to its recommendation VII/6, constitute a comprehensive set of goals, objectives and activities required for the conservation of forest biodiversity, the sustainable use of its components and the fair and equitable sharing of the benefits arising from the utilization of forest genetic resources,

Underlining the sovereign rights and responsibilities of countries over their forests and the biodiversity within them;

10. *Adopts* the expanded programme of work on forest biological diversity as contained in the annex to the present decision;

11. *Recognizes* that Parties should implement the expanded programme of work on forest biological diversity in the context of their national priorities and needs. Activities implemented domestically by Parties will be prioritized based on country and regionally specific needs, national determination, legislation, circumstances and priorities concerning forest-related issues, and their national forest and biodiversity strategies. Inclusion of an activity in the work programme does not mean relevance of that activity to all Parties;

12. *Invites* Parties, other Governments and relevant organizations to take note of the information pertaining to potential actors, timeframes, performance measures and indicators of progress contained in the note by the Executive Secretary on the subject;[136]

13. *Expresses the need* for action to ensure conservation of biological diversity, the sustainable use of its components, and fair and equitable sharing of the benefits arising out of utilization of genetic resources, and arising from the utilization of traditional knowledge, innovations and practices from indigenous and local communities, in accordance with Article 8(j) and related provisions, of all types of forests, considering the need for urgent action for forests that are ecologically significant and/or most important for biological diversity on national and regional scales and according to national priorities, where forest biodiversity loss or threats of loss are significant or of great concern, and in areas with greatest potential for conservation, sustainable use and benefit-sharing;

14. *Recognizes* that all the activities in the work programme are important, though not equally for all Parties, and as a package of mainly nationally prioritized activities, will contribute significantly to advancing the Convention's objectives as stated in Article 1 of the Convention;

15. *Recognizes* the important role of international and regional organizations and processes in supporting Parties in their implementation of the work programme,

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agrees that these organizations and processes are important in the implementation of the programme of work, and *invites* their participation in its implementation;

16. *Urges* donors and the international community to contribute through financing and technology transfer to country-identified or regionally-identified priorities for forest biodiversity, with an understanding of the impact of scarce resources on the effective implementation of the objectives of the Convention;

17. *Agrees* that the availability of new and additional financial resources from public, private, domestic or international sources, with the transfer of technology and capacity-building is necessary to facilitate the effective implementation of the expanded work programme by developing countries, in particular the least developed and small island developing States among them, and in countries with economies in transition;

18. *Recognizes* that the work programme contains a number of activities that call for regional and international actions and collaboration and *encourages* Parties, other Governments and international and regional organizations and processes to collaborate on the implementation of regional and international activities;

19. *Requests* the Executive Secretary to initiate the following actions addressing some initial focus areas which are identified as important first steps towards the implementation of regional and international activities of the expanded programme of work, which should facilitate or complement national implementation. The initiation of these actions should not delay implementation of other activities within the expanded work programme at international, regional or national level:

(a) *Ecosystem approach*. In collaboration with the Coordinator and Head of Secretariat of the United Nations Forum on Forests to:

  (i) Carry out a comparative study to clarify the conceptual basis of the ecosystem approach in relation to the concept of sustainable forest management with adequate consideration for regional conditions;
  (ii) Undertake a synthesis of case-studies on the ecosystem approach provided to the Convention on Biological Diversity by Parties;
  (iii) Invite the Collaborative Partnership on Forests members to provide a discussion paper, drawing on concrete national or regional experiences and inter-sessional meetings for consideration by the Convention on Biological Diversity.

The study should evaluate the link between the concepts in their application and the differences and similarities with a view to improve the conservation of biological diversity, sustainable use of its components, and the fair and equitable sharing of the benefits arising out of the utilization of genetic resources, taking an integrated approach, and in accordance with Article 8(j) and related provisions. The study should be reported to and provide recommendations to the Subsidiary Body on Scientific, Technical and Technological Advice for consideration as part of its work on the ecosystem approach and to the United Nations Forum on Forests at its fourth session for information;

(b) *Collaboration with other bodies/enabling environment*. In collaboration with the Coordinator and Head of the Secretariat of the United Nations Forum on Forests, Collaborative Partnership on Forests members, and other relevant bodies, institutions and processes to undertake an assessment of the relationship between the proposals for action of the Intergovernmental Panel on Forests/Intergovernmental Forum on Forests and the activities of the expanded programme of work on forest biological diversity. The purpose of this assessment is to enable better implementation of common objectives in the context of national forest programmes and national biodiversity strategies and action plans. The assessment should consider, *inter alia*, the existing national forest programmes and national biodiversity strategies and action plans, and the way countries promote their implementation in an integrated manner. This should lead to more effective and cost-efficient implementation, with better synergies between sectors concerned with the conservation and sustainable use of forest biological diversity. This assessment should be reported to the Subsidiary Body on Scientific, Technical and Technological Advice and to the United Nations Forum on Forests at its fourth session for information and be disseminated through the clearing-house mechanism ;

(c) *Cross-sectoral integration*. To compile best practices available to promote and support integrated approaches to reduce negative impacts and enhance positive impacts of other sectoral policies on forest biological diversity with a view to developing a tool kit for building capacity in integrated approaches and planning. The best practices and proposed components of the tool kit should be made available to Parties;

(d) *Protected areas*. To collaborate with the United Nations Forum on Forests, IUCN and other relevant member of the Collaborative Partnership on Forests, and other relevant bodies, institutions and processes, non-governmental organizations, indigenous and local communities, and other relevant stakeholders to prepare and hold an international workshop on protected areas as a measure to conserve and sustainably use forest biological diversity. Results of regional workshops or international workshops, including the IFF International Experts Meeting on Forest Protected Areas (March 1999 in Puerto Rico) as well as the World Parks Congress scheduled for September 2003, on this subject should be taken into account. The purpose of the international workshop on protected areas is to exchange current knowledge and experience on opportunities and challenges to establishing and ensuring long-term sustainability of protected forest areas. Participants from Parties and other Governments should include senior officials from forest and environment ministries, the decision makers and other stakeholders. This workshop should provide recommendations for the further implementation of activities relevant to protected forest areas in the work programme (element 1, goal 3, objective 3), and should be held for three days just prior to the ninth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice, to report to the Subsidiary Body at its ninth meeting under the agenda item on protected areas;

(e) *Forest law enforcement and related trade*. In collaboration with Collaborative Partnership on Forests members and relevant bodies, to develop at least two

case-studies from each region, with voluntary participation by countries, on the effects on forest biological diversity of insufficient forest law enforcement. The studies and resulting report would address, *inter alia* the following issues:

(i) Assessment of the unauthorized harvesting of forest biodiversity on:
(a) Fauna (including bushmeat) and flora;
(b) Indigenous and local communities;
(c) Revenue loss, at the national and local level;

(ii) Identify the relationship between consumption in consumer countries and unauthorized harvesting activities, including through international trade, noting the decisions and pending work of International Tropical Timber Organization, and identifying and analysing how market access measures can be used to support conservation of forest biodiversity, sustainable use of its components, and the fair and equitable sharing of the benefits arising out of the utilization of genetic resources, and also identifying and analysing market access obstacles for legally-obtained forest biodiversity products;

The resulting report should be submitted to the seventh meeting of the Conference of the Parties for its consideration. The report should include recommendations for further implementation of the relevant areas of the work programme (element 1, goal 4, objective 2 and element 2, goal 1, objective 4), and should be provided for use by the liaison group on non-timber forest resources agreed in paragraph 42 of the present decision;

(f) *Sustainable use/benefit-sharing*. In collaboration with United Nations Forum on Forests and Collaborative Partnership on Forests members, and other relevant bodies including indigenous peoples organizations, institutions and processes to compile a report, with recommendations, addressing the management of forest biological diversity, sustainable use to derive products and services, and benefit-sharing. The purpose of this report is to help implement the activities under element 1, goal 4, objective 1 of the programme of work, by looking at how Parties consider long-term sustainability and conservation of forest biological diversity in the context of the commerce and related harvesting of forest products. The report should be based on information provided by Parties and members of the Collaborative Partnership on Forests and should cover *inter alia* sustainable use and management of forests, including by indigenous and local communities, planning and modelling tools, criteria and indicators, economic valuation of forest biodiversity goods and services, monitoring unsustainable use, needs of indigenous and local communities and information pertaining to the consideration of the needs of future generations. This report should be submitted to the Subsidiary Body on Scientific, Technical and Technological Advice for consideration as part of its work on sustainable use and to the United Nations Forum on Forests at its fourth session for information;

(g) *Servicing capacity-building*. The Executive Secretary shall provide through the clearing-house mechanism a service for Parties, including through an Internet portal, to seek and provide support and partnerships in order to facilitate

implementation of the expanded work programme on forest biodiversity. To this end, the Executive Secretary shall encourage Parties to communicate their national priorities and shall invite other Governments, regional and international organizations, and non-governmental organizations to support the programme of work through capacity-building, technology transfer and provision of financial resources;

20. *Invites* Parties, other Governments and funding organizations to provide adequate and timely financial support to facilitate the international and regional actions. These actions should not prejudice the financing and support for other international and regional actions in the work programme including projects by Parties and other Governments in the context of their national priorities;

21. *Requests* Parties to report on progress in implementing relevant objectives and related activities of the expanded programme of work on forest biological diversity, through their national reports, starting with the third national report, bearing in mind the national reporting cycles of Parties;

22. *Requests* the Executive Secretary, in collaboration with Collaborative Partnership on Forests members, to develop a format for the section on implementation of the expanded work programme on forest biological diversity in the third and subsequent national reports, and to consider the need to minimize the reporting burden on Parties by taking into account reporting under the United Nations Forum on Forests and other international mechanisms;

23. *Requests* the Executive Secretary in consultation with the Subsidiary Body on Scientific, Technical and Technological Advice and the clearing-house mechanism focal points and using appropriate mechanisms, to identify and/or foster partners, partnerships, and regional and international cooperative initiatives to undertake or support implementation activities under the programme of work;

24. *Requests* the Executive Secretary to compile information on the implementation of the programme of work, including information on the actors involved in the implementation, disseminate this through the clearing-house mechanism, and provide progress reports on implementation to the Subsidiary Body on Scientific, Technical and Technological Advice at each meeting;

25. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice to review implementation of the programme of work, with a view to identifying appropriate amendments that will further implementation of the Convention in relation to forest biological diversity, and to report thereon to Conference of the Parties at its eighth meeting;

26. *Agrees* to establish an ad hoc technical expert group to provide advice to the Executive Secretary and to the Subsidiary Body on Scientific, Technical and Technological Advice in the review of the implementation of the programme of work, with the following terms of reference:

(a) *Tasks*:

(i) To provide advice on the way in which the review of the implementation of the programme of work would be undertaken;

(ii) To provide technical input to the review of the implementation of the programme of work;
(iii) To provide scientific and technical information on successes, challenges and obstacles to implementation of the programme of work;
(iv) To provide information on the effects of the types of scientific and technical measures taken and tools used in implementing the programme of work;

(b) *Duration*. The work of the group will be completed before the eighth meeting of the Conference of the Parties, and its duration should not exceed two years;

(c) *Membership*. In appointing members in accordance with the *modus operandi*, the Executive Secretary is requested to ensure geographical balance and representation of indigenous peoples;

27. *Agrees* that a voluntary thematic national report will be called for in relation to implementation of the programme of work on forest biological diversity by Parties, to elicit information on:

(a) Priority actions that Parties have identified under the programme of work;

(b) Successes in implementing the programme of work;

(c) Challenges and impediments to implementing these priority actions and, as appropriate, the programme of work;

and *requests* the Executive Secretary to prepare a format for that thematic national report for approval by the Bureau of the Conference of the Parties, after consultation with the national focal points and the Bureau of the Subsidiary Body on Scientific, Technical and Technological Advice, and urges Parties to submit the thematic national report by the seventh meeting of the Conference of the Parties to the Convention.

National level

28. *Urges* Parties and other Governments to incorporate relevant objectives and related activities of the programme of work into their national biodiversity strategies and action plans and national forest programmes and promote compatibility and complementarity between these plans/programmes and other related initiatives;

29. *Invites* Parties to undertake national-level implementation and to coordinate their work relating to forest biological diversity at an international level, particularly in respect of work relating to the Convention on Biological Diversity, the United Nations Forum on Forests, as well as other relevant bodies, and to achieve greater integration and collaboration between their implementing agencies at the national level through, for example, joint strategies or policies, and coordinating committees at political and/or technical levels;

30. *Urges* Parties and other governments to address the effectiveness of forest and forest-related laws and their enforcement and implementation of policies and related trade as a matter of urgency, recognizing the negative impacts on biodiversity in the absence of these actions;

31. *Recognizes* the important role that indigenous and local communities can play in the implementation of the programme of work and, in addition, *encourages* the development of community-based approaches for the conservation and sustainable use of forest biodiversity, integrating traditional forest-related knowledge and benefit-sharing considerations, in accordance with Article 8(j) and related provisions of the Convention on Biological Diversity;

32. *Urges* Parties to recognize in particular the vital role that women in indigenous and local communities play in the sustainable use and conservation of forest biological diversity, especially but not limited to the sustainable use and conservation of non-timber resources, and values;

33. *Encourages* Parties and other Governments to develop closer collaboration for the conservation and sustainable use of transboundary forest ecosystems and populations of species;

34. *Recognizes* existing criteria and indicators for sustainable forest management including forest biological diversity at the national and regional levels, and *agrees* that these should be applied where criteria and indicators are needed for the purposes of the expanded work programme, and recognizes the need for further development and selection of criteria and indicators for the assessment of the status and trends of forest biological diversity at the national and regional levels.

Collaboration on specific issues

Noting that both the Convention on Biological Diversity and the United Nations Forum on Forests have important and complementary roles in addressing the problem of forest biological diversity loss, that collaboration between the United Nations Forum on Forests and the Convention on Biological Diversity can strengthen their ability to support and guide immediate and effective action by governments and other bodies, and that such collaboration will also facilitate the integration of forest biodiversity considerations in national development programmes, which will be vital for effective implementation of the Convention on Biological Diversity,

Recognizing that there are many other bodies addressing issues of relevance to forest biodiversity (for example, other members of the Collaborative Partnership on Forests including in particular the United Nations Framework Convention on Climate Change and the United Nations Convention to Combat Desertification), and collaboration with these bodies is also important,

35. *Invites* Parties to foster cooperation and synergies between the expanded work programme on forest biological diversity under the Convention on Biological Diversity and the Multi-Year Programme of Work and Plan of Action of the United Nations Forum on Forests;

36. *Requests* the Secretariat of the Convention on Biological Diversity, as a member of the Collaborative Partnership on Forests, to continue its active support for and participation in the work of the United Nations Forum on Forests and the Collaborative Partnership on Forests in their promotion of the management, conservation and sustainable development of all types of forests and in the strengthening of the political commitment to this end;

37. *Requests* the Executive Secretary to implement collaborative actions for selected items in the expanded programme of work on forest biological diversity, in collaboration with the Coordinator and Head of the Secretariat of the United Nations Forum on Forests, and taking into account the need for effective collaboration on forests and biological diversity among the Convention on Biological Diversity, the United Nations Forum on Forests, and their partners, recognizing the work done by the Workshop on Forests and Biological Diversity held in Accra from 28 to 30 January 2002;[137]

38. *Invites* the members of the Collaborative Partnership on Forests to support the implementation of the expanded programme of work on forest biological diversity, recognizing that the Collaborative Partnership on Forests provides a mechanism for enhancing collaboration on activities addressing common goals of the Convention on Biological Diversity and the United Nations Forum on Forests;

39. *Urges* the Collaborative Partnership on Forests to consider the Secretariat of the Convention on Biological Diversity to be the focal point for forest biological diversity within the Collaborative Partnership on Forests, in addition to its role as the focal point for traditional forest-related knowledge, and *requests* the Secretariat of the Convention on Biological Diversity, in collaboration with the Collaborative Partnership on Forests members, *inter alia*:

(a) To identify the proposals for action of the Intergovernmental Panel on Forests/Intergovernmental Forum on Forests directly related to the conservation of forest biological diversity, sustainable use of its components, and fair and equitable sharing of the benefits arising from genetic resources;

(b) To identify the relationship between these proposals for action and the expanded work programme; and

(c) To facilitate coordination and cooperation of Collaborative Partnership on Forests members in the implementation;

40. *Also invites* the United Nations Framework Convention on Climate Change, the Intergovernmental Panel on Climate Change, the International Geosphere-Biosphere Programme, in the context of its global change and terrestrial ecosystems global transect programme, and the Millennium Ecosystem Assessment to enhance collaboration in research and monitoring activities on forest biological diversity and climate change, and explore possibilities of establishing an international network to monitor and assess the impact of climate change on forest biological diversity;

41. *Further invites* the Ad Hoc Technical Expert Group on Biological Diversity and Climate Change to consider issues related to interlinkages between biological diversity and climate change in the report of the Ad Hoc Technical Expert Group on Forest Biological Diversity and the note by the Executive Secretary on consideration of specific threats to forest biological diversity, prepared for the seventh meeting of the Subsidiary Body on Scientific, Technical and Technological Advice,[138] as well as the outcome of the sixth meeting of the Conference of the Parties with respect to forest biological diversity, including the expanded programme of work on forest biological diversity;

137 UNEP/CBD/COP/6/INF/7.
138 UNEP/CBD/SBSTTA/7/7.

42. *Requests* the Executive Secretary, on the basis of goal 4, objective 2, of programme element 1 for an expanded work programme on forest biological diversity, to establish a liaison group on non-timber forest resources, including members of the Collaborative Partnership on Forests, the Secretariat of the Convention on International Trade in Endangered Species of Wild Fauna and Flora, IUCN, and other relevant organizations. On the basis of the work of the liaison group, the Subsidiary Body on Scientific, Technical and Technological Advice will prepare recommendations on this matter for consideration by the Conference of the Parties at its seventh meeting;

43. *Invites* members of the Collaborative Partnership on Forests and its network to explore possibilities for enhancing the integration of non-timber forest resources in the forest inventory and management, and to report on progress to the Subsidiary Body on Scientific, Technical and Technological Advice prior to the seventh meeting of the Conference of the Parties;

44. *Invites* the Food and Agriculture Organization of the United Nations, the International Tropical Timber Organization and the Global Fire Monitoring Center, as well as other relevant organizations, to include forest biodiversity in their assessments of fire impacts; to explore possibilities for a joint work programme with the Convention on Biological Diversity, including, *inter alia*, fire impact assessments, development of guidelines on fire management, and community-based approaches to fire prevention and management; and to report on progress to the Subsidiary Body on Scientific, Technical and Technological Advice prior to the seventh meeting of the Conference of the Parties;

45. *Requests* the Executive Secretary to transmit the report of the Ad Hoc Technical Expert Group on Forest Biological Diversity to the United Nations Framework Convention on Climate Change and the United Nations Convention to Combat Desertification and their bodies, to the Intergovernmental Panel on Climate Change, and to ensure follow-up through the liaison group between the Convention on Biological Diversity, the United Nations Convention to Combat Desertification and United Nations Framework Convention on Climate Change.

ANNEX
EXPANDED PROGRAMME OF WORK ON FOREST BIOLOGICAL DIVERSITY

In undertaking this expanded programme of work, Parties, Governments, international and regional organizations and processes, civil society organizations and other relevant bodies and all relevant implementers are invited to take into account the following considerations:

(a) The need to focus on key priorities for sustainable use of forest resources and the equitable sharing of benefits;

(b) The need to facilitate adequate participation of indigenous and local communities and the need to respect their rights and interests;

(c) The need for urgent conservation action for forests that are ecologically significant and/or most important for biological diversity on national and regional

scales, in accordance with national priorities, where forest biodiversity loss or threats of loss are significant or of great concern, but also to work to enhance conservation in all types of forests, both within and outside protected areas;

(d) The need to achieve synergies and avoid duplications between the work of the key international instruments and bodies, such as the Secretariat of the Convention on Biological Diversity, and the other members of the Collaborative Partnership on Forests;

(e) The need to ensure capacity-building and the provision of adequate financial, human and technical resources to allow implementation of the work programme by all relevant stakeholders;

(f) The need to ensure that relevant activities be effectively incorporated into national and subnational forest and biological diversity strategies and programmes;

(g) The need for clarification of the links between the ecosystem approach and sustainable forest management.

PROGRAMME ELEMENT 1: CONSERVATION, SUSTAINABLE USE AND BENEFIT-SHARING

GOAL 1: To apply the ecosystem approach to the management of all types of forests.

OBJECTIVE 1: *Develop practical methods, guidelines, indicators and strategies to apply the ecosystem approach adapted to regional differences to forests both inside and outside protected forest areas as well as both in managed and unmanaged forests.*

Activities

(a) Clarify the conceptual basis of the ecosystem approach in relation to sustainable forest management.

(b) Develop guidance for applying the ecosystem approach in forest ecosystems.

(c) Identify key structural and functional ecosystem elements to be used as indicators for decision-making and develop decision—support tools on a hierarchy of scales.

(d) Develop and implement guidance to help the selection of suitable forest management practices for specific forest ecosystems.

(e) Develop and implement appropriate mechanisms for the participation of all stakeholders in ecosystem-level planning and management.

(f) Develop an informal international network of forest areas for piloting and demonstrating the ecosystem approach and exchange related information through the clearing-house mechanism.

(g) Hold workshops to train and familiarize decision makers and managers with the foundations, principles and modalities of the ecosystem approach.

(h) Promote research and pilot projects to develop understanding of the functional linkages between forest biological diversity and agriculture with the aim to developing practices that could improve the relations between forest management and other land use methods. Promote assessment of functional linkages between mining, infrastructure and other development projects and forest biodiversity, and develop best practice, guidelines for such development projects to mitigate adverse impacts on forest biodiversity.

(i) Promote activities that minimize the negative impacts of forest fragmentation on forest biodiversity, including afforestation, forest restoration, secondary forest and plantation management, and agroforestry, watershed management and land use planning aimed at providing a combination of economic and environmental goods and services to stakeholders.

GOAL 2: To reduce the threats and mitigate the impacts of threatening processes on forest biological diversity.

OBJECTIVE 1: *Prevent the introduction of invasive alien species that threaten ecosystems, and mitigate their negative impacts on forest biological diversity in accordance with international law.*

Activities

(a) Reinforce, develop and implement strategies at regional and national level to prevent and mitigate the impacts of invasive alien species that threaten ecosystems, including risk assessment, strengthening of quarantine regulation, and containment or eradication programmes taking into account the guiding principles on invasive alien species if adopted at the sixth meeting of the Conference of the Parties.

(b) Improve the knowledge of the impacts of invasive alien species on forest ecosystems and adjacent ecosystems.

OBJECTIVE 2: *Mitigate the impact of pollution such as acidification and eutrophication on forest biodiversity.*

Activities

(a) Increase the understanding of the impact of pollution, e.g., acidification and eutrophication, and other pollutants (such as mercury and cyanide) on forest biodiversity; at genetic, species, ecosystem and landscape levels.

(b) Support monitoring programmes that help evaluate the impacts of air, soil and water pollution on forest ecosystems, and address the impacts of changing environmental conditions on forest ecosystems.

(c) Encourage the integration of forest biodiversity consideration into strategies and policies to reduce pollution.

(d) To promote the reduction of pollution levels that adversely affect forest biodiversity and encourage forest management techniques that reduce the impacts of changing environmental conditions on forest ecosystems.

OBJECTIVE 3: *Mitigate the negative impacts of climate change on forest biodiversity.*

Activities

Taking into account the work of the Ad Hoc Technical Expert Group on Climate Change and Biodiversity:

(a) Promote monitoring and research on the impacts of climate change on forest biological diversity and investigate the interface between forest components and the atmosphere.

(b) Develop coordinated response strategies and action plans at global, regional and national levels.

(c) Promote the maintenance and restoration of biodiversity in forests in order to enhance their capacity to resist to, and recover from and adapt to climate change.

(d) Promote forest biodiversity conservation and restoration in climate change mitigation and adaptation measures.

(e) Assess how the conservation and sustainable use of forest biological diversity can contribute to the international work relating to climate change.

OBJECTIVE 4: *To prevent and mitigate the adverse effects of forest fires and fire suppression.*

Activities

(a) Identify policies, practices and measures aimed at addressing the causes and reducing impacts on forest biological diversity resulting from human-induced uncontrolled/unwanted fires, often associated with land clearing and other land use activities.

(b) Promote understanding of the role of human-induced fires on forest ecosystems and on species, and of the underlying causes.

(c) Develop and promote the use of fire management tools for maintaining and enhancing forest biological diversity, especially when there has been a shift in fire regimes.

(d) To promote practices of fire prevention and control to mitigate the impacts of unwanted fires on forest biological diversity.

(e) Promote development of systems for risk assessment and early warning, monitoring and control, and enhance capacity for prevention and post-fire forest biodiversity restoration at the community, national and regional levels.

(f) To advise on fire-risk prediction systems, surveillance, public education and other methods to minimise human-induced uncontrolled/unwanted fires.

(g) Develop strategies to avoid the negative effects of sectoral programmes and policies which could induce uncontrolled forest fires.

(h) Develop prevention plans against devastating fires and integrate them into national plans targeting the biological diversity of forests.

(i) Develop mechanisms, including early warning systems, for exchange of information related to the causes of forest biodiversity loss, including fires, pests and diseases, and invasive species.

OBJECTIVE 5: *To mitigate effects of the loss of natural disturbances necessary to maintain biodiversity in regions where these no longer occur.*

Activities

(a) Develop and promote management methods that restore or mimic natural disturbances such as fire, wind-throw and floods.

OBJECTIVE 6: *To prevent and mitigate losses due to fragmentation and conversion to other land uses.*

Activities

(a) Encourage the creation of private reserves and private conservation methods where appropriate, respecting the rights and interests of indigenous and local communities.

(b) Establish ecological corridors on a national and regional basis.

(c) Promote cost-benefit analysis of development projects that might lead to the conversion of forest into other land uses incorporating the impacts on forest biological diversity.

(d) Implement policies, practices and measures aimed at addressing the causes and reducing impacts on forest biological diversity resulting from human-induced uncontrolled clearing or other uncontrolled land-use activities.

GOAL 3: To protect, recover and restore forest biological diversity.

OBJECTIVE 1: *Restore forest biological diversity in degraded secondary forests and in forests established on former forestlands and other landscapes, including in plantations.*

Activities

(a) Promote the implementation of systems and practices for restoration in accordance with the ecosystem approach.

(b) Promote restoration of forest biological diversity with the aim to restore ecosystem services.

(c) Create and improve where appropriate international, regional and national databases and case-studies on the status of degraded forests, deforested, restored and afforested lands.

OBJECTIVE 2: *Promote forest management practices that further the conservation of endemic and threatened species.*

Activities

(a) Determine status and conservation needs of endemic or threatened species and the impacts of current forest management practices on these species.

(b) Develop and implement conservation strategies for endemic and threatened species for global or regional application, and practical systems of adaptive management at national level.

OBJECTIVE 3: *Ensure adequate and effective protected forest area networks.*

Activities

(a) Assess the comprehensiveness, representativeness and adequacy of protected areas relative to forest types and identify gaps and weaknesses.

(b) Establish (in accordance with Article 8(j)) with the full participation and with respect for the rights of indigenous and local communities, and other relevant stakeholders, comprehensive, adequate, biologically and geographically representative and effective networks of protected areas.

(c) Establish, in a similar manner, restoration areas to complement the network of protected areas where needed.

(d) Revise in a similar manner and ensure the comprehensiveness, adequacy, representativeness and efficacy of existing protected area networks.

(e) Assess the efficacy of protected forest areas for the conservation of biological diversity.

(f) Ensure that relevant protected areas are managed to maintain and enhance their forest biodiversity components, services and values.

GOAL 4: To promote the sustainable use of forest biological diversity.

OBJECTIVE 1: *Promote sustainable use of forest resources to enhance the conservation of forest biological diversity.*

Activities

(a) Support activities of indigenous and local communities involving the use of traditional forest-related knowledge in biodiversity management.

(b) Develop, support and promote programmes and initiatives that address the sustainable use of timber and non-timber forest products.

(c) Support regional cooperation and work on sustainable use of timber and non-timber forest products and services, including through technology transfer and capacity-building within and between regions.

(d) Improve forest management and planning practices that incorporate socio-economic and cultural values to support and facilitate sustainable use.

(e) Promote cooperative work on the sustainable use of forest products and services and its relation to biodiversity conservation with the other members of the Collaborative Partnership on Forests.

(f) Encourage implementation of voluntary third-party credible forest certification schemes that take into consideration relevant forest biodiversity criteria and that would be audited, taking into consideration indigenous and local community rights and interests.

(g) Set up demonstration sites that would illustrate forest conservation and on-ground delivery of goods and services through sustainable forest management, which are also representative of various types of forest, themes and regional needs, through case-studies.

(h) Facilitate and support a responsible private sector committed to sustainable harvesting practices and compliance with domestic laws through effective development and enforcement of laws on sustainable harvesting of timber and non-timber resources.

OBJECTIVE 2: *Prevent losses caused by unsustainable harvesting of timber and non-timber forest resources.*

Activities

(a) Establish a liaison group with an associated workshop to facilitate development of a joint work plan with relevant members of the Collaborative Partnership on Forests to bring harvesting of non-timber forest products (NTFPs), with a particular focus on bush meat, to sustainable levels. This group should have a proportionate regional representation, giving special consideration to subregions where bush meat is a major issue and representation of relevant organizations such as the Convention on International Trade in Endangered Species of Wild Fauna and Flora. The mandate of this group is to:

  (i) Consult in a participatory manner with key stakeholders to identify and prioritize major issues pertaining the unsustainable harvesting of non-timber forest products, particularly of bushmeat and related products;
  (ii) Provide advice on the development of policies, enabling legislation and strategies that promote sustainable use of, and trade in, non-timber forest products, particularly bushmeat and related products;
  (iii) Provide advice on appropriate alternative sustainable livelihood technologies and practices for the affected communities;
  (iv) Provide advice on appropriate monitoring tools.

(b) Promote projects and activities that encourage the use and supply of alternative sources of energy to prevent forest degradation due to the use of firewood by local communities.

(c) Develop any necessary legislation for the sustainable management and harvesting of non-timber forest resources.

(d) Solicit input from Parties, other countries and relevant organizations on ways and means to encourage and assist importing countries to prevent the entry of unsustainably harvested forest resources, which are not covered by the Convention on International Trade in Endangered Species of Wild Fauna and Flora, and consider this information as a basis for further steps on this issue.

OBJECTIVE 3: *Enable indigenous and local communities to develop and implement adaptive community-management systems to conserve and sustainably use forest biological diversity.*

Activities

Taking into account the outcome of the Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions of the Convention on Biological Diversity:

(a) Strengthen the capacity of, and provide incentives for, indigenous and local communities to generate opportunities for sustainable use of forest biodiversity and for access to markets;

(b) Strengthen the capacity of indigenous and local communities to resolve land rights and land use disputes in order to sustainably manage forest biodiversity;

(c) Encourage the conservation and sustainable use of forest biological diversity by indigenous and local communities through their development of adaptive management practices, using as appropriate traditional forest-related knowledge;

(d) Provide incentives for the maintenance of cultural diversity as an instrument to enhance forest biological diversity;

(e) Develop and implement education and awareness programmes on traditional uses of forest biological diversity in accordance with Article 8(j);

(f) Create an environment that fosters respect, and stimulates, preserves and maintains traditional knowledge related to forest biological diversity, innovations and practices of indigenous and local communities.

OBJECTIVE 4: *Develop effective and equitable information systems and strategies and promote implementation of those strategies for* in situ *and* ex situ *conservation and sustainable use of forest genetic diversity, and support countries in their implementation and monitoring.*

Activities

(a) Develop, harmonize and assess the diversity of forest genetic resources, taking into consideration the identification of key functional/keystone species populations, model species and genetic variability at the deoxyribonucleic acid (DNA) level.

(b) Select, at a national level, the most threatened forest ecosystems based on the genetic diversity of their priority species and populations and develop an appropriate action plan in order to protect the genetic resources of the most threatened forest ecosystems.

(c) Improve understanding of patterns of genetic diversity and its conservation *in situ*, in relation to forest management, landscape-scale forest change and climate variations.

(d) Provide guidance for countries to assess the state of their forest genetic resources, and to develop and evaluate strategies for their conservation, both *in situ* and *ex situ*.

(e) Develop national legislative, administrative policy measures on access and benefit-sharing on forest genetic resources, taking into account the provisions under Articles 8(j), 10(c), 15, 16 and 19 of the Convention on Biological Diversity and in conformity with future decisions of the Conference of the Parties, as appropriate.

(f) Monitor developments in new biotechnologies and ensure their applications are compatible with the objectives of the Convention on Biological Diversity with respect to forest biological diversity, and develop and enforce regulations for controlling the use of genetically modified organisms (GMOs) when appropriate.

(g) Develop a holistic framework for the conservation and management of forest genetic resources at national, subregional and global levels.

(h) Implement activities to ensure adequate and representative *in situ* conservation of the genetic diversity of endangered, overexploited and narrow endemic forest species and complement the *in situ* conservation with adequate *ex situ* conservation of the genetic diversity of endangered, overexploited and narrow endemic species and species of economic potential.

GOAL 5: Access and benefit-sharing of forest genetic resources.

OBJECTIVE 1: *Promote the fair and equitable sharing of benefits resulting from the utilization of forest genetic resources and associated traditional knowledge.*

Activities

Based on the Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of the Benefits Arising out of their Utilization, as adopted by the Conference of the Parties at its sixth meeting:[139]

(a) Establish mechanisms to facilitate the sharing of benefits at local, national, regional and global levels.

(b) Strengthen capacity of indigenous and local communities to negotiate benefit-sharing arrangements.

(c) Promote dissemination of information about benefit-sharing experiences through the clearing-house mechanism and appropriate means at the local level.

139 See decision VI/24 A.

PROGRAMME ELEMENT 2: INSTITUTIONAL AND SOCIO-ECONOMIC ENABLING ENVIRONMENT

GOAL 1: Enhance the institutional enabling environment.

OBJECTIVE 1: *Improve the understanding of the various causes of forest biological diversity losses.*

Activities

(a) Each Party to carry out, in a transparent and participatory way, thorough analysis of local, regional, national and global direct and underlying causes of losses of forest biological diversity. A distinction should be made between broad socio-economic causes such as demographic growth and more specific causes such as institutional weaknesses and market or policy failures.

(b) Each Party on the basis of the above analysis to implement their recommendations.

(c) Parties to report through the clearing-house mechanism of the Secretariat on successful experiences involving control and mitigation of the underlying causes of deforestation, which would make it possible to understand lessons learned.

OBJECTIVE 2: *Parties, Governments and organizations to integrate biological diversity conservation and sustainable use into forest and other sector policies and programmes.*

Activities

(a) Parties to formulate appropriate policies and adopt sets of priority targets for forest biological diversity to be integrated into national forest programmes, national sustainable development strategies, poverty reduction strategy papers, related non-forest programmes and national biological diversity strategies and action plans. Ensure that there is coherence and direct interaction between the different programmes.

(b) Seek ways of streamlining reporting between the different forest-related processes, in order to improve the understanding of forest quality change and improve consistency in reporting on sustainable forest management.

(c) Develop a set of indicators that might be used in assessing progress in implementing the national biodiversity strategies and action plans and relevant work programmes;

(d) Donor bodies and other financial institutions to incorporate forest biological diversity and sustainable use principles and targets into forest and related programmes, including watershed management, land-use planning, energy, transport, infrastructure development, education and agriculture, mineral exploitation, and tourism.

(e) Seek to harmonize policies at regional and subregional levels in the area of forest biological diversity.

(f) Develop strategies for effective enforcement of sustainable forest management and protected area regulations, including adequate resourcing and involvement of indigenous and local communities.

(g) Parties and donor bodies to develop and implement, strategies, in particular national financing strategies in the framework of national biodiversity strategies and action plans and national forest programmes, and provide adequate financial, human and technical resources.

(h) Encourage the Executive Secretary to coordinate and seek synergies between Convention on Biological Diversity, the United Nations Forum on Forests and the members of the Collaborative Partnership on Forests, including establishment of memoranda of understanding, as appropriate, between the Convention on Biological Diversity and the other members of the Collaborative Partnership on Forests, and recommend such an memorandum of understanding with the International Tropical Timber Organization and the United Nations Framework Convention on Climate Change as a first step.

(i) Increase emphasis on capacity-building, research and training, public education and awareness, access to and transfer of information and technology, technical and scientific cooperation, with focus on capacities required to address forest biodiversity-related issues.

OBJECTIVE 3: *Parties and Governments to develop good governance practices, review and revise and implement forest and forest-related laws, tenure and planning systems, to provide a sound basis for conservation and sustainable use of forest biological diversity.*

Activities

(a) Develop appropriate measures and regulations to secure a permanent forest area sufficient to allow for the conservation and sustainable use of forest biological diversity.

(b) Seek to resolve land tenure and resource rights and responsibility, in consultation with all relevant stakeholders including for indigenous and local communities, in order to promote the conservation and sustainable use of forest biodiversity.

(c) Encourage Parties and countries to ensure that forest and forest-related laws adequately and equitably incorporate the provisions of the Convention on Biological Diversity and the decisions of the Conference of the Parties.

(d) Implement effective measures to protect traditional knowledge and values in forest laws and planning tools.

(e) Develop legislation, administrative or policy measures on access and benefit-sharing for forest genetic resources, taking into account the draft Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of the Benefits Arising out of their Utilization.

(f) Invite Parties, Governments and other relevant organizations to submit case-studies and research on the role of performance bonds in forest concessions,

in the conservation and sustainable use of forest biological diversity; and request the Secretariat to make these available.

(g) Parties, Governments and relevant stakeholders to develop mechanisms and processes to work toward good governance to promote conservation and sustainable use of forest biological diversity.

(h) Develop and apply environmental and socio-economic impact assessment methods as appropriate prior to land-conversion decisions.

OBJECTIVE 4: *Promote forest law enforcement and address related trade.*

Activities

(a) Invite Parties, Governments and relevant organizations to provide information on a voluntary basis to enable a better comprehension of the effects of unsustainable harvesting, exploitation of other forest resources and associated trade, as well as on the underlying causes, on forest biological diversity. On the basis of dissemination of this information countries may decide to take relevant measures such as enforcement actions.

(b) Evaluate and reform, as required, legislation to include clear definition of illegal activities and to establish effective deterrents.

(c) Develop methods and build capacity for effective law enforcement.

(d) Develop codes of conduct for sustainable forest practices in logging companies and the wood-processing sector to improve biodiversity conservation.

(e) Encourage and support the development and implementation of tracking and chain-of-custody systems for forest products to seek to ensure that these products are legally harvested.

(f) Invite Governments and relevant organizations to develop and forward to the Secretariat case-studies and research on the impacts of unsustainable timber and non-timber harvesting and related trade.

GOAL 2: Address socio-economic failures and distortions that lead to decisions that result in loss of forest biological diversity.

OBJECTIVE 1: *Mitigate the economic failures and distortions that lead to decisions that result in loss of forest biological diversity.*

Activities

(a) Develop mechanisms to ensure that monetary and non-monetary costs and benefits of forest biodiversity management are equitably shared between stakeholders at all levels.

(b) Develop, test and disseminate methods for valuing forest biological diversity and other forest ecosystem goods and services and for incorporating these values into forest planning and management, including through stakeholder analysis and mechanisms for transferring costs and benefits.

(c) Incorporate forest biological diversity and other forest values into national accounting systems and seek to estimate such figures for subsistence economies.

(d) Elaborate and implement economic incentives promoting forest biological diversity conservation and sustainable use.

(e) Eliminate or reform perverse incentives, in particular subsidies that result in favouring unsustainable use or loss of forest biological diversity.

(f) Provide market and other incentives for the use of sustainable practices, develop alternative sustainable income generation programmes and facilitate self-sufficiency programmes of indigenous and local communities.

(g) Develop and disseminate analyses of the compatibility of current and predicted production and consumption patterns with respect to the limits of forest ecosystem functions and production.

(h) Seek to promote national laws and policies and international trade regulations are compatible with conservation and sustainable use of forest biological diversity.

(i) Increase knowledge on monetary and non-monetary cost-benefit accounting for forest biodiversity evaluation.

GOAL 3: Increase public education, participation, and awareness.

OBJECTIVE 1: *Increase public support and understanding of the value of forest biological diversity and its goods and services at all levels.*

Activities

(a) Increase broad-based awareness of the value of forest biological diversity through international, national and local public awareness campaigns.

(b) Promote consumer awareness about sustainably produced forest products.

(c) Increase awareness amongst all stakeholders of the potential contribution of traditional forest-related knowledge to conservation and sustainable use of forest biological diversity.

(d) Develop awareness of the impact of forest-related production and consumption patterns on the loss of forest biological diversity and the goods and services it provides.

(e) Increase awareness of the value of forest biological diversity amongst public authorities and decision makers through specific information and training actions.

(f) Implement effective measures to recognize, respect, protect and maintain traditional forest-related knowledge and values in forest-related laws and forest planning tools, in accordance with Article 8(j) and related provisions of the Convention on Biological Diversity.

(g) Develop awareness of the value of forest biological diversity among forestry workers, owners of forest land, logging contractors, and consulting firms.

PROGRAMME ELEMENT 3: KNOWLEDGE, ASSESSMENT AND MONITORING

GOAL 1: To characterize and to analyse from forest ecosystem to global scale and develop general classification of forests on various scales in order to improve the assessment of status and trends of forest biological diversity.

OBJECTIVE 1: *Review and adopt a harmonized global to regional forest classification system, based on harmonized and accepted forest definitions and addressing key forest biological diversity elements.*

Activities

(a) Review and adopt a minimum forest classification for forest types, compatible with remote sensing technologies, that includes broad indicators of biodiversity that can be taken into account in all international and regional forest-related programmes, plans and activities.

(b) Adapt frequency of forest resource inventory at regional and global scales, where resources permit, preferably at least every ten years.

(c) Review and contribute (from the biodiversity point of view) to standard forest definitions in cooperation with the United Nations Forum on Forests and the Collaborative Partnership on Forests to be used in global and regional reporting to the scale of forest types.

OBJECTIVE 2: *Develop national forest classification systems and maps (using agreed international standards and protocols to enable regional and global synthesis).*

Activities

(a) Review existing national forest ecosystem classification systems and maps.

(b) Develop and apply national forest ecosystem classification systems and maps that include key components of forest biological diversity to be used in assessment reports on forest types including socio-economic and cultural aspects.

(c) Use adapted technology, for example geographic information system, to develop a baseline for assessing levels of deforestation and impacts on biodiversity.

OBJECTIVE 3: *To develop, where appropriate, specific forest ecosystems surveys in priority areas for conservation and sustainable use of forest biodiversity.*

Activities

To identify and prioritize relevant areas to carry out these surveys.

GOAL 2: Improve knowledge on and methods for the assessment of the status and trends of forest biological diversity, based on available information.

OBJECTIVE 1: *Advance the development and implementation of international, regional and national criteria and indicators based on key regional, subregional and national measures within the framework of sustainable forest management.*

Activities

(a) Advance the development and implementation of international, regional and national criteria and indicators based on key measures within the framework of sustainable forest management.

(b) Develop and select international, regional and national criteria and where appropriate quantifiable, indicators for forest biological diversity, taking into account, as appropriate, existing work and processes on criteria and indicators on sustainable forest management, as well as the knowledge held by indigenous and local communities. Such criteria and indicators should be used for assessment reporting at least 10-year intervals.

GOAL 3: Improve understanding of the role of forest biodiversity and ecosystem functioning.

OBJECTIVE 1: *Conduct key research programmes on the role of forest biodiversity and ecosystem functioning.*

Activities

(a) Develop and support focused research to improve understanding of the relationship between forest biological diversity and ecosystem functioning, taking into account forest ecosystem components, structure, functions and processes to improve predictive capability.

(b) Develop and support research to understand critical thresholds of forest biological diversity loss and change, paying particular attention to endemic and threatened species and habitats including forest canopies.

(c) Develop and apply forest ecosystem restoration techniques to address biodiversity loss at the ecosystem level.

(d) Develop and support research on impact of current forest management practices for forest biodiversity within forests and on adjacent land.

GOAL 4: Improve the infrastructure for data and information management for accurate assessment and monitoring of global forest biological diversity.

OBJECTIVE 1: *Enhance and improve the technical capacity at the national level to monitor forest biological diversity, benefiting from the opportunities offered through the clearing-house mechanism, and to develop associated databases as required on a global scale.*

Activities

(a) Develop and implement a strategy and a plan of action and facilitate transfer of technology to provide infrastructure and training in developing countries, in order to monitor forest biological diversity and develop associated databases.

DECISION VI/23 | Alien species that threaten ecosystems, habitats or species*

The Conference of the Parties

I. Status and trends

1. *Notes* the report on the status, impacts and trends of alien species that threaten ecosystems, habitats and species;[140]

II. Guiding Principles for the implementation of Article 8(h)

Recognizing that invasive alien species represent one of the primary threats to biodiversity, especially in geographically and evolutionary isolated ecosystems, such as small island developing States, and that risks may be increasing due to increased global trade, transport, tourism and climate change,

Reaffirming that full and effective implementation of Article 8(h) is a priority,

2. *Notes* the consideration by the Subsidiary Body on Scientific, Technical and Technological Advice of the scientific and technical matters relevant to the Guiding Principles;

3. *Notes* that some non-scientific and technical matters have been identified for its consideration along with options for addressing those matters;

4. *Having considered* these options, *adopts* the Guiding Principles annexed to the present decision;

5. *Urges* Parties, other Governments and relevant organizations to promote and implement the Guiding Principles.

III. Relevant international instruments

Acknowledging the contribution to the implementation of Article 8(h) of existing international instruments, such as the International Plant Protection Convention, and relevant international organizations such as the Office International des Epizooties, the regional plant protection organizations, the Food and Agriculture Organization of the United Nations, the International Maritime Organization, the World Health Organization and other international organizations that develop relevant standards and agreements,

Noting, however, in the light of the review of the efficiency and efficacy of existing legal instruments applicable to invasive alien species,[141] that there are certain gaps and inconsistencies in the international regulatory framework from the perspective of the threats of invasive alien species to biological diversity,

6. *Recommends* that Parties to the Convention on Biological Diversity and other Governments, as appropriate, consider ratifying the revised International

140 UNEP/CBD/SBSTTA/6/INF/11.

141 UNEP/CBD/SBSTTA/6/6.

* One representative entered a formal objection during the process leading to the adoption of this decision and underlined that he did not believe the Conference of the Parties could legitimately adopt a motion or a text with a formal objection in place. A few representatives expressed reservations regarding the procedure leading to the adoption of the decision. See UNEP/CBD/COP/6/20, paras. 294–324. This footnote applies to all references to decision VI/23 in this Handbook.

Plant Protection Convention, and *calls on* Parties, Governments, and relevant organizations to actively work to enhance the implementation of the International Plant Protection Convention;

7. *Urges* the International Maritime Organization to complete the preparation of an international instrument to address the environmental damage caused by the introduction of harmful aquatic organisms in ballast water and to develop as a matter or urgency, mechanisms to minimize hull-fouling as an invasion pathway, and *calls on* Governments and relevant organizations to urgently act to ensure full implementation;

8. *Invites* the International Plant Protection Convention, the Office International des Epizooties, the Food and Agriculture Organization of the United Nations, the International Maritime Organization, the World Health Organization and other relevant international instruments and organizations, as they elaborate further standards and agreements, or revise existing standards and agreements, including for risk assessment/analysis, to consider incorporating criteria related to the threats to biological diversity posed by invasive alien species; and *invites further* such instruments and organizations to report on any such ongoing, planned, or potential initiatives;

9. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice and other international organizations such as the Global Invasive Species Programme to identify and explore, in light of the inter-sessional work referred to in recommendation VI/4 A of the Subsidiary Body, further specific gaps and inconsistencies in the international regulatory framework (including binding and non-binding instruments as well as instruments at the regional level and standards) from a technical perspective of the threats of invasive alien species to biological diversity, including consideration of various pathways for the transmission of invasive alien species, and to report back to the Conference of the Parties at its seventh meeting, taking into account further relevant information arising from the implementation of the present decision.

IV. Other options

Reaffirming the importance of national and regional invasive alien species strategies and action plans, and of international collaboration to address the threats to biodiversity of invasive alien species and the need for funding as a priority to implement existing strategies,

Noting the range of measures[142] and the need to strengthen national capacities and international collaboration.

A. NATIONAL INVASIVE ALIEN SPECIES STRATEGIES AND ACTION PLANS

10. *Urges* Parties and other Governments, in implementing the Guiding Principles, and when developing, revising and implementing national biodiversity strategies and action plans to address the threats posed by invasive alien species, to:

(a) Identify national needs and priorities;

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(b) Create mechanisms to coordinate national programmes;

(c) Review, in the light of the Guiding Principles, relevant policies, legislation and institutions to identify gaps, inconsistencies and conflicts, and, as appropriate, adjust or develop policies, legislation and institutions;

(d) Enhance cooperation between the various sectors, including the private sector that might provide pathways or vectors for the unintended transfer of invasive alien species, in order to improve prevention, early detection, eradication and/or control of invasive alien species, and in particular, ensure communication between focal points of respective relevant international instruments;

(e) Promote awareness of the threats to biological diversity and related ecosystem goods and services posed by invasive alien species and of the means to address such threats, among policy makers at all levels of government, and in the private sector; quarantine, customs and other border officials; and the general public;

(f) Facilitate the involvement of all stakeholder groups, including in particular indigenous and local communities, and the private sector, as well as all levels of government, in national invasive alien species strategies and action plans, and in decisions related to the use of alien species that may be invasive;

(g) Collaborate with trading partners and neighbouring countries, regionally, and with other countries, as appropriate, in order to address threats of invasive alien species to biological diversity in ecosystems that cross international boundaries, to migratory species, and to address matters of common interest;

11. *Urges* existing regional organizations and networks to work cooperatively to actively support the development and implementation of invasive alien species strategies and action plans, and to develop regional strategies where appropriate;

12. *Encourages* Parties and other Governments, in undertaking this work and, in particular, when developing priority actions, to consider the need to:

(a) Develop capacity to use risk assessment/analysis to address threats of invasive alien species to biological diversity, and incorporate such methodologies in environmental impact assessments, and strategic environmental assessments, as appropriate and relevant;

(b) Develop financial measures, and other policies and tools, to promote activities to reduce the threat of invasive alien species;

(c) When necessary, develop recommendations and strategies to take account of effects of alien species on populations and naturally occurring genetic diversity;

(d) Incorporate invasive alien species considerations into national biodiversity strategies and action plans and into sectoral and cross-sectoral policies, strategies and plans, taking into account the ecosystem approach, and in order to ensure full implementation of the national invasive alien species strategies and action plans as called for in paragraph 6 of decision V/8 of the Conference of the Parties;

13. *Notes* the technical information developed by the Executive Secretary, the Subsidiary Body on Scientific, Technical and Technological Advice and the Global Inva-

sive Species Programme and commends this information to Parties for use in national implementation of Article 8(h) and *requests* the Executive Secretary to ensure that the technical information developed within the Convention on Biological Diversity is readily available to Parties in an appropriate form, including through technical publications and the clearing-house mechanism;

14. *Urges* the Global Invasive Species Programme and other relevant organizations to evaluate known and potential pathways for the introduction of invasive alien species and identify opportunities to minimize incursions and manage risks, and:

(a) Provide advice to Governments and organizations on actions to be taken at national and regional levels; and

(b) Provide recommendations to the Conference of the Parties at its seventh meeting on actions to be taken at the international level;

B. INTERNATIONAL COOPERATION

15. *Urges* Parties, Governments, multilateral organizations and other relevant bodies to consider the potential effects of global change on the risk of invasive alien species to biodiversity, and related ecosystem goods and services and, in particular:

(a) *Invites* the United Nations Framework Convention on Climate Change to consider this matter when it considers measures for adaptation to and mitigation of climate change in particular with respect to the lifestyles of indigenous and local communities;

(b) *Invites* the World Trade Organization, through its Committee on Trade and the Environment, to take this matter into account when considering the impacts of trade and trade liberalization;

(c) *Invites* the Food and Agriculture Organization of the United Nations, the World Health Organization, the United Nations Development Programme, the United Nations Environment Programme, the World Bank and other development agencies to take this matter into account when considering the impacts of land-use change, agriculture, aquaculture, forestry, health and development policies and activities;

16. *Invites* the Convention on the Conservation of Migratory Species of Wild Animals, the Convention on Wetlands (Ramsar, Iran, 1971), the Convention on the Conservation of European Wildlife and Natural Habitats, the Convention on International Trade in Endangered Species of Wild Fauna and Flora, the World Heritage Convention, and the Man and the Biosphere Programme of the United Nations Educational, Scientific and Cultural Organization, in collaboration with relevant organizations, to promote further the implementation of Article 8(h) within their mandates, through, *inter alia*, the development of guidance, best practices and pilot projects that address the threats of invasive alien species to particular sites or habitats, including means to enhance the capacity of ecosystems to resist or recover from alien species invasions;

17. *Invites* international organizations to develop financial and other measures for the promotion of activities aiming to reduce the harmful effects of invasive alien species;

18. *Acknowledges* the contribution of the Global Invasive Species Programme to the sixth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice, particularly the provision of technical advice and therefore:

(a) *Welcomes* phase II of the Global Invasive Species Programme and *urges* Parties, countries and other organizations to support the work of the Global Invasive Species Programme to minimize the spread and impact of invasive alien species, and consider the Global Strategy on Invasive Alien Species when developing national plans and regional strategies;

(b) *Recommends* continuing cooperation with the Global Invasive Species Programme and *requests* the Executive Secretary to explore the development of arrangements for this further cooperation;

19. *Endorses* the international cooperative initiative on invasive alien species on islands, developed by the Government of the New Zealand, the Invasive Species Specialist Group, and the Global Invasive Species Programme, and *calls on* the Global Environment Facility, Parties, Governments and relevant organizations to support and participate in these initiatives;

20. *Invites* the International Maritime Organization, the Global Invasive Species Programme, the Food and Agriculture Organization of the United Nations, and the Convention on Wetlands (Ramsar, Iran, 1971) to work together to develop an international cooperative initiative to address impediments to the management of marine alien species, particularly to address technical problems related to the identification and control of marine invasions;

21. *Welcomes* the initiative of the Council of Europe in the framework of the Bern Convention to help the implementation of Article 8(h), including the development of a European Strategy on Invasive Alien Species;

22. *Also welcomes* the "I3N" (Inter-American Biodiversity Information Network (IABIN) Invasives Information Network) initiative on invasive alien species, and *calls on* the Global Environment Facility, Parties, Governments and relevant organizations to support and participate in these initiatives;

23. *Welcomes* the initiative of the Interim Commission on Phytosanitary Measures and the secretariat of the International Plant Protection Convention to develop closer relationships to the Convention on Biological Diversity and its work;

C. ASSESSMENT, INFORMATION AND TOOLS

24. *Urges* Parties, Governments and relevant organizations, at the appropriate level, with the support of relevant international organizations to promote and carry out, as appropriate, research and assessments on:

(a) The characteristics of invasive species and the vulnerability of ecosystems and habitats to invasion by alien species, and the impact of climate change on these parameters;[143]

(b) The impact of alien species on biological diversity;

143 As distinct from the direct effects of climate change on species distribution.

(c) Analysis of the importance of various pathways for the introduction of invasive alien species;

(d) The socio-economic implications of invasive alien species particularly the implications for indigenous and local communities;

(e) The development of environmentally benign methods to control and eradicate invasive alien species, including measures for use in quarantine and to control fouling of ship hulls;

(f) The costs and benefits of the use of biocontrol agents to control and eradicate invasive alien species;

(g) Means to enhance the capacity of ecosystems to resist or recover from alien species invasions;

(h) Priorities for taxonomic work through, *inter alia*, the Global Taxonomy Initiative;[144]

(i) Criteria for assessing risks from introduction of alien species to biological diversity at the genetic, species and ecosystem levels;

(j) The use of the traditional knowledge of indigenous and local communities in the development and implementation of measures to address invasive alien species, in accordance with Article 8(j) of the Convention;

25. *Decides* that the clearing-house mechanism will be used to facilitate scientific and technical cooperation on the topics listed under paragraph 24 above, in order to enhance the ability of the clearing-house mechanism to promote and facilitate scientific and technical cooperation, and *welcomes* the Global Invasive Species Programme as an international thematic focal point for alien species under the clearing-house mechanism, and calls on Parties, countries and relevant organizations to contribute to the creation and maintenance of the global information network, in particular to:

(a) Ensure effective international cooperation and expertise sharing;

(b) Provide information to assist countries to perform effective risk analysis;

(c) Provide information on potential pathway of alien invasive species; and

(d) Provide support for management and control efforts, particularly for locating technical support for rapid response activities;

26. *Requests* the Executive Secretary in cooperation with the Global Invasive Species Programme and other relevant organizations to:

(a) Compile information on topics listed in paragraph 24 above, in collaboration with relevant organizations;

(b) Identify the key scientific, technical and public awareness impediments to implementation of priority actions at the national and regional levels;

(c) Develop, in partnership with relevant Parties, countries and relevant organizations, solutions to those impediments;

144 See decision VI/8.

(d) Disseminate those solutions to Parties and regional organizations; and

(e) Develop a joint programme of work through the Global Invasive Species Programme partnership network among the Convention on Biological Diversity, the Convention on Wetlands (Ramsar, Iran, 1971), the International Maritime Organization, the International Plant Protection Convention and other relevant bodies;

27. *Urges* Parties, Governments and relevant organizations, at the appropriate level, to develop and make available technical tools and related information to support efforts for the prevention, early detection, monitoring, eradication and/or control of invasive alien species and to support public awareness-raising and environmental education to the extent possible;

28. *Requests* the Executive Secretary, within the availability of resources and in collaboration with relevant organizations, to support the development and dissemination of technical tools and related information on the prevention, early detection, monitoring, eradication and/or control of invasive alien species through, *inter alia*:

(a) Compilation and dissemination of case-studies submitted by Parties, other Governments and organizations, best practices and lessons learned, drawing upon, as appropriate, tools listed in information document UNEP/CBD/SBSTTA/6/INF/3 and the "Toolkit" compiled by the Global Invasive Species Programme;[145]

(b) Further compilation and preparation of anthologies of existing terminology used in international instruments relevant to invasive alien species, and to develop, and update as necessary, a non-legally binding list of terms most commonly used;

(c) Compilation and making available lists of procedures for risk assessment/analysis and pathway analysis which may be relevant in assessing the risks of invasive alien species to biodiversity, habitats and ecosystems;

(d) Identification and inventory of existing expertise relevant to the prevention, early detection and warning, eradication and/or control of invasive alien species, and restoration of invaded ecosystems and habitats, which may be made available to other countries, including the roster of experts for the Convention on Biological Diversity;

(e) Development of databases and facilitated access to such information for all countries including repatriation of information to source countries, through, *inter alia*, the clearing-house mechanism;

(f) Development of systems for reporting new invasions of alien species and the spread of alien species into new areas;

29. *Requests* the Executive Secretary to take appropriate actions to ensure that invasive alien species considerations are fully integrated into thematic work programmes of the Convention and when reporting on the thematic work programmes

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to report specifically on how the threats and impacts of invasive alien species will be addressed;

30. *Notes* that, in implementing this decision, Parties, Governments, the Subsidiary Body on Scientific, Technical and Technological Advice, the Executive Secretary and relevant organizations are referred to annex II of the report of the liaison group meeting on invasive alien species.[146]

V. Activities and capacity-building

31. *Requests* the Executive Secretary to explore means to facilitate capacity enhancement for eradication work on alien species on continents and islands;

32. Given the constraints to implementation of Article 8(h) identified in the assessment of second national reports with respect to cross-cutting issues[147] and *urges* the Executive Secretary to use the clearing-house mechanism to provide an on-line educational programme;

33. *Requests* the Executive Secretary, in collaboration with the Global Invasive Species Programme, the Global Environment Facility, the Food and Agriculture Organization of the United Nations and the Organisation for Economic Co-operation and Development, to identify a mechanism(s) for providing Parties with access to financial support for rapidly responding to new incursions by alien species, and report to the Conference of the Parties at its seventh meeting on progress to establish that mechanism(s);

34. *Urges* bilateral donors and other funding sources to provide, as an urgent priority funding for the development and implementation, at national and regional levels, of the invasive alien species strategies and action plans called for in paragraph 6 of decision V/8 and with a particular priority for those strategies and actions related to geographically and evolutionarily isolated ecosystems, and to developing countries and countries with economies in transition, paying particular attention to the needs of the least developed countries and small island developing States, including needs related to capacity-building.

ANNEX
GUIDING PRINCIPLES FOR THE PREVENTION, INTRODUCTION AND MITIGATION OF IMPACTS OF ALIEN SPECIES THAT THREATEN ECOSYSTEMS, HABITATS OR SPECIES

Introduction

This document provides all Governments and organizations with guidance for developing effective strategies to minimize the spread and impact of invasive alien species. While each country faces unique challenges and will need to develop context-specific solutions, the Guiding Principles give governments clear direction and a set of goals to aim toward. The extent to which these Guiding Principles can be

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implemented ultimately depends on available resources. Their purpose is to assist governments to combat invasive alien species as an integral component of conservation and economic development. Because these 15 principles are non-binding, they can be more readily amended and expanded through the Convention on Biological Diversity's processes as we learn more about this problem and its effective solutions.

According to Article 3 of the Convention on Biological Diversity, States have, in accordance with the Charter of the United Nations and the principles of international law, the sovereign right to exploit their own resources pursuant to their own environmental policies, and the responsibility to ensure that activities within their jurisdiction or control do not cause damage to the environment of other States or of areas beyond the limits of national jurisdiction.

It should be noted that in the Guiding Principles below, the terms listed in footnote 10 are used.[148]

Also, while applying these Guiding Principles, due consideration must be given to the fact that ecosystems are dynamic over time and so the natural distribution of species might vary without involvement of a human agent.

A. General

GUIDING PRINCIPLE 1: PRECAUTIONARY APPROACH

Given the unpredictability of the pathways and impacts on biological diversity of invasive alien species, efforts to identify and prevent unintentional introductions as well as decisions concerning intentional introductions should be based on the precautionary approach, in particular with reference to risk analysis, in accordance with the guiding principles below. The precautionary approach is that set forth in principle 15 of the 1992 Rio Declaration on Environment and Development and in the preamble of the Convention on Biological Diversity.

The precautionary approach should also be applied when considering eradication, containment and control measures in relation to alien species that have become established. Lack of scientific certainty about the various implications of an invasion should not be used as a reason for postponing or failing to take appropriate eradication, containment and control measures.

148 The following definitions are used: (i) "alien species" refers to a species, subspecies or lower taxon, introduced outside its natural past or present distribution; includes any part, gametes, seeds, eggs, or propagules of such species that might survive and subsequently reproduce; (ii) "invasive alien species" means an alien species whose introduction and/or spread threaten biological diversity (for the purposes of the present guiding principles, the term "invasive alien species" shall be deemed the same as "alien invasive species" in decision V/8 of the Conference of the Parties to the Convention on Biological Diversity); (iii) "introduction" refers to the movement by human agency, indirect or direct, of an alien species outside of its natural range (past or present). This movement can be either within a country or between countries or areas beyond national jurisdiction; (iv) "intentional introduction" refers to the deliberate movement and/or release by humans of an alien species outside its natural range; (v) "unintentional introduction" refers to all other introductions which are not intentional, and (vi) "establishment" refers to the process of an alien species in a new habitat successfully producing viable offspring with the likelihood of continued survival; (vii) "risk analysis" refers to: (1) the assessment of the consequences of the introduction and of the likelihood of establishment of an alien species using science-based information (i.e., risk assessment), and (2) to the identification of measures that can be implemented to reduce or manage these risks (i.e., risk management), taking into account socio-economic and cultural considerations.

GUIDING PRINCIPLE 2: THREE-STAGE HIERARCHICAL APPROACH

1. Prevention is generally far more cost-effective and environmentally desirable than measures taken following introduction and establishment of an invasive alien species.

2. Priority should be given to preventing the introduction of invasive alien species, between and within States. If an invasive alien species has been introduced, early detection and rapid action are crucial to prevent its establishment. The preferred response is often to eradicate the organisms as soon as possible (principle 13). In the event that eradication is not feasible or resources are not available for its eradication, containment (principle 14) and long-term control measures (principle 15) should be implemented. Any examination of benefits and costs (environmental, economic and social) should be done on a long-term basis.

GUIDING PRINCIPLE 3: ECOSYSTEM APPROACH

Measures to deal with invasive alien species should, as appropriate, be based on the ecosystem approach, as described in decision V/6 of the Conference of the Parties.

GUIDING PRINCIPLE 4: THE ROLE OF STATES

1. In the context of invasive alien species, States should recognize the risk that activities within their jurisdiction or control may pose to other States as a potential source of invasive alien species, and should take appropriate individual and cooperative actions to minimize that risk, including the provision of any available information on invasive behaviour or invasive potential of a species.

2. Examples of such activities include:

(a) The intentional transfer of an invasive alien species to another State (even if it is harmless in the State of origin); and

(b) The intentional introduction of an alien species into their own State if there is a risk of that species subsequently spreading (with or without a human vector) into another State and becoming invasive;

(c) Activities that may lead to unintentional introductions, even where the introduced species is harmless in the state of origin.

3. To help States minimize the spread and impact of invasive alien species, States should identify, as far as possible, species that could become invasive and make such information available to other States.

GUIDING PRINCIPLE 5: RESEARCH AND MONITORING

In order to develop an adequate knowledge base to address the problem, it is important that States undertake research on and monitoring of invasive alien species, as appropriate. These efforts should attempt to include a baseline taxonomic study of biodiversity. In addition to these data, monitoring is the key to early detection of new invasive alien species. Monitoring should include both targeted and general surveys, and benefit from the involvement of other sectors, including local communities. Research on an invasive alien species should include a thorough identification

of the invasive species and should document: (a) the history and ecology of invasion (origin, pathways and time-period); (b) the biological characteristics of the invasive alien species; and (c) the associated impacts at the ecosystem, species and genetic level and also social and economic impacts, and how they change over time.

GUIDING PRINCIPLE 6: EDUCATION AND PUBLIC AWARENESS

Raising the public's awareness of the invasive alien species is crucial to the successful management of invasive alien species. Therefore, it is important that States should promote education and public awareness of the causes of invasion and the risks associated with the introduction of alien species. When mitigation measures are required, education and public-awareness-oriented programmes should be set in motion so as to engage local communities and appropriate sector groups in support of such measures.

B. Prevention

GUIDING PRINCIPLE 7: BORDER CONTROL AND QUARANTINE MEASURES

1. States should implement border controls and quarantine measures for alien species that are or could become invasive to ensure that:

(a) Intentional introductions of alien species are subject to appropriate authorization (principle 10);

(b) Unintentional or unauthorized introductions of alien species are minimized.

2. States should consider putting in place appropriate measures to control introductions of invasive alien species within the State according to national legislation and policies where they exist.

3. These measures should be based on a risk analysis of the threats posed by alien species and their potential pathways of entry. Existing appropriate governmental agencies or authorities should be strengthened and broadened as necessary, and staff should be properly trained to implement these measures. Early detection systems and regional and international coordination are essential to prevention.

GUIDING PRINCIPLE 8: EXCHANGE OF INFORMATION

1. States should assist in the development of an inventory and synthesis of relevant databases, including taxonomic and specimen databases, and the development of information systems and an interoperable distributed network of databases for compilation and dissemination of information on alien species for use in the context of any prevention, introduction, monitoring and mitigation activities. This information should include incident lists, potential threats to neighbouring countries, information on taxonomy, ecology and genetics of invasive alien species and on control methods, whenever available. The wide dissemination of this information, as well as national, regional and international guidelines, procedures and recommendations such as those being compiled by the Global Invasive Species Programme should also be facilitated through, *inter alia*, the clearing-house mechanism of the Convention on Biological Diversity.

2. The States should provide all relevant information on their specific import requirements for alien species, in particular those that have already been identified as invasive, and make this information available to other States.

GUIDING PRINCIPLE 9: COOPERATION, INCLUDING CAPACITY-BUILDING

Depending on the situation, a State's response might be purely internal (within the country), or may require a cooperative effort between two or more countries. Such efforts may include:

(a) Programmes developed to share information on invasive alien species, their potential uneasiness and invasion pathways, with a particular emphasis on cooperation among neighbouring countries, between trading partners, and among countries with similar ecosystems and histories of invasion. Particular attention should be paid where trading partners have similar environments;

(b) Agreements between countries, on a bilateral or multilateral basis, should be developed and used to regulate trade in certain alien species, with a focus on particularly damaging invasive species;

(c) Support for capacity-building programmes for States that lack the expertise and resources, including financial, to assess and reduce the risks and to mitigate the effects when introduction and establishment of alien species has taken place. Such capacity-building may involve technology transfer and the development of training programmes;

(d) Cooperative research efforts and funding efforts toward the identification, prevention, early detection, monitoring and control of invasive alien species.

C. Introduction of species

GUIDING PRINCIPLE 10: INTENTIONAL INTRODUCTION

1. No first-time intentional introduction or subsequent introductions of an alien species already invasive or potentially invasive within a country should take place without prior authorization from a competent authority of the recipient State(s). An appropriate risk analysis, which may include an environmental impact assessment, should be carried out as part of the evaluation process before coming to a decision on whether or not to authorize a proposed introduction to the country or to new ecological regions within a country. States should make all efforts to permit only those species that are unlikely to threaten biological diversity. The burden of proof that a proposed introduction is unlikely to threaten biological diversity should be with the proposer of the introduction or be assigned as appropriate by the recipient State. Authorization of an introduction may, where appropriate, be accompanied by conditions (e.g., preparation of a mitigation plan, monitoring procedures, payment for assessment and management, or containment requirements).

2. Decisions concerning intentional introductions should be based on the precautionary approach, including within a risk analysis framework, set forth in principle 15 of the 1992 Rio Declaration on Environment and Development, and the preamble of the Convention on Biological Diversity. Where there is a threat of

reduction or loss of biological diversity, lack of sufficient scientific certainty and knowledge regarding an alien species should not prevent a competent authority from taking a decision with regard to the intentional introduction of such alien species to prevent the spread and adverse impact of invasive alien species.

GUIDING PRINCIPLE 11: UNINTENTIONAL INTRODUCTIONS

1. All States should have in place provisions to address unintentional introductions (or intentional introductions that have become established and invasive). These could include statutory and regulatory measures and establishment or strengthening of institutions and agencies with appropriate responsibilities. Operational resources should be sufficient to allow for rapid and effective action.

2. Common pathways leading to unintentional introductions need to be identified and appropriate provisions to minimize such introductions should be in place. Sectoral activities, such as fisheries, agriculture, forestry, horticulture, shipping (including the discharge of ballast waters), ground and air transportation, construction projects, landscaping, aquaculture including ornamental aquaculture, tourism, the pet industry and game-farming, are often pathways for unintentional introductions. Environmental impact assessment of such activities should address the risk of unintentional introduction of invasive alien species. Wherever appropriate, a risk analysis of the unintentional introduction of invasive alien species should be conducted for these pathways.

D. Mitigation of impacts

GUIDING PRINCIPLE 12: MITIGATION OF IMPACTS

Once the establishment of an invasive alien species has been detected, States, individually and cooperatively, should take appropriate steps such as eradication, containment and control, to mitigate adverse effects. Techniques used for eradication, containment or control should be safe to humans, the environment and agriculture as well as ethically acceptable to stakeholders in the areas affected by the invasive alien species. Mitigation measures should take place in the earliest possible stage of invasion, on the basis of the precautionary approach. Consistent with national policy or legislation, an individual or entity responsible for the introduction of invasive alien species should bear the costs of control measures and biological diversity restoration where it is established that they failed to comply with the national laws and regulations. Hence, early detection of new introductions of potentially or known invasive alien species is important, and needs to be combined with the capacity to take rapid follow-up action.

GUIDING PRINCIPLE 13: ERADICATION

Where it is feasible, eradication is often the best course of action to deal with the introduction and establishment of invasive alien species. The best opportunity for eradicating invasive alien species is in the early stages of invasion, when populations are small and localized; hence, early detection systems focused on high-risk entry points can be critically useful while post-eradication monitoring may be nec-

essary. Community support is often essential to achieve success in eradication work, and is particularly effective when developed through consultation. Consideration should also be given to secondary effects on biological diversity.

GUIDING PRINCIPLE 14: CONTAINMENT

When eradication is not appropriate, limiting the spread (containment) of invasive alien species is often an appropriate strategy in cases where the range of the organisms or of a population is small enough to make such efforts feasible. Regular monitoring is essential and needs to be linked with quick action to eradicate any new outbreaks.

GUIDING PRINCIPLE 15: CONTROL

Control measures should focus on reducing the damage caused as well as reducing the number of the invasive alien species. Effective control will often rely on a range of integrated management techniques, including mechanical control, chemical control, biological control and habitat management, implemented according to existing national regulations and international codes.

DECISION VI/24 | Access and benefit-sharing as related to genetic resources

A. Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of the Benefits Arising out of their Utilization

The Conference of the Parties

1. *Takes note* of the report of the Ad Hoc Open-ended Working Group on Access and Benefit-sharing;[149]

2. *Takes note* also of the work done by the group convened by the Executive Secretary to develop elements of a draft decision on the use of terms in paragraph 6 of the Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of the Benefit Arising out of their Utilization;

3. *Decides to* adopt the Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of the Benefit Arising out of their Utilization as annexed to the present decision;

4. *Invites* Parties and Governments to use the Guidelines when developing and drafting legislative, administrative or policy measures on access and benefit-sharing, and contracts and other arrangements under mutually agreed terms for access and benefit-sharing;

5. *Invites* Parties and relevant organizations to provide financial and technical assistance to support developing countries, in particular least developed countries,

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small islands developing states, as well as countries with economies in transition, in implementing the Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of the Benefit Arising out of their Utilization;

6. *Recognizes* that the Guidelines are a useful first step of an evolutionary process in the implementation of relevant provisions of the Convention related to access to genetic resources and benefit-sharing;

7. *Decides* to keep under review the implementation of the guidelines and consider the need for their further refinement on the basis of, *inter alia*, relevant work under the Convention, including work on Article 8(j) and related provisions;

8. *Decides* to reconvene the Ad Hoc Open-ended Working Group on Access and Benefit-sharing to advise the Conference of the Parties on:

(a) Use of terms, definitions and/or glossary, as appropriate;

(b) Other approaches as set out in decision VI/24 B;

(c) Measures, including consideration of their feasibility, practicality and costs, to support compliance with prior informed consent of the Contracting Party providing such resources and mutually agreed terms on which access was granted in Contracting Parties with users of genetic resources under their jurisdiction;

(d) Its consideration of any available reports or progress reports arising from the present decision;

(e) Needs for capacity-building identified by countries to implement the Guidelines.

The Working Group will submit its report to the Conference of the Parties at its seventh meeting;

9. *Requests* the Executive Secretary to invite Parties, Governments and relevant international organizations to submit information on the issues referred to in paragraphs 8(a), (b), (c) and (e) above, and to make this information available to the Open-ended Working Group on Access and Benefit-sharing and through the clearing-house mechanism;

10. *Requests* the Ad Hoc Open-ended Working Group on Article 8(j) and Related Provisions to consider the Guidelines as relevant to its ongoing work.

ANNEX
BONN GUIDELINES ON ACCESS TO GENETIC RESOURCES AND FAIR AND EQUITABLE SHARING OF THE BENEFITS ARISING OUT OF THEIR UTILIZATION

I. General Provisions

A. KEY FEATURES

1. These Guidelines may serve as inputs when developing and drafting legislative, administrative or policy measures on access and benefit-sharing with particular reference to provisions under Articles 8(j), 10(c), 15, 16 and 19; and contracts and other arrangements under mutually agreed terms for access and benefit-sharing.

2. Nothing in these Guidelines shall be construed as changing the rights and obligations of Parties under the Convention on Biological Diversity.

3. Nothing in these Guidelines is intended to substitute for relevant national legislation.

4. Nothing in these Guidelines should be interpreted to affect the sovereign rights of States over their natural resources.

5. Nothing in these Guidelines, including the use of terms such as "provider," "user," and "stakeholder," should be interpreted to assign any rights over genetic resources beyond those provided in accordance with the Convention.

6. Nothing in these Guidelines should be interpreted as affecting the rights and obligations relating to genetic resources arising out of the mutually agreed terms under which the resources were obtained from the country of origin.

7. The present Guidelines are voluntary and were prepared with a view to ensuring their:

(a) *Voluntary nature*: they are intended to guide both users and providers of genetic resources on a voluntary basis;

(b) *Ease of use*: to maximize their utility and to accommodate a range of applications, the Guidelines are simple;

(c) *Practicality*: the elements contained in the guidelines are practical and are aimed at reducing transaction costs;

(d) *Acceptability*: the Guidelines are intended to gain the support of users and providers;

(e) *Complementarity*: the Guidelines and other international instruments are mutually supportive;

(f) *Evolutionary approach*: the Guidelines are intended to be reviewed and accordingly revised and improved as experience is gained in access and benefit-sharing;

(g) *Flexibility*: to be useful across a range of sectors, users and national circumstances and jurisdictions, guidelines should be flexible;

(h) *Transparency*: they are intended to promote transparency in the negotiation and implementation of access and benefit-sharing arrangements.

B. USE OF TERMS

8. The terms as defined in Article 2 of the Convention shall apply to these Guidelines. These include: biological diversity, biological resources, biotechnology, country of origin of genetic resources, country providing genetic resources, *ex situ* conservation, *in situ* conservation, genetic material, genetic resources, and *in situ* conditions.

C. SCOPE

9. All genetic resources and associated traditional knowledge, innovations and practices covered by the Convention on Biological Diversity and benefits arising from the commercial and other utilization of such resources should be covered by the guidelines, with the exclusion of human genetic resources.

D. RELATIONSHIP WITH RELEVANT INTERNATIONAL REGIMES

10. The guidelines should be applied in a manner that is coherent and mutually supportive of the work of relevant international agreements and institutions. The guidelines are without prejudice to the access and benefit-sharing provisions of the FAO International Treaty for Plant Genetic Resources for Food and Agriculture. Furthermore, the work of the World Intellectual Property Organization (WIPO) on issues of relevance to access and benefit-sharing should be taken into account. The application of the guidelines should also take into account existing regional legislation and agreements on access and benefit-sharing.

E. OBJECTIVES

11. The objectives of the Guidelines are the following:

(a) To contribute to the conservation and sustainable use of biological diversity;

(b) To provide Parties and stakeholders with a transparent framework to facilitate access to genetic resources and ensure fair and equitable sharing of benefits;

(c) To provide guidance to Parties in the development of access and benefit-sharing regimes;

(d) To inform the practices and approaches of stakeholders (users and providers) in access and benefit-sharing arrangements;

(e) To provide capacity-building to guarantee the effective negotiation and implementation of access and benefit-sharing arrangements, especially to developing countries, in particular least developed countries and small island developing States among them;

(f) To promote awareness on implementation of relevant provisions of the Convention on Biological Diversity;

(g) To promote the adequate and effective transfer of appropriate technology to providing Parties, especially developing countries, in particular least developed countries and small island developing States among them, stakeholders and indigenous and local communities;

(h) To promote the provision of necessary financial resources to providing countries that are developing countries, in particular least developed countries and small island developing States among them, or countries with economies in transition with a view to contributing to the achievement of the objectives mentioned above;

(i) To strengthen the clearing-house mechanism as a mechanism for cooperation among Parties in access and benefit-sharing;

(j) To contribute to the development by Parties of mechanisms and access and benefit-sharing regimes that recognize the protection of traditional knowledge, innovations and practices of indigenous and local communities, in accordance with domestic laws and relevant international instruments;

(k) To contribute to poverty alleviation and be supportive to the realization of human food security, health and cultural integrity, especially in developing countries, in particular least developed countries and small island developing States among them;

(l) Taxonomic research, as specified in the Global Taxonomy Initiative, should not be prevented, and providers should facilitate acquisition of material for systematic use and users should make available all information associated with the specimens thus obtained.

12. The Guidelines are intended to assist Parties in developing an overall access and benefit-sharing strategy, which may be part of their national biodiversity strategy and action plan, and in identifying the steps involved in the process of obtaining access to genetic resources and sharing benefits.

II. Roles and Responsibilities in access and benefit-sharing pursuant to article 15 of the Convention on Biological Diversity

A. NATIONAL FOCAL POINT

13. Each Party should designate one national focal point for access and benefit-sharing and make such information available through the clearing-house mechanism. The national focal point should inform applicants for access to genetic resources on procedures for acquiring prior informed consent and mutually agreed terms, including benefit-sharing, and on competent national authorities, relevant indigenous and local communities and relevant stakeholders, through the clearing-house mechanism.

B. COMPETENT NATIONAL AUTHORITY(IES)

14. Competent national authorities, where they are established, may, in accordance with applicable national legislative, administrative or policy measures, be responsible for granting access and be responsible for advising on:

(a) The negotiating process;

(b) Requirements for obtaining prior informed consent and entering into mutually agreed terms;

(c) Monitoring and evaluation of access and benefit-sharing agreements;

(d) Implementation/enforcement of access and benefit-sharing agreements;

(e) Processing of applications and approval of agreements;

(f) The conservation and sustainable use of the genetic resources accessed;

(g) Mechanisms for the effective participation of different stakeholders, as appropriate for the different steps in the process of access and benefit-sharing, in particular, indigenous and local communities;

(h) Mechanisms for the effective participation of indigenous and local communities while promoting the objective of having decisions and processes available in a language understandable to relevant indigenous and local communities.

15. The competent national authority(ies) that have the legal power to grant prior informed consent may delegate this power to other entities, as appropriate.

C. RESPONSIBILITIES

16. Recognizing that Parties and stakeholders may be both users and providers, the following balanced list of roles and responsibilities provides key elements to be acted upon:

(a) Contracting Parties which are countries of origin of genetic resources, or other Parties which have acquired the genetic resources in accordance with the Convention, should:

(i) Be encouraged to review their policy, administrative and legislative measures to ensure they are fully complying with Article 15 of the Convention;

(ii) Be encouraged to report on access applications through the clearing-house mechanism and other reporting channels of the Convention;

(iii) Seek to ensure that the commercialization and any other use of genetic resources should not prevent traditional use of genetic resources;

(iv) Ensure that they fulfil their roles and responsibilities in a clear, objective and transparent manner;

(v) Ensure that all stakeholders take into consideration the environmental consequences of the access activities;

(vi) Establish mechanisms to ensure that their decisions are made available to relevant indigenous and local communities and relevant stakeholders, particularly indigenous and local communities;

(vii) Support measures, as appropriate, to enhance indigenous and local communities' capacity to represent their interests fully at negotiations;

(b) In the implementation of mutually agreed terms, users should:

(i) Seek informed consent prior to access to genetic resources, in conformity with Article 15, paragraph 5, of the Convention;

(ii) Respect customs, traditions, values and customary practices of indigenous and local communities;

(iii) Respond to requests for information from indigenous and local communities;

(iv) Only use genetic resources for purposes consistent with the terms and conditions under which they were acquired;

(v) Ensure that uses of genetic resources for purposes other than those for which they were acquired, only take place after new prior informed consent and mutually agreed terms are given;
(vi) Maintain all relevant data regarding the genetic resources, especially documentary evidence of the prior informed consent and information concerning the origin and the use of genetic resources and the benefits arising from such use;
(vii) As much as possible endeavour to carry out their use of the genetic resources in, and with the participation of, the providing country;
(viii) When supplying genetic resources to third parties, honour any terms and conditions regarding the acquired material. They should provide this third party with relevant data on their acquisition, including prior informed consent and conditions of use and record and maintain data on their supply to third parties. Special terms and conditions should be established under mutually agreed terms to facilitate taxonomic research for non-commercial purposes;
(ix) Ensure the fair and equitable sharing of benefits, including technology transfer to providing countries, pursuant to Article 16 of the Convention arising from the commercialization or other use of genetic resources, in conformity with the mutually agreed terms they established with the indigenous and local communities or stakeholders involved;

(c) Providers should:

(i) Only supply genetic resources and/or traditional knowledge when they are entitled to do so;
(ii) Strive to avoid imposition of arbitrary restrictions on access to genetic resources.

(d) Contracting Parties with users of genetic resources under their jurisdiction should take appropriate legal, administrative, or policy measures, as appropriate, to support compliance with prior informed consent of the Contracting Party providing such resources and mutually agreed terms on which access was granted. These countries could consider, *inter alia*, the following measures:

(i) Mechanisms to provide information to potential users on their obligations regarding access to genetic resources;
(ii) Measures to encourage the disclosure of the country of origin of the genetic resources and of the origin of traditional knowledge, innovations and practices of indigenous and local communities in applications for intellectual property rights;
(iii) Measures aimed at preventing the use of genetic resources obtained without the prior informed consent of the Contracting Party providing such resources;
(iv) Cooperation between Contracting Parties to address alleged infringements of access and benefit-sharing agreements;
(v) Voluntary certification schemes for institutions abiding by rules on access and benefit-sharing;

(vi) Measures discouraging unfair trade practices;
(vii) Other measures that encourage users to comply with provisions under subparagraph 16(b) above.

III. Participation of Stakeholders

17. Involvement of relevant stakeholders is essential to ensure the adequate development and implementation of access and benefit-sharing arrangements. However, due to the diversity of stakeholders and their diverging interests, their appropriate involvement can only be determined on a case-by-case basis.

18. Relevant stakeholders should be consulted and their views taken into consideration in each step of the process, including:

(a) When determining access, negotiating and implementing mutually agreed terms, and in the sharing of benefits;

(b) In the development of a national strategy, policies or regimes on access and benefit-sharing.

19. To facilitate the involvement of relevant stakeholders, including indigenous and local communities, appropriate consultative arrangements, such as national consultative committees, comprising relevant stakeholder representatives, should be made.

20. The involvement of relevant stakeholders should be promoted by:

(a) Providing information, especially regarding scientific and legal advice, in order for them to be able to participate effectively;

(b) Providing support for capacity-building, in order for them to be actively engaged in various stages of access and benefit-sharing arrangements, such as in the development and implementation of mutually agreed terms and contractual arrangements.

21. The stakeholders involved in access to genetic resources and benefit-sharing may wish to seek the support of a mediator or facilitator when negotiating mutually agreed terms.

IV. Steps in the Access and Benefit-sharing Process

A. OVERALL STRATEGY

22. Access and benefit-sharing systems should be based on an overall access and benefit-sharing strategy at the country or regional level. This access and benefit-sharing strategy should aim at the conservation and sustainable use of biological diversity, and may be part of a national biodiversity strategy and action plan and promote the equitable sharing of benefits.

B. IDENTIFICATION OF STEPS

23. The steps involved in the process of obtaining access to genetic resources and sharing of benefits may include activities prior to access, research and development

conducted on the genetic resources, as well as their commercialization and other uses, including benefit-sharing.

C. PRIOR INFORMED CONSENT

24. As provided for in Article 15 of the Convention on Biological Diversity, which recognizes the sovereign rights of States over their natural resources, each Contracting Party to the Convention shall endeavour to create conditions to facilitate access to genetic resources for environmentally sound uses by other Contracting Parties and fair and equitable sharing of benefits arising from such uses. In accordance with Article 15, paragraph 5, of the Convention on Biological Diversity, access to genetic resources shall be subject to prior informed consent of the contracting Party providing such resources, unless otherwise determined by that Party.

25. Against this background, the Guidelines are intended to assist Parties in the establishment of a system of prior informed consent, in accordance with Article 15, paragraph 5, of the Convention.

1. Basic principles of a prior informed consent system

26. The basic principles of a prior informed consent system should include:

(a) Legal certainty and clarity;

(b) Access to genetic resources should be facilitated at minimum cost;

(c) Restrictions on access to genetic resources should be transparent, based on legal grounds, and not run counter to the objectives of the Convention;

(d) Consent of the relevant competent national authority(ies) in the provider country. The consent of relevant stakeholders, such as indigenous and local communities, as appropriate to the circumstances and subject to domestic law, should also be obtained.

2. Elements of a prior informed consent system

27. Elements of a prior informed consent system may include:

(a) Competent authority(ies) granting or providing for evidence of prior informed consent;

(b) Timing and deadlines;

(c) Specification of use;

(d) Procedures for obtaining prior informed consent;

(e) Mechanism for consultation of relevant stakeholders;

(f) Process.

Competent authority(ies) granting prior informed consent

28. Prior informed consent for access to *in situ* genetic resources shall be obtained from the Contracting Party providing such resources, through its competent national authority(ies), unless otherwise determined by that Party.

29. In accordance with national legislation, prior informed consent may be required from different levels of Government. Requirements for obtaining prior informed consent (national/provincial/local) in the provider country should therefore be specified.

30. National procedures should facilitate the involvement of all relevant stakeholders from the community to the government level, aiming at simplicity and clarity.

31. Respecting established legal rights of indigenous and local communities associated with the genetic resources being accessed or where traditional knowledge associated with these genetic resources is being accessed, the prior informed consent of indigenous and local communities and the approval and involvement of the holders of traditional knowledge, innovations and practices should be obtained, in accordance with their traditional practices, national access policies and subject to domestic laws.

32. For *ex situ* collections, prior informed consent should be obtained from the competent national authority(ies) and/or the body governing the *ex situ* collection concerned as appropriate.

Timing and deadlines

33. Prior informed consent is to be sought adequately in advance to be meaningful both for those seeking and for those granting access. Decisions on applications for access to genetic resources should also be taken within a reasonable period of time.

Specification of use

34. Prior informed consent should be based on the specific uses for which consent has been granted. While prior informed consent may be granted initially for specific use(s), any change of use including transfer to third parties may require a new application for prior informed consent. Permitted uses should be clearly stipulated and further prior informed consent for changes or unforeseen uses should be required. Specific needs of taxonomic and systematic research as specified by the Global Taxonomy Initiative should be taken into consideration.

35. Prior informed consent is linked to the requirement of mutually agreed terms.

Procedures for obtaining prior informed consent

36. An application for access could require the following information to be provided, in order for the competent authority to determine whether or not access to a genetic resource should be granted. This list is indicative and should be adapted to national circumstances:

(a) Legal entity and affiliation of the applicant and/or collector and contact person when the applicant is an institution;

(b) Type and quantity of genetic resources to which access is sought;

(c) Starting date and duration of the activity;

(d) Geographical prospecting area;

(e) Evaluation of how the access activity may impact on conservation and sustainable use of biodiversity, to determine the relative costs and benefits of granting access;

(f) Accurate information regarding intended use (e.g., taxonomy, collection, research, commercialization);

(g) Identification of where the research and development will take place;

(h) Information on how the research and development is to be carried out;

(i) Identification of local bodies for collaboration in research and development;

(j) Possible third party involvement;

(k) Purpose of the collection, research and expected results;

(l) Kinds/types of benefits that could come from obtaining access to the resource, including benefits from derivatives and products arising from the commercial and other utilization of the genetic resource;

(m) Indication of benefit-sharing arrangements;

(n) Budget;

(o) Treatment of confidential information.

37. Permission to access genetic resources does not necessarily imply permission to use associated knowledge and *vice versa*.

Process

38. Applications for access to genetic resources through prior informed consent and decisions by the competent authority(ies) to grant access to genetic resources or not shall be documented in written form.

39. The competent authority could grant access by issuing a permit or licence or following other appropriate procedures. A national registration system could be used to record the issuance of all permits or licences, on the basis of duly completed application forms.

40. The procedures for obtaining an access permit/licence should be transparent and accessible by any interested party.

D. MUTUALLY AGREED TERMS

41. In accordance with Article 15, paragraph 7, of the Convention on Biological Diversity, each Contracting Party shall "take legislative, administrative or policy measures, as appropriate (…) with the aim of sharing in a fair and equitable way the results of research and development and the benefits arising from the commercial and other utilization of genetic resources with the Contracting Party providing such resources. Such sharing shall be upon mutually agreed terms." Thus, guidelines should assist Parties and stakeholders in the development of mutually agreed terms to ensure the fair and equitable sharing of benefits.

1. Basic requirements for mutually agreed terms

42. The following principles or basic requirements could be considered for the development of mutually agreed terms:

(a) Legal certainty and clarity;

(b) Minimization of transaction costs, by, for example:

(i) Establishing and promoting awareness of the Government's and relevant stakeholders' requirements for prior informed consent and contractual arrangements;

(ii) Ensuring awareness of existing mechanisms for applying for access, entering into arrangements and ensuring the sharing of benefits;

(iii) Developing framework agreements, under which repeat access under expedited arrangements can be made;

(iv) Developing standardized material transfer agreements and benefit-sharing arrangements for similar resources and similar uses (see appendix I for suggested elements of such an agreement);

(c) Inclusion of provisions on user and provider obligations;

(d) Development of different contractual arrangements for different resources and for different uses and development of model agreements;

(e) Different uses may include, *inter alia*, taxonomy, collection, research, commercialization;

(f) Mutually agreed terms should be negotiated efficiently and within a reasonable period of time;

(g) Mutually agreed terms should be set out in a written agreement.

43. The following elements could be considered as guiding parameters in contractual agreements. These elements could also be considered as basic requirements for mutually agreed terms:

(a) Regulating the use of resources in order to take into account ethical concerns of the particular Parties and stakeholders, in particular indigenous and local communities concerned;

(b) Making provision to ensure the continued customary use of genetic resources and related knowledge;

(c) Provision for the use of intellectual property rights include joint research, obligation to implement rights on inventions obtained and to provide licences by common consent;

(d) The possibility of joint ownership of intellectual property rights according to the degree of contribution.

2. Indicative list of typical mutually agreed terms

44. The following provides an indicative list of typical mutually agreed terms:

(a) Type and quantity of genetic resources, and the geographical/ecological area of activity;

(b) Any limitations on the possible use of the material;

(c) Recognition of the sovereign rights of the country of origin;

(d) Capacity-building in various areas to be identified in the agreement;

(e) A clause on whether the terms of the agreement in certain circumstances (e.g., change of use) can be renegotiated;

(f) Whether the genetic resources can be transferred to third parties and conditions to be imposed in such cases, e.g., whether or not to pass genetic resources to third parties without ensuring that the third parties enter into similar agreements except for taxonomic and systematic research that is not related to commercialization;

(g) Whether the knowledge, innovations and practices of indigenous and local communities have been respected, preserved and maintained, and whether the customary use of biological resources in accordance with traditional practices has been protected and encouraged;

(h) Treatment of confidential information;

(i) Provisions regarding the sharing of benefits arising from the commercial and other utilization of genetic resources and their derivatives and products.

3. Benefit-sharing

45. Mutually agreed terms could cover the conditions, obligations, procedures, types, timing, distribution and mechanisms of benefits to be shared. These will vary depending on what is regarded as fair and equitable in light of the circumstances.

Types of benefits

46. Examples of monetary and non-monetary benefits are provided in appendix II to these Guidelines.

Timing of benefits

47. Near-term, medium-term and long-term benefits should be considered, including up-front payments, milestone payments and royalties. The time-frame of benefit-sharing should be definitely stipulated. Furthermore, the balance among near-term, medium-term and long-term benefit should be considered on a case-by-case basis.

Distribution of benefits

48. Pursuant to mutually agreed terms established following prior informed consent, benefits should be shared fairly and equitably with all those who have been identified as having contributed to the resource management, scientific and/or commercial process. The latter may include governmental, non-governmental or academic institutions and indigenous and local communities. Benefits should be directed in such a way as to promote conservation and sustainable use of biological diversity.

Mechanisms for benefit-sharing

49. Mechanisms for benefit-sharing may vary depending upon the type of benefits, the specific conditions in the country and the stakeholders involved. The benefit-sharing mechanism should be flexible as it should be determined by the partners involved in benefit-sharing and will vary on a case-by-case basis.

50. Mechanisms for sharing benefits should include full cooperation in scientific research and technology development, as well as those that derive from commercial products including trust funds, joint ventures and licences with preferential terms.

V. Other Provisions

A. INCENTIVES

51. The following incentive measures exemplify measures which could be used in the implementation of the guidelines:

(a) The identification and mitigation or removal of perverse incentives, that may act as obstacles for conservation and sustainable use of biological diversity through access and benefit-sharing, should be considered;

(b) The use of well-designed economic and regulatory instruments, directly or indirectly related to access and benefit-sharing, should be considered to foster equitable and efficient allocation of benefits;

(c) The use of valuation methods should be considered as a tool to inform users and providers involved in access and benefit-sharing;

(d) The creation and use of markets should be considered as a way of efficiently achieving conservation and sustainable use of biological diversity.

B. ACCOUNTABILITY IN IMPLEMENTING ACCESS AND BENEFIT-SHARING ARRANGEMENTS

52. Parties should endeavour to establish mechanisms to promote accountability by all stakeholders involved in access and benefit-sharing arrangements.

53. To promote accountability, Parties may consider establishing requirements regarding:

(a) Reporting; and

(b) Disclosure of information.

54. The individual collector or institution on whose behalf the collector is operating should, where appropriate, be responsible and accountable for the compliance of the collector.

C. NATIONAL MONITORING AND REPORTING

55. Depending on the terms of access and benefit-sharing, national monitoring may include:

(a) Whether the use of genetic resources is in compliance with the terms of access and benefit-sharing;

(b) Research and development process;

(c) Applications for intellectual property rights relating to the material supplied.

56. The involvement of relevant stakeholders, in particular, indigenous and local communities, in the various stages of development and implementation of access and benefit-sharing arrangements can play an important role in facilitating the monitoring of compliance.

D. MEANS FOR VERIFICATION

57. Voluntary verification mechanisms could be developed at the national level to ensure compliance with the access and benefit-sharing provisions of the Convention on Biological Diversity and national legal instruments of the country of origin providing the genetic resources.

58. A system of voluntary certification could serve as a means to verify the transparency of the process of access and benefit-sharing. Such a system could certify that the access and benefit-sharing provisions of the Convention on Biological Diversity have been complied with.

E. SETTLEMENT OF DISPUTES

59. As most obligations arising under mutually agreed arrangements will be between providers and users, disputes arising in these arrangements should be solved in accordance with the relevant contractual arrangements on access and benefit-sharing and the applicable law and practices.

60. In cases where the access and benefit-sharing agreements consistent with the Convention on Biological Diversity and national legal instruments of the country of origin of genetic resources have not been complied with, the use of sanctions could be considered, such as penalty fees set out in contractual agreements.

F. REMEDIES

61. Parties may take appropriate effective and proportionate measures for violations of national legislative, administrative or policy measures implementing the access and benefit-sharing provisions of the Convention on Biological Diversity, including requirements related to prior informed consent and mutually agreed terms.

Appendix I
Suggested elements for material transfer agreements

Material transfer agreements may contain wording on the following elements:

A. INTRODUCTORY PROVISIONS

1. Preambular reference to the Convention on Biological Diversity

2. Legal status of the provider and user of genetic resources

3. Mandate and/or general objectives of provider and, where appropriate, user of genetic resources.

B. ACCESS AND BENEFIT-SHARING PROVISIONS

1. Description of genetic resources covered by the material transfer agreements, including accompanying information

2. Permitted uses, bearing in mind the potential uses, of the genetic resources, their products or derivatives under the material transfer agreement (e.g. research, breeding, commercialization)

3. Statement that any change of use would require new prior informed consent and material transfer agreement

4. Whether intellectual property rights may be sought and if so under what conditions

5. Terms of benefit-sharing arrangements, including commitment to share monetary and non-monetary benefits

6. No warranties guaranteed by provider on identity and/or quality of the provided material

7. Whether the genetic resources and/or accompanying information may be transferred to third parties and if so conditions that should apply

8. Definitions

9. Duty to minimize environmental impacts of collecting activities.

C. LEGAL PROVISIONS

1. Obligation to comply with the material transfer agreement

2. Duration of agreement

3. Notice to terminate the agreement

4. Fact that the obligations in certain clauses survive the termination of the agreement

5. Independent enforceability of individual clauses in the agreement

6. Events limiting the liability of either party (such as act of God, fire, flood, etc.)

7. Dispute settlement arrangements

8. Assignment or transfer of rights

9. Assignment, transfer or exclusion of the right to claim any property rights, including intellectual property rights, over the genetic resources received through the material transfer agreement

10. Choice of law

11. Confidentiality clause

12. Guarantee.

Appendix II
Monetary and non-monetary benefits

1. Monetary benefits may include, but not be limited to:

(a) Access fees/fee per sample collected or otherwise acquired;

(b) Up-front payments;

(c) Milestone payments;

(d) Payment of royalties;

(e) Licence fees in case of commercialization;

(f) Special fees to be paid to trust funds supporting conservation and sustainable use of biodiversity;

(g) Salaries and preferential terms where mutually agreed;

(h) Research funding;

(i) Joint ventures;

(j) Joint ownership of relevant intellectual property rights.

2. Non-monetary benefits may include, but not be limited to:

(a) Sharing of research and development results;

(b) Collaboration, cooperation and contribution in scientific research and development programmes, particularly biotechnological research activities, where possible in the provider country;

(c) Participation in product development;

(d) Collaboration, cooperation and contribution in education and training;

(e) Admittance to *ex situ* facilities of genetic resources and to databases;

(f) Transfer to the provider of the genetic resources of knowledge and technology under fair and most favourable terms, including on concessional and preferential terms where agreed, in particular, knowledge and technology that make use of genetic resources, including biotechnology, or that are relevant to the conservation and sustainable utilization of biological diversity;

(g) Strengthening capacities for technology transfer to user developing country Parties, and where possible, in such Parties;

(h) Institutional capacity-building;

(i) Human and material resources to strengthen the capacities for the administration and enforcement of access regulations;

(j) Training related to genetic resources with the full participation of providing Parties, and where possible, in such Parties;

(k) Access to scientific information relevant to conservation and sustainable use of biological diversity, including biological inventories and taxonomic studies;

(l) Contributions to the local economy;

(m) Research directed towards priority needs, such as health and food security, taking into account domestic uses of genetic resources in provider countries;

(n) Institutional and professional relationships that can arise from an access and benefit-sharing agreement and subsequent collaborative activities;

(o) Food and livelihood security benefits;

(p) Social recognition;

(q) Joint ownership of relevant intellectual property rights.

B. OTHER APPROACHES, INCLUDING THE DEVELOPMENT OF AN ACTION PLAN FOR CAPACITY-BUILDING

The Conference of the Parties,

I. Capacity-building

Recognizing the need to assess ongoing capacity-building activities for access and benefit-sharing, in view of elaborating an action plan for capacity-building for access and benefit-sharing,

1. *Decides* to convene an Open-ended Expert Workshop on Capacity-building for Access to Genetic Resources and Benefit-sharing. The Workshop will be open to participation by representatives, including experts, nominated by Governments and regional economic integration organizations; as well as representatives of relevant intergovernmental organizations (including donor organizations), non-governmental organizations, and indigenous and local communities. The Workshop should further develop the draft elements for an Action Plan on Capacity-building for Access and Benefit-sharing annexed to the present decision;

2. *Requests* the Executive Secretary to make appropriate arrangements for the Workshop;

3. *Invites* Parties and indigenous and local communities to provide to the Executive-Secretary information regarding capacity-building needs, priorities and existing initiatives for capacity-building for access to genetic resources and benefit-sharing;

4. *Invites* relevant intergovernmental organizations, non-governmental organizations and the private sector to provide information regarding existing initiatives and activities for capacity-building for access to genetic resources and benefit-sharing;

5. *Welcomes* the complementary initiative of the United Nations Environment Programme to provide capacity-building to developing countries on access to genetic resources and benefit-sharing, and invites the United Nations Environment Programme to provide information to the Executive Secretary on its activities;

6. *Requests* the Executive Secretary to prepare a report for the workshop on capacity-building, providing a compilation of needs and priorities of countries, and ongoing capacity-building activities on access and benefit-sharing, with a view to

developing an action plan for capacity-building on access and benefit-sharing which responds to the needs of Parties, focuses on priority areas and also complements capacity-building efforts under way in the area of access and benefit-sharing;

7. *Invites* the financial mechanism and other relevant intergovernmental organizations to participate in the Workshop and to support the implementation of the Action Plan on Capacity-building for Access and Benefit-sharing;

8. *Requests* the Executive Secretary to establish a roster of experts on access to genetic resources and benefit-sharing;

9. *Urges* Parties, other Governments and relevant bodies when nominating their experts for inclusion in the roster to consider gender balance, involvement of representatives of indigenous and local communities, and a range of relevant disciplines and expertise.

II. Other approaches

10. *Recognizes* that a package of measures may be necessary to address the different needs of Parties and stakeholders in the implementation of access and benefit-sharing arrangements;

11. *Recognizes also* that other approaches could be considered to complement the Bonn Guideline, such as model contractual agreements, existing regional agreements and model laws on access to genetic resources and benefit-sharing;

12. *Requests* the Executive Secretary to compile information on existing complementary measures and approaches, and experiences with their implementation, and to disseminate such information to Parties and relevant stakeholders through, *inter alia*, the clearing-house mechanism of the Convention.

ANNEX
DRAFT ELEMENTS FOR AN ACTION PLAN FOR CAPACITY-BUILDING FOR ACCESS TO GENETIC RESOURCES AND BENEFIT-SHARING

1. Objective of the Action Plan

1. The objective of the Action Plan is to facilitate and support the development and strengthening of capacities for the effective implementation of the provisions of the Convention relating to access to genetic resources and benefit-sharing at the local, national, subregional, regional and international levels.

2. To achieve the objective, the Action Plan will provide a framework for identifying country and stakeholder needs, priorities, mechanisms of implementation and sources of funding.

2. Key areas requiring capacity-building

3. The following key areas, which require capacity-building initiatives, should be considered in a flexible and transparent manner, based on a demand-driven approach, taking into account the different situations, needs, capabilities and stages of devel-

opment of each country and should avoid duplication of efforts between various capacity-building initiatives:

(a) Strengthening of relevant institutions;

(b) Assessment, inventory and monitoring of biological resources, and traditional knowledge including taxonomic capacity, within the context of the Global Taxonomy Initiative;

(c) Valuation of genetic resources and market information, including production and marketing strategies;

(d) Inventory and case-studies of existing legislative measures and development of appropriate legislation, including *sui generis* systems;

(e) Development of information systems, and information management and exchange, linked with the clearing-house mechanism of the Convention;

(f) Development and strengthening capacities of indigenous and local communities for participation in decision making and implementation;

(g) Public education and awareness focusing on relevant stakeholders;

(h) Human resources development and training at all levels, including legal drafting skills for development of access to genetic resources and benefit-sharing measures;

(i) Funding and resource management;

(j) Contract negotiation skills for all relevant stakeholders, in particular indigenous and local communities;

(k) Means for the protection of traditional knowledge associated with genetic resources;

(l) Scientific and technical areas, including technology transfer relevant to access to and use of genetic resources and benefit-sharing;

(m) Development of instruments, tools, and indicators to monitor and assess the implementation of capacity-building for access to genetic resources and benefit-sharing at all stages.

3. Processes

4. The following processes and measures should be undertaken:

(a) Awareness raising for the issues at stake and identification of capacity needs at the local, national, subregional, and regional levels, taking into account, as appropriate, the work of the Global Environment Facility on national capacity self-assessment;

(b) Integration of capacity-building for access to genetic resources and benefit-sharing within the framework of national biodiversity strategies and other related initiatives and strategies;

(c) Prioritization at the local, national, and regional levels of the key areas;

(d) Sequencing of actions, including timelines for the operation of capacity-building for access to genetic resources and benefit-sharing;

(e) Identification of existing and planned capacity-building initiatives at the local, national, subregional and regional levels, both public and private, and their coverage including by:

(i) National sources;
(ii) Bilateral sources;
(iii) Regional sources;
(iv) Multilateral agencies;
(v) Other international sources;
(vi) Other stakeholders, in particular indigenous and local communities;

(f) Enhancing synergies and coordination of capacity-building initiatives;

(g) Establishment of indicators for monitoring capacity-building implementation.

4. Means of implementation

5. The following mechanisms could be used for the implementation of capacity-building measures for access to genetic resources and benefit-sharing:

(a) Development of appropriate national regulatory framework;

(b) Scientific and technical cooperation among Parties, and between Parties and relevant multilateral agencies and other organizations through, *inter alia*, the clearing-house mechanism of the Convention;

(c) Information exchange, through the clearing-house mechanism of the Convention, the use of the internet, databases, CD-ROMs, hard copies and workshops;

(d) Identification and dissemination of case-studies and best practices;

(e) Regional and subregional collaborative arrangements;

(f) Coordination between multilateral and bilateral donors and other organizations;

(g) Development of model agreements and codes of conduct for specific uses, users and sectors;

(h) Training workshops;

(i) Full and effective involvement and participation of all relevant stakeholders, in particular indigenous and local communities taking into account the tasks defined within the programme of work on the implementation of Article 8(j) and related provisions of the Convention;

(j) Funding through the Global Environment Facility and other donors;

(k) The participation of the private sector as provider of capacity-building in specific areas, for example through collaborative research, transfer of technology and funding;

(l) The Global Taxonomy Initiative;

(m) The roster of experts on access to genetic resources and benefit-sharing to be established under the Convention;

(n) National focal points and competent national authorities.

5. Coordination

6. In view of the multiplicity of actors undertaking capacity-building initiatives for access to genetic resources and benefit-sharing, mutual information and coordination should be promoted in order to avoid duplication of effort and to identify existing gaps in coverage. Initiatives for coordination should be encouraged at all levels.

7. The Conference of the Parties should encourage voluntary submissions by Parties and Governments and relevant international organizations on steps taken, including by donors, towards the implementation of capacity-building measures, to be accessible through the clearing-house mechanism of the Convention.

8. Parties may consider including in their national reports information on the implementation of capacity-building measures on access to genetic resources and benefit-sharing.

C. ROLE OF INTELLECTUAL PROPERTY RIGHTS IN THE IMPLEMENTATION OF ACCESS AND BENEFIT-SHARING ARRANGEMENTS

The Conference of the Parties

1. *Invites* Parties and Governments to encourage the disclosure of the country of origin of genetic resources in applications for intellectual property rights, where the subject matter of the application concerns or makes use of genetic resources in its development, as a possible contribution to tracking compliance with prior informed consent and the mutually agreed terms on which access to those resources was granted;

2. *Also invites* Parties and Governments to encourage the disclosure of the origin of relevant traditional knowledge, innovations and practices of indigenous and local communities relevant for the conservation and sustainable use of biological diversity in applications for intellectual property rights, where the subject matter of the application concerns or makes use of such knowledge in its development;

3. *Requests* the Executive Secretary, with the help of other international and intergovernmental organizations such as the World Intellectual Property Organization and through the Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions of the Convention, where appropriate, to undertake further information gathering and analysis with regard to:

(a) Impact of intellectual property regimes on access to and use of genetic resources and scientific research;

(b) Role of customary laws and practices in relation to the protection of genetic resources and traditional knowledge, innovations and practices, and their relationship with intellectual property rights;

(c) Consistency and applicability of requirements for disclosure of country of origin and prior informed consent in the context of international legal obligations;

(d) Efficacy of country of origin and prior informed consent disclosures in assisting the examination of intellectual property rights applications and the re-examination of intellectual property rights granted;

(e) Efficacy of country of origin and prior informed consent disclosures in monitoring compliance with access provisions;

(f) Feasibility of an internationally recognized certificate of origin system as evidence of prior informed consent and mutually agreed terms; and

(g) Role of oral evidence of prior art in the examination, granting and maintenance of intellectual property rights;

4. *Invites* the World Intellectual Property Organization to prepare a technical study, and to report its findings to the Conference of the Parties at its seventh meeting, on methods consistent with obligations in treaties administered by the World Intellectual Property Organization for requiring the disclosure within patent applications of, *inter alia*:

(a) Genetic resources utilized in the development of the claimed inventions;

(b) The country of origin of genetic resources utilized in the claimed inventions;

(c) Associated traditional knowledge, innovations and practices utilized in the development of the claimed inventions;

(d) The source of associated traditional knowledge, innovations and practices; and

(e) Evidence of prior informed consent;

5. *Requests* the Executive Secretary to collect, compile and disseminate information on the matters specified in paragraphs 3 and 4 above, including through the clearing-house mechanism of the Convention and other appropriate means;

6. *Invites* Parties and Governments to submit case-studies that they consider relevant to the issues specified in paragraphs 3 and 4; and

7. *Requests* the Executive Secretary to gather information and prepare a report on national and regional experiences;

8. *Invites* other relevant international organizations (such as the Food and Agriculture Organization of the United Nations, the United Nations Conference on Trade and Development, the World Intellectual Property Organization, the World Trade Organization, and the United Nations Commission on Human Rights), as well as regional organizations, Parties and Governments to contribute to the further study and analysis of the issues specified in paragraphs 3 and 4;

9. *Encourages* the World Intellectual Property Organization to make rapid progress in the development of model intellectual property clauses which may be considered for inclusion in contractual agreements when mutually agreed terms are under negotiation;

10. *Recognizes* the importance of the work being undertaken by the World Intellectual Property Organization on international models and encourage the World

Intellectual Property Organization to also consider means by which Parties could collaborate to protect traditional knowledge for further consideration by the Conference of the Parties;

11. *Urges* the World Intellectual Property Organization to provide to the Conference of the Parties with the results of its deliberations of relevance to access to genetic resources and benefit-sharing related to traditional knowledge;

12. *Encourages* Parties to facilitate the participation of indigenous and local communities and other relevant stakeholders in the various forums, in particular the World Intellectual Property Organization, the Convention on Biological Diversity, the World Trade Organization, the United Nations Conference on Trade and Development and regional forums, as well as in the preparation of national strategies, policies, regulatory frameworks and legislation related to access to genetic resources and benefit-sharing, from a very early stage;

13. *Requests* the Executive Secretary to compile information, and to make it available through the clearing-house mechanism of the Convention and other means, on the principles, legal mechanisms and procedures for obtaining prior informed consent of indigenous and local communities under national access regimes for genetic resources, and also on assessments of the effectiveness of such mechanisms and procedures, and *requests* Parties to provide such information to assist the Executive Secretary.

D. OTHER ISSUES RELATING TO ACCESS AND BENEFIT-SHARING

The Conference of Parties,

The relationship between the Agreement on Trade-related Aspects of Intellectual Property Rights of the World Trade Organization and the Convention on Biological Diversity

Noting that the provisions of the Agreement on Trade-related Aspects of Intellectual Property Rights of the World Trade Organization and the Convention on Biological Diversity are interrelated,

Noting also that the relationship between the Agreement on Trade-related Aspects of Intellectual Property Rights and the Convention on Biological Diversity is being examined by the Council for Trade-related Aspects of Intellectual Property Rights, in conformity with Article 19 of the Doha WTO Ministerial Declaration, adopted in November 2001,

Noting further that the Convention Secretariat has still not been granted observer status on the Council for Trade-related Aspects of Intellectual Property Rights, notwithstanding the official request of the Executive Secretary to the Director-General of the World Trade Organization in a letter dated 4 July 2000,

1. *Requests* the Executive Secretary of the Convention to renew the application for observer status on the Council for Trade-related Aspects of Intellectual Property Rights, and to report back to the Conference of Parties on his efforts;

2. *Requests* the Executive Secretary to follow discussions and developments in the Committee on Trade and Environment of the World Trade Organization and the Council for Trade-related Aspects of Intellectual Property Rights regarding the relationship between the Agreement on Trade-related Aspects of Intellectual Property Rights and the Convention.

Cooperation with other relevant intergovernmental organizations

3. *Acknowledges* relevant work being carried out by other intergovernmental organisations, such as the World Intellectual Property Organization, the World Trade Organization, the Union for the Protection of New Varieties of Plants, the United Nations Conference on Trade and Development, and the Food and Agriculture Organization of the United Nations, on issues related to access to genetic resources and benefit-sharing;

4. *Requests* the Executive Secretary to further collaborate with the above relevant organisations to ensure mutual supportiveness and avoid duplication of work;

5. *Recognizes* the important role that the International Treaty on Plant Genetic Resources for Food and Agriculture will have, in harmony, with the Convention, for facilitated access to plant genetic resources for food and agriculture and for the fair and equitable sharing of benefits arising out of their utilization and *refers* to decision VI/6, on the International Treaty on Plant Genetic Resources for Food and Agriculture.

Information related to access and benefit-sharing arrangements

Recognizing that access to information is an essential instrument in the development of national capacity for dealing with access and benefit-sharing arrangements and important in enhancing the necessary bargaining power of stakeholders in access and benefit-sharing arrangements,

Noting that, since the adoption of the Convention, an increasing number of Parties have developed national/regional regimes on access and benefit-sharing and that Parties and stakeholders could learn from sharing their respective experiences relating to the development and implementation of access and benefit-sharing regimes,

Recognizing that the Secretariat of the Convention could assist in disseminating this information among Parties and stakeholders, *inter alia*, through strengthening of the clearing-house mechanism,

6. *Requests* Parties and relevant organizations, as appropriate, to make available to the Executive Secretary:

(a) Detailed information on the measures adopted to implement access and benefit-sharing, including the text of any legislation or other measures developed to regulate access and benefit-sharing;

(b) Case-studies on the implementation of access and benefit-sharing arrangements;

(c) Other information, such as that listed in decision V/26, paragraph 12;

7. *Requests* the Executive Secretary to compile the information received and to make it available,through, *inter alia*, the clearing-house mechanism, including in hard copy and CD-ROM and relevant meetings under the Convention on Biological Diversity in order to facilitate access to this information by Parties and relevant stakeholders.

Ex situ collections acquired prior to the entry into force of the Convention and not addressed by the Commission on Genetic Resources for Food and Agriculture

8. Notes *with appreciation* the report *International Review of the Ex Situ Plant Collections of the Botanic Gardens of the World: Reviewing the Plant Genetic Resource Collections of Botanic Gardens Worldwide*, prepared by Botanic Gardens Conservation International with the support of the Government of the United Kingdom and the Secretariat of the Convention on Biological Diversity.

DECISION VI/25 | National reports

The Conference of the Parties

1. *Welcomes* the second national reports and the thematic reports submitted by Parties in accordance with decision V/19;

2. *Urges* Parties that have not submitted a second national report to do so without further delay;

3. *Requests* the Executive Secretary to:

(a) Draw appropriate conclusions from the analysis of the second national reports and of the experiences of Parties in preparing national reports that can serve to facilitate the implementation of the Convention by Parties;

(b) Continue to identify, and analyse the reasons for Parties not being able to complete their national reports, with a view to facilitating the preparation of the third national reports;

(c) Make this information available through the clearing-house mechanism and other appropriate channels prior to the seventh meeting of the Conference of the Parties; and

(d) Prepare for the consideration of the Conference of the Parties at its seventh meeting a draft format for the third national reports that:

  (i) Builds on the methodology and format used for the second national reports;
  (ii) Includes questions on strategic goals and objectives established under the Strategic Plan;
  (iii) Takes into account these conclusions and other available information on the experience of the process of national reporting;

(iv) Focuses on allowing the Party to provide information on the experience of implementing its national biodiversity strategy and action plan and, in particular, the priority actions;

(v) Frames questions in a direct way, such that the format is not overly complex and promotes the consultative processes involving all relevant stakeholders recommended in decision V/19;

(vi) Facilitates the identification of obstacles and impediments to implementation encountered by the Party;

(vii) Requests Parties to provide information on financial resources they have made available to other Parties for the purposes of implementing the Convention, where relevant, and on financial resources they have received from other Parties and financial institutions, where relevant;

4. *Invites* Parties to submit thematic reports on mountain ecosystems, protected areas or areas where special measures need to be taken to conserve biological diversity, and transfer of technology and technology cooperation in accordance with the formats prepared by the Executive Secretary, which should identify priorities in national biodiversity strategies and action plans, impediments to implementation, and existing and potential areas of cooperation and capacity-building, and aim to support the work of the Subsidiary Body on Scientific, Technical and Technological Advice;

5. *Requests* the Global Environment Facility, as the institutional structure operating the financial mechanism, to continue to provide, in a timely manner, support to eligible countries for the preparation of national reports;

6. *Welcomes* the publication of the Global Biodiversity Outlook and *decides* that the Global Biodiversity Outlook should continue to be prepared as a periodic report on biological diversity and implementation of the Convention, and be made available in all official United Nations languages;

7. *Decides* that the second edition of the Global Biodiversity Outlook should be prepared for publication in 2004, drawing upon information contained in the second national reports, the thematic reports on the items for in-depth consideration at its sixth and seventh meetings, and on the review of progress in the implementation of the Strategic Plan to be undertaken in 2003;

8. *Welcomes* the work of the United Nations Environment Programme on the harmonization of environmental reporting and encourages its continuation, whilst recognizing the need to ensure that this does not affect the ability of the Conference of the Parties to adjust national reporting procedures under the Convention in order to better meet the needs of Parties;

9. *Takes note of* the difficulty experienced by some developing countries and countries with economies in transition in accessing funding for preparing their second national reports, and *requests* the Secretariat of the Convention and the Global Environmental Facility to explore innovative funding modalities for facilitating the preparation of future national reports and thematic reports;

10. *Approves* the formats for thematic reports on mountain ecosystems, protected areas or areas where special measures need to be taken to conserve biological diversity, and transfer of technology and technology cooperation, as contained in annexes I to III below, with the respective deadlines for submission of 31 October 2002, 30 March 2003 and 30 March 2003.

ANNEX I
FORMAT FOR THEMATIC REPORT ON MOUNTAIN ECOSYSTEMS

The following format for preparing a thematic report on mountain ecosystems is a series of questions designed to collect information from Contracting Parties to facilitate the consideration of relevant issues and programme of work at the seventh meeting of the Conference of the Parties. The responses to these questions will also assist with the assessment of the overall status of implementation of the Convention.

The questions are designed in a way to facilitate completion of the review. In most cases, optional answers are provided and only a tick in one or more boxes is required. Following the questions there is a box for further comments and information. Parties are invited to provide a more detailed response to the questions to which more than one answer is given. In particular, this box could be used to identify the priorities in the national strategies and action plans, successes and constraints in implementation and existing and potential areas of cooperation and capacity-building.

This information provided by Contracting Parties will not be used to rank performance between individual Contracting Parties.

In order to assist with the review and synthesis of the information in the reports, respondents are asked to ensure that the further information provided in the box is closely related the preceding questions and is as succinct as possible. This is no set limit on length, but it is anticipated that Parties will be able to provide adequate and useful information in a few pages.

Contracting Parties are also invited to communicate any issues relevant to the provisions of the Convention that have not been addressed by the questions below. The Executive Secretary would also welcome any comments on the adequacy of the questions, and difficulties in completing these questions, and any recommendations on how these reporting guidelines and questions could be improved.

It is recommended that Contracting Parties involve a wide range of stakeholders in the preparation of the report, in order to ensure a participatory and transparent development of such a report. A box is provided to identify those stakeholders who have been involved in this process.

Contracting Parties are requested to submit their thematic reports on mountain ecosystems in this format to the Executive Secretary by 31 October 2002. Parties are requested to submit an original signed copy by post and an electronic copy on diskette or by electronic mail. An electronic version of this document will be sent to all national focal points and this will also be available from the website of the Convention at:

<http://www.biodiv.org>

Completed thematic reports and any comments should be sent to:

The Executive Secretary
Secretariat of the Convention on Biological Diversity
World Trade Center
393 St. Jacques Street, Suite 300
Montreal, Quebec, Canada, H2Y 1N9
FAX: 1-514-2886588
EMAIL: secretariat@biodiv.org

PLEASE PROVIDE THE FOLLOWING DETAILS ON THE ORIGIN OF THIS REPORT

Contracting Party

NATIONAL FOCAL POINT

Full name of the institution

Name and title of contact officer

Mailing address

Telephone Fax

e-mail

CONTACT OFFICER FOR NATIONAL REPORT (IF DIFFERENT)

Name and title of contact officer

Mailing address

Telephone Fax

e-mail

SUBMISSION

Signature of officer responsible for submitting national report

Date of submission

Please provide summary information on the process by which this report has been prepared, including information on the types of stakeholders who have been actively involved in its preparation and on material which was used as a basis for the report.

MOUNTAIN ECOSYSTEMS

1. What is the relative priority your country accords to the conservation and sustainable use of biological diversity in mountain ecosystems?

   ☐ a) High

   ☐ b) Medium

   ☐ c) Low

2. How does your country assess the resources available for conservation and sustainable use of biological diversity in mountain ecosystems, both domestic and international?

   ☐ a) Good

   ☐ b) Adequate

   ☐ c) Limiting

   ☐ d) Severely limiting

3. Has your country requested financial assistance from GEF for funding the activities for conservation and sustainable use of biological diversity in mountain ecosystems?

   ☐ a) No

   ☐ b) Yes, (please provide details)

_____

_____

ASSESSMENT, IDENTIFICATION AND MONITORING

4. Has your country undertaken any assessment of direct and underlying causes of degradation and loss of biological diversity of mountain ecosystems?

   ☐ a) No (please specify the reasons)

_____

_____

   ☐ b) Yes, (please specify major threats and their relative importance, as well as gaps)

_____

_____

   ☐ c) If Yes, please specify the measures your country has taken to control the causes of loss of mountain biodiversity

_____

_____

5. Has your country identified taxonomic needs for conservation and sustainable use of biological diversity of mountain ecosystems?

   ☐ a) No, (please specify the reasons)

   _____

   _____

   ☐ b) Yes, (please specify)

   _____

   _____

6. Has your country made any assessment of the vulnerability or fragility of the mountains in your country?

   ☐ a) No, (please specify the reasons)

   _____

   _____

   ☐ b) Yes, (please specify the results and observed impacts on mountain biodiversity)

   _____

   _____

7. Has your country made any assessment important for conservation of biological diversity of mountain ecosystems at the genetic, species and ecosystem levels? (You may wish to use the Annex I of the Convention for categories of biodiversity important for conservation)

   ☐ a) No, please specify the reasons

   _____

   _____

   ☐ b) Yes, some assessments or monitoring undertaken (please specify)

   _____

   _____

   ☐ c) Yes, comprehensive assessments or monitoring programmes undertaken (please specify where results can be found, and opportunities and obstacles, if any)

   _____

   _____

REGULATORY AND INFORMATION SYSTEM AND ACTION PLAN

8. Has your country developed regulations, policies and programs for conservation and sustainable use of biological diversity in mountain ecosystems?

   ☐ a) No

   ☐ b) Yes, (please specify sectors)

   _____

   _____

9. Has your country applied the ecosystem approach (adopted at COP 5) in the conservation and sustainable use of biological diversity in mountain ecosystems?

   ☐ a) No

   ☐ b) Yes, (please provide some cases or examples)

   _____

   _____

10. Does your national biodiversity strategy and action plan cover mountain biological diversity?

    ☐ a) No, (please specify why)

    _____

    _____

    ☐ b) Yes, (please give some information on the strategy and plan, in particular on mountain biodiversity)

    _____

    _____

11. Has your country disseminated the relevant information concerning management practices, plans and programmes for conservation and sustainable use of components of biological diversity in mountain ecosystems?

    ☐ a) No

    ☐ b) Yes, (please provide details where information can be retrieved concerning management practices, plans and programmes)

    _____

    _____

COOPERATION

12. Has your country undertaken any collaboration with other Parties for conservation and sustainable use of biological diversity in mountain ecosystems at the regional level or within a range of mountains?

    ☐ a) No

    ☐ b) Yes, (please specify the objectives of this collaboration and achievements)

    _____

    _____

13. Has your country signed or ratified any regional or international treaty concerning mountains?

    ☐ a) No

    ☐ b) Yes, (please specify which treaty and provide as much as possible a report on the progress in the implementation of the treaties, including any major constraints in the implementation of the treaties)

    _____

    _____

RELEVANT THEMATIC AREAS AND CROSS-CUTTING ISSUES

14. Has your country taken account of mountain ecosystems while implementing thematic programmes of work on agricultural; inland waters; forest; and dry and sub-humid lands biological diversity?

    ☐ a) No

    ☐ b) Yes—but in only one or two thematic programmes of work

    ☐ c) Yes, included in all programmes of work

    ☐ d) If yes, please specify details

    _____

    _____

15. Has your country taken any measures to ensure that the tourism in mountains is sustainable?

    ☐ a) No, please specify why

    _____

    _____

    ☐ b) Yes, but in early stages of development (please specify the reasons)

    _____

    _____

☐ c) In advanced stages of development (please specify the reasons)

_____

_____

☐ d) Relatively comprehensive measures being implemented (please specify the reasons)

_____

_____

16. Has your country taken any measures to protect the traditional knowledge, innovations and practices of indigenous and local communities for conservation and sustainable use of biological diversity in mountain ecosystems?

☐ a) No

☐ b) Not relevant

☐ c) Yes, but in early stages of policy or programme development

☐ d) Yes, in advanced stages of development

☐ e) Some programmes being implemented

☐ f) Comprehensive programmes being implemented

17. Has your country developed any programmes for the protection of natural and cultural heritages in the mountains?

☐ a) No

☐ b) Yes, (please provide some information in the programmes)

_____

_____

18. Has your country established protected areas in mountains?

☐ a) No

☐ b) Yes, (please specify the percentage of mountains under protected areas out of total mountain areas in your country)

_____

_____

19. Has your country undertaken any activities to celebrate the International Year of Mountains and Eco-tourism?

☐ a) No

☐ b) Yes, (please specify)

_____

_____

CASE-STUDIES

Please provide case-studies made by your country in conservation and sustainable use of biological diversity in mountain ecosystems.

Further comments

ANNEX II
FORMAT FOR DETAILED THEMATIC REPORTS ON PROTECTED AREAS OR AREAS WHERE SPECIAL MEASURES NEED TO BE TAKEN TO CONSERVE BIOLOGICAL DIVERSITY

The following format for preparing a thematic report on protected areas or areas where special measures need to be taken to conserve biological diversity is a series of questions designed to collect information from the Contracting Parties to facilitate the consideration of relevant thematic issues and programme of work at the seventh meeting of the Conference of the Parties. The responses to these questions will also assist with the assessment of the overall status of implementation of the Convention.

While designing questions, due consideration is given to the fact that the first and second national reports called for by the Conference of the Parties of the Convention have requested some information on protected areas, and some relevant organizations such as IUCN and UNESCO call for reports periodically and promote the information sharing in this field. The thematic report on protected areas will address those specific issues that will be of concern to SBSTTA and the Conference of the Parties to the Convention.

The questions are designed in a way to facilitate completion of the review. In most cases, optional answers are provided and circling the selected answer is required. Following the questions there is a box for further comments and information. Parties are invited to provide a more detailed response to the questions to which more than one answer is given. In particular, this box could be used to identify the priorities in the national strategies and action plans, successes and constraints in implementation and existing and potential areas of cooperation and capacity-building.

This information provided by Contracting Parties will not be used to rank performance between individual Contracting Parties.

In order to assist with the review and synthesis of the information in the reports, respondents are asked to ensure that the further information provided in the box is closely related the preceding questions and is as succinct as possible. This is no set limit on length, but it is anticipated that Parties will be able to provide adequate and useful information in a few pages.

Contracting Parties are also invited to communicate any issues relevant to the provisions of the Convention that have not been addressed by the questions below. The Executive Secretary would also welcome any comments on the adequacy of the questions, and difficulties in completing these questions, and any recommendations on how these reporting guidelines and questions could be improved.

It is recommended that Contracting Parties involve a wide range of stakeholders in the preparation of the report, in order to ensure a participatory and transparent development of such a report. A box is provided to identify those stakeholders who have been involved in this process.

Contracting Parties are requested to submit their thematic reports on protected areas in this format to the Executive Secretary by 30 March 2003. Parties are requested to submit an original signed copy by post and an electronic copy on

diskette or by electronic mail. An electronic version of this document will be sent to all national focal points and this will also be available from the website of the Convention at:

<http://www.biodiv.org>

Completed thematic reports and any comments should be sent to:

The Executive Secretary
Secretariat of the Convention on Biological Diversity
World Trade Center
393 St. Jacques Street, Suite 300
Montreal, Quebec, Canada, H2Y 1N9
FAX: 1-514-2886588
EMAIL: secretariat@biodiv.org

PLEASE PROVIDE THE FOLLOWING DETAILS ON THE ORIGIN OF THIS REPORT

Contracting Party

NATIONAL FOCAL POINT

Full name of the institution

Name and title of contact officer

Mailing address

Telephone Fax

e-mail

CONTACT OFFICER FOR NATIONAL REPORT (IF DIFFERENT)

Name and title of contact officer

Mailing address

Telephone Fax

e-mail

SUBMISSION

Signature of officer responsible for submitting national report

Date of submission

Please provide summary information on the process by which this report has been prepared, including information on the types of stakeholders who have been actively involved in its preparation and on material which was used as a basis for the report.

PROTECTED AREAS
SYSTEM OF PROTECTED AREAS

1. What is the relative priority afforded to development and implementation of a national system of protected areas in the context of other obligations arising from the Convention and COP Decisions?

   ☐ a) High

   ☐ b) Medium

   ☐ c) Low

2. Is there a systematic planning process for development and implementation of a national system of protected areas?

   ☐ a) No

   ☐ b) In early stages of development

   ☐ c) In advanced stages of development

   ☐ d) Yes (please provide copies of relevant documents describing the process)

3. Is there an assessment of the extent to which the existing network of protected areas covers all areas that are identified as being important for the conservation of biological diversity?

   ☐ a) No

   ☐ b) An assessment is being planned for

   ☐ c) An assessment is being undertaken

   ☐ d) Yes (please provide copies of the assessments made)

REGULATORY FRAMEWORK

4. Is there a policy framework and/or enabling legislation in place for the establishment and management of protected areas?

   ☐ a) No

   ☐ b) In early stages of development

   ☐ c) In advanced stages of development

   ☐ d) Yes (please provide copies of relevant documents)

5. Have guidelines, criteria and targets been adopted to support selection, establishment and management of protected areas?

   ☐ a) No

   ☐ b) In early stages of development

   ☐ c) In advanced stages of development

   ☐ d) Yes, (please provide copies of guidelines, criteria and targets)

6. Does the management of protected areas involve the use of incentive measures, for instance, of entrance fees for park visitors, or of benefit-sharing arrangements with adjacent communities and other relevant stakeholders?

   ☐ a) No

   ☐ b) Yes, incentive measures implemented for some protected areas (please provide some examples)

   _____

   _____

   ☐ c) Yes, incentive measures implemented for all protected areas (please provide some examples)

   _____

   _____

MANAGEMENT APPROACH

7. Have the principal threats to protected areas and the biodiversity that they contain been assessed, so that programmes can be put in place to deal with the threats, their effects and to influence the key drivers?

   ☐ a) No

   ☐ b) An assessment is being planned for

   ☐ c) An assessment is in process

   ☐ d) Yes, an assessment has been completed

   ☐ e) Programmes and policies to deal with threats are in place (please provide basic information on threats and actions taken)

   _____

   _____

8. Are protected areas established and managed in the context of the wider region in which they are located, taking account of and contributing to other sectoral strategies?

   ☐ a) No

   ☐ b) Yes, in some areas

   ☐ c) Yes, in all areas (please provide details)

9. Do protected areas vary in their nature, meeting a range of different management objectives and/or being operated through differing management regimes?

   ☐ a) No, most areas are established for similar objectives and are under similar management regimes

   ☐ b) Many areas have similar objectives/management regimes, but there are also some exceptions

   ☐ c) Yes, protected areas vary in nature (please provide details)

10. Is there wide stakeholder involvement in the establishment and management of protected areas?

    ☐ a) No

    ☐ b) With some, but not all protected areas

    ☐ c) Yes, always (please provide details of experience)

11. Do protected areas established and managed by non-government bodies, citizen groups, private sector and individuals exist in your country, and are they recognized in any formal manner?

    ☐ a) No, they do not exist

    ☐ b) Yes, they exist, however are not formally recognized

    ☐ c) Yes, they exist and are formally recognized (please provide further information)

AVAILABLE RESOURCES

12. Are the human, institutional and financial resources available adequate for full implementation of the protected areas network, including for management of individual protected areas?

    ☐ a) No, they are severely limiting (please provide basic information on needs and shortfalls)

    _____

    ☐ b) No, they are limiting (please provide basic information on needs and shortfalls)

    _____

    ☐ c) Available resources are adequate (please provide basic information on needs and shortfalls)

    _____

    ☐ d) Yes, good resources are available

13. Has your country requested/received financial assistance from the Global Environment Facility or other international sources for establishment/management of protected areas?

    ☐ a) No

    ☐ b) Funding has been requested, but not received

    ☐ c) Funding is currently being requested

    ☐ d) Yes, funding has been received (please provide copies of appropriate documents)

ASSESSMENT

14. Have constraints to implementation and management of an adequate system of protected areas been assessed, so that actions can be initiated to deal with these constraints?

    ☐ a) No

    ☐ b) Yes, constraints have been assessed (please provide further information)

    _____

    _____

    ☐ c) Yes, actions to deal with constraints are in place (please provide further information)

    _____

    _____

15. Is a programme in place or in development to regularly assess the effectiveness of protected areas management and to act on this information?

- [ ] a) No
- [ ] b) Yes, a programme is under development (please provide further information)

_____

- [ ] c) Yes, a programme is in place (please provide further information)

_____

_____

16. Has any assessment been made of the value of the material and non-material benefits and services that protected areas provide?

- [ ] a) No
- [ ] b) An assessment is planned
- [ ] c) An assessment is in process
- [ ] d) Yes, an assessment has been made (please provide further information)

_____

_____

REGIONAL AND INTERNATIONAL COOPERATION

17. Is your country collaborating/communicating with neighbouring countries in the establishment and/or management of transboundary protected areas?

- [ ] a) No
- [ ] b) Yes, (please provide details)

_____

_____

18. Are key protected areas professionals in your country members of the IUCN World Commission on Protected Areas, thereby helping to foster the sharing of information and experience?

- [ ] a) No
- [ ] b) Yes
- [ ] c) Information is not available

19. Has your country provided information on its protected areas to the UNEP World Conservation Monitoring Centre in order to allow for a scientific assessment of the status of the world's protected areas?

    ☐ a) No

    ☐ b) Yes

20. If your country has protected areas or other sites recognised or designated under an international convention or programme (including regional conventions and programmes), please provide copies of reports submitted to those programmes or summaries of them.

21. Do you think that there are some activities on protected areas that your country has significant experience that will be of direct value to other Contracting Parties?

    ☐ a) No

    ☐ b) Yes, (please provide details)

Further Comments

ANNEX III
FORMAT FOR THEMATIC REPORT ON TRANSFER OF TECHNOLOGY AND TECHNOLOGY COOPERATION

The following format for preparing a thematic report on transfer of technology and technology cooperation is a series of questions based on those elements of relevant decisions adopted by the Conference of the Parties, the programmes of work adopted at previous meetings of the Conference of the Parties as well as the recommendations from the SBSTTA. The information submitted by the Parties will be compiled to facilitate the consideration of relevant issues at the seventh meeting of the Conference of the Parties. The responses to these questions will also assist with the assessment of the overall status of implementation of the Convention.

It should be noted that for the purpose of the Convention on Biological Diversity, technology here includes biotechnology. Technologies for transfer to other Contracting Parties are those that are relevant to the conservation and sustainable use of biological diversity or make use of genetic resources and do not cause damage to the environment. These technologies will be referred to in the questionnaire as "relevant technologies." They include technologies and know-how relevant to the identification, characterization and monitoring of ecosystems, species and genetic resources; technologies appropriate for the *in situ* and *ex situ* conservation and for sustainable use of biological diversity and its components.

The questions are designed in a way to facilitate completion of the review. In some cases, optional answers are provided and only a tick in one or more boxes is required. In some cases, there is a box after the question for detailed comments and information. There is no limit to the extra pages for the information provided. The Parties are encouraged to provide information as succinct as possible.

This information provided by Contracting Parties will not be used to rank performance between individual Contracting Parties.

In order to assist with the review and synthesis of the information in the reports, respondents are asked to ensure that the further information provided in the box is closely related the preceding questions and is as succinct as possible. This is no set limit on length, but it is anticipated that Parties will be able to provide adequate and useful information in a few pages.

Contracting Parties are also invited to communicate any issues relevant to the provisions of the Convention that have not been addressed by the questions below. The Executive Secretary would also welcome any comments on the adequacy of the questions, and difficulties in completing these questions, and any recommendations on how these reporting guidelines and questions could be improved.

It is recommended that Contracting Parties involve a wide range of stakeholders in the preparation of the report, in order to ensure a participatory and transparent development of such a report. A box is provided to identify those stakeholders who have been involved in this process.

Contracting Parties are requested to submit their thematic reports on transfer of technology and technology cooperation in this format to the Executive Secretary by 30 March 2003. Parties are requested to submit an original signed copy by post and an electronic copy on diskette or by electronic mail. An electronic version of

this document will be sent to all national focal points and this will also be available from the website of the Convention at:

<http://www.biodiv.org>

Completed thematic reports and any comments should be sent to:

The Executive Secretary
Secretariat of the Convention on Biological Diversity
World Trade Center
393 St. Jacques Street, Suite 300
Montreal, Quebec, Canada, H2Y 1N9
FAX: 1-514-2886588
EMAIL: secretariat@biodiv.org

PLEASE PROVIDE THE FOLLOWING DETAILS ON THE ORIGIN OF THIS REPORT

Contracting Party

NATIONAL FOCAL POINT

Full name of the institution

Name and title of contact officer

Mailing address

Telephone Fax

e-mail

CONTACT OFFICER FOR NATIONAL REPORT (IF DIFFERENT)

Name and title of contact officer

Mailing address

Telephone Fax

e-mail

SUBMISSION

Signature of officer responsible for submitting national report

Date of submission

Please provide summary information on the process by which this report has been prepared, including information on the types of stakeholders who have been actively involved in its preparation and on material which was used as a basis for the report.

TECHNOLOGY TRANSFER AND TECHNOLOGY COOPERATION
INVENTORY AND ASSESSMENT

1. Has your country developed an inventory of existing technologies or category of technologies, including from indigenous and local communities, for the conservation and sustainable use of biological diversity and its components, in all the thematic areas and cross-cutting issues addressed by the Convention?

   ☐ a) No

   ☐ b) An inventory under development

   ☐ c) An inventory of some technologies available (please provide some details)

   _____

   _____

   ☐ d) Yes, a comprehensive inventory available (please provide details)

   _____

   _____

2. Has your country assessed the potential impacts of relevant technologies on biological diversity and their requirements for successful application?

   ☐ a) No

   ☐ b) Yes, (please give some examples)

   _____

   _____

3. Has your country carried out an assessment of the needs for relevant technologies?

   ☐ a) No (please specify the reasons)

   _____

   _____

   ☐ b) Yes, and please specify the needs met and the needs not met for existing technologies and for new technologies

   _____

   _____

IMPLEMENTATION OF SOME RELEVANT ARTICLES OF THE CONVENTION, RELEVANT DECISIONS ADOPTED AT THE PREVIOUS MEETINGS OF THE CONFERENCE OF THE PARTIES AND RECOMMENDATIONS OF THE SBSTTA

4. In implementing the thematic programmes of work adopted by previous meetings of COP, has your country achieved the outcomes identified in these programmes of work through technology transfer and technology cooperation? (Decisions II/10, III/11, IV/6, IV/7 and V/4)

   ☐ a) No

   ☐ b) Yes, but only a few activities in some programs

   ☐ c) Yes, and a wide range of activities in many programs of work

   ☐ d) If yes, please specify these activities and programmes of work

   _____

   _____

5. Has your country undertaken technology cooperation with other Contracting Parties that lack the expertise and resources to assess the risks and minimize the negative impacts of introducing alien species? (Decision V/8)

   ☐ a) No

   ☐ b) Yes, (please give details below (including types of technology transferred, actors involved, terms for transfer and means of access to technology)

   _____

   _____

6. Has your country taken any steps or measures to facilitate transfer of technology to and technology cooperation with other Parties to develop and/or strengthen their capacity to implement the policy, program and practice for sustainable use of biological diversity? (Decision V/24)

   ☐ a) No

   ☐ b) Yes, (please specify detailed measures and steps)

   _____

   _____

7. Could you provide examples or illustrations of benefit-sharing contractual agreements which have included technology cooperation and technology transfer as benefits to be shared? (Article 15)

   ☐ a) No

   ☐ b) Yes

8. Has your Government taken measures, as appropriate, to ensure, as set out in the Article 16(3) that Contracting Parties providing genetic resources are provided access to and transfer of technology which makes use of those genetic resources? (Article 16)

   ☐ a) No

   ☐ b) Yes, (please provide some details)

   _____

   _____

9. Have the taxonomic institutions in your country taken any initiatives in developing national priorities, both individually and regionally, in new technology? (decision IV/1)

   ☐ a) No

   ☐ b) Yes, in early stages of development

   ☐ c) Yes, in advanced stages of development

   ☐ d) Yes, some initiatives in place and some priorities identified

   ☐ e) Yes, comprehensive priorities identified

10. Has your country been involved in technology development and/or transfer for the maintenance and utilization of *ex situ* collections? (decision V/26)

    ☐ a) No

    ☐ b) Yes, please give details below (including types of technology transferred, actors involved, terms for transfer and means of access to technology)

    _____

    _____

11. Has the clearing-house mechanism in your country been further developed in order to assist in obtaining access to information concerning access to and transfer of technologies? (decision V/14)

    ☐ a) No

    ☐ b) Yes, (please provide some examples)

    _____

    _____

ROLE OF PUBLIC AND PRIVATE SECTORS IN TECHNOLOGY TRANSFER AND TECHNOLOGY

12. Do you know of any examples of technology partnerships between public research and development institutions from developing countries and private-sector firms from industrialized countries? If so, to what extent have these partnerships involved:

    ☐ a) The training of developing country scientists in the application of new technologies for the conservation and utilization of genetic resources

    ☐ b) Information exchange on new scientific exchange and technological advances

    ☐ c) Providing various technology components to developing country partner institutions

    ☐ d) Engaging in joint research and development?

13. Has your country taken any measures or developed any programs to encourage the private sector or the public-private partnership to develop and transfer technologies for the benefit of governments and institutions of developing countries, including South-South cooperation?

    ☐ a) No

    ☐ b) Yes, (please give details)

    _____

    _____

14. Have any type of incentives been established in your country to encourage the participation of the private sector in conservation and sustainable use activities as a source of new technologies and potential financers of conservation programmes?

    ☐ a) No

    ☐ b) Yes, (please give details)

    _____

    _____

IMPACT OF INTELLECTUAL PROPERTY RIGHTS ON TECHNOLOGY TRANSFER AND TECHNOLOGY COOPERATION

15. Are the technologies your country has accessed or wishes to access in the public domain covered by intellectual property rights?

    ☐ a) Public domain

    ☐ b) Intellectual property rights

    ☐ c) Both

16. Have intellectual property rights been a limiting factor in acquiring technologies for the conservation and sustainable use of biological diversity?

    ☐ a) No

    ☐ b) Yes, (please provide an example and specify the following: the type of technology sought (hard or soft technology); the area to which it is to be applied (e.g. forest, marine, inland waters, agriculture, etc.))

CAPACITY-BUILDING FOR TECHNOLOGY TRANSFER AND TECHNOLOGY COOPERATION

17. Have adequate institutional structures been established and/or is adequate human capacity available to access relevant technologies, in your country?

    ☐ a) No

    ☐ b) Yes

18. What, if any, have been the limiting factors in implementing relevant technologies?

    ☐ a) Institutional capacity

    ☐ b) Human capacity

    ☐ c) Others, (please specify)

19. Does your country consider that access to information and training or lack thereof has been a limiting factor in access to and transfer of technology?

    ☐ a) No

    ☐ b) Yes, (please provide some examples)

20. Has your country been able to identify relevant technologies in specific areas for the conservation and sustainable use of biological diversity in your country?

    ☐ a) No

    ☐ b) Yes, (please give details)

21. Has your country developed national policy and established international and national institutions to promote technology cooperation, including through the development and strengthening of technical, human and institutional capabilities?

☐ a) No (please specify the reasons)

_____

_____

☐ b) Yes, (please give some details or examples)

_____

_____

22. Has your country established joint research programmes and joint ventures for the development of technologies relevant to the objectives of the Convention?

☐ a) No

☐ b) Yes, (please give some details or examples)

_____

_____

MEASURES FOR FACILITATING ACCESS TO AND TRANSFER OF TECHNOLOGY

23. Has your country established the mechanisms and/or measures to encourage and facilitate the transfer of technology to and technology cooperation with other Contracting Parties?

☐ a) No

☐ b) Yes, (please provide some details)

_____

_____

24. Has your country established channels for access to the technologies developed and applied for attaining the objectives of the Convention?

☐ a) No

☐ b) Yes, (please provide detailed information)

_____

_____

SUCCESS STORIES OF AND CONSTRAINTS TO TECHNOLOGY TRANSFER AND TECHNOLOGY COOPERATION

25. Has your country identified any success stories and opportunities of and constraints to transfer of technology and technology cooperation?

☐ a) No

☐ b) Yes, (please provide detailed information)

Further Comments

DECISION VI/26 | Strategic Plan for the Convention on Biological Diversity

The Conference of the Parties

1. *Takes note of* the conclusions of the Seychelles Workshop on the Strategic Plan[150] and the report of the Open-ended Inter-sessional Meeting on the Strategic Plan, National Reports and Implementation of the Convention on Biological Diversity;[151]

2. *Adopts* the text of the Strategic Plan for the Convention on Biological Diversity contained in the annex to the present decision;

3. *Urges* Parties, States, intergovernmental organizations and other organizations to review their activities, especially their national biodiversity strategies and action plans, where appropriate, in the light of the Strategic Plan for the Convention on Biological Diversity;

4. *Requests* the Executive Secretary to provide appropriate information to the Parties at an inter-sessional meeting for consideration of the future evaluation of progress in the implementation of the Convention and the Strategic Plan, in accordance with the relevant provisions of the Convention.

ANNEX
STRATEGIC PLAN FOR THE CONVENTION ON BIOLOGICAL DIVERSITY

1. In 2002, 10 years after the Convention on Biological Diversity was opened for signature, the Parties have developed this Strategic Plan in order to guide its further implementation at the national, regional and global levels.

2. The purpose is to effectively halt the loss of biodiversity so as to secure the continuity of its beneficial uses through the conservation and sustainable use of its components and the fair and equitable sharing of benefits arising from the use of genetic resources.

A. The issue

Biodiversity is the living foundation for sustainable development

3. Biodiversity—the variability within and among living organisms and the systems they inhabit—is the foundation upon which human civilization has been built. In addition to its intrinsic value, biodiversity provides goods and services that underpin sustainable development in many important ways, thus contributing to poverty alleviation. First, it supports the ecosystem functions essential for life on Earth, such as the provision of fresh water, soil conservation and climate stability. Second, it provides products such as food, medicines and materials for industry. Finally, biodiversity is at the heart of many cultural values.

150 UNEP/CBD/WS-StratPlan/5.
151 UNEP/CBD/COP/6/5.

The rate of loss is still accelerating

4. The rate of biodiversity loss is increasing at an unprecedented rate, threatening the very existence of life as it is currently understood. The maintenance of biodiversity is a necessary condition for sustainable development, and as such constitutes one of the great challenges of the modern era.

The threats must be addressed

5. Addressing the threats to biodiversity requires immediate and long-term fundamental changes in the way resources are used and benefits are distributed. Achieving these adjustments will require broad-based action among a wide range of actors.

The Convention is an essential instrument for achieving sustainable development

6. The importance of the biodiversity challenge was universally acknowledged at the United Nations Conference on Environment and Development, which met in Rio de Janeiro in 1992, and through the development of the Convention on Biological Diversity. In ratifying the Convention, the Parties have committed themselves to undertaking national and international measures aimed at its achieving three objectives: the conservation of biological diversity; the sustainable use of its components; and the fair and equitable sharing of benefits arising out of the utilization of genetic resources.

Achievements

7. Since the adoption of the Convention, the Conference of the Parties has met several times and, on each occasion, through its decisions has taken steps to translate the general provisions of the Convention into practical action. This process has initiated national action plans in over 100 countries, raised awareness about biodiversity and led to the adoption of the Cartagena Protocol on Biosafety, a landmark treaty which provides an international regulatory framework for the safe transfer, handling and use of any living modified organisms resulting from modern biotechnology.

The challenges

8. The implementation of the Convention on Biological Diversity has been impeded by many obstacles, as outlined in the appendix hereto. A fundamental challenge for the Convention lies in the broad scope of its three objectives. The need to mainstream the conservation and sustainable use of biological resources across all sectors of the national economy, the society and the policy-making framework is a complex challenge at the heart of the Convention. This will mean cooperation with many different actors, such as regional bodies and organizations. Integrated management of natural resources, based on the ecosystem approach, is the most effective way to promote this aim of the Convention.

9. The scope of the Convention means that the provision by developed country Parties of resources to implement the Convention is critical and essential.

10. The Strategic Plan can promote broad-based action by bringing about a convergence of actions around agreed goals and collective objectives.

B. Mission

11. Parties commit themselves to a more effective and coherent implementation of the three objectives of the Convention, to achieve by 2010 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.

C. Strategic goals and objectives

GOAL 1: The Convention is fulfilling its leadership role in international biodiversity issues.

1.1 The Convention is setting the global biodiversity agenda.

1.2 The Convention is promoting cooperation between all relevant international instruments and processes to enhance policy coherence.

1.3 Other international processes are actively supporting implementation of the Convention, in a manner consistent with their respective frameworks.

1.4 The Cartagena Protocol on Biosafety is widely implemented.

1.5 Biodiversity concerns are being integrated into relevant sectoral or cross-sectoral plans, programmes and policies at the regional and global levels.

1.6 Parties are collaborating at the regional and subregional levels to implement the Convention.

GOAL 2: Parties have improved financial, human, scientific, technical, and technological capacity to implement the Convention.

2.1 All Parties have adequate capacity for implementation of priority actions in national biodiversity strategy and action plans.

2.2 Developing country Parties, in particular the least developed and the small island developing States amongst them, and other Parties with economies in transition, have sufficient resources available to implement the three objectives of the Convention.

2.3 Developing country Parties, in particular the least developed and the small island developing States amongst them, and other Parties with economies in transition, have increased resources and technology transfer available to implement the Cartagena Protocol on Biosafety.

2.4 All Parties have adequate capacity to implement the Cartagena Protocol on Biosafety.

2.5 Technical and scientific cooperation is making a significant contribution to building capacity.

GOAL 3: National biodiversity strategies and action plans and the integration of biodiversity concerns into relevant sectors serve as an effective framework for the implementation of the objectives of the Convention.

3.1 Every Party has effective national strategies, plans and programmes in place to provide a national framework for implementing the three objectives of the Convention and to set clear national priorities.

3.2 Every Party to the Cartagena Protocol on Biosafety has a regulatory framework in place and functioning to implement the Protocol.

3.3 Biodiversity concerns are being integrated into relevant national sectoral and cross-sectoral plans, programmes and policies.

3.4 The priorities in national biodiversity strategies and action plans are being actively implemented, as a means to achieve national implementation of the Convention, and as a significant contribution towards the global biodiversity agenda.

GOAL 4: There is a better understanding of the importance of biodiversity and of the Convention, and this has led to broader engagement across society in implementation.

4.1 All Parties are implementing a communication, education, and public awareness strategy and promoting public participation in support of the Convention.

4.2 Every Party to the Cartagena Protocol on Biosafety is promoting and facilitating public awareness, education and participation in support of the Protocol.

4.3 Indigenous and local communities are effectively involved in implementation and in the processes of the Convention, at national, regional and international levels.

4.4 Key actors and stakeholders, including the private sector, are engaged in partnership to implement the Convention and are integrating biodiversity concerns into their relevant sectoral and cross-sectoral plans, programmes and policies.

D. Review

12. The Strategic Plan will be implemented through the programmes of work of the Convention on Biological Diversity implementation of national biodiversity strategies and action plans, and other national, regional and international activities.

13. Better methods should be developed to objectively evaluate progress in the implementation of the Convention and the Strategic Plan.

Appendix
Obstacles to the implementation of the Convention on Biological Diversity

1. POLITICAL/SOCIETAL OBSTACLES

(a) Lack of political will and support to implement the Convention on Biological Diversity

(b) Limited public participation and stakeholder involvement

(c) Lack of mainstreaming and integration of biodiversity issues into other sectors, including use of tools such as environmental impact assessments

(d) Political instability

(e) Lack of precautionary and proactive measures, causing reactive policies.

2. INSTITUTIONAL, TECHNICAL AND CAPACITY-RELATED OBSTACLES

(a) Inadequate capacity to act, caused by institutional weaknesses

(b) Lack of human resources

(c) Lack of transfer of technology and expertise

(d) Loss of traditional knowledge

(e) Lack of adequate scientific research capacities to support all the objectives.

3. LACK OF ACCESSIBLE KNOWLEDGE/INFORMATION

(a) Loss of biodiversity and the corresponding goods and services it provides not properly understood and documented

(b) Existing scientific and traditional knowledge not fully utilized

(c) Dissemination of information on international and national level not efficient

(d) Lack of public education and awareness at all levels.

4. ECONOMIC POLICY AND FINANCIAL RESOURCES

(a) Lack of financial and human resources

(b) Fragmentation of GEF financing

(c) Lack of economic incentive measures

(d) Lack of benefit-sharing.

5. COLLABORATION/COOPERATION

(a) Lack of synergies at the national and international levels

(b) Lack of horizontal cooperation among stakeholders

(c) Lack of effective partnerships

(d) Lack of engagement of scientific community.

6. LEGAL/JURIDICAL IMPEDIMENTS

(a) Lack of appropriate policies and laws.

7. SOCIO-ECONOMIC FACTORS

(a) Poverty

(b) Population pressure

(c) Unsustainable consumption and production patterns

(d) Lack of capacities for local communities.

8. NATURAL PHENOMENA AND ENVIRONMENTAL CHANGE

(a) Climate change

(b) Natural disasters.

DECISION VI/27 | Operations of the Convention

A. Implementation of the Convention, in particular, implementation of priority actions in national biodiversity strategies and action plans

The Conference of the Parties

1. *Stresses* that the development and implementation of national biodiversity strategies and action plans constitute the cornerstone of national implementation of the Convention;

2. *Urges* Parties to the Convention on Biological Diversity:

(a) To develop and adopt national biodiversity strategies and action plans, where they have not yet done so;

(b) To give priority to the integration of the conservation and sustainable use of biological diversity, as well as benefit-sharing, into relevant sectoral or cross-sectoral plans, programmes and policies, in accordance with Article 6 of the Convention;

(c) To identify priority actions in national biodiversity strategies and action plans and other relevant national strategies;

(d) To implement national biodiversity strategies and action plans; and to periodically revise them in the light of the experience of implementation;

(e) To establish national mechanisms or consultative processes, with particular regard, where appropriate, to the special needs of indigenous and local communities, for coordinating, implementing, monitoring, evaluating and periodically revising national biodiversity strategies and action plans;

(f) To identify constraints and impediments to implementation of national biodiversity strategies and action plans, and to reflect them in the national reports;

(g) To make their national biodiversity strategies and action plans, including periodic revisions, available through their national clearing-house mechanism and the Convention website;

3. *Encourages* Parties to develop regional, subregional or bioregional mechanisms and networks to support implementation of the Convention including, as appropriate, through the development of regional or subregional biodiversity strategies and action plans, the identification of common constraints and impediments to implementation; and promotion of joint measures for addressing these;

4. *Calls upon* multilateral, regional, bilateral and private donors and institutions able to support implementation of national and regional biodiversity strategies and action plans, in particular priority actions, to target such priority actions in an effective and coordinated manner within the framework of the Strategic Plan of the Convention;

5. *Encourages* private foundations and other donors that provide funding in support of sustainable-development activities to support implementation of nationally-identified priority actions in national biodiversity strategies and action plans;

6. *Requests* donor institutions and agencies to simplify, to the extent possible, their administrative procedures in order to expedite access by eligible countries to the financial resources needed to assist the implementation of the national biodiversity strategies and action plans;

7. *Emphasizes* the importance of access to and transfer of technology and of technical and scientific cooperation in the implementation of national biodiversity strategies and action plans;

8. *Transmits* to the Council of the Global Environment Facility its view that a strategic approach to capacity-building for the global environment at the national level is urgently needed and that promoting cross-convention synergies, national policy integration, national institutional development and cooperation among stakeholders in capacity-building activities is a priority in order to promote efficiency and quality, and *notes* the contribution of the preliminary results of the Capacity Development Initiative;

9. *Encourages* Parties to avail themselves of the assistance available through the financial mechanism for preparation of a national capacity self-assessment;

10. *Welcomes* the contribution to the implementation of national biodiversity strategies and action plans provided by the Biodiversity Planning Support Programme established by the United Nations Environment Programme and the United Nations Development Programme with core financial support from the Global Environment Facility and *requests* the agencies and partners involved to consider how regional support for biodiversity planning and capacity-building can be enhanced through core financial support by the Implementing Agencies;

11. *Welcomes* the Biodiversity Service for the implementation of national biodiversity strategies and action plans in Central and Eastern Europe, established by the United Nations Environment Programme, IUCN, the European Centre for Nature Conservation and the Regional Environmental Centre and financially

supported by a number of donors, and *invites* Parties and intergovernmental and other organizations to review the operation of the Biodiversity Service and to benefit from its experience with a view to considering the establishment of regional capacity-building mechanisms to support the implementation of priority actions in national biodiversity strategies and action plans in other regions;

12. *Commends* the assessments of implementation carried out by Parties in the Central and Eastern Europe and Central American regions to the attention of Parties in other regions, and *encourages* Parties in other regions to undertake similar assessments;

13. *Requests* the Executive Secretary to provide appropriate information to the Parties at an inter-sessional meeting for consideration of the future evaluation of progress in the implementation of the Convention and the Strategic Plan, in accordance with the relevant provisions of the Convention.

B. Operations of the Convention

The Conference of the Parties

REVIEW OF THE STATUS OF IMPLEMENTATION OF THE DECISIONS OF THE CONFERENCE OF THE PARTIES

1. *Welcomes* the Handbook on the Convention on Biological Diversity and encourages the Executive Secretary to seek ways and means to make it available in other United Nations official languages;

2. *Decides* to review, on the basis of the proposals by the Executive Secretary, the status of implementation of all its decisions at its next meeting with a view to adopting a consolidated body of decisions and to inform decision-making on the long-term work plan of the Convention;

3. *Decides* to retire the decisions and elements of decisions listed in the annex to the present decision;

4. *Requests* the Executive Secretary to make proposals to the seventh meeting of the Conference of the Parties regarding, *inter alia*, the retirement of decisions and elements of decisions taken at the third and fourth meetings of the Conference of the Parties and the consolidation of its decisions and to communicate such proposals to Parties, Governments and relevant international organizations at least six months prior to its seventh meeting;

5. *Invites* Parties, Governments and relevant international organizations to submit to the Executive Secretary written comments on the proposals referred to in paragraph 4 above, at least three months prior to its seventh meeting;

REVIEW OF RECOMMENDATIONS OF THE SUBSIDIARY BODY ON SCIENTIFIC, TECHNICAL AND TECHNOLOGICAL ADVICE

Recalling its decision to make an assessment at its sixth meeting of the recommendations made to it by the Subsidiary Body on Scientific, Technical and Tech-

nological Advice with a view to providing guidance to the Subsidiary Body on ways to improve its inputs,

6. *Decides* that this assessment will be undertaken under the authority of the Conference of the Parties at its seventh meeting;

7. *Requests* the Executive Secretary to undertake, in consultation with the bureaux of the Subsidiary Body on Scientific, Technical and Technological Advice and the Conference of the Parties, a review of the recommendations of the Subsidiary Body with a view to improving its inputs and to report thereon to Subsidiary Body at its ninth meeting and to the Conference of the Parties at its seventh meeting;

8. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice, on the basis of the review mentioned in paragraph 7 above, to prepare proposals for the improvement of the quality of its advice and to submit a report thereon to the Conference of the Parties at its seventh meeting;

ROSTER OF EXPERTS

9. *Requests* the Executive Secretary to make full use of the roster of experts identified by Parties through national nodes of the clearing-house mechanism, including for peer review and for Internet-based discussion groups;

10. *Requests* the Executive Secretary to retire the roster of experts nominated by Parties for specific tasks or activities once those tasks or activities have been completed;

REGIONAL AND SUBREGIONAL MECHANISMS FOR IMPLEMENTATION OF THE CONVENTION

11. *Acknowledging* the important role that regional and subregional mechanisms and networks such as the Pan-European Biological and Landscape Diversity Strategy, the Strategic Plan on Biodiversity for Tropical Andean Countries, the Central American Commission of Environment and Development and the South Pacific Regional Environment Programme play in promoting the implementation of the Convention, which, *inter alia*, provide forums for the preparation of regional inputs to meetings of the Convention and for translating decisions of the Conference of the Parties into regional actions:

(a) *Requests* the Executive Secretary, with the assistance of the United Nations Environment Programme and in consultation with Parties, to identify, assess and report on the potential of existing regional and subregional instruments, institutions, networks and mechanisms in various regions as a basis for enhancing the implementation of the Convention, including as partners for capacity-building, taking into account:

    (i) The benefits to be gained through the utilization of regional and subregional institutions, mechanisms or networks;
    (ii) The views from regions as to the types of assistance required to respond to difficulties in implementing the Convention and their level of priority;

(iii) The requirements necessary to strengthen such mechanisms and networks for the purposes of the implementation of the Convention;

(b) *Encourages* Parties to strengthen regional and subregional cooperation, enhance the integration and promote synergies with relevant regional and subregional processes;

(c) *Invites* all donors and institutions in a position to do so to support the work of existing regional coordination mechanisms and the development of regional and subregional networks or processes, as appropriate;

(d) *Invites* Parties, Governments, and relevant organizations to strengthen their existing regional and subregional mechanisms and initiatives for capacity-building and to contribute inputs regarding their experiences into the wider assessment process;

12. *Invites* those countries in a position to do so, individually or collectively, on a bilateral or multilateral basis, to consider providing financial resources and technically qualified person(s) recruited from either government or the private sector to collaborate in the preparation of the assessment in the candidate regions;

13. *Decides* to further consider this issue, based on the assessment, at its seventh meeting;

PARTICIPATION AND PROCEDURES UNDER THE CONVENTION

14. *Takes note* of concerns about procedural issues raised at inter-sessional meetings, and calls for the implementation of the rules of procedure for meetings of the Conference of the Parties and Subsidiary Bodies;

15. *Requests* the bureaux of the Conference of the Parties and of the Subsidiary Body on Scientific, Technical and Technological Advice to develop proposals for the further improvement of existing procedures for conducting meetings in order to allow a more effective participation of one-person delegations and report to the Conference of the Parties at its seventh meeting;

16. *Recognizes* the increasing workload for Bureau members, particularly the Chairs, and confirms the need for financial support for Bureau members from developing country Parties and Parties with economies in transition, and, in particular, to provide funding for the attendance of Bureau members at meetings and support for the Chair of the Subsidiary Body on Scientific, Technical and Technological Advice;

17. *Decides* to consider at its seventh meeting the possibility of providing financial support for at least two representatives from each developing country-Party through the Voluntary Trust Fund for Facilitating Participation of Parties in the Convention Process (BZ Trust Fund);

18. *Requests* the Executive Secretary, as a matter of priority, to identify potential sources of financial support for facilitating the participation of non-governmental organizations from developing countries and countries with economies in transition in meetings organized under the Convention;

19. *Requests* the Executive Secretary to establish a focal point within the Secretariat for non-governmental organizations in order to facilitate interaction with non-governmental organizations and to support, *inter alia,* dissemination of information on the Convention, awareness raising and improved coordination amongst stakeholders.

ANNEX
DECISIONS AND ELEMENTS OF DECISIONS ADOPTED BY THE CONFERENCE OF THE PARTIES AT ITS FIRST AND SECOND MEETINGS TO BE RETIRED

Decisions of the first meeting of the Conference of the Parties

Decision I/2, paras. 4–8
Decision I/3, paras. 2–4
Decision I/4, paras. 2 and 3
Decision I/5, para. 1
Decision I/6, part I, para. 3 to 9 (part I)
Decision I/6, part II
Decision I/7, paras.1(d), 2, 4 (and annex)
Decision I/9
Decision I/10
Decision I/11
Decision I/13

Decisions of the second meeting of the Conference of the Parties

Decision II/1, paras. 1, 2 and 4–6
Decision II/2
Decision II/3, paras. 1, 4(a), 5, 6, 10 and 11
Decision II/4, paras. 2–4
Decision II/5
Decision II/6, paras. 3, 4, 7 and 12
Decision II/7, para. 7
Decision II/8, paras. 6 and 7
Decision II/9, paras. 1, 2(b) and 4
Decision II/10, paras. 7, 9, 10 and 14
Decision II/11, para. 1(a)
Decision II/12, paras. (a) and (c)
Decision II/13, paras. 1 and 5–7
Decision II/14
Decision II/15
Decision II/16
Decision II/17, paras. 4, 5, 9, 11
Decision II/18
Decision II/19, paras. 1 and 3–6

Decision II/20, paras. 1–10
Decision II/21
Decision II/22
Decision II/23

DECISION VI/28 | Multi-year programme of work of the Conference of the Parties up to 2010

The Conference of the Parties

1. *Requests* the Executive Secretary, on the basis of the draft multi-year programme of work,[152] with special consideration to items for in-depth consideration and review of the programmes of work, taking fully into consideration the Strategic Plan of the Convention and based upon submissions by Parties to the Convention, and the views of the Bureau of the Subsidiary Body on Scientific, Technical and Technological Advice, to prepare a multi-year programme of work for the Conference of the Parties up to 2010, covering the programme of work dealing with its eighth, ninth and tenth meetings. The programme of work dealing with its ninth and tenth meetings will be finalized by the Conference of the Parties at its next meeting;

2. *Requests* Parties to submit to the Executive Secretary proposals on issues to be included in the multi-year programme of work for the Conference of the Parties up to 2010;

3. *Decides* to hold an open-ended inter-sessional meeting to consider the multi-year programme of work for the Conference of the Parties up to 2010. The meeting will have a duration of two days and will be held back-to-back with the eighth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice. The inter-sessional meeting will report to the next meeting of the Conference of the Parties.

DECISION VI/29 | Administration of the Convention and the budget for the programme of work for the biennium 2003–2004

The Conference of the Parties,

Having considered the report of the Executive Secretary on the administration of the Convention and the performance of the Convention's trust funds,[153]

Having also considered the proposed budget for the biennium 2003–2004 submitted by the Executive Secretary,[154]

Noting the increased cooperation between the Convention on Biological Diversity, the United Nations Framework Convention on Climate Change, the United Nations

152 UNEP/CBD/COP/6/5/Add.2/Rev.1.
153 UNEP/CBD/COP/6/10.
154 UNEP/CBD/COP/6/16 and Corr.1 and Add.1.

Convention to Combat Desertification, the Convention on Wetlands (Ramsar, Iran, 1971), the Convention on International Trade in Endangered Species of Wild Fauna and Flora, the Convention on the Conservation of Migratory Species of Wild Animals, and other related agreements and the wide support for the implementation of the Convention's programme of work among governments, international organizations, non-governmental organizations and the private sector through the provision of expertise, information and financial and human resources,

Noting with appreciation the commendable efforts of the Executive Secretary and his staff in the delivery and effective management of the programme of work for the biennium 2001–2002, including the substantial increase of the workload, within the approved budgetary and human resources,

1. *Welcomes* the annual contribution of US$ 1,000,000 from Canada, the host country of the Secretariat, to offset contributions from Parties for the biennium 2003-2004;

2. Approves a core budget (BY Trust Fund) of US$ 10,742,500 for the year 2003 and of US$ 11,214,300 for the year 2004, for the purposes listed in table 1 below;

3. *Adopts* the indicative scale of contributions for 2003 and 2004 contained in the annex to the present decision;

4. *Decides* to establish a working capital reserve at a level of 4 per cent of the core budget (BY Trust Fund) expenditure, including programme support costs,[155]

5. *Approves* a Secretariat staffing table for the programme budget contained in table 2 below; requests that all staff positions be filled expeditiously and authorizes the Executive Secretary to redeploy staff within the Secretariat, where appropriate, to meet evolving needs and priorities and to ensure the smooth functioning of the Secretariat;

6. *Welcomes with appreciation* the decision of the Secretary-General of the United Nations of 8 December 2000, to upgrade the post of the Executive Secretary of the Convention from D-2 to Assistant Secretary-General (ASG), pursuant to paragraph 21 of its decision V/22; and *endorses* the decision of the Bureau of the fifth meeting of the Conference of the Parties approving the upgrading of the post of the Executive Secretary to Assistant Secretary-General in April 2001;

7. *Requests* the President of the Conference of the Parties, taking into account paragraph 6 above, to invite the Secretary-General of the United Nations to appoint the Executive Secretary at the level of Assistant Secretary-General, for a three-year term of office, starting on 1 July 2002;

8. *Approves* a drawing of US$ 5 million from the unspent balances or contributions ("carry-over") from previous financial periods to cover part of the 2003-2004 budget;

9. *Authorizes* the Executive Secretary to transfer resources among the programmes within the limits agreed to in decisions V/22, IV/17 and III/23, namely the

155 The purpose of the working capital reserve shall be to ensure continuity of operations of the Convention's Secretariat in the event of a temporary shortfall of cash. Drawdowns from the working capital reserve shall be restored from contributions as soon as possible.

ability to transfer between each of the main appropriation lines set out in table 1 up to an aggregate of 15 per cent of the total programme budget, provided that a further limitation of up to a maximum of 25 per cent of each such appropriation line shall apply;

10. *Notes with concern* that a number of Parties have not paid their contributions to the core budget (BY Trust Fund) for 2002 and prior years, which are due on 1 January of each year in accordance with paragraph 4 of the financial rules, and the late payment of contributions to the core budget by Parties during each calendar year of a biennium, which have contributed to the significant carry-over from one biennium to the next, and, in the event that there is no improvement in the payment of contributions by Parties, and *invites* the Executive Secretary to submit proposals for promoting full and timely payment of contributions by Parties for consideration and review by the Conference of the Parties at its seventh meeting;

11. *Urges* Parties that have still not paid their contributions to the core budget (BY Trust Fund) to do so without delay, and requests the Executive Secretary to publish and regularly update information on the status of contributions of Parties to the Convention's trust funds (BY, BE, BZ);

12. *Reiterates*, with regard to contributions due from 1 January 2001 onwards, that Parties whose contributions are in arrears for two or more years will be allowed to attend the meetings of the Convention's bodies with a maximum of two delegates until their arrears have been cleared;

13. *Further reiterates* that, with regard to contributions due from 1 January 2001 onwards, Parties that are not least developed countries or small island developing States whose contributions are in arrears for two or more years, will not receive funding from the Secretariat to attend meetings of the Convention's bodies until their arrears have been cleared;

14. *Authorizes* the Executive Secretary to enter into commitments up to the level of the approved budget, drawing on available cash resources, including unspent balances, contributions from previous financial periods and miscellaneous income;

15. *Decides* to fund, upon request, from the core budget (BY Trust Fund) the participation of members of the bureaux of the Conference of the Parties and Subsidiary Body on Scientific Technical and Technological Advice at the inter-sessional meetings of the respective bureaux;

16. *Endorses* the decisions of the Bureau of the fifth meeting of the Conference of the Parties authorizing the Executive Secretary to utilize savings, unspent balances from previous financial periods and miscellaneous income in the amount of US$ 2,319,500 from the BY Trust Fund, of which US$ 1,157,142 was spent, to fund inter-sessional activities recommended by the Subsidiary Body on Scientific, Technical and Technological Advice, the Intergovernmental Committee for the Cartagena Protocol on Biosafety and the Ad Hoc Open-ended Working Group on Access and Benefit-sharing, which were not envisaged and therefore for which no budgetary allocations were approved by the Conference of the Parties at its fifth meeting, including the participation of developing country Parties, in particular the least developed and small island developing States, and Parties with economies in

transition, in the meetings of the Convention as well as to carry out activities approved by the Conference of the Parties and *requests* the Executive Secretary, in consultation with the Bureau, to continue to monitor the availability of voluntary contributions to the BE and BZ Trust Funds in the event of any shortfalls;

17. *Decides* that the Trust Funds (BY, BE, BZ) for the Convention shall be extended for the period of two years, beginning 1 January 2004 and ending 31 December 2005;

18. *Invites* all Parties to the Convention to note that contributions to the core budget (BY) are due on 1 January of the year in which the these contributions have been budgeted for, and to pay them promptly, and *urges* Parties, in a position to do so, to pay by 1 October 2002 for the calendar year 2003 and by 1 October 2003 for the calendar year 2004 the contributions required to finance expenditures approved under paragraph 2 above, as offset by the amount in paragraph 4, and, in this regard, *requests* that Parties be notified of the amount of their contributions by 1 August of the year preceding the year in which the contributions are due;

19. *Urges* all Parties and States not party to the Convention, as well as governmental, intergovernmental and non-governmental organizations and other sources, to contribute to the trust funds (BY, BE, BZ) of the Convention;

20. *Takes note* of the funding estimates for the Special Voluntary Trust Fund (BE) for Additional Voluntary Contributions in Support of Approved Activities for the Biennium 2003–2004 specified by the Executive Secretary and included in table 3 below, and urges Parties to make contributions to this Fund;

21. *Takes note* also of the funding estimates for the special voluntary Trust Fund (BZ) for facilitating participation of developing country Parties, in particular the least developed and the small island developing States among them, and Parties with economies in transition, for the biennium 2003–2004, as specified by the Executive Secretary and included in table 4 below, and urges Parties to make contributions to this Fund;

22. *Authorizes* the Executive Secretary to consult with the Bureau of the Conference of the Parties on any adjustments which may be necessary in the servicing of the programme of the work as foreseen in the core budget (BY Trust Fund) for the biennium 2003–2004, including the postponement of meetings, in the event that sufficient resources are not available to the Secretariat in a timely fashion from the approved budget (BY Trust Fund), including available cash resources, unspent balances, contributions from previous financial periods and miscellaneous income;

23. *Authorizes* the Executive Secretary to draw, in consultation with the bureau of the Conference of the Parties, on available cash resources, including unspent balances, contributions from previous financial periods and miscellaneous income within the approved core budget (BY Trust Fund) for the biennium 2003-2004, to cover any shortfalls in the special voluntary Trust Fund (BZ) for facilitating participation of developing country Parties, in particular the least developed and the small island developing States among them, and Parties with economies in transition, for the biennium 2003–2004, in priorities[156] identified in the core budget (BY Trust Fund);

156 See footnote in table 1 below.

24. *Authorizes* the Executive Secretary, in consultation with the Bureau of the Conference of the Parties, to draw on available cash resources, including unspent balances, contributions from previous financial periods and miscellaneous income within the approved core budget (BY Trust Fund) for the biennium 2003-2004, to fund inter-sessional activities recommended by the Subsidiary Body on Scientific, Technical and Technological Advice, the Intergovernmental Committee for the Cartagena Protocol on Biosafety and the ad hoc open-ended working groups, that have not been envisaged and for which no budgetary allocations were approved by the Conference of the Parties at its sixth meeting, up to a maximum of 20 per cent (US$ 855,523) of the cost of the priorities[18] identified within the core budget (BY Trust Fund) for the biennium 2003–2004;

25. *Approves* a contingency of US$ 250,000 to meet the costs of the conference services if a second meeting of the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety takes place in 2004, back-to-back with the seventh meeting of the Conference of the Parties to the Convention, and in the event that the first meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol does not decide on budgetary arrangements to this end;

26. *Requests* the Executive Secretary, in accordance with the provisions of Article 31, paragraph 3 of the Cartagena Protocol on Biosafety, to identify the costs of the secretariat services for the Protocol, to the extent that they are distinct, for inclusion in a proposed budget for the consideration of the first meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol;

27. *Decides* to establish, pursuant to paragraphs 6 and 7, section B, of recommendation 2/9 of the Intergovernmental Committee for the Cartagena Protocol on Biosafety, and on a pilot phase basis, a trust fund, to be administered by the Secretariat, for voluntary contributions from Parties and Governments for the specific purpose of supporting developing country Parties, in particular the least developed and the small island developing States among them, and Parties with economies in transition to pay for the use of experts selected from the roster of experts on biosafety; and *requests* the Executive Secretary to seek submissions from Governments on the operation of this Fund, and to report thereon to the first meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol;

28. *Requests* the Executive Secretary to prepare and submit a budget for the programme of work for the biennium 2005–2006 for the seventh meeting of the Conference of the Parties, and report on income and budget performance as well as any adjustments made to the Convention budget for the biennium 2003–2004;

29. *Authorizes* the Executive Secretary, in an effort to improve the efficiency of the Secretariat and to attract highly qualified staff to the Secretariat, to enter into direct administrative and contractual arrangements with Parties, governments and organizations—in response to offers of human resources and other support to the Secretariat—as may be necessary for the effective discharge of the functions of the Secretariat, while ensuring the efficient use of available competencies, resources and services, and taking into account United Nations rules and regulations. Special attention should be given to possibilities of creating synergies with relevant, existing work

programmes or activities that are being implemented within the framework of other international organizations;

30. *Welcomes* the generous offer of the Botanic Gardens Conservation International to second a staff member to the Secretariat to promote the implementation of the Global Strategy for Plant Conservation and *requests* the Executive Secretary to enter arrangements to this end, in accordance with paragraph 29 above.

TABLE 1: BIENNIUM BUDGET OF THE TRUST FUND FOR THE CONVENTION ON BIOLOGICAL DIVERSITY 2003–2004

EXPENDITURES	2003 (THOUSANDS OF US$)	2004 (THOUSANDS OF US$)
I Programmes		
Executive direction and management[1]	782.9	809.1
Scientific, technical and technological matters[2]	1,412.1	1,539.5
Social, economic and legal matters[3]	1,395.5	1,101.8
Implementation and outreach[4]	1,971.7	2,070.3
Biosafety[5]	1,705.6	1,217.1
Resource management and conference services[6]	2,238.8	3,186.4
SUB-TOTAL (I)	**9,506.6**	**9,924.2**
II Programme support charge 13%	1,235.9	1,290.1
SUB-TOTAL (II)	**1,235.9**	**1,290.1**
III Working capital reserve[7]	–	–
SUB-TOTAL (III)	–	–
GRAND TOTAL (I + II + III)	**10,742.5**	**11,214.3**
Less contribution from the host country	1,000.0	1,000.0
Less savings from previous years (surplus)	2,500.0	2,500.0
NET TOTAL (AMOUNT TO BE SHARED BY PARTIES)	**7,242.5**	**7,714.3**

PRIORITIES IDENTIFIED IN THE CORE BUDGET (US$ 4,277,615 INCLUDING 13% PROGRAMME SUPPORT COSTS)

1 MEETING OF THE BUREAU OF THE CONFERENCE OF THE PARTIES.

2 AD HOC TECHNICAL EXPERT GROUP ON FOREST BIOLOGICAL DIVERSITY; SUPPORT TO EXPERT GROUPS ON GENETIC USE RESTRICTION TECHNOLOGIES AND INVASIVE ALIEN SPECIES; MEETINGS OF THE BUREAU OF THE SUBSIDIARY BODY ON SCIENTIFIC, TECHNICAL AND TECHNOLOGICAL ADVICE

3 OPEN-ENDED AD HOC WORKING GROUP ON ACCESS AND BENEFIT-SHARING; SUPPORT TO EXPERT GROUPS ON INCENTIVE MEASURES.

4 SUPPORT TO EXPERT GROUPS ON COMMUNICATION.

5 FIRST MEETING OF THE CONFERENCE OF THE PARTIES TO THE CONVENTION SERVING AS THE MEETING OF THE PARTIES TO THE CARTAGENA PROTOCOL ON BIOSAFETY; MEETINGS OF THE BUREAU OF THE INTERGOVERNMENTAL COMMITTEE FOR THE CARTAGENA PROTOCOL ON BIOSAFETY.

6 SEVENTH MEETING OF THE CONFERENCE OF THE PARTIES; NINTH MEETING OF THE SUBSIDIARY BODY ON SCIENTIFIC, TECHNICAL AND TECHNOLOGICAL ADVICE; TENTH MEETING OF THE SUBSIDIARY BODY ON SCIENTIFIC, TECHNICAL AND TECHNOLOGICAL ADVICE; OPEN-ENDED AD HOC WORKING GROUP ON ARTICLE 8(j); OPEN-ENDED INTER-SESSIONAL MEETING ON THE MULTI-YEAR PROGRAMME OF WORK FOR THE CONFERENCE OF THE PARTIES UP TO 2010.

7 FOR THE BIENNIUM 2003–2004, AN AMOUNT OF $878,272 WILL BE TAKEN FROM THE CARRY-OVER FOR THE WORKING CAPITAL RESERVE ON AN EXCEPTIONAL BASIS WITHOUT SETTING A PRECEDENT FOR FUTURE BIENNIA.

TABLE 2: SECRETARIAT-WIDE STAFFING REQUIREMENTS FROM THE CORE BUDGET

	2003	2004
A Professional category		
ASG*	1	1
D-1	3	3
P-5	4	4
P-4	14	14
P-3	13	13
P-2	1	1
TOTAL PROFESSIONAL CATEGORY	**36**	**36**
B. Total General Service category	**26**	**26**
TOTAL (A + B)	**62**	**62**

TABLE 3: SPECIAL VOLUNTARY TRUST FUND (BE) FOR ADDITIONAL VOLUNTARY CONTRIBUTIONS IN SUPPORT OF APPROVED ACTIVITIES FOR THE BIENNIUM 2003–2004 (THOUSANDS OF UNITED STATES DOLLARS)

EXPENDITURES	2003 (THOUSANDS OF US$)	2004
I		
A Meetings/workshops		
Executive direction and management		
Regional meetings for the seventh meeting of the Conference of the Parties (4)	0	40.0
Scientific, technical and technological matters		
Regional workshops on taxonomy (4)	160.0	160.0
Liaison group—restoration and recovery of ecosystems and species	60.0	0
Advisory group on anthologies of terms on invasive alien species	80.0	0
AHTEG—genetic use restriction technologies	0	80.0
AHTEG—mountain biodiversity	80.0	80.0
AHTEG—protected areas	80.0	80.0
AHTEG—restoration of degraded ecosystems and threatened species	80.0	80.0
AHTEG—targets/baselines/indicators	80.0	0
AHTEG—non-timber forest resources	80.0	80.0
AHTEG—forest fires	80.0	80.0
Social, economic and legal affairs		
Open-ended expert workshop on capacity-building on access and benefit-sharing	450.0	0
Group of legal and technical experts on liability and redress	80.0	0
Workshop on incentive measures	190.0	0
Incentive measures inter-agency coordination committee	20.0	20.0
Implementation and outreach		
Clearing-house mechanism regional workshops (4)	240.0	80.0
Global Initiative on Education and Public Awareness		
• Global communication, education and awareness network	62.5	25.0
• Exchange of knowledge and expertise	100.0	100.0
• Capacity-building for communication, education and awareness	375.0	375.0

continues…

EXPENDITURES	2003 (THOUSANDS OF US$)	2004 (THOUSANDS OF US$)
Biosafety		
Open-ended Ad Hoc Working Group on Liability and Redress	450.0	0
Regional meetings for the Biosafety Protocol	80.0	80.0
Biosafety technical expert meetings (4)	160.0	160.0
Regional workshops for the Biosafety Clearing-House	160.0	160.0
B Staff		
Agricultural Biodiversity Programme Officer (FAO)	141.5	146.5
Senior Programme Officer (Netherlands)	156.2	163.1
C Travel		
Travel of the President of the Conference of the Parties	10.0	10.0
Travel of SBSTTA Chair	10.0	10.0
D Consultants/sub-contracts		
Biosafety Clearing-House	20.0	20.0
Protected areas	15.0	15.0
Mountains	15.0	15.0
Technology transfer	15.0	15.0
Ecosystem recovery/approach	15.0	15.0
Composite report on status and trends regarding traditional knowledge	150.0	0
E Miscellaneous		
Strengthening incentive measures (CDs; flyers; translations, etc.)	10.0	10.0
SUB-TOTAL (I)	**3,705.2**	**2,094.6**
II Programme support costs (13%)	**481.7**	**272.3**
TOTAL (I + II)	**4,186.8**	**2,366.9**

TABLE 4: SPECIAL VOLUNTARY TRUST FUND (BZ) FOR FACILITATING PARTICIPATION OF PARTIES IN THE CONVENTION PROCESS FOR THE BIENNIUM 2003–2004

DESCRIPTIONS	2003 (THOUSANDS OF US$)	2004 (THOUSANDS OF US$)
I Meetings		
Seventh meeting of the Conference of the Parties	0.0	650.0
Regional meetings for the Conference of the Parties	0.0	300.0
Subsidiary Body on Scientific, Technical and Technological Advice	540.0	540.0
Ad Hoc Inter-sessional Meeting on the Multi-Year Programme of Work of the Conference of the Parties up to 2010	163.0	0.0
First meeting of the Conference of the Parties serving as the meeting of the Parties to the Biosafety Protocol	540.0	0.0
Regional meetings for the Biosafety Protocol	300.0	300.0
Ad Hoc Working Group on Access and Benefit-sharing	163.0	0.0
Ad Hoc Working Group on Article 8(j)	0.0	163.0
Open-ended expert workshop on capacity-building for access and benefit-sharing	540.0	0.0
Ad Hoc Working Group on Liability and Redress	540.0	0.0
Second meeting of the Conference of the Parties serving as the Meeting of the Parties to the Biosafety Protocol		163.0
SUB-TOTAL (I)	**2,786.0**	**2,116.0**
II Programme support costs (13%)	**362.2**	**275.1**
TOTAL (I + II)	**3,148.2**	**2,391.1**

TABLE 5: CONTRIBUTIONS TO THE TRUST FUND FOR THE CONVENTION ON BIOLOGICAL DIVERSITY FOR THE BIENNIUM 2003–2004

PARTY	UN SCALE OF ASSESSMENTS 2003 %	SCALE WITH 22% CEILING, NO LDC PAYING MORE THAN 0.01% %	CONTRIBUTIONS AS PER 1 JAN. 2004 US$	UN SCALE OF ASSESSMENTS 2003 %	SCALE WITH 22% CEILING, NO LDC PAYING MORE THAN 0.01% %	CONTRIBUTIONS AS PER 1 JAN. 2004 US$	TOTAL CONTRIBUTIONS 2003–2004 US$
Albania	0.00300	0.00383	277	0.00300	0.00383	295	573
Algeria	0.07000	0.08938	6,473	0.07000	0.08938	6,895	13,368
Angola	0.00200	0.00255	185	0.00200	0.00255	197	382
Antigua and Barbuda	0.00200	0.00255	185	0.00200	0.00255	197	382
Argentina	1.14900	1.46707	106,252	1.14900	1.46707	113,174	219,426
Armenia	0.00200	0.00255	185	0.00200	0.00255	197	382
Australia	1.62700	2.07739	150,455	1.62700	2.07739	160,256	310,711
Austria	0.94700	1.20915	87,573	0.94700	1.20915	93,277	180,850
Azerbaijan	0.00400	0.00511	370	0.00400	0.00511	394	764
Bahamas	0.01200	0.01532	1,110	0.01200	0.01532	1,182	2,292
Bahrain	0.01800	0.02298	1,665	0.01800	0.02298	1,773	3,437
Bangladesh	0.01000	0.01277	925	0.01000	0.01277	985	1,910
Barbados	0.00900	0.01149	832	0.00900	0.01149	886	1,719
Belarus	0.01900	0.02426	1,757	0.01900	0.02426	1,871	3,628
Belgium	1.12900	1.44153	104,403	1.12900	1.44153	111,204	215,607
Belize	0.00100	0.00128	92	0.00100	0.00128	98	191
Benin	0.00200	0.00255	185	0.00200	0.00255	197	382
Bhutan	0.00100	0.00128	92	0.00100	0.00128	98	191
Bolivia	0.00800	0.01021	740	0.00800	0.01021	788	1,528
Botswana	0.01000	0.01277	925	0.01000	0.01277	985	1,910
Brazil	2.39000	3.05160	221,012	2.39000	3.05160	235,410	456,422
Bulgaria	0.01300	0.01660	1,202	0.01300	0.01660	1,280	2,483
Burkina Faso	0.00200	0.00255	185	0.00200	0.00255	197	382
Burundi	0.00100	0.00128	92	0.00100	0.00128	98	191
Cambodia	0.00200	0.00255	185	0.00200	0.00255	197	382
Cameroon	0.00900	0.01149	832	0.00900	0.01149	886	1,719
Canada	2.55800	3.26611	236,548	2.55800	3.26611	251,957	488,505
Cape Verde	0.00100	0.00128	92	0.00100	0.00128	98	191
Central African Republic	0.00100	0.00128	92	0.00100	0.00128	98	191
Chad	0.00100	0.00128	92	0.00100	0.00128	98	191
Chile	0.21200	0.27069	19,604	0.21200	0.27069	20,882	40,486
China	1.53200	1.95609	141,670	1.53200	1.95609	150,899	292,568
Colombia	0.20100	0.25664	18,587	0.20100	0.25664	19,798	38,385
Comoros	0.00100	0.00128	92	0.00100	0.00128	98	191
Congo	0.00100	0.00128	92	0.00100	0.00128	98	191
Cook Islands	0.00100	0.00128	92	0.00100	0.00128	98	191
Costa Rica	0.02000	0.02554	1,849	0.02000	0.02554	1,970	3,819
Cote d'Ivoire	0.00900	0.01149	832	0.00900	0.01149	886	1,719

PARTY	UN SCALE OF ASSESSMENTS 2003 %	SCALE WITH 22% CEILING, NO LDC PAYING MORE THAN 0.01% %	CONTRIBUTIONS AS PER 1 JAN. 2004 US$	UN SCALE OF ASSESSMENTS 2003 %	SCALE WITH 22% CEILING, NO LDC PAYING MORE THAN 0.01% %	CONTRIBUTIONS AS PER 1 JAN. 2004 US$	TOTAL CONTRIBUTIONS 2003–2004 US$
Croatia	0.03900	0.04980	3,606	0.03900	0.04980	3,841	7,448
Cuba	0.03000	0.03830	2,774	0.03000	0.03830	2,955	5,729
Cyprus	0.03800	0.04852	3,514	0.03800	0.04852	3,743	7,257
Czech Republic	0.20300	0.25919	18,772	0.20300	0.25919	19,995	38,767
Democratic People's Republic of Korea	0.00900	0.01149	832	0.00900	0.01149	886	1,719
Democratic Republic of the Congo	0.00400	0.00511	370	0.00400	0.00511	394	764
Denmark	0.74900	0.95634	69,263	0.74900	0.95634	73,775	143,038
Djibouti	0.00100	0.00128	92	0.00100	0.00128	98	191
Dominica	0.00100	0.00128	92	0.00100	0.00128	98	191
Dominican Republic	0.02300	0.02937	2,127	0.02300	0.02937	2,265	4,392
Ecuador	0.02500	0.03192	2,312	0.02500	0.03192	2,462	4,774
Egypt	0.08100	0.10342	7,490	0.08100	0.10342	7,978	15,469
El Salvador	0.01800	0.02298	1,665	0.01800	0.02298	1,773	3,437
Equatorial Guinea	0.00100	0.00128	92	0.00100	0.00128	98	191
Eritrea	0.00100	0.00128	92	0.00100	0.00128	98	191
Estonia	0.01000	0.01277	925	0.01000	0.01277	985	1,910
Ethiopia	0.00400	0.00511	370	0.00400	0.00511	394	764
European Community	2.50000	2.50000	181,063	2.50000	2.50000	192,858	373,920
Fiji	0.00400	0.00511	370	0.00400	0.00511	394	764
Finland	0.52200	0.66650	48,271	0.52200	0.66650	51,416	99,687
France	6.46600	8.25592	597,935	6.46600	8.25592	636,887	1,234,822
Gabon	0.01400	0.01788	1,295	0.01400	0.01788	1,379	2,674
Gambia	0.00100	0.00128	92	0.00100	0.00128	98	191
Georgia	0.00500	0.00638	462	0.00500	0.00638	492	955
Germany	9.76900	12.47326	903,376	9.76900	12.47326	962,225	1,865,601
Ghana	0.00500	0.00638	462	0.00500	0.00638	492	955
Greece	0.53900	0.68821	49,843	0.53900	0.68821	53,090	102,934
Grenada	0.00100	0.00128	92	0.00100	0.00128	98	191
Guatemala	0.02700	0.03447	2,497	0.02700	0.03447	2,659	5,156
Guinea	0.00300	0.00383	277	0.00300	0.00383	295	573
Guinea-Bissau	0.00100	0.00128	92	0.00100	0.00128	98	191
Guyana	0.00100	0.00128	92	0.00100	0.00128	98	191
Haiti	0.00200	0.00255	185	0.00200	0.00255	197	382
Honduras	0.00500	0.00638	462	0.00500	0.00638	492	955
Hungary	0.12000	0.15322	11,097	0.12000	0.15322	11,820	22,917
Iceland	0.03300	0.04214	3,052	0.03300	0.04214	3,250	6,302
India	0.34100	0.43540	31,534	0.34100	0.43540	33,588	65,121

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PARTY	UN SCALE OF ASSESSMENTS 2003 %	SCALE WITH 22% CEILING, NO LDC PAYING MORE THAN 0.01% %	CONTRIBUTIONS AS PER 1 JAN. 2004 US$	UN SCALE OF ASSESSMENTS 2003 %	SCALE WITH 22% CEILING, NO LDC PAYING MORE THAN 0.01% %	CONTRIBUTIONS AS PER 1 JAN. 2004 US$	TOTAL CONTRIBUTIONS 2003–2004 US$
Indonesia	0.20000	0.25536	18,495	0.20000	0.25536	19,700	38,194
Iran (Islamic Republic of)	0.27200	0.34730	25,153	0.27200	0.34730	26,791	51,944
Ireland	0.29400	0.37539	27,187	0.29400	0.37539	28,958	56,146
Israel	0.41500	0.52988	38,377	0.41500	0.52988	40,877	79,253
Italy	5.06475	6.46678	468,356	5.06475	6.46678	498,867	967,223
Jamaica	0.00400	0.00511	370	0.00400	0.00511	394	764
Japan	19.51575	22.00000	1,593,350	19.51575	22.00000	1,697,146	3,290,496
Jordan	0.00800	0.01021	740	0.00800	0.01021	788	1,528
Kazakhstan	0.02800	0.03575	2,589	0.02800	0.03575	2,758	5,347
Kenya	0.00800	0.01021	740	0.00800	0.01021	788	1,528
Kiribati	0.00100	0.00128	92	0.00100	0.00128	98	191
Kyrgyzstan	0.00100	0.00128	92	0.00100	0.00128	98	191
Lao People's Democratic Republic	0.00100	0.00128	92	0.00100	0.00128	98	191
Latvia	0.01000	0.01277	925	0.01000	0.01277	985	1,910
Lebanon	0.01200	0.01532	1,110	0.01200	0.01532	1,182	2,292
Lesotho	0.00100	0.00128	92	0.00100	0.00128	98	191
Liberia	0.00100	0.00128	92	0.00100	0.00128	98	191
Libya	0.06700	0.08555	6,196	0.06700	0.08555	6,599	12,795
Liechtenstein	0.00600	0.00766	555	0.00600	0.00766	591	1,146
Lithuania	0.01700	0.02171	1,572	0.01700	0.02171	1,674	3,247
Luxembourg	0.08000	0.10215	7,398	0.08000	0.10215	7,880	15,278
Madagascar	0.00300	0.00383	277	0.00300	0.00383	295	573
Malawi	0.00200	0.00255	185	0.00200	0.00255	197	382
Malaysia	0.23500	0.30005	21,731	0.23500	0.30005	23,147	44,878
Maldives	0.00100	0.00128	92	0.00100	0.00128	98	191
Mali	0.00200	0.00255	185	0.00200	0.00255	197	382
Malta	0.01500	0.01915	1,387	0.01500	0.01915	1,477	2,865
Marshall Islands	0.00100	0.00128	92	0.00100	0.00128	98	191
Mauritania	0.00100	0.00128	92	0.00100	0.00128	98	191
Mauritius	0.01100	0.01405	1,017	0.01100	0.01405	1,083	2,101
Mexico	1.08600	1.38663	100,426	1.08600	1.38663	106,969	207,395
Micronesia (Federated States of)	0.00100	0.00128	92	0.00100	0.00128	98	191
Monaco	0.00400	0.00511	370	0.00400	0.00511	394	764
Mongolia	0.00100	0.00128	92	0.00100	0.00128	98	191
Morocco	0.04400	0.05618	4,069	0.04400	0.05618	4,334	8,403
Mozambique	0.00100	0.00128	92	0.00100	0.00128	98	191
Myanmar	0.01000	0.01277	925	0.01000	0.01277	985	1,910
Namibia	0.00700	0.00894	647	0.00700	0.00894	689	1,337

PARTY	UN SCALE OF ASSESSMENTS 2003 %	SCALE WITH 22% CEILING, NO LDC PAYING MORE THAN 0.01% %	CONTRIBUTIONS AS PER 1 JAN. 2004 US$	UN SCALE OF ASSESSMENTS 2003 %	SCALE WITH 22% CEILING, NO LDC PAYING MORE THAN 0.01% %	CONTRIBUTIONS AS PER 1 JAN. 2004 US$	TOTAL CONTRIBUTIONS 2003–2004 US$
Nauru	0.00100	0.00128	92	0.00100	0.00128	98	191
Nepal	0.00400	0.00511	370	0.00400	0.00511	394	764
Netherlands	1.73800	2.21911	160,719	1.73800	2.21911	171,189	331,908
New Zealand	0.24100	0.30771	22,286	0.24100	0.30771	23,738	46,024
Nicaragua	0.00100	0.00128	92	0.00100	0.00128	98	191
Niger	0.00100	0.00128	92	0.00100	0.00128	98	191
Nigeria	0.06800	0.08682	6,288	0.06800	0.08682	6,698	12,986
Niue	0.00100	0.00128	92	0.00100	0.00128	98	191
Norway	0.64600	0.82483	59,738	0.64600	0.82483	63,630	123,368
Oman	0.06100	0.07789	5,641	0.06100	0.07789	6,008	11,649
Pakistan	0.06100	0.07789	5,641	0.06100	0.07789	6,008	11,649
Palau	0.00100	0.00128	92	0.00100	0.00128	98	191
Panama	0.01800	0.02298	1,665	0.01800	0.02298	1,773	3,437
Papua New Guinea	0.00600	0.00766	555	0.00600	0.00766	591	1,146
Paraguay	0.01600	0.02043	1,480	0.01600	0.02043	1,576	3,056
Peru	0.11800	0.15066	10,912	0.11800	0.15066	11,623	22,535
Philippines	0.10000	0.12768	9,247	0.10000	0.12768	9,850	19,097
Poland	0.37800	0.48264	34,955	0.37800	0.48264	37,232	72,187
Portugal	0.46200	0.58989	42,723	0.46200	0.58989	45,506	88,229
Qatar	0.03400	0.04341	3,144	0.03400	0.04341	3,349	6,493
Rep. of Korea	1.85100	2.36339	171,169	1.85100	2.36339	182,319	353,488
Republic of Moldova	0.00200	0.00255	185	0.00200	0.00255	197	382
Romania	0.05800	0.07406	5,363	0.05800	0.07406	5,713	11,076
Russian Federation	1.20000	1.53218	110,968	1.20000	1.53218	118,197	229,166
Rwanda	0.00100	0.00128	92	0.00100	0.00128	98	191
Saint Kitts and Nevis	0.00100	0.00128	92	0.00100	0.00128	98	191
Saint Lucia	0.00200	0.00255	185	0.00200	0.00255	197	382
Saint Vincent and the Grenadines	0.00100	0.00128	92	0.00100	0.00128	98	191
Samoa	0.00100	0.00128	92	0.00100	0.00128	98	191
San Marino	0.00200	0.00255	185	0.00200	0.00255	197	382
Sao Tome and Principe	0.00100	0.00128	92	0.00100	0.00128	98	191
Saudi Arabia	0.55400	0.70736	51,230	0.55400	0.70736	54,568	105,798
Senegal	0.00500	0.00638	462	0.00500	0.00638	492	955
Seychelles	0.00200	0.00255	185	0.00200	0.00255	197	382
Sierra Leone	0.00100	0.00128	92	0.00100	0.00128	98	191
Singapore	0.39300	0.50179	36,342	0.39300	0.50179	38,710	75,052
Slovakia	0.04300	0.05490	3,976	0.04300	0.05490	4,235	8,212

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PARTY	UN SCALE OF ASSESSMENTS 2003 %	SCALE WITH 22% CEILING, NO LDC PAYING MORE THAN 0.01% %	CONTRIBUTIONS AS PER 1 JAN. 2004 US$	UN SCALE OF ASSESSMENTS 2003 %	SCALE WITH 22% CEILING, NO LDC PAYING MORE THAN 0.01% %	CONTRIBUTIONS AS PER 1 JAN. 2004 US$	TOTAL CONTRIBUTIONS 2003–2004 US$
Slovenia	0.08100	0.10342	7,490	0.08100	0.10342	7,978	15,469
Solomon Islands	0.00100	0.00128	92	0.00100	0.00128	98	191
South Africa	0.40800	0.52094	37,729	0.40800	0.52094	40,187	77,916
Spain	2.51875	3.21599	232,918	2.51875	3.21599	248,091	481,009
Sri Lanka	0.01600	0.02043	1,480	0.01600	0.02043	1,576	3,056
Sudan	0.00600	0.00766	555	0.00600	0.00766	591	1,146
Suriname	0.00200	0.00255	185	0.00200	0.00255	197	382
Swaziland	0.00200	0.00255	185	0.00200	0.00255	197	382
Sweden	1.02675	1.31098	94,947	1.02675	1.31098	101,133	196,080
Switzerland	1.27400	1.62667	117,812	1.27400	1.62667	125,486	243,298
Syrian Arab Republic	0.08000	0.10215	7,398	0.08000	0.10215	7,880	15,278
Tajikistan	0.00100	0.00128	92	0.00100	0.00128	98	191
The Former Yugoslav Rep. of Macedonia	0.00600	0.00766	555	0.00600	0.00766	591	1,146
Togo	0.00100	0.00128	92	0.00100	0.00128	98	191
Tonga	0.00100	0.00128	92	0.00100	0.00128	98	191
Trinidad and Tobago	0.01600	0.02043	1,480	0.01600	0.02043	1,576	3,056
Tunisia	0.03000	0.03830	2,774	0.03000	0.03830	2,955	5,729
Turkey	0.44000	0.56180	40,688	0.44000	0.56180	43,339	84,027
Turkmenistan	0.00300	0.00383	277	0.00300	0.00383	295	573
Uganda	0.00500	0.00638	462	0.00500	0.00638	492	955
Ukraine	0.05300	0.06767	4,901	0.05300	0.06767	5,220	10,121
United Arab Emirates	0.20200	0.25792	18,680	0.20200	0.25792	19,897	38,576
United Kingdom of Great Britain and Northern Ireland	5.53600	7.06848	511,935	5.53600	7.06848	545,284	1,057,218
United Republic of Tanzania	0.00400	0.00511	370	0.00400	0.00511	394	764
Uruguay	0.08000	0.10215	7,398	0.08000	0.10215	7,880	15,278
Uzbekistan	0.01100	0.01405	1,017	0.01100	0.01405	1,083	2,101
Vanuatu	0.00100	0.00128	92	0.00100	0.00128	98	191
Venezuela	0.20800	0.26558	19,235	0.20800	0.26558	20,488	39,722
Viet Nam	0.01600	0.02043	1,480	0.01600	0.02043	1,576	3,056
Yemen	0.00600	0.00766	555	0.00600	0.00766	591	1,146
Yugoslavia	0.02000	0.02554	1,849	0.02000	0.02554	1,970	3,819
Zambia	0.00200	0.00255	185	0.00200	0.00255	197	382
Zimbabwe	0.00800	0.01021	740	0.00800	0.01021	788	1,528
TOTAL	**81.147**	**100.000**	**7,242,500**	**81.147**	**100.000**	**7,714,300**	**14,956,800**

DECISION VI/30 | Preparations for the seventh meeting of the Conference of the Parties

The Conference of the Parties

1. *Welcomes* the proposals put forward by the Executive Secretary in his note on preparations for the seventh meeting of the Conference of the Parties[157] and *requests* that preparation for the priority themes for the seventh meeting of the Conference of the Parties continue as outlined in that document;

2. *Encourages* the Executive Secretary, in preparation for the protected areas theme at the seventh meeting of the Conference of the Parties to actively collaborate with the Vth World Congress on Protected Areas, as well as with other appropriate conventions, international organizations, and non-governmental organizations;

3. *Invites* Parties, other Governments and relevant international organizations to provide appropriate financial support for the organization of the ad hoc technical expert groups on mountain biological diversity, protected areas, and technology transfer and cooperation.

DECISION VI/31 | Date and venue of the seventh meeting of the Conference of the Parties

The Conference of the Parties,

1. *Welcomes* the kind offer of Malaysia to host the seventh meeting of the Conference of the Parties;

2. *Decides* that the seventh meeting of the Conference of the Parties will be held in Kuala Lumpur on a date in the first quarter of 2004 to be specified by the Bureau.

DECISION VI/32 | Tribute to the Government and people of the Kingdom of the Netherlands

The Conference of the Parties,

Having met in The Hague from 7 to 19 April 2002, at the gracious invitation of the Government of the Kingdom of the Netherlands,

Deeply appreciative of the special courtesy and warm hospitality extended by the Government and the people of the Netherlands to the ministers, members of delegations, observers and members of the Secretariat attending the meeting,

Expresses its sincere gratitude to the Government of the Netherlands and to its people for the cordial welcome that they accorded to the meeting and to those associated with its work, and for their contribution to the success of the meeting.

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Decisions Adopted by the Conference of the Parties to the Convention on Biological Diversity at its seventh meeting

KUALA LUMPUR, MALAYSIA, 9–20 AND 27 FEBRUARY 2004

DECISION VII/1 | Forest biological diversity

The Conference of the Parties

1. *Welcomes* the progress made on the implementation of the expanded programme of work on forest biological diversity as a significant contribution to achieving the 2010 target and achieving sustainable forest management at national, regional, and global levels;

2. *Urges* the Executive Secretary to continue and further strengthen its work in this field including the report on the effects on forest biological diversity of insufficient forest law enforcement as requested in paragraph 19(e) of decision VI/22;

3. *Invites* the Coordinator and Head of the Secretariat of the United Nations Forum on Forests, the Collaborative Partnership on Forests members and other relevant partners and organizations as specified in paragraph 19(b) of decision VI/22, as well as Parties and other Governments, to provide any further views on the preliminary assessment undertaken by the Executive Secretary on the relationship between the proposals for action of the Intergovernmental Panel on Forests/Intergovernmental forum on Forests (IPF/IFF) and the activities of the expanded programme of work on forest biological diversity (UNEP/CBD/SBSTTA/9/INF/31), with the objective of facilitating the implementation of related activities under these two instruments, and avoiding duplication of effort and noting that there has been work done by the Program on Forests (PROFOR) and the World Bank to link the expanded programme of work on forest biological diversity with the IPF/IFF proposals for action;

4. *Takes note* of the report of the first meeting of the Ad Hoc Technical Expert Group on the Review of Implementation of the Programme of Work on Forest Biological Diversity, held in Montpellier, France, from 24 to 27 November 2003 (UNEP/CBD/COP/7/INF/20) and *requests* that the Executive Secretary organizes another meeting of the Ad Hoc Technical Expert Group prior to the eleventh meeting of the Subsidiary Body on Scientific, Technical and Technological Advice;

5. *Recognizes* that the expanded programme of work on forest biological diversity benefits from regional cooperation and initiatives and *encourages* Parties and other Governments to take part in, and further develop, cooperation at the regional level in their efforts at implementing the activities contained in the work programme;

6. *Recommends* the incorporation of relevant indicators and actors into the expanded programme of work on forest biological diversity in order to assess its effectiveness and degree of implementation;

7. *Requests* the Executive Secretary, in collaboration with the Ad Hoc Technical Expert Group on the Review of Implementation of the Programme of Work on Forest Biological Diversity to propose outcome-oriented targets to be integrated into the work programme for consideration by the Subsidiary Body on Scientific, Technical and Technological Advice prior to the eighth meeting of the Conference of the Parties, taking into account decision VII/30 on the future evaluation of the Strategic Plan of the Convention as well as regionally and internationally agreed criteria and indicators for sustainable forest management through intergovernmental processes. The targets should be viewed as a flexible framework within which national and/or regional targets may be developed, according to national priorities and capacities, and taking into account differences in diversity between countries;

8. *Recommends* that the Executive Secretary continues collaboration with other members of the Collaborative Partnership on Forests in their efforts, *inter alia*, at harmonizing and streamlining forest-related reporting;

9. *Invites* Parties and other Governments to enhance cross-sectoral integration and inter-sectoral collaboration on the implementation of the expanded programme of work on forest biological diversity at all levels, in particular at national and subnational levels;

10. *Urges* Parties and other governments, and international and regional groups further to enhance their efforts in implementing the programme of work on forest biological diversity as an essential contribution towards advancing the 2010 target;

11. *Urges* the Executive Secretary to facilitate the full and effective participation of indigenous and local communities and other relevant stakeholders in implementing the expanded programme of work on forest biological diversity by developing local capacities and participatory mechanisms, including women, in assembling, disseminating, and synthesizing information on relevant scientific and traditional knowledge on forest biological diversity.

DECISION VII/2 | The biological diversity of dry and sub-humid lands

The Conference of the Parties

1. *Adopts* the proposed process for the periodic assessment of the status and trends of biological diversity, in dry and sub-humid lands, as described in table 1 below, taking into account national laws, policies and programmes and recognizing the urgency for action in those countries severely affected by land degradation, focusing on strengthening the capacities of developing countries and countries with economies in transition to conduct assessments at the national level and build on the knowledge and structures of ongoing global assessments, as well as national assessments;

2. *Adopts* the proposal prepared by the Executive Secretary for the further refinement of the programme of work and suggesting collaborating partners as indicated in the annex to the present decision;

3. *Request*s the Executive Secretary to ensure that the parts of the programme of work relating to other thematic programmes of work of the Convention are taken

into account when developing and reviewing these programmes of work;

4. *Requests* the Executive Secretary, in consultation with Parties, to develop targets for the implementation of the programme of work, taking into account especially national action programmes to combat desertification, the Global Strategy for Plant Conservation, the Global Taxonomy Initiative, the Strategic Plan of the Convention, as well as the Plan of Implementation of the World Summit on Sustainable Development, for consideration by the Subsidiary Body on Scientific, Technical and Technological Advice. Such a process could follow the approach taken in the development of the Global Strategy for Plant Conservation (decision VI/9, annex) and be in line with decision VII/8, on monitoring and indicators;

5. *Requests* the Executive Secretary, in collaboration with the secretariats of the other Rio conventions and other biodiversity-related conventions, to further develop mechanisms for facilitating the synergistic implementation of these conventions, especially at the national level, as described in sections III and IV of the note by the Executive Secretary on dry and sub-humid lands prepared for the eighth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice (UNEP/CBD/SBSTTA/8/10). Such mechanisms could include:

(a) Joint work programmes at the national level as appropriate;

(b) The activities of the joint liaison group of the three Rio conventions and potential additional members, and

(c) Joint activities with a focus on several elements:

  (i) Integration of activities related to national biodiversity strategies and action plans with national action programmes for the Convention to Combat Desertification, national adaptation programmes of action under the United Nations Framework Convention on Climate Change, Ramsar wetland policies and other relevant programmes, including national strategies for sustainable development and poverty reduction;
  (ii) Capacity-building, information systems, institutional arrangements and joint planning activities between the coordinating bodies and focal points of the conventions;
  (iii) Development of criteria for synergy projects and development and application of "good practice" synergy projects at the national level;
  (iv) Sound preparation, formulation of objectives, organization and follow-up of national and regional synergy workshops;
  (v) Training courses and awareness-raising among relevant stakeholders;
  (vi) Consultation, decision-making and implementation processes with the full participation of relevant stakeholders, including indigenous peoples and local communities, non-governmental organizations and the private sector.

These mechanisms should take into account existing experience, as documented by, *inter alia*, the Committee for the Review of the Implementation of the Convention to Combat Desertification (CRIC), and the "Operational Guidelines for Expedited Funding of National Self Assessment of Capacity-building Needs" of the Global

Environment Facility, and the role and responsibilities of the Global Environment Facility and the Global Mechanism of the Convention to Combat Desertification in promoting synergy;

6. *Further requests* the Executive Secretary, in collaboration with the other Rio and other biodiversity-related conventions, to facilitate at the national level the review of the national biodiversity strategies and action plans under the Convention on Biological Diversity, in order to harmonize them with the national action programmes under the Convention to Combat Desertification and the national adaptation plans of action under the United Nations Framework Convention on Climate Change, with a focus on poverty alleviation and intersectoral integration;

7. *Recognizes* that the effective implementation of this programme of work is subject to the availability of financial, technological and human resources, and urges Parties, other Governments countries, international organizations, and relevant stakeholders that are in a position to do so to develop partnerships and other means to provide the necessary support;

8. *Takes note* of the reports of the Millennium Ecosystem Assessment and the Land Degradation Assessment in Drylands Project (LADA) of the Food and Agriculture Organization of the United Nations on how they address the assessment needs of the programme of work on biological diversity of dry and sub-humid lands, and especially on ways to strengthen national efforts to conduct assessments;

9. *Welcomes* the joint work programme between the United Nations Convention to Combat Desertification and the Convention on Biological Diversity (UNEP/CBD/COP/7/INF/28) and encourages Parties and relevant stakeholders to contribute to the implementation of its components.

TABLE 1: PROPOSED PROCESS FOR THE PERIODIC ASSESSMENT OF STATUS AND TRENDS OF BIOLOGICAL DIVERSITY IN DRY AND SUB-HUMID LANDS
(Phases II–IV will depend on the recommendations made after completion of phase I)

PHASE I: 2002–2004 (COP 7)	1. Invite LADA and the Millennium Ecosystem Assessment to investigate how the needs of the dry and sub-humid lands could be integrated into the ongoing assessments, emphasizing proposals and ways to strengthen national efforts to conduct assessments.
	2. Develop proposals for mechanisms(s) linking national assessment to regional/global assessment/report processes.
	3. Participatory development of draft guidelines for national assessments, including indicators initiated.
PHASE II: 2004–2006 (COP 8)	4. Agree to final guidelines for national assessments and adoption for implementation.
	5. Implementation mechanism agreed upon and functional.
PHASE III: 2006–2012	6. Data collection, processing and communication according to agreed guidelines and mechanisms.
	7. In 2010, Parties report on WSSD biodiversity-related targets, as appropriate.
	8. Global assessment report on status and trends of biological diversity, including information from national assessments.
PHASE IV: 10-year periodic assessment reports	9. Periodic ten-year report based on continuous assessments at national level and up-scaling.

ANNEX
SYNTHESIS TABLE OF EXPECTED OUTCOMES AND TIMEFRAMES, POTENTIAL ACTORS, AND INDICATORS OF PROGRESS IN THE IMPLEMENTATION OF THE PROGRAMME OF WORK ON BIOLOGICAL DIVERISTY OF DRY AND SUB-HUMID LANDS

Part A: Assessments

ACTIVITY	EXPECTED OUTCOMES	TIME-FRAME	KEY ACTORS	STATUS	PROGRESS INDICATORS	DATE
Activity 1. Assessment of status and trends	Comprehensive review and assessment report on status and trends of biological diversity in dry and sub-humid lands	2012	FAO, LADA, MA, Parties, SCBD, UNCCD, TPNs, CGIAR agencies	Planned	Preliminary assessment Draft full assessment	2006 2010
Activity 2. Areas of particular value and/or under threat	Review and assessment of areas of value/ under threat	2012	World Heritage Centre, MAB Secretariat, WCPA, IUCN, UNEP-WCMC, Parties	Planned	Draft map and assessment report	2008
Activity 3. Indicators	Indicators for assessment of status and trends fully operational	2012	FAO, LADA, MA, Parties, SCBD.	In progress	Draft set of indicators	2004
Activity 4. Knowledge on processes that affect biodiversity	Reports and publications on the structure and functioning of dry and sub-humid lands ecosystems, including the potential impact of climate change and poverty on dry and sub-humid lands	Ongoing	Various research and development institutes, including local knowledge systems, Parties	Ongoing	Draft summary publication AHTEG on biodiversity and climate change	2006 2003
Activity 5. Benefits derived from biological diversity	Compilation of information on local and global benefits Economic valuation of priority specific sites	2012	Various research and development institutes, including local knowledge systems, Parties.	In progress	AHTEG on dry and sub-humid lands Draft publication	2002 2006
	Assessment of the socio-economic impact of biodiversity loss and linkage to poverty	2006	Parties, various research and development institutes, including local knowledge systems	In progress	AHTEG on dry and sub-humid lands Draft report	2002 2005
	Case-studies on inter-linkages between biodiversity loss and poverty	2006	Parties, collaborating partners including WIPO, SCBD	Planned	Submission of case-studies from Parties	2005
Activity 6. Best management practices	Case-studies including consideration of traditional knowledge	2006	Parties, collaborating partners including WIPO, SCBD	Planned	Submission of case-studies from Parties	2005
	Guidelines for assessment of good practices	2004	SCBD, Parties, TWNSO, GEF		Draft guidelines	2003
	Case-studies of applied Ecosystem Management Approach			Planned		

continues…

Part B: Targeted Actions

ACTIVITY	EXPECTED OUTCOMES	TIME-FRAME	KEY ACTORS	STATUS	PROGRESS INDICATORS	DATE
Activity 7. Measures for conservation and sustainable use						
(a) Protected areas	Guidelines on establishment of "adequate and effective protected areas networks"	2008	WCPA, Environmental conventions, IUCN, World Heritage, MAB Sec.	In process	Protected areas report	2012
	Additional protected area established	Ongoing	Parties	Ongoing		
(b) Rehabilitation and/or restoration	Report and database on appropriate technologies and transfer mechanisms	2002	Norway, SCBD, Parties and various collaborating partners	Ongoing	Workshop on transfer of technologies	2003
	Evaluation of effectiveness of measures at test sites	Ongoing	Parties	Proposed	Sites established; exchange visits between affected countries	2008
	Measures implemented through NBSAPs and NAPs		Parties	Proposed	Explicit rehabilitation Project implemented worldwide	2008
(c) Invasive alien species	Increased information and information exchange on invasive alien species	Ongoing	Parties, supported by GISP	In progress	Workshops, CHM includes explicit information	2008
	Guidelines and mechanisms for best management; integration through NBSAPs	2008	Parties, GISP	In progress	Draft guidelines	2006
(d) Production systems	Operational guidelines on sustainable use, good farming practices, integrated production system and drought preparedness	2004	Parties, FAO, CGIAR centres, WB, various research institutes	In progress	Draft guidelines	2003
	Progress report on development of incentives, including "fair and equitable" markets	2004	Parties	Proposed	Draft resource paper; 3rd National Reports	2006
	Guidelines on management and sustainable use of water resources implemented		Parties, Ramsar and other environmental conventions, GIWA, research institutes	Proposed	Guidelines drafted	2008
(e) Water resources	Case-studies on best practices available		Parties	Proposed	Submission of case-studies by Parties	2007

ACTIVITY	EXPECTED OUTCOMES	TIME-FRAME	KEY ACTORS	STATUS	PROGRESS INDICATORS	DATE
(f) *In situ* and *ex situ* conservation	Guidelines for *in situ* and *ex situ* conservation and management needs based on best practices implemented		WCPA, IUCN, WWF, CGIAR centres, Parties	Proposed	Draft guidelines	2006
	Capacities of zoos and seedbanks and other institutions for *ex situ* conservation strengthened		Parties, regional centres Proposed	Proposed	Integration into NBSAP and NAP	2008
(g) Economic valuation and adaptive technologies	Study on economic valuation of goods and services in areas of specific value for biodiversity		Parties, WB, various research and development institutes	Proposed	Draft report by AHTEG	2002
	Guidelines for the use of economic instruments implemented through NBSAP		Parties, various research and development institutes	Proposed	Draft guidelines	2006
(h) Plant and animal biomass	Case studies on best practices		Parties, various collaborating partners	Proposed		
	Incorporation of lessons learnt in NBSAPs and NAPs		Parties	Proposed		
(i) Training, education and public awareness	Training programmes nationally and regionally in place		Parties, regional centres of excellence, TPN of UNCCD, GM	Proposed	Training workshops per year per region	2006
	Public awareness campaigns on the importance of dry and sub-humid lands biodiversity		Parties, CBD, UNCCD	Proposed	Year of biodiversity in dry and sub-humid lands	
(j) Information on sustainable use	Development of information exchange mechanisms		Parties, sub-regional organizations, TPNs	Planned, ongoing	TPNs discuss 2 themes relevant to PoW per year	2008
(k) Promotion of research and development programmes	Research priorities established		Parties, research and development institutes	Planned, ongoing	Partnerships for collaborative research	
	Pilot projects developed and implemented on local level		Parties	Planned, ongoing	Demonstration sites per region per year	2006
(l) Integrated catchment management and endangered species	Case-studies on (i) integrated catchment management, (ii) migratory species corridors, (iii) conservation of rare and endangered species		Parties	Proposed	Case-studies per region documented	

continues…

ACTIVITY	EXPECTED OUTCOMES	TIME-FRAME	KEY ACTORS	STATUS	PROGRESS INDICATORS	DATE
(m) Cooperation with relevant conventions	Memoranda of Cooperation (MoC) with relevant conventions		Various conventions	In progress		
	Joint work programme with relevant conventions		Various conventions	In progress	Synergy workshops Pilot synergy projects	
Activity 8. Promotion of responsible resource management						
(a) Local institutional structures; and indigenous and local techniques	Case-studies in place and success stories documented and shared		Parties	Proposed	Regional level exchange Visit programmes in place	2006
	Broad implementation through NBSAPs and NAPs		Parties, GM	Proposed		
(b) Decentralization of management	Case-studies and success stories of community-based management of resources		Parties	Proposed	Publication of case-study; exchange visits to sites	2006
	Case studies on the effect of users' access to land and water resources					
(c) Institutions for land tenure and conflict resolution	Case-studies and success stories of strengthened national organization structures		Parties	Proposed	Workshops demonstrating case examples	2008
(d) Transboundary issues	Guidelines on transboundary collaboration implemented through NBSAPs and NAPs		Parties, WCPA, IGOs	Proposed	Draft guidelines	2008
	Increased number of bilateral and subregional collaborative arrangements in place		Parties	Ongoing		
(e) Policies and instruments	Mechanisms for collaboration between respective national focal points developed		Parties, SCBD, UNCCD, GM	In process	Synergy workshops held per annum	2004
	Case-studies, guidelines for cross-sectoral integration, integration of NBSAPs and NAPs		Parties	In process	Presentation of first case-studies (UNCCD CRIC 1)	2002
Activity 9. Support for sustainable livelihoods						
(a) Income diversification	Case-studies on income diversification		Parties	Proposed	Initial case-studies reported on	2006
	Guidelines for income diversification opportunities implemented through NBSAP and NAPs		Parties	Proposed	Draft guidelines	2008

ACTIVITY	EXPECTED OUTCOMES	TIME-FRAME	KEY ACTORS	STATUS	PROGRESS INDICATORS	DATE
(b) Sustainable harvesting	Guidelines on best practices incorporated in NBSAPs, NAPs and other relevant policies		Parties	Proposed	Draft guidelines	2004
(c) Innovations for local income generation	Relevant case-studies made available		Parties	Proposed	Workshops and exchange visits	2006
(d) Market development	Products derived from sustainable use increasingly marketed		Parties, WTO	Proposed	Initial case-studies reported on	2006
	Conducive market relationships developed		Parties, WTO	Proposed		
	Guidelines produced and integrated in NBSAPs, NAPs and other relevant policies		Parties, SCBD	Proposed	Draft guidelines	2006
(e) Fair and equitable sharing of the benefits						

INDICATIVE LIST OF POTENTIAL COLLABORATORS[1] AND ABBREVIATIONS

CBD=Convention on Biological Diversity; CCD=Convention to Combat Desertification; CGIAR=Consultative Group on International Agricultural Research; CIAT=International Centre for Tropical Agriculture; CIFOR=Centre for International Forestry Research; CILSS=Permanent Inter-State Committee for Drought Control in the Sahel; CITES=Convention on International Trade in Endangered Species of Wild Fauna and Flora; CMS = Convention on the Conservation of Migratory Species of Wild Animals; CPF=Collaborative Partnership on Forests; FAO=Food and Agriculture Organization of the United Nations; GEF=Global Environment Facility; GISP=Global Invasive Species Project; GIWA=Global International Waters Assessment, GM=Global Mechanisms of the UNCCD, ICARDA=International Centre for Agricultural Research in the Dry Areas; ICRAF=International Centre for Research in Agroforestry; ICRISAT=International Crops Research Institute for the Semi-arid Tropics; IFAD=International Fund for Agricultural Development; IGBP=International Geosphere and Biosphere Programme; IITA=International Institute for Tropical Agriculture; ILRI=International Livestock Research Institute; ILTER=International Long-term Ecological Research Network, IPGRI=International Plant Genetic Resources Institute; IPPC=Integrated Pollution and Prevention Control; IGO=Intergovernmental organization; IUCN=World Conservation Union; IUFRO=International Union of Forestry Research Organizations; LUCC=Land Use and Cover Change Programme (of IGBP); MA=Millennium Ecosystem Assessment; OIE=World Organization for Animal Health; OSS=Observatoire du Sahara et du Sahel; SADC=Southern African Development Community; TPN=Thematic Programme Networks of the CCD; TWNSO=Third World Network of Scientific Organisations; UNDP=United Nations Development Programme; UNEP=United Nations Environment Programme; UNEP-WCMC=World Conservation Monitoring Centre; UNESCO=United Nations Educational, Scientific and Cultural Organization; UNESCO-MAB=Man and Biosphere Project; UNFCCC=United Nations Framework Convention on Climate Change; UNFF=United Nations Forum on Forests; UNITAR=United Nations Institute for Training and Research; WB=World Bank; WCPA=World Commission on Protected Areas; WHC=World Heritage Centre (UNESCO); WIPO=World Intellectual Property Organization; WMO=World Meteorological Organization; WRI=World Resource Institute; WTO=World Trade Organization; WWF=World Wide Fund for Nature

1 AS LISTED IN THE REPORT OF THE AD HOC TECHNICAL EXPERT GROUP ON THE BIODIVERSITY OF DRY AND SUB-HUMID LANDS (UNEP/CBD/SBSTTA/8/INF/2) AND UPDATED BASED ON A QUESTIONNAIRE SENT OUT IN AUGUST 2002.

DECISION VII/3 | Agricultural biological diversity

The Conference of the Parties

1. *Takes note* of the progress made in the implementation of decision VI/5, on the programme of work on agricultural biological diversity;

2. *Notes* the postponement of the preparation of the final report of the comprehensive assessment of agricultural biological diversity and related milestones by two years (UNEP/CBD/COP/7/11, paragraph 66);

3. *Takes note* of the report of the Ad Hoc Technical Expert Group on the Potential Impacts of Genetic Use Restriction Technologies on Smallholder Farmers, Indigenous and Local Communities and Farmers' Rights, established in paragraph 21 of decision VI/5, which met in Montreal from 19 to 21 February 2003 (UNEP/CBD/SBSTTA/9/INF/6);

4. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice to consider the report of the Ad Hoc Expert Group on Genetic Use Restriction Technologies at its tenth meeting with a view to providing advice to the Conference of the Parties at its eighth meeting, also taking into account decision VII/16 on Article 8(j) and related provisions;

5. *Takes note with appreciation* of the report of the Food and Agriculture Organization of the United Nations and its Commission on Genetic Resources for Food and Agriculture on the potential impacts of genetic use restriction technologies on agricultural biodiversity and agricultural production systems (UNEP/CBD/COP/7/INF/31), prepared pursuant to paragraphs 20 and 21 of decision V/5;

6. *Takes note also* of the notes by the Executive Secretary on the impacts of trade liberalization on agricultural biodiversity (UNEP/CBD/COP/7/INF/14 and 15) prepared pursuant to paragraph 17 of decision VI/5, and requests further gathering and incorporation of data on this matter from all countries;

7. *Welcomes* the future establishment of a facilitation unit for research on agricultural biodiversity by the International Plant Genetic Resources Institute in association with other centres of the Consultative Group on International Agricultural Research, the Food and Agriculture Organization of the United Nations, civil-society organizations and other research centres, as a contribution to the programme of work;

8. *Welcomes*, within the framework of the International Treaty of Plant Genetic Resources for Food and Agriculture, and as part of its funding strategy, the development of the Global Crop Diversity Trust first launched at the World Summit on Sustainable Development as this contributes towards the development of an important endowment fund to support *ex situ* conservation centres worldwide;

9. *Welcomes* the initiative of the Food and Agriculture Organization of the United Nations to dedicate World Food Day 2004 to "biodiversity for food security and encourages Parties and other Governments and the Executive Secretary to the Convention to participate in this FAO celebration;

10. *Invites* the Parties and other Governments to consider and promote, as appropriate and subject to national legislation and international law, the mainstreaming of agricultural biodiversity in their plans, programmes and strategies with the active participation of local and indigenous communities and the inclusion in the communities' plans, programmes and strategies on conservation, development and use of agricultural biodiversity, and to recognize and support the efforts of local and indigenous communities in conserving agricultural biodiversity;

11. *Invites* civil-society organizations and other non-governmental organizations and programmes to assist Parties in their capacity-building initiatives in the mainstreaming of agricultural biodiversity in their plans, programmes and strategies, and international organizations and international funding institutions to support the development and use of agricultural biodiversity;

12. *Requests* the Executive Secretary to invite the Food and Agriculture Organisation of the United Nations, in close collaboration with other relevant United Nations bodies and regional and international organizations, to identify and assess activities and available information on agricultural biodiversity before the submission of the third national report;

13. *Urges* Parties and other Governments to ratify the International Treaty of Plant Genetic Resources for Food and Agriculture since the Treaty will be an important instrument for the conservation and sustainable use of genetic resources leading to hunger reduction and poverty alleviation.

DECISION VII/4 | Biological diversity of inland water ecosystems

The Conference of the Parties

Review of the implementation of the programme of work

1. *Notes* the progress made in the implementation of the programme of work on the biological diversity of inland water ecosystems, as reported in the note by the Executive Secretary (UNEP/CBD/COP/7/12);

2. *Recognizes* that a major shortcoming in the current review has been the limited availability of recent information on each of the activities of the programme of work and the lack of financial resources to generate it, and further recognizes the usefulness of the national reports submitted to the Convention on Wetlands of International Importance especially as Waterfowl Habitat (Ramsar, Iran, 1971) for a global status of the implementation of the programme of work on the biological diversity of inland water ecosystems, and, accordingly, *requests* the Executive Secretary to submit, for consideration at its eighth meeting, a proposal on ways and means for making the review more comprehensive;

3. *Also requests* the Executive Secretary to develop with the Secretariat of the Ramsar Convention a proposal, for consideration by the Conference of the Parties at its eighth meeting, on streamlining and improving the effectiveness of national reporting on inland water ecosystems, taking into account the work of the Task

Force on Streamlining Forest-related Reporting established in the framework of United Nations Forum on Forests and other initiatives for harmonizing biodiversity-related national reports;

4. *Welcomes* and *encourages*, in particular, the synergy being developed between the Convention on Biological Diversity and the Ramsar Convention in implementing the programme of work, *notes* the progress made in the implementation of the joint work plans between the two conventions (UNEP/CBD/COP/7/INF/27) and *encourages* further activities aiming at avoiding overlaps in the work of both conventions;

5. *Requests* the Executive Secretary to continue developing and strengthening collaboration with other organizations, institutions and conventions as a way to streamline many of the activities contained in the programme of work, promote synergies and avoid unnecessary duplications and to fully cooperate with all partners in the development and implementation of the International Decade for Action, "Water for Life," 2005–2015, proclaimed by the General Assembly in December 2003;

6. *Notes* the need to adapt elements in the programme of work, as appropriate, in response to new developments or emergency matters and *decides* to carry out the next in-depth review of the programme of work no later than ten years from now, taking into account the multi-year programme of work of the Conference of the Parties and the 2010 target in the Strategic Plan.

Revised programme of work

7. *Recognizes* that the review of the implementation of the programme of work identified gaps and constraints that need to be addressed to meet the objectives of the Convention and, accordingly, *adopts* the revised programme of work[158] contained in the annex to the present decision, which addresses the identified gaps and constraints with its three programme elements on:

(a) Conservation and sustainable use of biodiversity, including application of the ecosystem approach;

(b) Enabling activities addressing many of the socio-economic gaps identified in the review of the programme of work; and

(c) Monitoring and assessment;

8. *Recommends* that the Strategic Plan of the Convention on Biological Diversity and the Plan of Implementation of the World Summit on Sustainable Development, and their target of 2010 to reduce significantly the rate of biodiversity loss, should guide the implementation of the revised programme of work on inland water biological diversity;

9. *Recognizes* the need for resources, human, technological and financial, to implement effectively the activities under the revised programme of work, including capacity-building in the required fields, and in recognition of Article 20 of the Convention;

158 Implementation of this programme of work should not promote incentives that negatively affect biodiversity of other countries.

10. *Urges* Parties, other Governments and organizations to incorporate the objectives and relevant activities of the programme of work in their biodiversity strategies and action plans, wetland policies and strategies, and the integrated water-resources management and water-efficiency plans being developed, by 2005, in line with paragraph 25 of the Plan of Implementation of the World Summit on Sustainable Development, and to implement them and further promote coordination and cooperation between national actors responsible for inland water ecosystems and biological diversity;

11. *Recognizes* the presence of inland water ecosystems in agricultural lands, forests, dry and sub-humid lands, and mountains, and the ecological connectedness between inland waters, estuaries and inshore coastal areas and, accordingly, *encourages* Parties, other Governments and organizations to ensure cross-referencing to, and coherence with, the other thematic programmes of work while implementing this programme of work;

12. *Urges* Parties to share information and lessons learned from the application of national and regional policies, plans and best practices, from the application of water frameworks, including specific examples of successful policy interventions to conserve and sustainably use inland waters, and requests the Executive Secretary to summarize this and related available information for the eighth meeting of the Conference of the Parties;

13. *Invites* Parties to formulate and adopt outcome oriented targets and identified priorities for each activity, including timescales, taking into account the Strategic Plan of the Convention as well as the Strategic Plan of the Ramsar Convention for the period 2003–2008, the Global Strategy for Plant Conservation and the Plan of Implementation of the World Summit on Sustainable Development;

14. *Requests* the Executive Secretary to:

(a) Compile, for consideration by the Conference of the Parties at its eighth meeting, information on mountain ecosystems and their role as water suppliers and examples of transferable technologies relevant to the implementation of the revised programme of work on inland water biodiversity also relevant to mountain ecosystems, and ensure that this information is considered in the implementation of the programme of work on mountain biological diversity (decision VII/27), and taking into account, *inter alia*, the work of the Committee on Forestry of the Food and Agriculture Organization of the United Nations;

(b) Ensure that inland water ecosystem issues are fully incorporated, as appropriate, into all other thematic work programmes;

(c) In collaboration with relevant organizations and conventions, develop cost-effective means to report on implementation of the programme of work as measured against the global targets defined in the Strategic Plan, in the Global Strategy for Plant Conservation, and in the Plan of Implementation of the World Summit on Sustainable Development, essentially using indicators and assessments at the global level by international organizations, or existing data, and propose these to the Subsidiary Body prior to the eighth meeting of the Conference of the Parties.

Assessment of status and trends, and rapid assessment

15. *Takes note* of the status and trends of, and threats to, inland water biodiversity described in the note by the Executive Secretary (UNEP/CBD/SBSTTA/8/8/Add.1) and related information documents and gives particular consideration to the listing of major threats to inland water biodiversity, and their underlying causes, as a basis for the identification of priorities for early action, recognizing that the relative importance of threats, and their underlying causes, will vary by region and country;

16. *Recognizes* the need for reliable baseline data and subsequent regular national assessments of the status and trends of, and threats to, inland water biodiversity as a basis for decision-making on the conservation and sustainable use of biodiversity of inland water ecosystems and, accordingly, *requests* the Executive Secretary, in collaboration with Parties and relevant organizations, in particular the Ramsar Convention, the United Nations Environment Programme - World Conservation Monitoring Centre, the Millennium Ecosystem Assessment and the Global International Waters Assessment among others, and making use of all available information, to prepare, for consideration by the Conference of the Parties at its eighth meeting:

(a) A work plan with defined timeframe, ways, means, and capacity needs for assessing the extent, distribution and characteristics of inland water ecosystems, including, *inter alia*, biological characteristics and those chemical and physical characteristics relevant to the conservation and sustainable use of biodiversity, including necessary requirements for ecosystem based approaches, where possible using and not duplicating the efforts of other initiatives;

(b) A report on information, and sources of information, on the trends of inland water biodiversity, definition of agreed baselines, relevant indicators and frequency of the assessments; and

(c) A work plan with ways and means for assessing processes and categories of activities which have or are likely to have significant adverse impacts on the conservation and sustainable use of inland water biological diversity;

17. *Encourages* Parties, other Governments and relevant organizations to improve national, regional and global data on inland water ecosystem goods and services, their uses and related socio-economic variables; on species and all taxonomic levels; on basic hydrological aspects and water supply; and on the threats to which inland water ecosystems are subjected;

18. *Welcomes* the report of the Expert Meeting on Guidelines on Rapid Assessment of Biological Diversity of Inland Water Ecosystems (UNEP/CBD/SBSTTA/8/INF/5) and the guidelines annexed thereto;

19. *Recognizes* the usefulness of these guidelines to create baseline or reference data sets for inland water ecosystems of different types and to address the serious gaps that exist in knowledge of taxonomy, distribution, and conservation status of freshwater species;

20. *Invites* Parties, other Governments and relevant organizations to use and promote the application of the guidelines, in particular in the circumstances of small

island developing States and in the territories of States in which inland water ecosystems suffer from ecological disaster;

21. *Recognizes* that the guidelines are focused on biological factors and, more specifically, on species-level assessments, and that they only touch on ecosystem-level and socio-economic and cultural aspects relating to the conservation and use of biological diversity, and *requests* the Executive Secretary, in collaboration with the Secretariat of the Ramsar Convention and other relevant organizations, to develop a complementary set of tools to assess the function and health of inland water ecosystems and the socio-economic and cultural values of biological diversity of inland waters to be presented as information paper to the Conference of the Parties at its eighth meeting;

22. *Requests* the Executive Secretary, in collaboration with relevant organizations, to strengthen capacities, including through practical training, for the application and, as needed, adaptation to local conditions of the guidelines especially in developing countries, particularly in small island developing States and in the territories of certain States in which inland water ecosystems suffer from ecological disaster;

23. *Requests* the Executive Secretary to develop a monitoring and reporting system to assess the experiences gathered with respect to the usefulness and applicability of the guidelines, including through the national reports under the Convention on Biological Diversity;

24. *Encourages* Parties, other Governments and relevant organizations to ensure opportunities for the active participation of indigenous and local communities in all stages of rapid assessments of biological diversity of inland waters traditionally occupied or used by these communities, consistent with decision VII/16 F of the Conference of the Parties on the Akwé: Kon Voluntary Guidelines for the Conduct of Cultural, Environmental and Social Impact Assessment regarding Developments Proposed to Take Place on, or which are Likely to Impact on, Sacred Sites and on Lands and Waters Traditionally Occupied or Used by Indigenous and Local Communities;

25. *Emphasizes* the critical role of inland water biodiversity for sustainable livelihoods and, accordingly, *requests* the Executive Secretary, in collaboration with the Food and Agriculture Organization of the United Nations and other relevant organizations, to prepare a study on the linkages between conservation and sustainable use of inland water biodiversity and poverty alleviation/sustainable livelihoods, including human health considerations, for consideration by the Conference of the Parties at its eighth meeting. The study should contain proposals on ways and means to ensure that implementation of the programme of work contributes appropriately to poverty alleviation and sustainable livelihoods;

26. *Requests* the Executive Secretary to compile, in collaboration with relevant organizations and experts, existing information and disseminate it in a format that is useful to policy makers, recognizing that comprehensive information about the function of inland water ecosystems is invaluable to land and resource managers for planning, evaluating and executing plans and programmes. Emphasis should be put on assessment of, and research on, factors that affect ecosystem functions, the valuation of ecosystem functions, and remedial actions to restore ecosystem functions.

Classification systems and criteria for the identification of important inland water biodiversity

27. *Requests* those Parties for which this is appropriate, to adopt the Ramsar classification of wetlands as an interim classification system and use it as a framework for the initial inventorying of inland water ecosystems for the purpose of preparing indicative lists of inland water ecosystems important in the framework of the Convention, as requested in paragraph 12 of the programme of work on inland water biodiversity annexed to decision IV/4;

28. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice in close collaboration with the Ramsar Convention to review the interim classification system with the view to developing a definitive classification system as a matter of urgency prior to the tenth meeting of the Conference of the Parties, taking into account the multi-year programme of work (decision VII/31), on the basis of experiences accumulated by Parties, other Governments and relevant organizations, as appropriate to their national circumstances, taking into account the options described in the note by the Executive Secretary prepared for the eighth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice (UNEP/CBD/SBSTTA/8/8/Add.4);

29. *Invites* the Secretariat of the Ramsar Convention and the Scientific and Technical Review Panel of the Ramsar Convention, in collaboration with the Executive Secretary and the Subsidiary Body on Scientific, Technical and Technological Advice, respectively, and in line with paragraph 30 of resolution VIII.10 of the Conference of the Parties to the Ramsar Convention, and with a view to achieving a more comprehensive coverage of components of biological diversity through the designation of Ramsar sites:

(a) To further elaborate the guidelines on existing criteria for the following features:

  (i) Wetlands supporting wild relatives of domesticated or cultivated species;
  (ii) Wetlands that support species or communities and genomes or genes of economic, social, scientific or cultural importance;
  (iii) Wetlands supporting species or communities that are important for research into the conservation and sustainable use of biological diversity including indicators of ecosystem health and integrity; and
  (iv) Wetlands that support important populations of taxonomic groups with wetland-dependent species, including, *inter alia*, amphibians;

(b) To consider the development of additional criteria, including, as appropriate, quantitative criteria;

(c) To develop guidelines on the geographical scale at which criteria should be applied;

30. *Further invites* the Secretariat of the Ramsar Convention, in collaboration with the Executive Secretary of the Convention on Biological Diversity, to provide guidance, based on experiences, for the interpretation and application of the Ramsar criteria at the national and regional levels.

ANNEX
REVISED PROGRAMME OF WORK ON INLAND WATER BIOLOGICAL DIVERSITY

1. The revised and further elaborated programme of work for the conservation and sustainable use of the biological diversity of inland water ecosystems builds upon ongoing activities, uses existing knowledge, and also focuses attention on gaps in the institutional frameworks and the knowledge base upon which management decisions are made. It seeks to respond to the constraints identified by Parties through their national reports and to provide an integrated package of activities to address these obstacles and impediments. The activities within the programme of work are intended to be targeted towards, and address first and foremost, national priorities as prescribed through the national biodiversity strategy and action plan of each Party.

2. In furthering work under this programme duplication of effort should be avoided, and harmonization of respective programmes of work is to be pursued through strong coordination between the Convention on Biological Diversity and other relevant conventions and international bodies, with a particular view to the list of lead actors and collaborators. The programme and activities of the Ramsar Convention on Wetlands and its Scientific and Technical Review Panel (STRP) have been studied very carefully and actions were identified to optimize harmonization of activities of the Convention on Biological Diversity and its lead partner in the implementation of the programme of work on biological diversity of inland water ecosystems. This has been done in accordance with the third joint work plan between the Convention on Biological Diversity and the Ramsar Convention, as endorsed by the Conference of the Parties to the Convention on Biological Diversity in its decision VI/20.

3. The Executive Secretary is expected to continue and further develop collaboration, and avoid duplication, with programmes, organizations, institutions, conventions and stakeholders working with research, management and conservation of inland water biological diversity. These include (but are not limited to) the United Nations Convention to Combat Desertification (UNCCD), the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP), the United Nations Educational, Scientific and Cultural Organization (UNESCO), the Food and Agriculture Organization of the United Nations (FAO), the United Nations Framework Convention on Climate Change (UNFCCC), the Convention on International Trade in Endangered Species (CITES), the Convention on the Conservation of Migratory Species of Wild Animals (CMS), the Convention on Wetlands of International Importance especially as Waterfowl Habitat (Ramsar Convention), BirdLife International, Conservation International, DIVERSITAS, the Global International Water Assessment, the Global Water Partnership, the WorldFish Center (formerly the International Center for Living Aquatic Resources Management, ICLARM), IUCN–the World Conservation Union, the Millennium Ecosystem Assessment, the World Water Council, Wetlands International, the World Wide Fund for Nature (WWF) and the World Bank.

4. The clearing–house mechanism should continue to be used as a primary vehicle to promote and facilitate the exchange of information and transfer of technology relevant to the conservation and use of inland water biological diversity.

5. The aim of the revised programme of work on biological diversity of inland water ecosystems is to further enhance the implementation of the Convention on Biological Diversity in this area at the catchment/watershed/river basin levels, and to fulfil its leadership role in international biodiversity issues relating to inland water ecosystems.[159]

6. The revised programme of work identifies goals, objectives and activities within the three programme elements: conservation, sustainable use and benefit-sharing; institutional and socio-economic enabling environment; and knowledge, assessment and monitoring. The programme of work is not intended to be prescriptive for Parties, given that national circumstances, capacities and priorities can and do vary greatly. As such, it should be viewed as providing a comprehensive and integrated framework of activities from which Parties can formulate their own nationally appropriate responses within the context of the national biodiversity and sustainable development strategies and action plans.

7. The programme of work should pay particular attention to the impacts of climate change and the role of inland waters in mitigation of and adaptation to climate change. In this process, the programme of work should consider, support and collaborate with ongoing and/or new initiatives in these areas and in particular those related to the conservation and sustainable use of peatlands.

8. Throughout the programme of work it should be assumed that references to biological diversity, unless otherwise specified, refers to genomes and genes, species and communities, ecosystems and habitats. It should also be understood that the order of presentation within this programme of work does not convey any indication of relative priority.

9. Within the programme of work goals and objectives are listed under each programme element. Overarching these, and operating as fundamental guiding principles, are the following:

(a) To promote the conservation and sustainable use of inland water biological diversity including by appropriate transfer and development of technologies and by appropriate funding;

(b) To apply the ecosystem approach to the management of inland water ecosystems;

(c) To support indigenous and local communities to re-establish, develop and implement traditional approaches and/or adaptive management approaches to conserve and sustain the use of the biological diversity of inland water ecosystems;

(d) To promote the fair and equitable sharing of benefits gained from the use of inland water genetic resources and associated traditional knowledge based on prior informed consent in accordance with national laws;

(e) To use and draw upon scientific, technical and technological knowledge of indigenous and local communities and relevant stakeholders, with their participation and prior informed consent in accordance with national laws, in the implementation of all programme elements.

159 Implementation of this programme of work should not promote incentives that negatively affect biodiversity of other countries.

PROGRAMME ELEMENT 1: CONSERVATION, SUSTAINABLE USE AND BENEFIT-SHARING

GOAL 1.1: To integrate the conservation and sustainable use of biological diversity into all relevant sectors of water-resource and river-basin management, taking into account the ecosystem approach

Context and linkages

Article(s) of the Convention on Biological Diversity: 6(a) and (b)

Strategic Plan objective(s): 1.2, 1.5, 2.1, 3.1, 3.3 and 3.4

Related element(s) of first programme of work: paragraphs 8(c), 9(a)(i) and (ii), (b)(i), (g)(i) and (ii), (k), (m) and (v)

Intra- and inter-programmatic linkages:

Goal 1.2 (*In situ* conservation through protected areas)
Goal 2.1 (Integration with other sectors, etc.)
Goal 3.2 (Relating to identification of stressed inland water ecosystems.)

Plan of Implementation of the World Summit: paragraphs 24, 32(c), 40(b) and 66(b)

Objectives

(a) Adopt integrated land and catchment/watershed/river basin management approaches that incorporate the ecosystem approach, and the conservation and sustainable use of inland water ecosystems, including transboundary catchments, watersheds and river basins.

(b) Encourage the adoption of such integrated watershed, catchment and river basin management strategies to maintain, restore or improve the quality and supply of inland water resources and the economic, social, cultural, spiritual, hydrological, biological diversity and other functions and values of inland water ecosystems.

(c) Integrate into land-and water-use management approaches appropriate adaptive management and mitigation responses to combat, and prevent where possible, the negative impacts of climate change, *El Niño*, unsustainable land use and desertification on the biodiversity of inland water ecosystems.

Activities of the Parties

1.1.1. Assess current management approaches and strategies with regard to their integration of the ecosystem approach and sustainable use principles and adjust them as needed.

1.1.2. Develop effective management strategies to maintain or improve the sustainability of inland water ecosystems, including those identified as most stressed and facilitate a minimum water allocation to the environment to maintain ecosystem functioning and integrity. In so doing, consideration should also be given to the likely impacts of climate change and desertification, and factor in suitable mitigation and adaptive management approaches.

1.1.3. Identify and remove the sources, or reduce the impacts, of water pollution (chemical, thermal, microbiological or physical) on the biological diversity of inland waters.

1.1.4. Promote effective collaboration among scientists, local stakeholders, planners, engineers, and economists, and including indigenous and local communities with their prior informed consent (both within and among countries) in the planning and implementation of development projects to better integrate the conservation and sustainable use of inland water biological diversity with water resource developments.

1.1.5. Contribute to, and participate in, as appropriate, the River Basin Initiative (RBI) by sharing case-studies, experiences and lessons learned on:

(a) Examples of watershed management that incorporate the conservation and sustainable use of inland water biological diversity with special reference to examples that use the ecosystem approach to meet water management goals; and

(b) Examples of water resource development projects (water supply and sanitation, irrigation, hydropower, flood control, navigation, groundwater extraction) that incorporate consideration of the conservation and sustainable use of biological diversity.

1.1.6. Introduce into regional, national, catchment, watershed and river-basin level, and local water and land-use planning and management, adaptive management and mitigation strategies to combat and prevent, where possible, the negative impacts of climate change, *El Niño*, unsustainable land-use practices and desertification, noting the ongoing work of the Ad Hoc Technical Expert Group on Biodiversity and Climate Change and the programme of work on dry and sub-humid lands.

1.1.7. Provide to the Executive Secretary advice on national experiences and approaches to promoting and implementing adaptive management and mitigation strategies for combating the impacts of climate change, *El Niño* and desertification.

1.1.8. Use, where appropriate, all available information on dams in order to ensure that biodiversity considerations are fully taken into account in decision-making on large dams.

1.1.9. Assess the linkages between inland water ecosystems and climate change and the management options for mitigation of and adaptation to climate change.

Supporting activities

1.1.10. SBSTTA should:

(a) Review existing information on the allocation and management of water for maintaining ecological functions, including the relevant guidelines and technical papers on this topic, and prepare advice for the Conference of the Parties;

(b) Develop specific expert guidance on the management of the negative impacts of climate change, *El Niño*, unsustainable land-use practices and desertification on inland water biodiversity and appropriate adaptive management and mitigation responses, in collaboration with relevant partners;

(c) Compile available information from Parties and other organizations for the clearing-house mechanism on the impacts of climate change on wetlands, and the roles that wetlands can play in mitigating the effects of climate change, notably the role of peatlands in carbon sequestration.

1.1.11. The Convention Secretariat and the Secretariat of the Ramsar Convention should finalize the development and move into full implementation of the River Basin Initiative, with input from collaborating partner organizations, as appropriate.

1.1.12. The Ramsar Secretariat should be invited to bring to the attention of the Parties to the Convention on Biological Diversity relevant guidance or approaches adopted by the Ramsar Convention for the wise use of wetlands, such as:

(a) The Ramsar Convention guidelines for integrating wetland conservation and wise use into river basin management; and

(b) Model approaches to transboundary watershed or river basin management that can demonstrate effective mechanisms for cooperative management.

1.1.13. The Executive Secretary, in collaboration with relevant partners as appropriate, should compile and disseminate, including through the clearing-house mechanism of the Convention on Biological Diversity:

(a) Case-studies, lessons learned and best-practice guidance on ways and means to address all forms of water pollution at both the local and catchment scales;

(b) Examples of water resource development projects (water supply and sanitation, irrigation, hydropower, flood control, navigation, groundwater extraction) that incorporate biological diversity considerations, and which aim for sustainable use and maintenance of ecological processes; and

(c) The information provided by Parties in response to activity 1.1.7 above.

1.1.14. Also in collaboration with appropriate partners, the Executive Secretary should develop practical management guidance and associated instruments on sustainable use of inland water biodiversity, with special attention for sustainable tourism developments, sustainable use of freshwater fish stocks, and sustainable agricultural practices in association with inland water ecosystems, taking into account the ongoing work in response to the implementation of decisions V/24 and VI/13 of the Conference of the Parties, on sustainable use.

1.1.15. The Ramsar Secretariat should be invited to make available to Parties to the Convention on Biological Diversity, the Ramsar Convention guidelines for global action on peatlands, adopted at the eighth meeting of the Conference of the Contracting Parties to the Ramsar Convention.

Main partners

Ramsar Secretariat and STRP, River Basin Initiative, UNEP, UNESCO, International Water Management Institute (IWMI), subsidiary scientific bodies of UNFCCC, CCD and the Ramsar Convention, IPCC, WMO.

Other collaborators

Relevant international, regional and national organizations such as UNEP, International Council of Scientific Unions (ICSU), DIVERSITAS, IUCN, FAO.

GOAL 1.2: To establish and maintain comprehensive, adequate and representative systems of protected inland water ecosystems within the framework of integrated catchment/watershed/river-basin management

Context and linkages

Article(s) of the Convention on Biological Diversity: 8(a), (b), (c), (d) and (e)

Strategic Plan objective(s): 1.2, 1.5, 2.1, 3.1, 3.3 and 3.4

Related element(s) of first programme of work: paragraph 8(c)(vii)

Intra- and inter-programmatic linkages:

Goal 3.3 (National inventories and assessment)
Goal 3.6 (Further elaboration of Annex I)

Plan of Implementation of the World Summit: paragraph 32(c)

Objective

(a) Comprehensive, adequate and representative systems of protected inland water ecosystems (including all IUCN protected area categories, as appropriate) are developed and maintained within the framework of integrated catchment/watershed/river basin management.

(b) Where appropriate, transboundary, collaborative approaches to identifying, recognizing and managing protected inland water ecosystems are undertaken between neighbouring Parties.

Activities of the Parties

1.2.1. Provide, as appropriate, to the Executive Secretary, examples of protected-area establishment and management strategies that are supporting the conservation and sustainable use of inland water ecosystems.

1.2.2. Undertake the necessary assessments to identify priority sites for inclusion into a system of protected inland water ecosystems, applying in particular the guidance on operationalizing annex I of the Convention on Biological Diversity and its harmonized application with the criteria for identifying Wetlands of International Importance under the Ramsar Convention (see activity 3.2.3).

1.2.3. As part of activity 1.2.2 above, identify sites important for migratory species dependent on inland water ecosystems.

1.2.4. Develop incrementally, as the availability of resources and national priorities determine, and as part of an integrated catchment/watershed/river basin management approach, protected area systems (aquatic reserves, Ramsar sites, heritage rivers, etc.), which can contribute in a systematic way to the conservation and sustainable use of biological diversity, and to maintaining overall ecosystem function, productivity and "health" within each drainage basin.

1.2.5. As appropriate, work collaboratively with neighbouring Parties to identify, have formally recognized and managed, transboundary protected inland water ecosystems.

1.2.6. In undertaking activity 1.2.4 above, those Parties to the Convention on Biological Diversity that are also Parties to the Ramsar Convention should harmonize this work with the development of national networks of wetlands of international importance, which are comprehensive and coherent in line with the Ramsar strategic framework for the future development of the List of Wetlands of International Importance and taking into account ecological connectivity[160] and the concept, where appropriate, of ecological networks, in line with the programme of work on protected areas (decision VII/28).

Supporting activities of the Executive Secretary

1.2.7. Review and disseminate relevant information and guidance, including through the clearing-house mechanism, on national and transboundary experiences and case-studies to assist efforts in establishing and maintaining protected inland water ecosystems considering, *inter alia*:

(a) The range of resource materials and guidance available through the IUCN Commission on Protected Areas;

(b) The Ramsar Convention strategic framework for the future development of the List of Wetlands of International Importance, and its specific guidance in relation to the identification and designation of certain inland water ecosystem types such as karsts and subterranean hydrological systems, peatland, wet grasslands, etc;

(c) The new Ramsar guidelines on management planning for Ramsar sites and other wetlands, adopted by the Conference of the Contracting Parties to the Ramsar Convention at its eighth meeting; and

(d) Advice and guidance available from the UNESCO Man and the Biosphere programme, International Hydrological Programme (IHP) and World Heritage Centre.

1.2.8. In collaboration with the secretariats of the Convention on Migratory Species and the Ramsar Convention identify opportunities for collaborative work on protected area networks for migratory species dependent on inland water ecosystems, through the respective bilateral joint work plans.

Main partners

Ramsar Secretariat and STRP, CMS secretariat and Scientific Council, UNESCO-MAB, World Heritage Centre, IUCN.

Other collaborators

Relevant international, regional and national organizations, interested Parties and stakeholders.

160 The concept of connectivity may not be applicable to all Parties.

GOAL 1.3: To enhance the conservation status of inland water biological diversity through rehabilitation and restoration of degraded ecosystems and the recovery of threatened species

Context and linkages

Article(s) of the Convention on Biological Diversity: 8(f), 9(c), 10(d)

Strategic Plan objective(s): 1.2, 1.5, 2.1, 3.1, 3.3 and 3.4

Related element(s) of first programme of work: paragraph 8(c)(iv)

Intra- and inter-programmatic linkages:

Goal 1.1 (Integrating biodiversity conservation into water resource and river basin management). Apart from the clear benefits for biodiversity conservation that come from restoring or rehabilitating inland water ecosystems, there is the added benefit gained for overall "health" of catchment and river basins from reinstating these part of the natural water infrastructure.
Goal 1.2 (Protected areas)
Goal 2.1 (Integration into other sectors, etc.)

Plan of Implementation of the World Summit: paragraphs 26(c) and 37(d)

Objectives

(a) Degraded inland water ecosystems are rehabilitated or restored, where appropriate and possible.

(b) The conservation status of threatened species reliant on inland water ecosystems is improved.

Activities of the Parties

1.3.1. Provide, as appropriate, to the Executive Secretary case-studies, national experiences and any relevant local, national or regional guidance relating to the successful rehabilitation or restoration of degraded inland water ecosystems, and the recovery of threatened species.

1.3.2. Identify nationally priority candidate inland water ecosystems and/or sites for rehabilitation or restoration and proceed to undertake such works, as resources allow. In identifying potential candidate sites, consider the relative conservation status of the threatened species involved, and the potential gains for the overall ecosystem functioning, productivity and "health" within each drainage basin (see activity 1.2.4).

1.3.3. Identify nationally and then act, as appropriate, to improve the conservation status of threatened species, including migratory species, reliant on inland water ecosystems, (see activities 1.2.3 and 1.2.4), taking into account the programme of work on restoration and rehabilitation of degraded ecosystems being developed by the Conference of the Parties as part of its multi-year programme of work up to 2010.

Supporting activities

1.3.4. SBSTTA to prepare guidelines on promoting rehabilitation and restoration of inland water ecosystems, on the basis of the Ramsar principles and guidelines on wetlands restoration, the findings of the IUCN Species Survival Commission regarding the conservation status of threatened species reliant on inland water ecosystems, and other information provided by Parties (see activity 1.3.1).

Main partners

Ramsar Secretariat and STRP, Wetlands International, CMS Secretariat and Scientific Council, CMS-related agreements, IUCN, DIVERSITAS.

Other collaborators

MAB and other relevant international, regional and national organizations, and stakeholders.

GOAL 1.4: To prevent the introduction of invasive alien species, including exotic stocks that potentially threaten the biological diversity of inland water ecosystems, and to control and, where possible, eradicate established invasive species in these ecosystems

Context and linkages

Article(s) of the Convention on Biological Diversity: 7(c), 8(h), 8(l) and 14(a)

Strategic Plan objective(s): 1.2, 1.5, 2.1, 3.1, 3.3, 3.4, 4.1, 4.3 and 4.4

Related element(s) of first programme of work: paragraphs 8(c)(vi) and 9(h)

Intra- and inter-programmatic linkages:

Goal 2.1 (Integration with other sectors)
Goal 2.4 (Communication, education and public awareness)
Goals 3.2 and 3.3 (Assessments)

Objective

Through national biodiversity strategies and action plans and other relevant national and regional policies, programmes and plans undertake appropriate actions to prevent invasive alien species, which threaten the biological diversity of inland water ecosystems, from spreading and either control or eradicate them where invasion has already taken place.

Activities of the Parties

1.4.1. Promote and implement relevant guidelines and/or guiding principles in relation to invasive alien species making use of the expert guidance available such as through the "toolkit" of the Global Invasive Species Programme (GISP), the Scientific Committee on Problems of the Environment of the International Council of Scientific Unions (ICSU), and other sources referred to under the heading "Supporting activities" below.

1.4.2. Provide the Executive Secretary, as appropriate, with examples of the impacts of invasive alien species and of programmes used to control their introduction and mitigate negative consequences on inland water ecosystems, especially at the catchment, watershed and river-basin levels.

1.4.3. Raise awareness, as part of communication, education and public awareness-raising activities (see goal 2.4) of the possible problems and costs associated with the deliberate or accidental introduction of alien species, including exotic stocks and alien genotypes and genetically modified organisms that potentially threaten aquatic biological diversity, taking into consideration the Cartagena Protocol on Biosafety to the Convention on Biological Diversity.

1.4.4. Within the context of transboundary catchments, watershed and river-basin management, and especially in relation to inter-basin water transfers, provide appropriate mechanisms to prevent the spread of invasive alien species.

1.4.5. Prevent the introduction of invasive alien species and restore, where appropriate, indigenous wild-capture fisheries stocks in preference to other aquaculture developments.

Supporting activities

1.4.6. In collaboration with the Global Invasive Species programme (GISP), the Executive Secretary should implement the project on assessment of impacts of invasive alien species in inland waters[161] and make proposals on future assessments for consideration by SBSTTA.

1.4.7. The Ramsar Secretariat should be requested to make available to Parties to the Convention on Biological Diversity the results of the consideration of the issue of invasive alien species in wetlands at the eighth meeting of the Contracting Parties to the Ramsar Convention.

1.4.8. The Executive Secretary should compile information provided by Parties pursuant to activity 1.4.2 above and other suitable information products including the FAO Code of Conduct for Responsible Fisheries and that prepared by the Ramsar Secretariat, Commonwealth Secretariat, and IUCN for the communications and awareness-raising project on African wetland invasive alien species.

1.4.9. CITES, the Ramsar STRP, TRAFFIC and other appropriate collaborators should be invited to advise Parties on the impact of the aquarium trade and the use of exotic pasture grasses on the conservation of biodiversity in inland water ecosystems and make the results of this study available to Parties.

Partners

GISP, ICSU-SCOPE.

Other collaborators

Secretariat and STRP of the Ramsar Convention and its STRP, CITES, TRAFFIC, Commonwealth Secretariat, FAO, IUCN, UNEP-WCMC, IWMI, WorldFish Center.

161 The project brief was distributed at the seventh meeting of SBSTTA (UNEP/CBD/SBSTTA/7/3).

PROGRAMME ELEMENT 2: INSTITUTIONAL AND SOCIO-ECONOMIC ENABLING ENVIRONMENT

GOAL 2.1: To promote the integration of conservation and sustainable use of the biological diversity of inland water ecosystems into relevant sectoral and cross-sectoral plans, programmes, policies and legislation

Context and linkages

Article(s) of the Convention on Biological Diversity: 6(a) and (b), 14.1(b) and 18.1, 24.1(d)

Strategic Plan objective(s): 1.2, 1.3, 1.5, 2.1, 3.1, 3.3, 3.4, 4.1, 4.3 and 4.4

Related element(s) of first programme of work: 9(a)(i), 9(e)(ii), 9(g), 9(j), 9(l)(iii), 9(m)(iv) and (v)

Intra- and inter-programmatic linkages

Goal 3.5 (Environmental impact assessments).

Plan of Implementation of the World Summit: paragraphs 32(e) and 40(b).

Objectives:

(a) Relevant sectoral plans, programmes, policies and legislation are compatible with, and where appropriate supportive of, plans, policies, programmes and laws for the conservation and sustainable use of the biological diversity of inland waters.

(b) Strategic environmental assessments are operating to ensure national institutional arrangements (plans, programmes, policies and legislations) are supporting the implementation of this programme of work.

(c) The national implementation of relevant multilateral environment agreements that relate to inland water biodiversity and ecosystems is taking place in an integrated, efficient and effective way.

Activities of the Parties

2.1.1. Undertake reviews and introduce reforms to policies, legal and administrative frameworks as necessary, in order to integrate the conservation and sustainable use of inland water biodiversity into the mainstream of government, business, and societal decision-making.

2.1.2. Apply, as urged by decision VI/7, the guidelines for incorporating biodiversity-related issues into environmental impact assessment legislation and/or processes (see goal 3.3) and in strategic environmental assessment.

2.1.3. Review institutional arrangements (policies, strategies, focal points and national reporting approaches) for national implementation of relevant multilateral environment agreements (see objective (c) above) and introduce reforms to streamline and, where appropriate, integrate implementation.

2.1.4. Provide the Executive Secretary with case-studies and information on lessons learned from policy, legal and institutional review and reform processes relating to

inland water biodiversity and ecosystems, including measures taken to harmonize national implementation of the relevant multilateral environment agreements.

Supporting activities of the Executive Secretary

2.1.5. Identify and make available to Parties, guidance, case-studies and lessons learned, including those relating to the practical application of strategic environmental assessment, to assist in reviewing and fine-tuning institutional frameworks (plans, programmes, policies and legislations) for the conservation and sustainable use of the biological diversity of inland waters.

2.1.6. Continue to support and participate in the WCMC-led project on harmonizing information management between the five biodiversity-related Conventions (Convention on Biological Diversity, Ramsar Convention, CITES, CMS and the World Heritage Convention).

2.1.7. Together with other relevant multilateral environmental agreements and interested Parties, seek the resources to establish working models (demonstration sites) show-casing the collaborative implementation of activities to achieve the complementary objectives of several multilateral environmental agreements.

Main partners

International Association for Impact Assessment (IAIA), Ramsar Secretariat and STRP, UNFCCC, UNCCD, CITES, CMS, World Heritage, UNESCO MAB, WCMC.

Other collaborators

International Water Management Institute (IWMI), other relevant international, regional and national organizations, interested Parties and other stakeholders.

GOAL 2.2: To encourage the development, application and transfer of low-cost appropriate technology, non-structural and innovative approaches to water resource management and the conservation and sustainable use of the biological diversity of inland water ecosystems, taking into account any decision taken by the Conference of the Parties at its seventh meeting on technology transfer and cooperation

Context and linkages

Article(s) of the Convention on Biological Diversity: 16 and 17

Strategic Plan objective(s):

Related element(s) of first programme of work: 9(b)(i) and (ii) and 9(c)

Intra- and inter-programmatic linkages: All others.

Plan of Implementation of the World Summit: paragraphs 9(e), 10(a), 25(a), (c) and (d), 26(e) and (f), 28, 41(a) and 54(l)

Objectives

(a) Promote the development, documentation and transfer of appropriate technologies and approaches to water-resource management and the conservation and sustainable use of the biological diversity of inland water ecosystems.

(b) Apply, as appropriate, the technologies and approaches identified and made available in response to the above objective.

Activities of the Parties

2.2.1. Make available to the Executive Secretary information on appropriate technologies and effective approaches to managing biodiversity of inland water ecosystems for transfer to other Parties.

2.2.2. Encourage the use of low-cost (appropriate) technology, non-structural and innovative approaches, and, where appropriate and through prior informed consent in accordance with national laws traditional or indigenous practices for inland water biodiversity assessment and to meet watershed management goals, such as using wetlands to improve water quality, using forests and wetlands to recharge groundwater and maintain the hydrological cycle, to protect water supplies and using natural floodplains to prevent flood damage, and to use, whenever possible, indigenous species for aquaculture.

2.2.3. Encourage the development of preventative strategies such as cleaner production, continual environmental improvement, corporate environmental reporting, product stewardship and environmentally sound technologies to avoid degradation and promote maintenance, and, where applicable, restoration of inland water ecosystems.

2.2.4. Emphasize more effective conservation and efficiency in water use, together with non-engineering solutions. Environmentally appropriate technologies should be identified, such as low-cost sewage treatment and recycling of industrial water, to assist in the conservation and sustainable use of inland waters.

Supporting activities of the Executive Secretary

2.2.5. Through the clearing-house mechanism, make available to Parties information on appropriate technologies and approaches to water resource management and the conservation and sustainable use of the biological diversity of inland water ecosystems.

2.2.6. Through partnerships with relevant organizations seek to provide Parties with access to the latest technologies and innovative management approaches relating to programme elements 1 and 3 developed by the private sector, catchment-management bodies and others actively engaged in integrated water resource management.

Main partners

Challenge Programme on Water and Food of the Consultative Group for International Agricultural Research (CGIAR), the International Water Management Institute, Ramsar Secretariat and STRP.

Other collaborators

Relevant international, regional and national organizations. interested Parties and stakeholders.

GOAL 2.3: To provide the appropriate incentives and valuation measures to support the conservation and sustainable use of inland water biological diversity, and to remove, or reform appropriately, any perverse incentives opposing such conservation and sustainable use of ecosystems, as it relates to biodiversity conservation[162]

Context and linkages

Article(s) of the Convention on Biological Diversity: 11

Strategic Plan objectives: 1.2, 1.3, 1.5, 3.1, 3.3 and 3.4

Related element(s) of first programme of work: paragraphs 8(d), 9(f)(i) and (iii), 9(m)

Intra- and inter-programmatic linkages:

Goal 2.1—in relation to strategic environmental assessment.

Plan of Implementation of the World Summit: Articles 26(b) and 40(k)

Objectives

(a) Apply for inland water biological diversity the proposals for the design and implementation of incentive measures (as endorsed through decision VI/15 of the Conference of the Parties to the Convention on Biological Diversity and contained in annex I of that decision).

(b) Encourage valuation of the full range of goods and services provided by inland water biological diversity and ecosystems in development proposals and with respect to applying incentive measures, and the identification and removal or modification of perverse incentives.

Activities of the Parties

2.3.1. Apply to inland water ecosystems the proposals for the design and implementation of incentive measures, including identification and removal or mitigation of perverse incentives, as endorsed by the Conference of the Parties in decision VI/15 and taking into account land-tenure systems. In particular:

(a) Review the range and effectiveness of national incentives, subsidies, regulations, and other relevant financial mechanisms, which can affect inland water ecosystems, whether adversely or beneficially;

(b) Redirect, as appropriate, financial support measures that run counter to the objectives of the Convention regarding the biological diversity of inland waters;

(c) Implement targeted incentive and regulatory measures that have positive impacts on the biological diversity of inland waters;

(d) Develop the policy research capacity needed to inform the decision-making process in a multidisciplinary and sectorally integrated manner;

(e) Encourage the identification of the interdependence between conservation and sustainable use of inland water ecosystems and sustainable development;

162 Implementation of this programme of work should not promote incentives that negatively affect the biodiversity of other countries.

(f) At appropriate levels (regional, national, subnational and local), encourage the identification of stressed inland waters, the allocation and reservation of water for the maintenance of ecosystem functions, and the maintenance of environmental flows as an integral component of appropriate legal, administrative and economic mechanisms.

2.3.2. In accordance with decision VI/15, submit case-studies, lessons learned and other information on positive or perverse incentives, land-use practices and tenure relating to inland water biodiversity to the Executive Secretary. Include within this submission national experiences and guidance in relation to water rights, markets and pricing policies.

2.3.3. Undertake comprehensive valuations of the goods and services of inland water biodiversity and ecosystems, including their intrinsic, aesthetic, cultural, socio-economic and other values, in all relevant decision-making across the appropriate sectors (see also goal 3.3 in relation to environmental, cultural and social impact assessments).

Supporting activities

2.3.4. The Ramsar STRP should be invited to consider the proposals of the Conference of the Parties to the Convention on Biological Diversity for the design and implementation of incentive measures (as endorsed through decision VI/15) and identify ways and means to see this guidance developed further, specifically for inland water ecosystems.

2.3.5. SBSTTA should compile and disseminate studies on valuation of inland water ecosystem goods and services; and identify ways and means to further integrate the use of economic valuation into national inland water-related plans, programmes and policies (e.g., within integrated water management approaches) as a core component of policy reform.

2.3.6. In collaboration with key partners such as OECD, International Association for Impact Assessment (IAIA), IUCN, WWF, the Ramsar STRP and Secretariat and relevant stakeholders, the Executive Secretary should compile information on relevant guidance, resource kits and other information on incentive measures, including that relating to the development of incentives options through water rights, markets, pricing policies and land use and tenure. More specifically, he may wish to:

(a) Compile and disseminate case-studies and best practices on the use of incentive measures for the management of inland water ecosystem goods and services;

(b) Further explore the advantages and disadvantages of wetland mitigation banking, including the identification of institutional requirements, possible shortcomings and limitations;

(c) Further explore the respective advantages and disadvantages of tax/charge approaches as well as their interaction, including the identification of institutional requirements, possible shortcomings and limitations;

(d) Identify ways and means to further integrate the use of incentive measures into inland water-related plans, programmes and policies, including opportunities for the removal or mitigation of perverse incentives;

(e) Further monitor recent discussions on incentive measures with a view to identifying other measures of specific use for the sustainable management of inland water ecosystems.

Main partners

Secretariat and STRP of the Ramsar Convention on Wetlands, IUCN, WWF, IWMI.

Other collaborators

Relevant international, regional and national organizations and interested Parties.

GOAL 2.4: To implement the programme of work for the Global Initiative on Communication, Education and Public Awareness (as adopted by the Conference of the Parties to the Convention on Biological Diversity in its decision VI/19), giving particular attention to matters relating to the conservation and sustainable use of the biological diversity of inland water ecosystems

Context and linkages

Article(s) of the Convention on Biological Diversity: 13

Strategic Plan Objectives: 3.1, 3.4, and 4.1

Related element(s) of first programme of work: paragraph 9(i)

Intra- and inter-programmatic linkages: Programme of work for the Global Initiative on Communication, Education and Public Awareness (as adopted by the Conference of the Parties in decision VI/19)

Plan of Implementation of the World Summit: paragraphs 7(c) and 41(d)

Objectives

(a) Comprehensive and well-targeted national programmes for communication, education and public awareness for the conservation and sustainable use of the biological diversity of inland water ecosystems are put in place and operate effectively.

(b) Key national, catchment/river basin and local-level decision makers and stakeholders are identified and appropriate communication mechanisms are established between them.

Activities of the Parties

2.4.1. Review the Global Initiative on Communication, Education and Public Awareness (CEPA) contained in decision VI/19 with a view to identifying how best to promote its application for supporting the implementation of the programme of work on inland water biological diversity, as appropriate, taking into account the second CEPA programme adopted by the Conference of the Contracting Parties to the Ramsar Convention at its eighth meeting.

2.4.2. In undertaking activity 2.4.1, identify case-studies and best practices and provide these to the Executive Secretary to be made available to other Parties.

2.4.3. Ensure effective working linkages between the focal points for the Convention on Biological Diversity, and the Ramsar (government and non-government) focal points for wetlands communication, education and public awareness, including the amalgamation, at a national level, of communication, education and public awareness (CEPA) programmes under both conventions.

2.4.4. Identify key national, catchment/river basin and local-level decision makers and stakeholders and establish appropriate communication and awareness raising mechanisms to ensure they are all informed of, and supporting through their actions, the implementation of this programme of work.

2.4.5. Undertake suitable initiatives to enhance awareness of the knowledge held by indigenous and local communities and the appropriate procedures, such as prior informed consent, for accessing such knowledge in accordance with national legislation on access to traditional knowledge.

2.4.6. Review, and as necessary reform, formal educational curricula to ensure they are operating to inform and educate about the conservation and sustainable use of the biological diversity of inland water biological diversity.

See also activity 3.1.5 in relation to the communication of research findings.

Supporting activities of the Executive Secretary

2.4.7. In collaboration with key partners and collaborators, review the global initiative on communication, education and public awareness and develop and make available guidance for Parties on how best to promote its application for supporting this programme of work.

2.4.8. Pursuant to activity 2.4.2, make available to Parties case-studies, advice on best practice approaches, plus other sources of information and expertise in the field of communication, education and public awareness.

Main partners

UNEP, UNESCO, Ramsar Secretariat and CEPA Working Group, IUCN, Wetlands International.

Other collaborators

Ramsar national focal points for communication, education and public awareness, other multilateral environmental agreements, relevant international, regional and national organizations and donor agencies.

GOAL 2.5: Promote the effective participation of indigenous and local communities and relevant stakeholders in the conservation and sustainable use of biological diversity of inland water ecosystems in accordance with national laws and applicable international obligations

Context and linkages

Article(s) of the Convention on Biological Diversity: 8(j), 10, 17, 18

Strategic Plan objectives: 4.3

Related element(s) of first programme of work: 9(l)

Intra- and inter-programmatic linkages:

Goal 2.1 (Integration with other sectors etc)
Goal 3.3 (Cultural, environmental and social impact assessment)

Plan of Implementation of the World Summit: paragraphs 7(c), 24, 40(b), (d) and 66(a)

Objective

Relevant national stakeholders, including representatives of indigenous and local communities, are involved, as far as appropriate, in the policy-making and in the planning, implementation and monitoring of the implementation of the programme of work.

Activities of the Parties

2.5.1. Promote effective participation of indigenous and local communities in accordance with Article 8(j) in the development of management plans and in the implementation of projects that may affect inland water biological diversity.

2.5.2. Implement Article 8(j) as related to inland water biological diversity.

2.5.3. Promote the full and effective participation and involvement of indigenous and local communities and relevant stakeholders as appropriate, in policy-making, planning and implementation in accordance with national laws.

2.5.4. Implement capacity-building measures to facilitate the participation of indigenous and local communities and the application of traditional knowledge favourable to the conservation of biodiversity, with their prior informed consent in accordance with national laws, in the management, conservation and sustainable use of biological diversity of inland water ecosystems.

Activities of the Executive Secretary

2.5.5. Promote the implementation of the programme of work and decisions of the Conference of the Parties on Article 8(j) and related provisions.

Main partners

FAO and other relevant organizations.

PROGRAMME ELEMENT 3: KNOWLEDGE, ASSESSMENT AND MONITORING

GOAL 3.1: To develop an improved understanding of the biodiversity found in inland water ecosystems, how these systems function, their ecosystem goods and services and the values they can provide

Context and linkages

Article(s) of the Convention on Biological Diversity: 5, 7, 12, 14, 17 and 18

Strategic Plan objectives: 1.2, 1.3, 2.1, 2.5, 3.1, 3.3 and 3.4

Related element(s) of first programme of work: paragraphs 1, 8(a), 9(d), 13, 15(b), 16, 18 and 21

Intra- and inter-programmatic linkages:

Goal 1.1 relates to implementation of the ecosystem approach
Goal 2.4 (Communication, education and public awareness) is relevant also. This goal also has links with all other goals under programme element 3.

Plan of Implementation of the World Summit: paragraph 40(c)

Objectives

(a) Develop an improved picture of the status and trends of the biological diversity of inland waters, its uses, taxonomy and threats and ensure adequate dissemination of this information.

(b) Establish, maintain and further develop expertise in inland water biological diversity and ecosystems.

Activities of the Parties

3.1.1. Encourage, and where possible support, applied research to gain an improved understanding of the status, trends, taxonomy and uses of biological diversity in inland water ecosystems, including transboundary systems where applicable.

3.1.2. Promote research to improve the understanding of the social, economic, political and cultural drivers within civil society that are directly impacting on the conservation and sustainable use of the biological diversity of inland waters.

3.1.3. In line with the Global Taxonomy Initiative (GTI) encourage studies aimed at improving the understanding of the taxonomy of the biological diversity of inland water ecosystems.

3.1.4. Support efforts to achieve international consistency and interoperability of taxonomic nomenclature, databases and metadata standards, as well as data-sharing policies.

3.1.5. As part of national communication, education and public awareness activities/programme (see goal 2.4), provide mechanisms for disseminating research findings to all relevant stakeholders, in a form which will be most useful to them. Make this same information available to the Executive Secretary for sharing with other Parties.

Supporting activities of the Executive Secretary

3.1.6. Strengthen working partnerships with appropriate organizations and institutions which undertake, or can assist in mobilizing, research efforts leading to an improved understanding of the biodiversity and functioning of inland water ecosystems, and the practical application of the ecosystem approach.

3.1.7. As part of the agreed programme of work for the GTI, support and assist, in collaboration with suitable partners, the development of the series of regional guides to the taxonomy of freshwater fish and invertebrates (including adult ter-

restrial forms where appropriate) as an input to ecosystem monitoring for river and lake health (as specified by decision VI/8 of the Conference of the Parties to the Convention on Biological Diversity).

3.1.8. Further develop methods and techniques for the valuation of goods and services of inland water ecosystems, incentives and policy reform, and the understanding of ecosystem function.

Main partners

IUCN, UNEP, WCMC, WRI, FAO, World Fisheries Trust.

Collaborators

Global International Waters Assessment (GIWA), World Water Assessment Programme (WWAP), Millennium Ecosystem Assessment, FAO, Global Environmental Outlook, Global Biodiversity Information Facility (GBIF), WRI, Conservation International, (Japan) BioNET International, and other relevant international, regional and national organizations and stakeholders.

GOAL 3.2: To develop, based on inventories, rapid and other assessments applied at the regional, national and local levels, an improved understanding of threats to inland water ecosystems and responses of different types of inland water ecosystems to these threats

Context and linkages

Article(s) of the Convention on Biological Diversity: 7(a), (c) and (d)

Strategic Plan objectives: 2.1, 3.1, 3.3 and 3.4

Related element(s) of first programme of work: paragraphs 6, 7, 8 (b), 9(e)(i)–(iv) and 9(m)(v), 12, 19 and 20

Intra- and inter-programmatic linkages:

Goal 1.2. (Integrating biodiversity conservation into water management)
Goal 1.3. (*In situ* conservation through protected areas)
Goals 3.3. and 3.4.

Plan of Implementation of the World Summit: paragraph 66(c)

Objectives

(a) Assessments and inventories of inland water biodiversity undertaken, including the urgent identification of stressed inland water ecosystems and those mentioned in Annex I of the Convention.

(b) Rapid assessments, using suitable indicators, being undertaken for inland water biodiversity, in particular in small island developing States and States where inland water ecosystems suffer from ecological disasters and urgent provision of support to develop and implement national strategies for the prevention and mitigation of ecological disasters in inland water ecosystem types.

(c) Build national capacity for undertaking the above-mentioned assessments through appropriate mechanisms.

See also goal 3.3 in relation to environmental, cultural and social impact assessments.

Activities of the Parties

3.2.1. In accordance with the priorities set down in national biodiversity strategies and action plans, undertake comprehensive national inventories and assessments of inland water biological diversity, which may be regarded as important in accordance with the terms of Annex I of the Convention. Furthermore, undertake assessments of threatened habitats and species, and conduct inventories and impact assessments of alien species in inland water ecosystems using the guidelines adopted by the Conference of the Parties in decision VI/7 A. The transboundary nature of many inland water ecosystems should be fully taken into account in assessments, and it may be appropriate for relevant regional and international bodies to contribute to such assessments.

3.2.2. Identify the most cost-effective approaches and methods to describe the status, trends and threats of inland waters and indicate their condition in functional as well as species terms.

3.2.3. Adopt an integrated approach in the assessment, management and, where possible, remedial actions of inland water ecosystems, including associated terrestrial and in-shore marine ecosystems. It should be noted that:

(a) Assessments should involve all stakeholders, including indigenous and local communities, should be cross-sectoral and should make full use of indigenous knowledge based on prior informed consent;

(b) Suitable organisms should be identified as being particularly important in the assessment of inland water ecosystems. Ideally, such groups (taxa) should meet the following criteria:

  (i) The group should contain a reasonable number of species with varied ecological requirements;
  (ii) The taxonomy of the group should be reasonably well understood;
  (iii) The species should be easy to identify;
  (iv) The group should be easy to sample or observe so that density - absolute or as indices—can be assessed, used objectively and treated statistically;
  (v) The group should serve as indicators of overall ecosystem health or indicators of the development of a key threat to ecosystem health;[163]

(c) In view of the great economic importance of some groups (e.g. inland water fish species and aquatic macro-invertebrates), and of the large gaps in taxonomic knowledge for many species, capacity-building in taxonomy should focus on inland water biodiversity of economic as well as ecological importance.

3.2.4. Apply the rapid assessment guidelines for national circumstances and adapt these as necessary to suit current and emerging priorities. In accordance with

163 See decision IV/4, annex I, paragraph 15.

SBSTTA recommendation II/1, endorsed by the Conference of the Parties in decision III/10, assessments should be simple, inexpensive, rapid and easy to use. Such rapid assessment programmes will never replace thorough inventories.

3.2.5. Seek the resources, opportunities and mechanisms to build national capacity for undertaking assessments and inventories.

3.2.6. Promote the development of criteria and indicators for the evaluation of the impacts on inland water ecosystems from both physical infrastructure projects and watershed activities, including, *inter alia*, agriculture, forestry, mining and physical alteration, taking into consideration the natural variability of water conditions.[164]

3.2.7. Promote, in close cooperation with indigenous and local communities, the development of global social indicators in accordance with decision VII/30 relevant to the implementation of the programme of work on inland water biological diversity and their review through the Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions.

3.2.8. Develop means of identifying and protecting groundwater recharge areas, groundwater aquifers, and surface waters fed by groundwater discharges.

3.2.9. Assessments should be carried out with a view to implementing other articles of the Convention and, in particular, to addressing the threats to inland water ecosystems within an appropriate framework such as that included in paragraphs 39–41 of the note by the Executive Secretary on options for implementing Article 7 of the Convention prepared for the third meeting of the Conference of the Parties (UNEP/CBD/COP/3/12). Of particular importance is the undertaking of environmental impact assessments on biological diversity of development projects involving inland water ecosystems.

Supporting activities

3.2.10. Make available to Parties guidelines for rapid, simple, inexpensive, and easy-to-use assessments of inland water biological diversity, taking into account the different types of such ecosystems and regional considerations, and giving special consideration to the priority needs of small island developing States, and States in which inland water ecosystems are suffering from ecological disasters.

3.2.11. In collaboration with the Ramsar Convention and other partners, make available to Parties guidance for:

(a) Undertaking national inventories and assessments of inland water biological diversity;

(b) The identification of stressed inland water ecosystems;

(c) The national elaboration of Annex I of the Convention on Biological Diversity in relation to biological diversity of inland waters;

(d) A list of indicators grouped as driver, state, impact, and response to pressures on biological diversity of inland water ecosystems (taking into account the implementation of decision VI/7 B of the Conference of the Parties to the Convention on Biological Diversity, on monitoring and indicators).

164 See decision IV/4, annex I, paragraph 9(e)(ii).

3.2.12. Through continued collaboration with global and regional assessments including, but not restricted to, the Global International Waters Assessment (GIWA), the World Water Assessment Programme (WWAP), the Millennium Ecosystem Assessment, the FAO Fisheries Assessment, the Global Environmental Outlook (GEO), the Global Biodiversity Information Facility (GBIF), the report on State of the World's Plant and Animal Resources and the IUCN Freshwater Biodiversity Assessment and Red List of Threatened Species, seek to advance the generation of information on status and trends that can assist and support global, transboundary and national priority setting processes for the conservation and sustainable use of inland water biodiversity.

3.2.13. Make available to Parties information on the various global and regional assessments referred to in activity 3.2.10, and how these may offer information to support the implementation of national biodiversity strategies and action plans in relation to inland waters.

Main partners

Ramsar Secretariat and STRP of the Ramsar Convention on Wetlands, Conservation International.

Other collaborators

UNESCO (SIDS programme), GIWA and WWAP, the Millennium Ecosystem Assessment and other relevant international, regional and national organizations particularly those active in the small island States. Relevant international, regional and national organizations.

GOAL 3.3: To ensure projects and actions with the potential to impact negatively on the biological diversity of inland water ecosystems are subjected, in accordance with national legislation and where appropriate, to suitably rigorous impact assessments, including consideration of their potential impact on sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities

Context and linkages

Article(s) of the Convention on Biological Diversity: 14

Strategic Plan objectives: 2.1, 3.1, 3.3 and 3.4

Related element(s) of first programme of work: paragraphs 9(e)(ii), 18, and 20

Intra- and inter-programmatic linkages:

> Goal 2.1 Strategic environmental assessments are a core part of integrating biodiversity conservation considerations into national institutions and programmes. This element of the inland waters programme of work is a further elaboration for the cross-cutting work on impact assessment being pursued by the Convention.

Plan of Implementation of the World Summit: paragraph 37

Objectives

(a) Undertake environmental impact assessments, in accordance with national legislation and where appropriate, for all projects with the potential to impact on the biological diversity of inland water ecosystems, ensuring that these take into account the "inter-related socio-economic, cultural and human-health impacts, both beneficial and adverse."[165]

(b) Conduct cultural, environmental, and socio-economic impact assessments, in accordance with national legislation and where appropriate, regarding developments proposed to take place on, or which are likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities, in accordance with section VII/16 (Akwé: Kon Voluntary Guidelines for the Conduct of Cultural, environmental and Social Impact Assessment Regarding Developments Proposed to Take place on, or which are Likely to Impact on, Sacred Sites and on Lands and Waters Traditionally Occupied or Used by Indigenous and Local Communities).

Activities of the Parties:

3.3.1. Taking into account decision VI/7A of the Conference of the Parties to the Convention on Biological Diversity, on guidelines for incorporating biodiversity-related issues into environmental impact assessment legislation and/or processes and in strategic environmental assessment, and decision VII/16, on Article 8(j) and related provisions, including the annex, decision VII/16, containing the Akwé: Kon Voluntary Guidelines for the Conduct of Cultural, Environmental, and Social Impact Assessment Regarding Developments Proposed to Take Place on, or which are Likely to Impact on, Sacred Sites and on Lands and Waters Traditionally Occupied or used by Indigenous and Local Communities:

(a) Apply environmental impact assessments on water-development projects, aquaculture and watershed activities, including agriculture, forestry and mining, and best predictions with well designed sampling schemes that can adequately distinguish the effects of anthropogenic activities from natural processes;

(b) Strengthen efforts to apply environmental impact assessments, not only of individual proposed projects, but also taking into account effects of existing and proposed developments on the watershed, catchment or river basin; and

(c) Incorporate, where appropriate, environmental flow assessments into impact assessment processes for any projects with the potential to have negative effects on inland water ecosystems, and also undertake baseline ecosystem assessments in the planning phase to ensure that the necessary basic data will be available to support the environmental impact assessment process and the development of effective mitigation measures if necessary.

3.3.2. Apply the recommendations for the conduct of cultural, environmental, and social impact assessments regarding developments proposed to take place on, or which are likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities.

165 Paragraph 1 (a) of the annex to decision VI/7 A.

3.3.3. For transboundary inland water ecosystems, undertake, where feasible and appropriate and by agreement between the Parties concerned, collaborative impact and environmental flow assessments when applying the Convention's guidelines for incorporating biodiversity-related issues into environmental impact assessment legislation and/or processes and in strategic environmental assessment.

Supporting activities of the Executive Secretary

3.3.4. Collaborate with the International Association for Impact Assessment (IAIA) and other relevant organizations to contribute to the implementation of decision VI/7 A on further development and refinement of the guidelines, particularly to incorporate all stages of the environmental impact assessment processes taking into account the ecosystem approach.

3.3.5. Compile:

(a) Information on impact assessment and other methodologies that address inland water biological diversity issues in an adaptive management framework; and

(b) Examples of the impacts of invasive alien species and of programmes used to control their introduction and mitigate negative consequences on inland water ecosystems especially at the watershed, catchment and river-basin level.

Main partners

IAIA, Ramsar Convention Secretariat and STRP, IUCN, Conservation International.

The Ramsar Secretariat is expected to share with the Executive Secretary of the Convention on Biological Diversity the resolutions of the eighth meeting of the Conference of the Contracting Parties to the Ramsar Convention concerning the guidelines for integrating biodiversity considerations into environmental impact assessment legislation and/or processes and in strategic impact assessment, annexed to decision VI/7 A.

Other collaborators

Other relevant international, regional and national organizations, interested Parties and stakeholders.

GOAL 3.4: To introduce and maintain appropriate monitoring arrangements to detect changes in the status and trends of inland water biodiversity

Context and linkages

Article(s) of the Convention on Biological Diversity: 7(b)

Strategic Plan objectives: 2.1, 3.1, 3.3 and 3.4

Related element(s) of first programme of work: New element

Intra- and inter-programmatic linkages:

Goal 3.2—Indicators, national inventories, rapid and other assessments

Plan of Implementation of the World Summit: paragraph 66(c)

Objective

Establish and maintain national monitoring programmes for the components of inland water biodiversity, paying particular attention to those requiring urgent conservation measures and those which offer the greatest potential for sustainable use.

Activities of the Parties

3.4.1. Introduce appropriate monitoring regimes based on the Convention on Biological Diversity and other guidance for priority inland water biodiversity and ecosystems in the first instance, taking into account the implementation of decisions VI/7 A–C on identification, monitoring, indicators and assessments and possible adoption by the Conference of the Parties at its seventh meeting of principles for developing and implementing national-level monitoring and indicators.

Supporting activities of the Executive Secretary

3.4.2. Develop a proposal on the establishment of monitoring programmes for inland water ecosystems taking into account existing guidance, including the Ramsar Convention guidance, relating to the establishment of monitoring programmes for wetland sites.

Lead partners

Ramsar Convention Secretariat and STRP.

Other collaborators

Relevant international, regional and national organizations and stakeholders.

DECISION VII/5 | Marine and coastal biological diversity

Review of the programme of work on marine and coastal biodiversity

The Conference of the Parties

1. *Takes note* that progress has been made in the implementation of the programme of work at the national, regional and global levels and that facilitation of implementation has been undertaken by the Secretariat;

2. *Recognizes* that the programme of work on marine and coastal biological diversity must incorporate a diverse range of tools and approaches and address the three objectives of the Convention, and notes the need to ensure integration between the programmes of work on protected areas and on marine and coastal biological diversity, and in particular the programme element on marine and coastal protected areas, to ensure effective coordination in their implementation;

3. *Agrees* that the programme of work on marine and coastal biological diversity should be applied and interpreted consistently with national law, and where applicable, international law, including the United Nations Convention on the Law of the Sea;

4. *Decides* that the programme elements of the programme of work still correspond to global priorities, which are not fully implemented, and therefore *extends* the time period of the programme of work by an additional six years, taking into account the multi-year programme of work of the Conference of the Parties up to 2010;

5. *Notes* that the programme of work has been refined to take into account recent developments and new priorities and *endorses* for the guidance of Parties and any other relevant organizations or bodies the elaborated programme of work as presented in annex I to the present decision and its appendices 1-5, noting that Parties will implement those suggested activities that are consistent with their national priorities;

6. *Welcomes* the entry into force of the Agreement on the Conservation of Albatrosses and Petrels, and *notes* the adoption of the International Convention for the Control and Management of Ships' Ballast Water and Sediments under the International Maritime Organization and *encourages* Parties to the Convention on Biological Diversity and other Governments to consider ratifying these treaties;

7. *Agrees* that further technical advice is required to support the implementation of the programme elements related to sustainable use and to support the work of developing countries in achieving sustainable use of their marine and coastal areas, including in relation to tourism and fishing, and *requests* the Executive Secretary to work with the Food and Agriculture Organization of the United Nations and other relevant organizations to develop that advice and support;

8. *Taking into account* the report of the Ad Hoc Technical Expert Group on biodiversity and Climate Change and the recommendations of the Subsidiary Body on Scientific, Technical and Technological Advice at its ninth meeting and decision VII/15 of the Conference of the Parties at its seventh meeting on biodiversity and climate change, *agrees* that the programme of work on marine and coastal biodiversity should address issues related to biodiversity and climate change, and *further encourages* Parties to make use of it as relevant source of useful information and take measures to manage coastal and marine ecosystems, including mangroves, seagrass beds and coral reefs so as to maintain their resilience to extreme climatic events;

9. Recognizing the particular significance of this programme of work to small island developing States, *invites* funding institutions, and development agencies to provide financial support for the implementation of the elaborated programme of work on marine and coastal biodiversity, and its annexes and appendices.

Marine and coastal protected areas

10. *Welcomes* the report of the Ad Hoc Technical Expert Group on Marine and Coastal Protected Areas (UNEP/CBD/SBSTTA/8/INF/7),[166] *expresses its gratitude* to the Governments of New Zealand and the United States of America, and the World Conservation Union (IUCN), for their financial, organizational and technical support for this work, and *expresses its gratitude* to the Chair and members of the Ad Hoc Technical Expert Group for their work;

11. *Notes* that marine and coastal biodiversity is under rapidly increasing and locally acute human pressure, such that globally, regionally and nationally marine and coastal biodiversity is declining or being lost. One of the reasons for this level of threat is the very low level of development of marine and coastal protected areas;

12. *Notes* that marine and coastal protected areas have been proven to contribute to:

(a) Protecting biodiversity;

(b) Sustainable use of components of biodiversity; and

(c) Managing conflict, enhancing economic well-being and improving the quality of life;

13. *Notes* that there are increasing numbers of marine and coastal protected areas, but in many cases they have not been effective because of problems related to their management (including as a result of lack of resources), size and habitat coverage;

14. *Notes also* that according to available data, marine and coastal ecosystems are severely underrepresented as protected areas, and these protected areas probably protect a very small proportion of marine and coastal environments globally and consequently make a relatively small contribution to sustainable management of marine and coastal biodiversity;

15. *Takes note with appreciation* of the joint note of the International Coral Reef Initiative and the Convention on Biological Diversity (UNEP/CBD/COP/7/INF/26) prepared pursuant to decision VI/3 of the Conference of the Parties on the International Coral Reef Initiative resolutions on small island developing States (annex I to the note) and on cold water coral reefs (see annex II to the note).

166 The Ad Hoc Technical Expert Group adopted the following definition of "marine and coastal protected area", which incorporates all of the IUCN categories of protected areas:

> "'Marine and coastal protected area' means any defined area within or adjacent to the marine environment, together with its overlying waters and associated flora, fauna and historical and cultural features, which has been reserved by legislation or other effective means, including custom, with the effect that its marine and/or coastal biodiversity enjoys a higher level of protection that is surroundings.
>
> "Areas within the marine environment include permanent shallow marine waters; sea bays; straits; lagoons; estuaries; subtidal aquatic beds (kelp beds, seagrass beds; tropical marine meadows); coral reefs; intertidal muds; sand or salt flats and marshes; deep-water coral reefs; deep-water vents; and open ocean habitats."

Goals of marine and coastal protected areas

16. *Agrees* that marine and coastal protected areas are one of the essential tools and approaches in the conservation and sustainable use of marine and coastal biodiversity;

17. *Notes* that there is an international body of evidence demonstrating that those marine and coastal protected areas where extractive uses are excluded have benefits for fisheries in surrounding areas, and in many cases for communities, and for sustainable tourism and other economic activities within and outside the marine and coastal protected area;

18. *Agrees* that the goal for work under the Convention relating to marine and coastal protected areas should be:

> The establishment and maintenance of marine and coastal protected areas that are effectively managed, ecologically based and contribute to a global network[167] of marine and coastal protected areas, building upon national and regional systems, including a range of levels of protection, where human activities are managed, particularly through national legislation, regional programmes and policies, traditional and cultural practices and international agreements, to maintain the structure and functioning of the full range of marine and coastal ecosystems, in order to provide benefits to both present and future generations.

19. *Notes* that the Plan of Implementation of the World Summit on Sustainable Development promotes the conservation and management of the oceans, and agreed to develop and facilitate the use of diverse approaches and tools, including the ecosystem approach, the elimination of destructive fishing practices, the establishment of marine protected areas consistent with international law and based on scientific information, including representative networks, by 2012 and time/area closures for the protection of nursery grounds and periods, proper coastal land use, and watershed planning, and the integration of marine and coastal areas management into key sectors; and *agrees* to adopt this approach for the work of the Convention on marine and coastal protected areas, and to develop a strategy to meet this goal, including indicators of progress.

National framework of marine and coastal protected areas

20. *Aware* that marine and coastal protected areas should be part of a wider marine and coastal management framework, *urges* Parties and other Governments, as appropriate, to make efforts to adopt, as a matter of high priority (while taking into account the resource limitations of small island developing States), such a framework, taking into account appendix 3 to annex I to the present decision;

167 A global network provides for the connections between Parties, with the collaboration of others, for the exchange of ideas and experiences, scientific and technical cooperation, capacity building and cooperative action that mutually support national and regional systems of protected areas which collectively contribute to the achievement of the programme of work. This network has no authority or mandate over national or regional systems.

21. *Agrees* that an effective marine and coastal biodiversity management framework as set out in appendix 3 to annex I to the present decision would comprise sustainable management practices and actions to protect biodiversity over the wider marine and coastal environment, including integrated networks of marine and coastal protected areas consisting of:

(a) Marine and coastal protected areas, where threats are managed for the purpose of biodiversity conservation and/or sustainable use and where extractive uses may be allowed; and

(b) Representative marine and coastal protected areas where extractive uses are excluded, and other significant human pressures are removed or minimized, to enable the integrity, structure and functioning of ecosystems to be maintained or recovered;

22. *Agrees* that the balance between categories (a) and (b) marine and coastal protected areas, in paragraph 21 above would be selected by the country concerned;

23. *Notes* that the Ad Hoc Technical Expert Group on marine and coastal protected areas advised that certain objectives of marine and coastal protected areas, such as scientific reference areas can only be accomplished through the establishment of category (b) marine and coastal protected areas, and *encourages* Parties to take this advice into account when determining an appropriate balance between categories (a) and (b);

24. *Notes* that there are some benefits of the framework that can be provided with any degree of certainty only by including highly protected areas, and that to achieve the full benefits a network needs to include representative and distinctive areas and contain a sufficient area of the coastal and marine environment to be effective and ecologically viable;

25. *Agrees* that key factors for achieving effective management of marine and coastal protected areas include effective governance, clear national legal or customary frameworks to prevent damaging activities, effective compliance and enforcement, ability to control external activities that affect the marine and coastal protected area, strategic planning, capacity-building and having a sustainable financing for management;

26. *Urges* Parties to urgently address, through appropriate integrated marine and coastal management approaches, all threats, including those arising from the land (e.g. water quality, sedimentation) and shipping/transport, in order to maximize the effectiveness of marine and coastal protected areas and networks in achieving their marine and coastal biodiversity objectives taking into account possible effects of climate change such as rising sea levels;

27. *Agrees* that the full participation of indigenous and local communities and relevant stakeholders is important for achieving the global goal, and for the establishment and maintenance of individual marine and coastal protected areas and national and regional networks in line with decision VII/28 on protected areas;

28. *Notes* the technical advice provided by the Ad Hoc Technical Expert Group, contained in annex II to the present decision and in its report, relating to marine and coastal protected areas within national jurisdiction, and *urges* Parties and Gov-

ernments to utilize that advice in their work to establish marine and coastal protected areas networks.

Marine protected areas in areas beyond national jurisdiction

29. *Notes* that there are increasing risks to biodiversity in marine areas beyond national jurisdiction and that marine and coastal protected areas are extremely deficient in purpose, numbers and coverage in these areas;

30. *Agrees* that there is an urgent need for international cooperation and action to improve conservation and sustainable use of biodiversity in marine areas beyond the limits of national jurisdiction, including the establishment of further marine protected areas consistent with international law, and based on scientific information, including areas such as seamounts, hydrothermal vents, cold-water corals and other vulnerable ecosystems;

31. *Recognizes* that the law of the sea provides a legal framework for regulating activities in marine areas beyond national jurisdiction and *requests* the Executive Secretary to urgently collaborate with the Secretary-General of the United Nations and relevant international and regional bodies in accordance with their mandates and their rules of procedure on the report called for in General Assembly resolution 58/240, paragraph 52, and to support any work of the General Assembly in identifying appropriate mechanisms for the future establishment and effective management of marine protected areas beyond national jurisdiction.

Assessment, monitoring and research priorities

32. *Notes* that the research priorities and pilot projects set out in appendix 4 to annex I to the present decision would provide important assistance to national and, where appropriate, regional efforts to establish and maintain marine and coastal protected areas and national and regional networks, and that research programmes on the conservation of marine and coastal biodiversity resources are needed while setting up national biodiversity research priorities;

33. *Agrees* to incorporate the research priorities and pilot projects contained in appendix 4 to annex I to the present decision into the programme of work on marine and coastal biodiversity, and *requests* the Executive Secretary to identify partners to adopt the research priorities and undertake these projects as a matter of urgency;

34. *Notes* that it is necessary to develop research programmes on the conservation of marine biological diversity resources beyond marine and coastal protected areas, with a view to establishing protected-area networks.

International support for the creation of networks of marine and coastal protected areas

35. *Urges* Parties, other Governments and relevant organizations to provide active financial, technical and other support for the establishment of a global system of marine and coastal protected area networks and the implementation within it of relevant provisions contained in this decision, including identification

and removal of barriers to the creation of marine and coastal protected areas, and removal of perverse incentives for unsustainable activities in the marine and coastal environment, pursuant to decision VI/15, on incentive measures, within the framework of relevant marine-related international law;

36. *Decides* to examine the need for support through the financial mechanism to developing country Parties, in particular the least developed and small island developing States among them, for country-driven activities aimed at enhancing capabilities for activities relating to the establishment and maintenance of marine and coastal protected areas and networks of marine and coastal protected areas and in particular to assist Parties to develop systems to make their marine and coastal protected area networks self-sustaining in the medium to long term;

37. *Notes* that further technical advice related to network design and in particular ecological coherence of networks may be needed to assist Parties in implementation work, and requests the Executive Secretary, in consultation with the Bureau of Subsidiary Body on Scientific, Technical and Technological Advice, to identify appropriate mechanisms for developing this advice.

Monitoring progress toward the global goal

38. *Invites* the World Conservation Monitoring Centre of the United Nations Environment Programme, in collaboration with relevant organizations and authorities, to provide and maintain up-to-date information on marine and coastal protected areas, in line with the proposed categories for inventory and contextual information set out in annex III below, to provide a basis for the assessment work under the Convention;

39. *Requests* the Executive Secretary to provide an assessment of progress toward the global goal, as part of reporting on the programme of work on marine and coastal biological diversity;

Mariculture

40. *Welcomes* the summary report of the Ad Hoc Technical Expert Group on Mariculture (UNEP/CBD/SBSTTA/8/9/Add.2) and the full report of the Group as presented as an information document for the eighth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice (UNEP/CBD/SBSTTA/8/INF/6);

41. *Expresses its appreciation* to the Food and Agriculture Organization of the United Nations (FAO) for the technical support and meeting facilities provided for the meeting of the Ad Hoc Technical Expert Group on Mariculture;

42. *Takes note* of the negative biodiversity effects of mariculture, as described in section II of the summary report of the Ad Hoc Technical Expert Group on Mariculture, and of the methods and techniques available for their mitigation, as described in section III of that summary report;

43. *Notes also* that, in section IV of the summary report, the Ad Hoc Technical Expert Group identified some positive effects for biodiversity of some forms of mariculture with native species;

44. *Urges* Parties and other Governments to adopt the use of relevant methods and techniques for avoiding the adverse effects of mariculture on marine and coastal biological diversity, and incorporate them into their national biodiversity strategies and action plans;

45. *Recognizes* the complexity of mariculture activities, the highly variable circumstances of different geographical areas, mariculture practices and cultured species, as well as social, cultural and economic conditions, which will influence mitigation options, and, accordingly, taking into account the special needs of and the difficulties faced by stakeholders in developing countries, *recommends* that Parties and other Governments adopt the use of the following specific methods, techniques or practices for avoiding the adverse biodiversity-related effects of mariculture:

(a) The application of environmental impact assessments, or similar assessment and monitoring procedures, for mariculture developments, with due consideration paid to the scale and nature of the operation, as well as carrying capacities of the environment, taking into account the guidelines on the integration of biodiversity considerations in environmental impact assessment legislation and/or processes and in strategic impact assessment, endorsed by the Conference of the Parties in its decision VI/7 A, as well as the recommendations endorsed in decision VI/10, annex II, on the conduct of cultural, environmental and social impact assessments regarding developments proposed to take place on, or which are likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities. There is a need to address the likely immediate, intermediate and long-term impacts on all levels of biodiversity;

(b) Development of effective site-selection methods, in the framework of integrated marine and coastal area management, taking into account the special needs and difficulties encountered by stakeholders in developing countries;

(c) Development of effective methods for effluent and waste control;

(d) Development of appropriate genetic resource management plans at the hatchery level and in the breeding areas, including cryopreservation techniques, aimed at biodiversity conservation;

(e) Development of controlled low-cost hatchery and genetically sound reproduction methods, made available for widespread use, in order to avoid seed collection from nature, where appropriate. In cases where seed collection from nature cannot be avoided, environmentally sound practices for spat collecting operations should be employed;

(f) Use of selective fishing gear in order to avoid or minimize by-catch in cases where seed are collected from nature;

(g) Use of native species and subspecies in mariculture;

(h) Implementation of effective measures to prevent the inadvertent release of mariculture species and fertile polyploids, including, in the framework of the Cartagena Protocol on Biosafety, living modified organisms (LMOs);

(i) Use of proper methods of breeding and proper places of releasing in order to protect genetic diversity;

(j) Minimizing the use of antibiotics through better husbandry techniques;

(k) Ensuring that fish stocks used for fish meal and fish oil are managed in such a way as to be sustainable and to maintain the trophic web;

(l) Use of selective methods in industrial fisheries to avoid or minimize by-catch;

(m) Considering traditional knowledge, where applicable as a source to develop sustainable mariculture techniques;

46. *Urges* Parties and other Governments to adopt relevant best management practices and legal and institutional arrangements for sustainable mariculture, taking into account the special needs and difficulties encountered by stakeholders in developing countries, in particular through implementing Article 9 of Code of Conduct on Responsible Fisheries, as well as other provisions in the Code dealing with aquaculture, recognizing that it provides necessary guidance to develop legislative and policy frameworks at the national, regional and international levels;

47. *Requests* the Executive Secretary to undertake a comprehensive review of relevant documents on best practices relevant to mariculture, and to disseminate the results, as well as relevant case studies, through the clearing-house mechanism prior to the tenth meeting of the Subsidiary Body on Scientific, Technical and technological Advice;

48. *Agrees* to incorporate the research and monitoring priorities identified by the Ad Hoc Technical Expert Group on Mariculture as outlined in appendix 5 to annex I to the present decision into the programme of work on marine and coastal biological diversity;

49. *Recommends* that the Executive Secretary, in collaboration with the Food and Agriculture Organization of the United Nations and other relevant organizations, explore ways and means for implementing these research and monitoring priorities, including an evaluation of means through which mariculture can be used to restore or maintain biodiversity;

50. *Recommends* that the Executive Secretary, in collaboration with the Food and Agriculture Organization of the United Nations and other relevant organizations, harmonize the use of terms in regard to mariculture by further developing and adopting the glossary of the Food and Agriculture Organization of the United Nations;

51. *Expresses its support* for regional and international collaboration to address transboundary impacts of mariculture on biodiversity, such as spread of disease and invasive alien species;

52. *Decides* to promote technical exchange and training programmes, and transfer of tools and technology;

53. *Decides* to examine the need for support through the financial mechanism to developing country Parties for country-driven activities aimed at enhancing capabilities to mitigate the adverse effects of mariculture on biological diversity.

Conservation and sustainable use of deep seabed genetic resources beyond national jurisdiction: issues arising from the study of the relationship between the Convention on Biological Diversity and the United Nations Convention on the Law of the Sea

54. *Requests* the Executive Secretary, in consultation with Parties and other Governments and the International Seabed Authority, and in collaboration with international organizations, such as the United Nations Division for Ocean Affairs and the Law of the Sea, the United Nations Environment Programme, and the Intergovernmental Oceanographic Commission of the United Nations Educational, Cultural and Scientific Organization, if appropriate, to compile information on the methods for the identification, assessment and monitoring of genetic resources of the seabed and ocean floor and subsoil thereof, in areas beyond the limits of national jurisdiction; compile and synthesize information on their status and trends including identification of threats to such genetic resources and the technical options for their protection; and report on the progress made to the Subsidiary Body on Scientific, Technical and Technological Advice;

55. *Welcomes* United Nations General Assembly resolution 58/240 of December 2003 and *invites* the Parties to raise their concerns regarding the issue of conservation and sustainable use of genetic resources of the deep seabed beyond limits of national jurisdiction at the next meeting of the General Assembly and *further invites* the General Assembly to further coordinate work relating to conservation and sustainable use of genetic resources of the deep seabed beyond the limits of national jurisdiction;

56. *Invites* Parties and other States to identify activities and processes under their jurisdiction or control which may have significant adverse impact on deep seabed ecosystems and species beyond the limits of national jurisdiction, in order to address Article 3 of the Convention.

Conservation and sustainable use of biological diversity in marine areas beyond the limits of national jurisdiction

57. *Recalling* paragraph 32(a) and (c) of the Plan of Implementation from the World Summit on Sustainable Development, that calls on the international community to "maintain the productivity and biodiversity of important and vulnerable marine and coastal areas, including in areas within and beyond national jurisdiction;"

58. *Notes* that United Nations General Assembly in paragraph 51 of its resolution 58/240, has reiterated "its call for urgent consideration of ways to integrate and improve, on a scientific basis, the management of risks to the marine biodiversity of seamounts, cold water coral reefs and certain other underwater features";

59. *Recalls* paragraph 52 of General Assembly resolution 58/240, in which the Assembly "invites the relevant global and regional bodies, in accordance with their mandate, to investigate urgently how to better address, on a scientific basis, including the application of precaution, the threats and risks to vulnerable and threatened marine ecosystems and biodiversity beyond national jurisdiction; how existing treaties and other relevant instruments can be used in this process consistent with

international law, in particular with the Convention, and with the principles of an integrated ecosystem-based approach to management, including the identification of marine ecosystem types that warrant priority attention and to explore a range of potential approaches and tools for the protection and management";

60. *Concerned about* the serious threats to the biological diversity, *stresses* the need for rapid action to address these threats on the basis of the precautionary approach and the ecosystem approach, in marine areas beyond the limits of national jurisdiction, in particular areas with seamounts, hydrothermal vents, and cold-water corals, other vulnerable ecosystems and certain other underwater features, resulting from processes and activities in such areas;

61. *Calls upon* the General Assembly and other relevant international and regional organizations, within their mandate, according to their rules of procedure, to urgently take the necessary short-term, medium-term and long-term measures to eliminate/avoid destructive practices, consistent with international law, on scientific basis, including the application of precaution, for example, consideration on a case by case basis, of interim prohibition of destructive practices adversely impacting the marine biological diversity associated with the areas identified in paragraph 60 above;

62. *Recommends* Parties to also urgently take the necessary short-term, medium-term and long-term measures to respond to the loss or reduction of marine biological diversity associated with the areas identified in paragraph 60 above.

ANNEX I
ELABORATED PROGRAMME OF WORK ON MARINE AND COASTAL BIOLOGICAL DIVERSITY

I. Vision, Mission, Goals and Targets of the Programme of Work on Marine and Coastal Biological Diversity

A. OVERALL VISION

1. The overall vision that the effective implementation of the elaborated programme of work on marine and coastal biological diversity strives to attain is to halt the loss of marine and coastal biological diversity nationally, regionally and globally and secure its capacity to provide goods and services.

B. MISSION

2. The overall goal of the programme of work on marine and coastal biodiversity, consistent with the Strategic Plan of the Convention, is to promote the implementation of the three objectives of the Convention and achieve significant reduction of the current rate of marine and coastal biological diversity loss by the year 2010.

C. GOALS AND TARGETS

3. Requests SBSTTA at its tenth or eleventh meeting to further refine the proposal for the integration of outcome-oriented targets into the programme of work on

marine and coastal biodiversity taking into account, as appropriate, the framework in annex II of decision VII/30 on the future evaluation of progress on the Strategic Plan, and taking into account that these goals and targets should be viewed as flexible framework within which national and/or regional targets may be developed, according to national priorities and capacities, and decides that outcome-oriented targets are a key priority at SBSTTA.

II. Basic principles

4. In accordance with paragraphs 2–14 of the annex to decision IV/5, the ecosystem approach and the precautionary approach have a central role in guiding all activities undertaken as part of the programme of work, and thus provide the foundation for its implementation. The success of the programme of work also relies on scientific research aimed at providing understanding of the functioning of the broader ecosystem in terms of its component parts and their connectivity. Research efforts oriented towards the information needs of management ensure that management decisions are based on best available science in the context of the precautionary approach. The roster of experts continues to provide the Executive Secretary with a valuable source of expertise in marine and coastal biological diversity, and its continued use, expansion and updating is encouraged. The programme of work will also use and draw upon scientific, technical and technological knowledge of local and indigenous communities in keeping with the contents of Article 8(j) of the Convention, as well as community and user-based approaches.

5. The programme of work may be implemented on the following levels:

(a) NATIONAL AND LOCAL, which provide the primary level of implementation of the activities in the programme of work;

(b) REGIONAL, where appropriate, through regional organizations, arrangements and bodies;

(c) GLOBAL, where appropriate, through international organizations and appropriate bodies.

6. The involvement of all relevant stakeholders in implementation of the programme of work should be promoted. The role of the Secretariat is to promote and facilitate the implementation of the programme of work.

7. The implementation of the programme of work should be carried out with the full and effective participation of indigenous and local communities as appropriate and respect of their rights under domestic and applicable international law. In this context, Article 6.18 of the FAO Code of Conduct for Responsible Fisheries, which highlights the need to protect the preferential access rights of fishers and fishworkers, particularly those engaged in subsistence, small-scale and artisanal fisheries, to traditional fishing grounds and resources, should be noted.

8. In accordance with the Millennium Development Goals, the implementation of the programme of work aims to make a direct contribution to poverty alleviation. Its successful implementation will require national and regional capacity-building and financial resources for developing country Parties, in particular the least developed and small island developing States among them.

III. Programme elements

PROGRAMME ELEMENT 1: IMPLEMENTATION OF INTEGRATED MARINE AND COASTAL AREA MANAGEMENT (IMCAM)

GOAL: To promote and improve the implementation of IMCAM at the local, national and regional level.

OPERATIONAL OBJECTIVE 1.1: *To apply appropriate policy instruments and strategies, including building of capacity, for the effective implementation of IMCAM.*

Suggested activities:

(a) To promote, within the framework of IMCAM, the integration of biological diversity concerns in all socio-economic sectors adversely impacting the marine and coastal environment.

(b) To promote the application of ecosystem-based management, including through integration of coastal management activities and watershed management.

(c) To identify obstacles to the implementation of IMCAM nationally and regionally, and develop and implement strategies, such as partnerships, tools and other means, to overcome those obstacles, including provision of guidance on the application of such tools.

(d) To encourage the application of the ecosystem approach, promote integrated multidisciplinary and multisectoral coastal and ocean management at the national level, and encourage States in developing ocean policies and mechanisms on integrated coastal management.

(e) To promote the identification or establishment of national and, where appropriate, regional processes for developing advice on the application of IMCAM and issues identified under the operational objective.

(f) To assist the development of national and regional capacity-building.

(g) To provide information on relevant legal and institutional issues, having regard to the United Nations Convention on the Law of the Sea (UNCLOS) and other related international and regional agreements.

(h) To assist the development of appropriate education and public awareness programmes at all levels.

(i) To provide guidance on maintenance and wider application of local and traditional knowledge.

(j) To cooperate with and build upon the Large Marine Ecosystem (LME) concept, as well as specific LME projects that are ongoing or planned.

Ways and means

The activities should be carried out by Parties acting individually or under regional agreements, assisted by regional and international organizations, and the Executive Secretary. An ad hoc technical expert group on implementation of integrated marine and coastal area management (SBSTTA recommendation VIII/3 A, annex) will provide guidance on implementation of activity (c).

OPERATIONAL OBJECTIVE 1.2: *To undertake direct action to protect the marine environment from negative impacts.*

Suggested activities

(a) To promote adequate protection of areas important for reproduction such as spawning and nursery areas and restoration of such areas and other important habitats for marine living resources.

(b) To promote action to reduce and control sea-based sources of pollution.

(c) To achieve substantial progress in protecting the marine environment from land-based activities through effective application of the Global Programme of Action for the Protection of the Marine Environment from Land-based Activities and other appropriate instruments, including proper coastal land use, watershed planning, and integration of integrated marine and coastal area management into key sectors.

(d) To promote urgent and special attention and measures in respect to closed and semi-closed seas.

(e) To take measures to reduce by-catch.

Ways and means

The activities should be carried out by Parties acting individually or under regional agreements where appropriate and assisted by regional and international organizations, including the Global Programme of Action for the Protection of the Marine Environment from Land-based Activities. The Executive Secretary should assist Parties in implementation.

OPERATIONAL OBJECTIVE 1.3: *To develop guidelines for ecosystem evaluation and assessment, paying attention to the need to identify and select indicators, including social and abiotic indicators that distinguish between natural and human-induced effects.*

Suggested activities

(a) To promote the development of sets of national indicators on which to base decision-making; and convene regional workshops to help select key indicators.

(b) To identify existing organizations and initiatives.

(c) To promote the identification of key habitats for marine living resources on a regional basis, with a view to further develop policies for action to prevent physical alteration and destruction of these habitats, and pursue restoration of degraded habitats, including, *inter alia*, coral-reef systems.

(d) To promote the establishment or strengthening of mechanisms for research, monitoring and assessment of marine and coastal ecosystems and their living resources.

(e) To promote exchange of information and experience using the clearing-house mechanism and other appropriate mechanisms.

(f) To collaborate with relevant organizations in the preparation of guidelines.

(g) To facilitate the establishment of a regular process under the United Nations for global reporting and assessment of the state of the marine environment, including socio-economic aspects, both current and foreseeable, building on existing regional assessments.

Ways and means

The Executive Secretary should support the implementation of activities (a) at the global level, (b), (e), (f), and (g). Parties should implement (a), (b), (c), (d), and (e) at the national level and under regional agreements where appropriate, with regional organizations, such as regional seas conventions and action plans, taking a lead role on relevant activities at the regional level.

PROGRAMME ELEMENT 2: MARINE AND COASTAL LIVING RESOURCES

GOAL: To ensure the conservation and sustainable use of marine and coastal living resources.

OPERATIONAL OBJECTIVE 2.1: *To promote ecosystem approaches to the conservation and sustainable use of marine and coastal living resources, including the identification of key variables or interactions, for the purpose of assessing and monitoring, first, components of biological diversity; second, the sustainable use of such components; and, third, ecosystem effects.*

Suggested activities

(a) To develop collaborative links with relevant organizations and institutions, including in regards to cooperative activities aimed at protecting biodiversity in marine areas beyond national jurisdiction.

(b) To promote the exchange of information and experience using appropriate mechanisms.

(c) To promote the identification and development of ecosystem approaches compatible with the sustainable use of marine and coastal living resources.

(d) To promote the identification both of components of the ecosystems which are critical to the functioning of the ecosystem and of key threats.

(e) To promote capacity-building at local, national and regional levels, including local and traditional knowledge.

(f) To carry out a study on the effects of fish and invertebrate stock enhancement on marine and coastal biological diversity at the species and genetic levels.

(g) To implement the 1995 Code of Conduct for Responsible Fisheries taking note of the relevant FAO international plans of action and technical guidelines.

(h) To eliminate destructive fishing practices, and restore and maintain fisheries stocks to sustainable levels by the year 2015, including through financial assistance to developing countries, in particular small island developing States, for improved enforcement, surveillance and patrolling and recognizing the importance of use of sustainable fishing practices, including traditional fishing practices.

(i) To maintain the productivity and biodiversity of important and vulnerable marine and coastal areas, including areas within and beyond national jurisdiction.

(j) To promote, in collaboration with the Global Taxonomy Initiative, the strengthening of taxonomic expertise at regional and national levels.

Ways and means

The activities should be carried out by Parties acting individually or under regional agreements where appropriate, and regional and international organizations. The Executive Secretary will assist Parties in implementation, and should carry out activity (f).

OPERATIONAL OBJECTIVE 2.2: *To make available to the Parties information on marine genetic resources in marine areas beyond national jurisdiction and, as appropriate, on coastal and marine genetic resources under national jurisdiction from publicly available information sources.*

Suggested activities

(a) To compile and synthesize information on the methods for the identification, assessment and monitoring of genetic resources of the seabed and ocean floor and subsoil thereof, beyond the limits of national jurisdiction, and information on their status and trends including identification of threats to such genetic resources and the technical options for their protection and report on the progress made to SBSTTA.

(b) To identify activities and processes under national jurisdiction or control which may have significant adverse impact on deep seabed ecosystems and species beyond the limits of national jurisdiction, in order to address Article 3 of the Convention on Biological Diversity.

Ways and means

Activity (a) should be carried out by international organizations, such as the United Nations Division for Ocean Affairs and the Law of the Sea, the United Nations Environment Programme, and the Intergovernmental Oceanographic Commission of the United Nations Educational, Cultural and Scientific Organization, as appropriate with the support of the Executive Secretary. Activity (b) should be undertaken by Parties and other States.

OPERATIONAL OBJECTIVE 2.3: To gather and assimilate information on, build capacity to mitigate the effects of, and to promote policy development, implementation strategies and actions to address: (i) the biological and socio-economic consequences of physical degradation and destruction of key marine and coastal habitats including mangrove ecosystems, tropical and cold-water coral-reef ecosystems, seamount ecosystems and seagrass ecosystems including identification and promotion of management practices, methodologies and policies to reduce and mitigate impacts upon marine and coastal biological diversity and to restore mangrove forests and rehabilitate damaged coral reef; and in particular (ii) the

impacts of mangrove forest destruction, coral bleaching and related mortality on coral-reef ecosystems and the human communities which depend upon coral-reef services, including through financial and technical assistance.

Suggested activities

(a) Activities on coral bleaching and physical degradation and destruction of coral reefs as adopted in decision VI/3 and as amended in decision VII/5 are contained in appendices 1 and 2 below.

(b) Other activities relevant to non-coral ecosystems will be developed by Parties and, where appropriate, by regional organizations.

Ways and means

The Executive Secretary should facilitate implementation, through active collaboration with International Coral Reef Initiative and its partners, the regional seas programmes of the United Nations Environment Programme, the Intergovernmental Oceanographic Commission of the United Nations Educational, Scientific and Cultural Organization, and other relevant organizations. The other activities should be carried out by Parties acting individually or under regional agreements and regional and international organizations.

OPERATIONAL OBJECTIVE 2.4: *To enhance the conservation and sustainable use of biological diversity of marine living resources in areas beyond the limits of national jurisdiction.*

Suggested activities

(a) To identify threats to the biological diversity in areas beyond the limits of national jurisdiction, in particular areas with seamounts, hydrothermal vents, and cold-water corals, and certain other underwater features.

(b) To urgently take the necessary short-term, medium-term and long-term measures to eliminate/avoid destructive practices, consistent with international law, on scientific basis, including the application of precaution, for example, consideration, on a case by case basis, of interim prohibition of destructive practices adversely impacting the marine biological diversity associated with marine areas beyond the limits of national jurisdiction, in particular areas with seamounts, hydrothermal vents, and cold-water corals, other vulnerable ecosystems and certain other underwater features.

Ways and means

Activities (a) and (b) should be carried out by Parties, the United Nations General Assembly and other relevant international and regional organizations, within their mandate, and according to their rules of procedure.

PROGRAMME ELEMENT 3: MARINE AND COASTAL PROTECTED AREAS

GOAL: The establishment and maintenance of marine and coastal protected areas that are effectively managed, ecologically based and contribute to a global network[168] of marine and coastal protected areas, building upon national and regional systems, including a range of levels of protection, where human activities are managed, particularly through national legislation, regional programmes and policies, traditional and cultural practices and international agreements, to maintain the structure and functioning of the full range of marine and coastal ecosystems, in order to provide benefits to both present and future generations.

OPERATIONAL OBJECTIVE 3.1: *To establish and strengthen national and regional systems of marine and coastal protected areas integrated into a global network and as a contribution to globally agreed goals.*

Suggested activities

(a) To establish effective marine and coastal biodiversity management frameworks as set out in appendix 3 below, which would comprise sustainable management practices and actions to protect biodiversity over the wider marine and coastal environment, including integrated networks of marine and coastal protected areas consisting of:

(i) Marine and coastal protected areas, where threats are managed for the purpose of biodiversity conservation and/or sustainable use and where extractive uses may be allowed; and

(ii) Representative marine and coastal protected areas where extractive uses are excluded, and other significant human pressures are removed or minimized, to enable the integrity, structure and functioning of ecosystems to be maintained or recovered.

In establishing these frameworks, the appropriate balance between categories (i) and (ii) above would be selected by the country concerned.

Ways and means:

Activity (a) should be carried out by Parties acting individually or under regional agreements and regional and international organizations. Funding agencies should support implementation of these activities.

OPERATIONAL OBJECTIVE 3.2: *To enhance the conservation and sustainable use of biological diversity in marine areas beyond the limits of national jurisdiction.*

Suggested activities:

(a) To support any work of the United Nations General Assembly in identifying appropriate mechanisms for the future establishment and effective management

168 A global network provides for the connections between Parties, with the collaboration of others, for the exchange of ideas and experiences, scientific and technical cooperation, capacity building and cooperative action that mutually support national and regional systems of protected areas which collectively contribute to the achievement of the programme of work. This network has no authority or mandate over national or regional systems.

of marine protected areas beyond national jurisdiction.

Ways and means

Activity (a) should be carried out by the Executive Secretary in support of the Secretary-General of the United Nations.

OPERATIONAL OBJECTIVE 3.3: *To achieve effective management of existing marine and coastal protected areas.*

Suggested activities

(a) To achieve effective management of marine and coastal protected areas through good governance, clear legal or customary frameworks to prevent damaging activities, effective compliance and enforcement, ability to control external activities that affect the marine and coastal protected area, strategic planning, capacity building and sustainable financing.

(b) To address, through appropriate integrated marine and coastal management approaches, all threats, including those arising from the land (e.g. water quality, sedimentation) and shipping/transport, in order to maximize the effectiveness of marine and coastal protected areas and networks in achieving their marine and coastal biodiversity objectives taking into account possible effects of climate change such as rising sea levels.

(c) To facilitate relevant stakeholder and indigenous and local community participation as an essential component of implementing operational objective 3.3.

Ways and means

The activities should be carried out by Parties acting individually or under regional agreements and regional and international organizations. Funding agencies should support implementation of these activities.

OPERATIONAL OBJECTIVE 3.4: *To provide support for and facilitate monitoring of national and regional systems of marine and coastal protected areas.*

Suggested activities

(a) To provide active financial, technical and other support for the establishment of a global system of marine and coastal protected area networks and the implementation within it of relevant provisions contained in this operational objective, including identification and removal of barriers to the creation of marine and coastal protected areas, and removal of perverse incentives for unsustainable activities in the marine and coastal environment, pursuant to decision VI/15, on incentive measures, within the framework of relevant marine-related international law.

(b) To provide and maintain, in collaboration with the World Conservation Monitoring Centre of the United Nations Environment Programme, in collaboration with relevant organizations and authorities, up-to-date information on marine and coastal protected areas in order to provide a basis for assessment of progress made in implementing the operational objective.

(c) Promote transfer of appropriate technology and closely collaborate with regional initiatives to fund activities, such as monitoring, geared towards conservation and sustainable use of marine and coastal biological diversity.

Ways and means

The activities should be carried out by Parties acting individually or under regional agreements, and regional and international organizations, such as the World Conservation Monitoring Centre of the United Nations Environment Programme. The Executive Secretary should facilitate their implementation. Funding agencies should support implementation of the activities.

OPERATIONAL OBJECTIVE 3.5: *To facilitate research and monitoring activities that reflect identified global knowledge gaps and priority information needs of management of marine and coastal protected areas.*

Suggested activities

(a) To collaborate with relevant organizations in the preparation of project proposals to facilitate the implementation of the research and monitoring priorities outlined in appendix 4 below.

(b) To identify and implement an appropriate mechanism for developing advice related to network design and ecological coherence of networks.

(c) Using the clearing-house mechanism, to assist the exchange of information on research, management issues and problems (including incentive measures) between marine protected area managers, to facilitate continuous improvement in management effectiveness across the global network[169] of marine protected areas.

Ways and means

Activity (a) should be carried out by Parties acting individually or under regional agreements and regional and international organizations, including research organizations. The Executive Secretary should facilitate its implementation. The Executive Secretary should take the lead role in implementing activities (b) and (c).

PROGRAMME ELEMENT 4: MARICULTURE

GOAL: To prevent or minimize the negative impacts of mariculture on marine and coastal biodiversity and to enhance any positive effects of mariculture using native species.

OPERATIONAL OBJECTIVE 4.1: *To promote use of techniques, which minimize adverse impact of mariculture on marine and coastal biological diversity.*

169 A global network provides for the connections between Parties, with the collaboration of others, for the exchange of ideas and experiences, scientific and technical cooperation, capacity building and cooperative action that mutually support national and regional systems of protected areas which collectively contribute to the achievement of the programme of work. This network has no authority or mandate over national or regional systems.

Suggested activities

(a) To adopt the use of relevant methods, techniques and practices for avoiding the adverse effects of mariculture on marine and coastal biological diversity, and to incorporate them into national biodiversity strategies and action plans as appropriate, including:

(i) The application of environmental impact assessments, or similar assessment and monitoring procedures, for mariculture developments, with due consideration paid to the scale and nature of the operation, as well as carrying capacities of the ecosystem, taking into account the guidelines on the integration of biodiversity considerations in environmental impact assessment legislation and/or processes and in strategic impact assessment, endorsed by the Conference of the Parties in its decision VI/7 A, as well as the recommendations endorsed in decision VI/10, annex II, on the conduct of cultural, environmental and social impact assessments regarding developments proposed to take place on, or which are likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities. There is a need to address the likely immediate, intermediate and long-term impacts on all levels of biodiversity;

(ii) Development of effective site-selection methods, in the framework of integrated marine and coastal area management, taking into account the special needs and difficulties encountered by stakeholders in developing countries;

(iii) Development of effective methods for effluent and waste control;

(iv) Development of appropriate genetic resource management plans at the hatchery level and in the breeding areas, including cryopreservation techniques, aimed at biodiversity conservation;

(v) Development of controlled low-cost hatchery and genetically sound reproduction methods, made available for widespread use, in order to avoid seed collection from nature, where appropriate. In cases where seed collection from nature cannot be avoided, environmentally sound practices for spat collecting operations should be employed;

(vi) Use of selective fishing gear in order to avoid or minimize by-catch in cases where seed are collected from nature;

(vii) Use of native species and subspecies in mariculture;

(viii) Implementation of effective measures to prevent the inadvertent release of mariculture species and fertile polyploids, including, in the framework of the Cartagena Protocol on Biosafety, living modified organisms (LMOs);

(ix) Use of proper methods of breeding and proper places of releasing in order to protect genetic diversity;

(x) Minimizing the use of antibiotics through better husbandry techniques;

(xi) Ensure that fish stocks used for fish meal and fish oil are managed in such a way as to be sustainable and to maintain the trophic web;

(xii) Use selective methods in industrial fisheries to avoid or minimize by-catch;
(xiii) Considering traditional knowledge, where applicable as a source to develop sustainable mariculture techniques.

(b) To adopt best-management practices and legal and institutional arrangements for sustainable mariculture, taking into account the special needs and difficulties encountered by stakeholders in developing countries, in particular through implementing Article 9 of Code of Conduct on Responsible Fisheries, as well as other provisions in the Code dealing with aquaculture, recognizing that it provides necessary guidance to develop legislative and policy frameworks at the national, regional and international levels.

(c) To undertake a comprehensive review of relevant documents on best practices relevant to mariculture, and to disseminate the results, as well as relevant case-studies, through the clearing-house mechanism prior to the tenth meeting of SBSTTA.

(d) To facilitate the implementation of the research and monitoring priorities outlined in appendix 5 below in collaboration with FAO and other relevant organizations.

(e) To undertake regional and international collaboration to address transboundary impacts of mariculture on biodiversity, such as the spread of disease and invasive alien species.

Ways and means

Activities (a) and (b) should be carried out by Parties acting individually or under regional agreements, with assistance from regional and international organizations, such as FAO, and the Executive Secretary. The Executive Secretary should take a lead role in carrying out activity (c). Activity (d) should be carried out by Parties, regional and international organizations, including research organizations. The Executive Secretary should facilitate its undertaking. Funding agencies should support implementation of activities (a) and (b).

PROGRAMME ELEMENT 5: INVASIVE ALIEN SPECIES

GOAL: To prevent the introduction of invasive alien species into the marine and coastal environment, and to eradicate to the extent possible those invasive alien species that have already been introduced.

OPERATIONAL OBJECTIVE 5.1: *To achieve better understanding of the pathways and the causes of the introduction of alien species and the impact of such introductions on biological diversity.*

Suggested activities

(a) To analyse and disseminate information, data and case-studies on the subject.

(b) To develop collaboration with relevant organizations.

(c) To ensure exchange of information and experience, using appropriate mechanisms.

Ways and means

The Executive Secretary should take a lead role in carrying out these activities, with assistance from international organizations (such as the International Maritime Organization (IMO) and the Global Invasive Species Programme (GISP)), regional organizations and Parties.

OPERATIONAL OBJECTIVE 5.2: *To put in place mechanisms to control all pathways, including shipping, trade and mariculture, for potential invasive alien species in the marine and coastal environment.*

Suggested activities

(a) To invite relevant organizations such the International Maritime Organization (IMO), the Global Invasive Species Programme (GISP), the Food and Agriculture Organization of the United Nations (FAO), and the Ramsar Convention on Wetlands to work together to develop an international cooperative initiative to address impediments to the management of marine alien species, particularly to address technical problems related to the identification and control of marine invasions.

(b) To implement measures to address invasive alien species in ballast water, including through the International Convention for the Control and Management of Ships' Ballast Water and Sediments.

(c) To exchange information and facilitate technical cooperation on effective techniques for prevention, early detection, eradication and control of invasive alien species in the marine and coastal environments.

(d) To develop close collaboration between national agencies responsible for development of controls on pathways for entry of alien species and national input into the work of the International Plant Protection Convention (IPPC), the Organization internationale des epizooties (OIE), IMO and other relevant international agreements.

(e) To identify means to support capacity-building in developing countries to strengthen their ability to conduct work related to alien species.

(f) To promote international cooperation by inviting relevant organizations and donor agencies to collaborate in the assessment of the effects of invasive alien species, and in the elaboration of strategies for their control.

Ways and means

Activities (b), (c) and (d) should be carried out by Parties. The other activities should be carried out by the Executive Secretary and the organizations identified in activity (a) as well as by, and in collaboration with, Parties.

OPERATIONAL OBJECTIVE 5.3: *To maintain an incident list on introductions of alien species.*

Suggested activities

To continue making updated information on introductions of alien species available through the clearing-house mechanism or other appropriate mechanisms.

Ways and means

The Executive Secretary should take a lead role in facilitating the implementation of this activity in collaboration with relevant international and regional organizations and the Parties.

PROGRAMME ELEMENT 6: GENERAL

OPERATIONAL OBJECTIVE 6.1: *To assemble a database of initiatives on programme elements through a cooperative approach with relevant organizations and bodies, with special emphasis on integrated marine and coastal areas management.*

Suggested activities

(a) To identify sources of relevant information and to make this readily available.

(b) To request inputs from Parties, countries and relevant organizations and bodies.

(c) To carry out desk evaluations with the assistance of the roster of experts of available information and to disseminate the findings through the clearing-house mechanism.

Ways and means

The Executive Secretary should take a lead role in implementing these activities.

OPERATIONAL OBJECTIVE 6.2: *To undertake effective collaboration, cooperation and harmonization of initiatives with relevant conventions, organizations and agencies while recognising their independent mandates.*

Suggested activities

(a) To identify and implement meaningful joint activities and initiatives with relevant conventions, organizations and agencies aimed at the implementation of this work programme.

(b) To collaborate with regional seas conventions and action plans, including identification of joint programmes of work on topics of mutual relevance, including through regionally elaborated criteria for the establishment and management of marine and coastal protected areas under regional seas conventions and action plans.

Ways and means

The Executive Secretary should take a lead role in implementing these activities, together with relevant conventions, organizations and agencies, coordinating units of regional seas conventions and action plans.

IV. Enabling activities

(a) Provision of assistance to coastal in particular small island developing States in developing ocean policies and mechanisms for integrated management.

(b) Strengthening capacity of small island developing States, through training and other appropriate means, to enable their effective participation in all elements of the Convention's research priorities on marine and coastal biodiversity, including conducting new research and compiling information from past research on marine and coastal biodiversity within and beyond national jurisdiction.

(c) Updating and strengthening existing legislation as well as institutions dealing with marine and coastal issues, including the effective implementation of laws and regulations, and the strengthening and rationalization of institutions.

(d) Provision of assistance to coastal in particular small island developing States in coordinating policies and programmes at the regional and subregional level, aimed at the conservation and sustainable management of fishery resources and implementation of integrated coastal area management plans, including through the promotion of sustainable coastal and small-scale fishing activities and, where appropriate, the development of related infrastructure.

(e) Formation of cooperative partnerships between countries or between international and/or regional organizations to enhance capacity for implementation, taking into account the special needs and difficulties experienced by stakeholders in developing countries and by indigenous and local communities.

(f) Increase of scientific, technical and technological collaboration, including integrated assessment at the global and regional levels, including the appropriate transfer of marine science and marine technologies and techniques for the conservation and management of living marine resources and expanding ocean-observing capabilities for timely prediction and assessment of the state of the marine environment.

(g) Build capacity in marine science, information and management, through, *inter alia*, promoting the use of environmental impact assessments and environmental evaluation and reporting techniques for projects or activities that are potential harmful to the coastal and marine environments and their living and non-living resources.

(h) Undertaking capacity-building, technology transfer, public education and awareness, and training in order to improve the implementation of this programme of work.

(i) Urgent mobilization of financial resources and identification of additional funding mechanisms for implementation of this programme of work, including provision of information about creative arrangements and tools for financing conservation and sustainable use, and through establishment of additional mechanisms, such as small grants funds.

(j) Provision of financial and technical support by the international community including by distant water fishing nations to developing countries in particular small island developing States for sustainable management and use of marine and coastal resources.

(k) Continued review of obstacles to implementation of each programme element leading to development of additional enabling activities, as appropriate, aimed at overcoming such obstacles.

(l) To develop close collaboration between national agencies responsible for implementation of this programme of work and related supporting activities.

Ways and means

The Executive Secretary should collaborate with funding agencies, international and regional organizations and Parties to facilitate the implementation of these activities. Activity (b) will carried out in collaboration with regional fisheries and research organizations as appropriate. Funding agencies should support implementation of activity (b).

V. Time schedule

The elaborated programme of work will be effective for a six year time period (2004–2010) at which point its implementation will be reviewed in depth, and the programme of work will be revised as necessary. Additional elaboration of the programme of work prior to 2010 can be undertaken through decisions of the Conference of the Parties in response to emerging global priorities needing urgent action.

Appendix 1
Specific Work Plan on Coral Bleaching

The following activities, adopted by the Conference of the Parties in its decision VI/3 and amended by decision VII/5, would be incorporated under operational objective 2.3 of the elaborated programme of work. These amendments recognize the urgent need to implement action to manage coral reefs for resistance and resilience to, and recovery from, episodes of raised sea temperatures and/or coral bleaching.

1. MANAGEMENT ACTIONS AND STRATEGIES TO SUPPORT REEF RESILIENCE, REHABILITATION AND RECOVERY

(a) The identification, investigation and management of areas of demonstrated resilience and/or resistance to raised sea-temperature and coral-bleaching events:[170]

Highest priority actions for implementation

(i) Identification of coral-reef areas that exhibit resistance and/or resilience to raised sea temperatures;

170 *Ongoing initiatives*

(i) Areas exhibiting resistance to raised sea temperatures and/or high resilience to coral bleaching have been identified, for example in the Indian Ocean, through coral-reef monitoring programmes.

(ii) Management regimes to enhance post-bleaching coral recruitment in key areas have been tested, for example with regard to control of coral-grazing species.

(iii) A users manual for building resistance and resilience to climate change in natural systems, entitled "Buying time" was launched at the World Parks Congress, and is being tested in tropical marine ecosystems.

(ii) Identification, development, testing and refinement of management regimes to enhance reef resilience to and recovery from raised sea temperatures and/or coral bleaching, through the application of, *inter alia*, appropriate protective status, reduction of reef stressors, management of reef communities, etc;

Other priority actions

(iii) Investigation of factors that enable such resistance such as, *inter alia*, cool currents, cold up-wellings, genetic tolerance in certain species and genotypes of corals to raised sea temperatures, presence and necessary abundance of reef associated biodiversity that imbues reef systems with resilience to raised sea temperatures and/or coral bleaching;

(iv) Investigation of the role(s) of sea currents, local and larger scale, in the resistance and/or resilience of coral reefs to raised sea temperatures and/or coral bleaching.

(b) The recognition of the urgent need to supplement coral-reef information gathering and monitoring schemes with focused management activities and the need to assist, support and enable such activities.

Highest priority action for implementation

(i) Establish or expand as appropriate, and begin to implement, international support programmes to developing countries, countries with economies in transition, and in particular, least developed countries and small island developing states, to support such activities;

(c) Identify and develop pilot projects for management interventions that promise to increase reef resilience to bleaching in both the short and long-term and/or strengthen reef recovery post-bleaching:[171]

Highest priority actions for implementation

(i) Explore utility and feasibility of short-term management interventions to reduce severity of bleaching or to facilitate recovery after bleaching;

(ii) Instigate and support initiatives for marine protected areas managers where resilience principles are being actively applied and tested;

(iii) Encourage the application of resilience principles in coral reef areas outside marine protected areas.

(d) Integrate bleaching resilience principles into marine protected areas network design of networks of marine protected areas, and management approaches,

171 *Ongoing initiatives*

(i) The Nature Conservancy Reef Resilience Program is launching a programme aimed at establishing pilot projects that will test the application of resilience principles in coral-reef MPAs.

(ii) The benefits of reducing fishing pressure during post-bleaching recovery of damaged coral reefs are being experimentally evaluated in East Africa.

such as improving water quality, preventing overfishing and protecting biodiversity:[172]

Highest priority action for implementation

(i) Establish programmes that provide information and resources to support understanding and application of resilience principles into the design.

(e) Increase implementation of management actions, including identifying and promoting key demonstration sites that reduce localized stressors on reefs in order to increase reef resilience to mass bleaching:[173]

Highest priority action for implementation

(i) Assist reef managers to identify, implement and justify actions that can reduce localized stressors on reefs that will increase reef resilience to mass bleaching.

2. INFORMATION GATHERING

(a) Implement and coordinate targeted research programmes, including predictive modelling, that increase understanding of:

(i) The *mechanisms* that cause mass coral bleaching, including:
(a) Mechanisms that lead to variation in bleaching symptoms;
(b) Bleaching thresholds for varying geographic locations and reef types for acute and chronic increases in sea temperature;
(c) Synergistic relationships between global stressors, such as warming, increased exposure to ultraviolet radiation and localized threats that already place reefs at risk, such as pollution and overfishing;

(ii) The *long-term consequences* of mass coral bleaching under different warming scenarios, including:
(a) Understanding of acclimation and adaptation potential;
(b) Prediction of the frequency and extent of mass bleaching;
(c) Predict the impacts of mass bleaching on ecological, social, and economic systems;

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172 *Ongoing initiatives*
(i) The Nature Conservancy Reef Resilience Toolkit provides guidance for MPA managers to integrate bleaching resilience principles into MPA design and management.
(ii) The Great Barrier Reef Marine Park Authority (GBRMPA) has included resilience principles among the major considerations informing the recent rezoning process for the entire Great Barrier Reef Marine Park.

173 *Ongoing initiatives*
(i) The United States Coral Reef Task Force (CRTF) has implemented a program of Local Action Strategies to guide and support local management actions that reduce localized stressors on reefs.
(ii) The GBRMPA is implementing a range of management initiatives within a framework designed to reduce local stressors and therefore improve reef resilience to climate change. Key actions have included a program to reduce land-based sources of pollution (Great Barrier Reef water quality protection plan) and a full revision of marine park zoning to improve biodiversity protection (representative areas programme).

(iii) The *management* of mass coral bleaching, including:
(a) Effectiveness of short-term management interventions in promoting reef resilience to bleaching and/or recovery after mass bleaching events;
(b) Understanding of strategies to support long-term resilience to bleaching, including connectivity, removal of localized stressors, etc.

While many of the information needs for the work plan will require a longer term commitment, the work plan recognizes the need to act now to minimize the impacts of coral bleaching through effective management initiatives.[174]

Highest priority actions for implementation

(i) Document instances of mass bleaching, and the impacts of coral-bleaching and coral-mortality events on social and economic sys-

174 *Ongoing initiatives*
(i) The Ad Hoc Study Group on Indicators of Coral Bleaching and Subsequent Effects was established September 2000 under the auspices of IOC/UNESCO with three major objectives: to develop possible molecular, cellular, physiological, and community indicators of coral bleaching that are reliable in their ability to detect early stress signals; examine potential mechanisms of reef corals for adaptation/acclimatization to global environmental change; investigate long-term response of reef corals to large scale changes in environmental variables. The group will meet annually for three years and distribute findings through annual reports and a final publication.
(ii) The Global Coral Reef Monitoring Network (GCRMN) is a global network of coral reef scientists, Governments and local communities for monitoring and assessment of coral reefs, in terms of both biophysical and socio-economic parameters needed for management. GCRMN is co-hosted by the Australian Institute of Marine Science and the World Fish Center (ICLARM). The World Fish Center also host ReefBase, the official database of GCRMN, with data of over 8,000 coral reefs over the world. UNEP, together with IOC/UNESCO, is a sponsor of the GCRMN and a member of the GCRMN Management Group and the GCRMN Scientific and Technical Advisory Committee.
(iii) GCRMN has developed a comprehensive Status of Coral Reefs of the World report to be updated every two years, with the most recent edition published in October 2002.
(iv) UNEP, through GCRMN, emphasizes the importance of monitoring socio-economic parameters to achieve sustainable use of coral-reef ecosystems. A socio-economic manual has recently been developed (October 2000) for monitoring of these parameters for enhanced management capacity.
(v) Contributing to GCRMN are existing regional projects. Regional coral-reef monitoring networks within GCRMN exist for the Indian Ocean and the Wider Caribbean funded by World Bank, with the goal of assisting in the conservation of the rich biodiversity of coral reefs and their socio-economic value, and in the sustainable management of their resources, through a monitoring network. Monitoring programs dedicated to detect impacts from coral bleaching are being implemented within the Asia Pacific region (including the Great Barrier Reef), with a program underway currently to maximise their compatibility for regional summaries.
(vi) Under the International Coral Reef Action Network (ICRAN), the World Conservation Monitoring Centre (WCMC) and the World Fish Center are exploring the integration and availability of map-based products through the WCMC website and through ReefBase.
(vii) Some projects within the CORDIO programme in the Indian Ocean region focus on determining the socio-economic impacts of coral mortality and options for mitigating these through management and development of alternative livelihoods.

tems, and provide relevant information to the Secretariat through the Global Coral Reef Monitoring Network (GCRMN);

(ii) Compile, and disseminate through the clearing-house mechanism, current scientific information on the survival of reef-building corals under global warming to allow some prediction of the adaptation and survival of the biological diversity of coral reefs in coming decades;

(iii) Collaborate with the Global Coral Reef Monitoring Network to compile information on existing networks, databases and Websites which can provide up-to-date information of the status of coral reefs and their threats; and assess the quality of the data they contain and methodologies used for data collection and analysis.

Other priority actions

(iv) Strengthen networks for data collection and dissemination of information on coral-reef status and interpretation of long-term trends resulting from global climate change and anthropogenic stresses to assist effective management and conservation;

(v) Support further targeted research programmes that investigate:
(a) The mechanisms that cause mass bleaching specifically, explanations for variation in bleaching patterns, identification of bleaching thresholds, and synergistic relationships between local threats and warming seas;
(b) The impacts of coral-bleaching and coral-mortality events on social and economic systems;
(c) Management options to building reef resilience to mass bleaching on both short- and long-time frames.

(b) Implement and coordinate baseline assessments and long-term monitoring to measure the biological and meteorological variables relevant to coral bleaching, mortality and recovery, as well as the socio-economic parameters associated with coral-reef services.[175]

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175 *Ongoing initiatives*

(i) The objectives of the Ad Hoc Study Group on Indicators of Coral Bleaching and Subsequent Effects under activity (a) above include the identification of biological indicators that would facilitate long-term monitoring.

(ii) GCRMN currently serves as a network for coral-reef assessments and monitoring of biological variable relevant to coral bleaching, mortality and recovery, as well as many socio-economic parameters associated with coral-reef services (see activity (a)).

(iii) Data repository and dissemination systems such as ReefBase may offer time-line biological data.

(iv) GCRMN, in coordination with the World Bank, IUCN, the Australian Institute of Marine Science and UNEP regional seas programmes is targeting existing or planned marine protected areas as the focus of some of their monitoring activities. The sites may offer valuable baseline data and serve for long-term monitoring. The Great Barrier Reef Marine Park Authority has implemented a baseline monitoring program to detect long term impacts of coral bleaching on the Great Barrier Reef.

(v) GCRMN is currently developing rapid assessment methodology for socio-economic and biophysical parameters in the Eastern African region, especially for

continues…

Highest priority actions for implementation

(i) Implement baseline assessments and long-term monitoring to measure the extent and severity of coral bleaching, mortality and recovery and identify reef areas that exhibit resistance and/or resilience to raised sea temperatures;
(ii) Compile information on the socio-economic impacts of coral bleaching on communities dependent on coral reefs;
(iii) Widen, as necessary, the research on socio-economic impacts of coral bleaching on communities dependent on coral reefs;
(iv) Identify pilot projects that establish training programmes and survey protocols and enhance availability of expert advice at a range of scales, including classification of scale data.

Other priority actions

(v) Support ongoing assessment and monitoring initiatives, such as those of UNESCO, ICRAN, the regional seas conventions and action plans, GCRMN, UNEP and CORDIO;
(vi) Encourage and facilitate large-scale (ecosystem) monitoring programs that can generate an understanding of the large scale (both temporal and spatial) impacts of coral bleaching, with a particular focus on the cumulative ecosystem-level impacts of successive coral-bleaching events (The WWF Global Protocol to be released 2004 provides a framework for this).

(c) Develop a rapid response capability to document coral bleaching and mortality, including in developing countries and remote areas, encompassing establish-

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use in developing countries where limited resources do not always allow for regular high-intensive monitoring.

(vi) WWF are leading a collaboration with ReefBase and the Great Barrier Reef Marine Park Authority to release in 2004, a global toolkit containing standardised methods for assessment and monitoring impacts of coral-bleaching events.

(vii) The United States CRTF, GBRMPA and IUCN are producing a publication *Responding to Global Change: A Reef Manager's Guide to Coral Bleaching* for release in 2004. The Guide builds on the IUCN/CBD publication *Management of Bleached and Severely Degraded Coral Reefs*. It will assist reef managers to predict, understand and respond to coral-bleaching events, and take action to minimise the severity and irreversibility of damage from climate change through supporting the natural resilience of reef ecosystems. The publication evaluates and synthesises current and emerging experience and knowledge to guide efforts to reduce the impact of climate change on coral reefs.

(viii) The UNEP Division of Environmental Information, Assessment and Early Warning coordinates a variety of information available from remote sensing technologies and organizations that facilitates dissemination of such information. They are well suited to coordinate assessment of meteorological variables relevant to coral bleaching, mortality and recovery.

(ix) WCMC and ICLARM are exploring the integration and availability of map-based products through the WCMC Website and through ReefBase.

ment of training programmes, survey protocols, expert advice, and contingency funds or rapid release of special project funding.[176]

Highest priority actions for implementation

(i) Support the development of standardized training modules and manuals on detection and documentation of coral-bleaching events, mortality or recovery monitoring;

(ii) Build capacity and facilitate the development and implementation of coral-bleaching response plans, taking into account expert guidance, by organisations responsible for managing and conserving coral reefs.

Other priority actions

(iii) Organize, in conjunction with relevant agencies and organizations, annual meetings in each region on coral-reef assessment and monitoring methods with particular emphasis on documenting coral bleaching, bleaching related mortality and subsequent recovery. These should be integrated into existing programmes, where possible (regional seas conventions and actions plans may have the best capacity to implement these measures).

(d) Encourage and support countries in the development and dissemination of status-of-the-reefs reports and case-studies on the occurrence and impacts of coral bleaching and related mortality.[177]

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176 *Ongoing initiatives*

(i) The objectives of the Ad Hoc Study Group on Indicators of Coral Bleaching and Subsequent Effects referred to under activity (a) above include the identification of physiological early-stress indicators in corals.

(ii) The Sida-SAREC and World Bank programme on coral-reef degradation in the Indian Ocean, was initiated as a response to the 1998 coral-bleaching event (CORDIO).

(iii) GCRMN is currently developing rapid assessment methodology for socio-economic and biophysical parameters in the Eastern African region, especially for use in developing countries where limited resources do not always allow for regular high-intensive monitoring (ReefCheck).

(iv) Within the ICRAN strategic plan, it is intended that these capabilities will be developed and made widely available.

(v) The UNEP Division of Environmental Information, Assessment and Early Warning coordinates a variety of information available from remote sensing technologies and organizations that facilitates dissemination of such information.

(vi) The Great Barrier Reef Marine Park Authority has developed a comprehensive Coral Bleaching Response Program, which is being used as a model for development of other regional response programs (Program document can be downloaded from <www.gbrmpa.gov.au>).

(vii) The *Reef Manager's Guide to Coral Bleaching* being released in 2004 by the US Coral Reef Task Force and GBRMPA provides protocols, advice and a framework for planning and implementing rapid responses to coral-bleaching events. The plan for dissemination of the guide includes targeted capacity building in partnership with NOAA and The Nature Conservancy.

177 *Ongoing initiatives*

(i) GCRMN has developed a comprehensive Status of Coral Reefs of the World report to be updated every two years, with the most recent edition published in October 2002. This report is largely based of national and regional contributions.

continues…

Highest priority action for implementation

(i) Strengthen dissemination of existing assessment and monitoring information on status of coral reefs and their threats through existing networks (Under the ICRAN strategic plan, this is a core role of GCRMN and ReefBase).

Other priority actions

(ii) Include coral bleaching in existing national biodiversity strategies and action plans under the Convention on Biological Diversity;

(iii) Support and collaborate with GCRMN the expansion of existing networks and initiatives at the regional and national level conducting coral-reef status assessments and monitoring.

(e) Emphasize that coral bleaching can be monitored as an early warning of the impacts of global warming on marine ecosystems and that the collapse of coral-reef ecosystems could impact ecological processes of the larger marine system of which coral reefs are a part, and expand the use of early-warning systems for coral bleaching.[178]

Highest priority action for implementation

(i) Recognizing that coral bleaching is a cumulative-stress response (i.e., global warming is the most widespread stressor, but known localized human-induced stresses exacerbate events), develop education programmes addressing an ecosystem approach to coral-reef management and the relation between coral-reef health, resilience and other human-induced stresses.

Other priority actions

(ii) Encourage space agencies and private entities to maintain deployment of relevant sensors and to initiate design and deployment of specialized technology for shallow-oceans monitoring;

(ii) The Secretariat of the Convention on Biological Diversity, in accordance with decision V/3, paragraph 7 of the Conference of the Parties, invited Parties to submit case-studies for dissemination through the clearing-house mechanism. The national reporting mechanism of the Convention on Biological Diversity facilitates the collection of information on the status of coral reefs and case-studies on the occurrence and impacts of coral bleaching.

(iii) The CORDIO Status Reports offer reporting opportunities on the status of the reefs for Indian Ocean countries. The dissemination of this information through the CORDIO newsletter has facilitated further communication and coordination on local impacts.

178 *Ongoing activities*

(i) The UNEP Division of Environmental Information, Assessment and Early Warning coordinates a variety of information available from remote sensing technologies and organizations that facilitate dissemination of such information.

(ii) Under the International Coral Reef Action Network, WCMC and ICLARM are exploring the integration and availability of map-based products through the WCMC website and through ReefBase that include satellite and aerial imagery.

(iii) HotSpots satellite temperature monitoring programme.

(iii) Expand the use of existing early warning systems and support the development of Web-based early warning systems and other means (for example, *in situ* temperature loggers);

(iv) Encourage mechanisms to make accessible high-resolution multi-spectrum imagery at low cost to coral-reef scientists and managers worldwide with a view to those scientists and managers that are based in developing countries;

(v) Work with the UNEP Division of Environmental Information, Assessment and Early Warning, GCRMN and other relevant organisations to develop local community capacity for remote and local level validation exercises, and training in interpretation of weather patterns related to the onset of bleaching;

(vi) Assist in developing and enhancing national and regional capacities of developing coastal States, and in particular small island developing States, on monitoring, interpretation, and application of climatic and oceanographic data related to the onset of bleaching.

(f) Facilitate initiatives that develop partnerships between scientists and managers to generate management-relevant information and products that support local management actions in response to global change:[179]

Highest priority action for implementation

(i) Support initiatives to build capacity among reef managers to access and apply scientific information relevant to climate change and coral bleaching.

Other priority actions

(ii) Develop and support initiatives to foster active working relations between scientists and managers that can increase capacity to effectively respond to global change threats to local reefs;

(iii) Encourage investigations into the relationship between coral-bleaching events and long-term meteorological data.

3. CAPACITY-BUILDING

(a) Support training for reef managers globally on existing tools for responding to mass bleaching events, including early warning prediction, rapid assessment, communication, and management interventions:[180]

179 *Ongoing initiatives*

(i) The CORDIO programme links reef managers and scientists in efforts to understand and respond to coral bleaching.

(ii) The GEF/World Bank targeted research programme on coral bleaching has a strong focus on supporting high quality science to generate management-relevant information.

(iii) The *Reef Manager's Guide to Coral Bleaching* released 2004 provides current and emerging information to support local management actions in response to global change.

180 *Ongoing initiatives*

The *Reef Manager's Guide to Coral Bleaching* released in 2004 compiles currently available and emerging tools for responding to mass bleaching events.

Highest priority action for implementation

(i) Support activities aimed at building awareness and capacity relating to implementation of tools for responding to mass bleaching events.

(b) Support the training of and career opportunities for relevant marine taxonomists, ecologists, and members of other relevant disciplines, particularly at the national and regional level.[181]

Highest priority actions for implementation

(i) Develop and/or expand training opportunities for protected area managers, fishery managers and related marine resource managers at the national and regional levels, on resource assessment, monitoring, user impact, ecosystem approaches to marine and coastal resource management, surveillance and enforcement, local community integration, and in setting and measuring the achievement of management performance goals and indicators;

(ii) Encourage a network of reef management agencies in developed and developing countries, and encourage relevant exchange programmes between countries and/or regions involved in coral-reef management with particular emphasis on coral bleaching, bleaching related mortality and subsequent recovery;

(iii) Gather, and disseminate through the clearing-house mechanism, information on existing training programmes on integrated coastal area management, best practices and related issues to sustainable management of coral reefs.

Other priority actions

(iv) In recognition of the important implication of climate change for coral reefs, encourage and facilitate greater understanding within agencies responsible for reef management about coral bleaching and related global change issues for coral reefs;

(v) Encourage incorporation or support the issue of coral reefs and bleaching in the capacity building activities of multilateral environmental agreements (e.g., Ramsar Convention, Cartagena Convention) and of their respective contracting parties;

(vi) Collaborate with GCRMN and other relevant organisations to develop standardized training modules and facilitate programs to build capacity in detection and documentation of coral-bleaching events and subsequent recovery, based on international Protocols and Manager's Guides currently under development;

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181 *Ongoing initiatives*

(i) Various ongoing training activities not necessarily related to coral bleaching but to coral conservation issues, e.g., the Ramsar Wetlands for the future training initiative for Latin America and the Caribbean; the regional seas programme for Caribbean protected areas managers; various activities supported by aid agencies and global and regional development banks.

(ii) Many other training activities are carried out as components of wider projects and programmes. GCRMN is building capacity for coral-reef monitoring and assessments through training workshops, especially in developing countries.

(vii) Organize, in conjunction with relevant agencies and organisations, regular meetings in each region on coral-reef assessment and monitoring methods with particular emphasis on documenting coral bleaching, bleaching related mortality and subsequent recovery. These should be integrated into existing programmes, where possible;

(viii) Create scholarship trust funds in each region of the regional seas programmes to provide scholarships at graduate/postgraduate level for studies on coral-reef conservation and management, giving special consideration to small island developing States;

(ix) Promote the inclusion in national reports under the regional seas conventions, the Convention on Biological Diversity and the United Nations Framework Convention on Climate Change a section for reporting of ecological and socio-economic impacts of coral-bleaching events.

(c) Encourage and support multidisciplinary approaches to coral-reef research, monitoring, socio-economics and management.[182]

Highest priority action for implementation

(i) Support ICRI and GCRMN activities that encourage and support multidisciplinary approaches to coral-reef research, monitoring, socio-economics and management.

(d) Build stakeholder partnerships, community participation programmes, and public-education campaigns and information products that address the causes and consequences of coral bleaching.[183]

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182 *Ongoing initiatives*

Regional seas programmes through the ICRAN strategic plan and existing programmes like CORDIO, and the UNEP Caribbean Environment Programme are increasing regional capacity towards monitoring, socio-economics and management, as related to coral bleaching. The four regions currently active under the ICRAN strategic plans are South-East Asia, Pacific, Caribbean and Eastern Africa.

183 *Ongoing initiatives*

(i) ICRI and the International Tropical Marine Ecosystems Management Symposium (ITMEMS) are building the foundation of new ICRI action.

(ii) A number of existing education and capacity-building projects within the regional seas programmes serve to raise awareness regarding coral bleaching.

(iii) IUCN, the Secretariat of the Convention on Biological Diversity, USAID and WWF have produced a publication Management of Bleached and Severely Damaged Coral Reefs, to contribute to effective and immediate management action to aid reef protection and regeneration, and to enhance research to develop the necessary tools and measures for long-term success. In addition, the publication is intended to raise awareness of the urgent need to take all possible actions to reduce the impact of climate change on coral reefs.

(iv) The WWF approach to worldwide coral-reef conservation includes training of resource managers, increasing education, raising awareness, and implementing site-based reef management projects to help groups of stakeholders achieve their goals in reef management and sustainable economic development, including through the development of alternatives to destructive practices.

(v) The International Coral Reef Information Network (ICRIN) is the primary public awareness mechanism of the ICRI, and thus serves to disseminate public information products that address the causes and consequences of coral bleaching.

Other priority actions

(i) Bridge the gap between global and local action through the creation of national and sub-regional coral-reef initiatives (see ICRI and the International Tropical Marine Ecosystems Management Symposium on Building the Foundation of New ICRI Action);
(ii) Collaborate with relevant organisations to compile and disseminate relevant information from status-of-reefs reports, *Reefs at Risk*, etc., and examples of effective practical materials for general public, the media, private sector and policy makers;
(iii) Collaborate with relevant organisations to develop educational programmes on the relationship between coral reefs and larger marine systems (e.g., impacts of coral-reef loss on fisheries, local communities etc).

4. POLICY DEVELOPMENT/IMPLEMENTATION

(a) Use existing policy frameworks to implement the multiple conservation measures outlined in the Renewed Call to Action of the International Coral Reef Initiative, and develop and implement comprehensive local-to-national-scale integrated marine and coastal area management plans that supplement marine protected areas.[184]

Other priority actions

(i) Integrate in existing policies at the regional and national levels the priority issues identified by ICRI and the International Tropical Marine Ecosystems Management Symposium (ITMEMS);
(ii) Assess relevant actions of existing policy frameworks and how these are directly addressing the integrated marine and coastal areas management, in particular coral-reef issues;
(iii) Make use of the regional seas programmes and other regional agreements (i.e., shipping, fisheries, trade and land-based sources of marine pollution) as vehicles to develop and implement policies related to coral-reef management and protection;
(iv) Identify and institute additional and alternative measures for securing the livelihoods of people who directly depend on coral-reef services.[185]

184 *Ongoing initiatives*
As an example, relevant regional activities within the Wider Caribbean are carried out, *inter alia*, in the framework of:
(i) The Cartagena Convention and its protocols on oil spills, land-based sources of marine pollution and specially protected areas and wildlife.
(ii) Regional ICRI Framework for Action.
(iii) Association of Caribbean States (ACS).
(iv) Central American Commission on Environment and Development (CCAD)
(v) CARICOM.

185 *Ongoing initiatives*
Some projects within the CORDIO programme in the Indian Ocean region focus on determining the socio-economic impacts of coral mortality and options for mitigating these through management and development of alternative livelihoods. Development is needed of further target research projects that investigate the impacts of coral-bleaching and mortality events on social and economic systems in other regions.

Highest priority actions for implementation

(v) Support and expand existing projects that assess the impacts of coral bleaching on communities dependent on coral reefs, such as the CORDIO project in the Indian Ocean;

(vi) Develop pilot projects for transitioning dependent communities to alternative and sustainable livelihoods.

(b) Initiate efforts to develop joint actions, including between national focal points, among the Convention on Biological Diversity, the United Nations Framework Convention on Climate Change, and the Convention on Wetlands to:

(i) Develop approaches for assessing the vulnerability of coral-reef species to global warming;

(ii) Build capacity for predicting, monitoring and managing the impacts of coral bleaching and related mortality;

(iii) Identify approaches for developing response measures to coral bleaching;

(iv) Provide guidance to financial institutions, including the Global Environment Facility (GEF), to support such activities.[186]

Other priority actions

(v) Promote and implement joint work plans with other relevant agreements, organizations and initiatives, including the Commission on Sustainable Development, FAO, regional seas conventions and action plans, regional trade and economic organizations, the Global Programme of Action (GPA) for the Protection of the Marine Environment from Land-based Activities, ICRI and the Man and Biosphere Programme. In particular, assess and coordinate activities that have been agreed within multilateral environmental agreements about coral reefs;

(vi) Gather the outputs of the Caribbean GEF project on climate change adaptation (CPACC project) as a contribution to activities (i)–(iv) above, and disseminate relevant findings through the clearing-house mechanism and other mechanisms;

(vii) Further development of response measures to coral bleaching and potential guidance to financial institutions, including the GEF may be needed;

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186 *Ongoing initiatives*

(i) The Executive Secretary has transmitted the view to the United Nations Framework Convention on Climate Change (UNFCCC) that there is significant evidence that climate change is a primary cause of the recent and severe extensive coral bleaching, and that this evidence is sufficient to warrant remedial measures being taken in line with the precautionary approach. In this regard, the Secretariat of the Convention on Biological Diversity, the Secretariat of the UNFCCC, and the Intergovernmental Panel on Climate Change (IPCC) have initiated dialogue to explore the integration of biological diversity concerns into the implementation of the UNFCCC and its Kyoto Protocol.

(ii) GEF Caribbean project on climate change adaptation (CPACC project).

(iii) GEF/World Bank Targeted Research Project on Coral Bleaching.

(viii) Develop, through a transparent consultative process, a list of international research priorities to support reef management information needs and to guide funding institutions.

(c) Encourage FAO and regional fisheries organizations to develop and implement measures to assess and mitigate the impacts of sea-surface temperature rise on fisheries:

Highest priority actions for implementation

(i) Establish no-fishing zones and limitations on fishing gear to protect breeding grounds and provide fish with refuges as well as increase reef resilience;
(ii) Enforce legislation prohibiting destructive fishing practices that further damage coral-reef ecosystems and reduce reef resilience.

Other priority actions

(iii) Encourage investigations of potentially deleterious effects of changes in oceanographic patterns and resulting impacts on target fish stocks resulting from sea-surface temperature rise;
(iv) In collaboration with FAO, investigate strategies for management of coral-reef fisheries that are demonstrably sustainable with respect to fished stocks and the ecosystems that produce them.

5. FINANCING

(a) Mobilize international programmes and mechanisms for financial and technical development assistance, as well as national and private sources to support implementation:

Highest priority actions for implementation

(i) Identify financial and technical assistance for the implementation of this work program;
(ii) Identify financial and technical assistance mechanisms of national and private sources to assistance communities impacted by coral bleaching.

Other priority actions

(iii) Promote programmes that identify the relationships among financial and technical development assistance and environmental project funding.

Appendix 2
Elements of a work plan on physical degradation and destruction of coral reefs, including cold water corals

1. *Assessments and indicators*. To provide a comprehensive analysis of the status and trends of global coral-reef ecosystems, including determination of indicators

for continued monitoring and determination of ecological and socio-economic impacts of coral-reef degradation and destruction.

2. *Management*. To identify management practices, technologies and policies that promote the conservation and sustainable use of coral-reef ecosystems and their associated marine biological diversity, with a view to addressing recognized threats (i.e., overfishing, coastal development, destructive fishing practices, land-based pollution, marine-based pollution and recreational use) and identifying sustainable management approaches.

3. *Capacity-building*. To strengthen the capacities of Parties, regions, local communities and other stakeholders, to manage sustainably coral-reef ecosystems and their associated marine biological diversity so as to maintain their ecosystem benefits and to promote awareness and responsible action to prevent and mitigate physical degradation and destruction of coral reefs and its effects on marine biological diversity.

4. *Financing*. To recognize and promote existing programmes and mobilize further mechanisms for financial and technical development assistance to support implementation of activities addressing the physical degradation and destruction of coral reefs.

5. *Education and public awareness*. To educate and inform the public, policy makers and other stakeholders of ecological and socio-economic values of coral-reef ecosystems and the importance of an ecosystem approach towards their conservation and sustainable management.

Appendix 3
Elements of a marine and coastal biodiversity management framework

A. PURPOSE OF THE FRAMEWORK

1. The overall marine and coastal biodiversity management framework should fulfil the three objectives of the Convention, namely the conservation of biological diversity, the sustainable use of its components, and the fair and equitable sharing of benefits, arising out of the utilization of genetic resources.

2. The framework would play a precautionary approach role to help halt losses in biodiversity and encourage recovery, notwithstanding our imperfect knowledge of the marine environment.

3. The framework should address all elements of biodiversity, as reflected in Annex I to the Convention, including the genetic, species and ecosystem levels.

4. Marine ecosystems include both benthic and pelagic elements. Most species have a mobile stage in their life cycle. As a consequence, marine systems are considered open and dispersing larvae can link distant marine, coastal and inland water habitats. This means that connectivity issues are significant in designing a marine biodiversity management framework, and one marine and coastal protected area will not be able to protect all the biodiversity within the area. A network approach is therefore essential. The network should be at an appropriate scale, which may in some cases require a regional approach. That regional approach should address

proportionality issues on a regional rather than a national scale, for example when one or a handful of countries possess most or all of a particular habitat type or the world population of a particular species.

B. ELEMENTS OF THE FRAMEWORK

5. An effective marine and coastal biodiversity management framework would comprise sustainable management practices and actions to protect biodiversity over the wider marine and coastal environment, including integrated networks of marine and coastal protected areas consisting of:

(a) Marine and coastal protected areas, where threats are managed for the purpose of biodiversity conservation and/or sustainable use and where extractive uses may be allowed; and

(b) Representative marine and coastal protected areas, where extractive uses are excluded, and other significant human pressures are removed or minimized, to enable the integrity, structure and functioning of ecosystems to be maintained or recovered.

6. The balance between category (a) and (b) marine and coastal protected areas in paragraph 5 above would be selected by the country concerned.

7. This framework should respect national legislation and also respect the interests of indigenous and local communities, such as spiritual and cultural practices and socio-economic interests and, as appropriate, opportunities for the participation of indigenous and local communities in the establishment and management of marine and coastal protected areas, and in accordance with Article 8(j) and related provisions should respect, preserve and maintain traditional knowledge, innovations and practices.

C. MARINE AND COASTAL PROTECTED AREAS WHERE EXTRACTIVE USES ARE PERMITTED

8. Marine and coastal protected areas where extractive uses are permitted would contain areas that are subject to site-specific controls that have an explicit biodiversity objective or recognized biodiversity effect. Those controls may also have other objectives (e.g., economic or social objectives). In many countries these may comprise the majority of areas within networks of marine and coastal protected areas and deliver most biodiversity benefits. Examples of such controls include controls on fishing methods (e.g., restricting bottom trawling), controls on the removal of certain species (e.g., habitat forming species), rotational closures, and controls on pollution and sedimentation.

9. Amongst the roles for these areas may be to maintain connectivity across the overall network, protect life cycle stages (e.g. as a result of spawning behaviour), and buffer the representative areas where extractive uses have been excluded.

D. REPRESENTATIVE AREAS FROM WHICH EXTRACTION IS EXCLUDED

10. Such representative areas would be managed to maintain their integrity, structure, functioning, resilience and persistence, or to take restorative or rehabilitative

steps for biodiversity. They would encompass a full range of marine and coastal ecosystems (including those that are also unique or special), and be protected from human impacts and the effects of alien species. The key purpose of these areas would be to provide for intrinsic values, to allow us to better understand the marine and coastal environment by acting as scientific reference areas, to contribute towards marine environmental recovery, and to act as insurance against failures in management. But they will also contribute to other objectives, including socio-economic well-being, sustainable use of fisheries in adjacent areas, and public enjoyment.

11. They should be representative of all marine and coastal ecosystems and should attempt to cover centers of endemism. They should contain sufficient area and replicates to ensure that they can fulfil their objectives and be ecologically viable over time. Although the application of criteria for representativeness in the marine environment is a complex issue, experience in terrestrial protected area work, the work on marine and coastal protected areas to date, and the literature all indicate that the 'representative' concept will not be provided by a few small marine and coastal protected areas.

12. Protection from human impacts would mean that extraction of indigenous biota would be prevented except to the extent necessary to allow essential scientific research and education (i.e., these would be no-take reserves applying to the area or to a specified element of the ecosystem), but also that other practices which significantly impact on biodiversity (e.g. substrate alteration, changes in sediment movements, pollution, visitor disturbance of sensitive species) would be prevented or minimized.

13. These marine and coastal protected areas would be permanent, subject to any necessary changes to allow them to better achieve their objectives, taking into account natural dynamics. They would need to be viable, in the face of changing threats and long-term environmental change (e.g. climate change). Viability might depend on matters such as the nature of the legal protection, the presence of replicates, the design of the individual marine and coastal protected areas, and the connectivity between marine and coastal protected areas (directly or using other marine and coastal protected areas as stepping stones).

14. Although public access may be encouraged in order to generate educational and enjoyment benefits, these benefits would be treated as secondary to the primary purposes listed above. Public access may need to be controlled to prevent unacceptable impacts.

15. Areas would need to be geographically dispersed across biogeographic regions and would need to be ecosystem-based, rather than focus on single species.

E. SUSTAINABLE MANAGEMENT OF THE WIDER ENVIRONMENT

16. The marine and coastal protected areas network would be sitting within a framework of sustainable-management practices over the wider marine and coastal environment.

17. Sustainable management practices over the wider marine and coastal environment could include general restrictions that would apply to the entire area (e.g., bans on certain destructive fishing methods), and site-specific restrictions imposed

for non-biodiversity purposes (e.g., trawling restrictions to protect cables, restricted areas for defence purposes). These practices can contribute to biodiversity protection in a number of ways, including:

(a) The management of more widespread issues that pose a threat to the effectiveness of individual marine and coastal protected areas, and ultimately, the aim of regional networks. These threats usually arise from land-based sources, and include issues such as water quality, sedimentation and shipping/transport;

(b) Providing direct benefits to biodiversity (e.g., restrictions on trawling to prevent cable damage can also protect sensitive biodiversity such as corals and sponges);

(c) Protecting wide-ranging marine and coastal biodiversity species which are difficult to address through site-specific measures (e.g., restrictions on fishing practices that cause a by-catch of species such as albatross, marine mammals and turtles); and

(d) Reducing impacts on the connections between marine and coastal protected areas, (e.g., by allowing the movement of larvae and wide ranging species between marine and coastal protected areas).

F. INTERNATIONAL SUPPORT FOR CREATION AND MANAGEMENT OF NETWORKS OF MARINE AND COASTAL PROTECTED AREAS

18. There are a large number of identified impediments to the creation and management of marine and coastal protected areas at the national level. There are a number of ways in which the international community can help to overcome these impediments. In particular, it can:

(a) Provide active financial, technical and other support for marine and coastal protected areas work; and

(b) Help to identify and remove both the barriers to the creation of marine and coastal protected areas, and perverse incentives for unsustainable activities in the marine and coastal environment.

Appendix 4
Research priorities, including research and monitoring projects associated with programme element 3: marine and coastal protected areas

The following research priorities and pilot projects are designed to both explore and enhance the linkages between marine and coastal protected areas and the sustainable use of marine and coastal living resources. Achieving the goal of sustainable use of living resources is dependent on the social, economic and cultural context of each marine and coastal protected area, and therefore a number of the research priorities focus on this aspect of marine and coastal protected areas. The effects of marine and coastal protected areas on population size and dynamics are investigated through priority 2.1 (connectivity and proportionality), priority 2.3(d) (climate change), priority 3.1 (size and location of marine and coastal protected areas vs. species & habitat dynamics), and priority 3.6(b) (percentage of protection required vs. size and dynamics of local population).

A. ESTABLISHING A GLOBAL NETWORK[187] OF MARINE AND COASTAL PROTECTED AREAS

PRIORITY 1.1: Developing and implementing national, regional and global strategies towards establishing networks of marine and coastal protected areas.

Pilot project:

(a) Parties, regional bodies and relevant organizations to bring to the attention of the Secretariat of the Convention on Biological Diversity existing and planned initiatives towards the development of networks of marine and coastal protected areas.

(b) Draft action-oriented strategies for establishing marine and coastal protected areas networks, and implement those strategies in line with regional initiatives, for example by holding regional workshops.

B. INVENTORY AND ASSESSMENT OF MARINE AND COASTAL PROTECTED AREAS AND THE GLOBAL SYSTEM

PRIORITY 2.1: Assessing the representativeness, connectivity and proportionality of the existing marine and coastal protected areas system.

Pilot projects:

(a) Undertake initiatives to map ecosystems and habitats within regions and biogeographic areas, and determine the minimum level of broad habitat categories required for assessing representativeness of marine and coastal protected areas networks. Use this as a basis for assessing representativeness of the existing marine and coastal protected areas network. This work should use a high-level framework that is compatible with the basis for global inventory work. One possible approach to this work is to hold regional workshops.

(b) Assess connectivity to determine bioregions, and apply this information for evaluation of the existing marine and coastal protected areas network, as well as for identifying priority areas for the future.

(c) Assess the effectiveness of the current marine and coastal protected areas network regionally and globally for the conservation and sustainable use of migratory species.

PRIORITY 2.2: Developing appropriate databases at the national level to allow for an assessment of marine and coastal protected areas frameworks on a larger (regional/global) scale. Using these data to identify patterns among marine and coastal protected areas to generate priority needs for future research and approaches for adaptive management.

187 A global network provides for the connections between Parties, with collaboration of others, for the exchange of ideas and experiences, scientific and technical cooperation, capacity-building and cooperative action that mutually support national and regional systems of protected areas which collectively contribute to the achievement of the programme of work. This network has no authority or mandate over national or regional systems.

Pilot projects:

(a) Develop the high-level framework for the global inventory (see annex IV below), and related advice to national managers on national inventories.

(b) Develop national databases for assessment of selected existing national/regional networks, selecting examples from the range of political, economic and biogeographic situations.

(c) Undertake a global review of the current state of knowledge of marine and coastal protected areas by region. Provide output in a format understandable for managers and policy makers.

(d) Compiling information that illustrates the values, benefits and unique contributions of marine and coastal biodiversity, *inter alia*, breeding, migration patterns of marine species, and spawning sites.

PRIORITY 2.3: Identifying the best indicators for assessing management effectiveness at various scales within an overall system.

Pilot projects:

(a) Develop and test a suite of effective assessment measures, including indicators, on a number of existing sites (biological, socio-economic and governance-based indicators). Selected pilot sites must cover the range of cold, temperate and tropical regions.

(b) Develop methods for evaluating the effectiveness of entire networks of marine and coastal protected areas.

(c) Develop methods for adapting marine and coastal protected areas management in response to possible changing species and habitat distribution patterns, which may result from climate change.

C. IMPLEMENTATION OF MARINE AND COASTAL PROTECTED AREAS NETWORKS

PRIORITY 3.1: Develop methods to manage conflicts and generate support for adequate protection of biodiversity through area-specific approaches.

Pilot project:

(a) Evaluate the long-term benefits (for example species changes, habitat changes and ecosystem changes) of protecting large-enough/significant-enough critical habitats and ecosystems, by developing case-studies.

PRIORITY 3.2: Establishing criteria for choosing marine and coastal protected areas in countries that lack such criteria.

Pilot project:

(a) Provide a conceptual model and best practice examples of criteria for selecting marine and coastal protected areas, by undertaking linked work in a small number of selected countries.

PRIORITY 3.3: Enhancing social and economic effects of marine and coastal protected areas, particularly in terms of poverty alleviation.

Pilot projects:

(a) Development of culturally sensitive marine and coastal protected areas development/management approaches to achieve effective participation, as appropriate, of indigenous and local communities and relevant stakeholders.

(b) Develop adaptive approaches to marine and coastal protected areas establishment and management. This could be done by collection and dissemination of case studies of both best and worst-case examples of the degree to which an understanding of how target communities operate (socially/culturally) and "do business" can affect the success of the establishment and management of marine and coastal protected areas.

PRIORITY 3.4: Developing effective "learning networks"—networking among marine and coastal protected areas at the national/international level. Develop and test such networks in a representative range of test countries/regions.

Pilot projects:

(a) Develop networks of communities/stakeholders to enable them to share and learn from experiences.

(b) Compile information on existing learning networks, and develop guidance for the operation of such networks based on these experiences.

PRIORITY 3.5: Developing effective methods for integrating traditional knowledge into the establishment and management of marine and coastal protected areas.

Pilot project:

(a) Develop guidelines for integration of traditional knowledge, practices and innovation, with the participation of indigenous and local communities and with their prior informed consent in accordance with national legislation, into marine and coastal protected areas establishment and management, and support these by compiling and disseminating case-studies on a wide range of examples from places where such initiatives have been undertaken (for example, New Zealand, Chile, the Wider Caribbean).

PRIORITY 3.6: Developing strategies for integrating marine and coastal protected areas and network development into long-term national and regional planning.

Pilot projects:

(a) Develop strategies based on past experience and future needs for the range of geographical regions.

(b) Develop methods for estimating the percentage of non-extractive protection required, in conjunction with national monitoring programmes, depending on the size and dynamics of local populations.

(c) Incorporate considerations of sedimentation and water quality into planning and management processes.

Appendix 5
Research and monitoring priorities associated with Programme Element 4: Mariculture

At the present time there is insufficient information available about the effects of mariculture on biodiversity and its mitigation. Therefore, additional efforts, including through the use of the knowledge, innovations and practices of indigenous and local communities as appropriate, should be developed in the following areas:

(a) *General research needs*:

(i) Development of research programmes to support establishment of efficient monitoring programmes to monitor impacts of mariculture on marine and coastal biological diversity;
(ii) Development of criteria for judging the seriousness of biodiversity effects of mariculture;
(iii) Subsequent establishment of monitoring programmes to detect effects of mariculture biodiversity;
(iv) Research on the impact of escaped mariculture species on biodiversity;
(v) Development of criteria for when environmental impact assessments are required, and for the application of environmental impact assessments at all levels of biodiversity (genes, species, ecosystems), in the context of the guidelines endorsed by the Conference of the Parties in decision VI/7 A and the recommendations endorsed in decision VI/10, annex II;
(vi) Noting that the FAO glossary of terms is skewed towards marine capture fisheries, expansion of this glossary with regard to its terminology related to aquaculture;
(vii) Reinforcement of global assessments of marine and coastal biological diversity.

(b) *Research related to impacts of mariculture on genetic diversity*:

(i) Development of genetic resource management plans for broodstock;
(ii) Research aimed at understanding genetic effects of biotechnology developments in aquaculture;
(iii) Research aimed at understanding genetic structure of both the farmed and wild populations, including:
a. Effects of genetic pollution from farmed populations on wild populations;
b. Maintenance of genetic viability of farmed populations;
c. Studies of (genetics of) wild populations as potential new candidates for mariculture.

(c) *Research related to impacts of mariculture on species diversity*:

(i) Support for basic global-scale taxonomic studies, possibly in conjunction with the Global Taxonomy Initiative (GTI);
(ii) Support for studies aimed at development of responsible aquaculture using native species, including through consideration of traditional knowledge;
(iii) Development of methods and techniques for limiting by-catch of seed collection.

(d) *Research related to impacts of mariculture on ecosystem diversity*:

(i) Research on carrying capacity and carrying capacity models for planning aquaculture, especially stocking rates;
(ii) Comprehensive studies to quantitatively and qualitatively assess effects of mariculture on biodiversity for various aquatic ecosystems, selected by their sensitiveness degree;
(iii) Research on the competitive nature imposed on marine fisheries by capture and culture fisheries;
(iv) Studies aimed at improved understanding of the effects of inputs, such as chemicals, hormones, antibiotics and feeds on biodiversity;
(v) Research on the impact of diseases in cultured and wild species on biodiversity.

(e) *Research related to socio-economics, culture, policy and legislation*:

(i) Comparative studies on legislation, economic and financial mechanisms for regulating mariculture activity;
(ii) Development of quantitative and qualitative criteria to assess mariculture impacts on the environment, including cultural and social impacts, as outlined in the recommendations contained in decision VI/10, annex II.

(f) *Monitoring programmes*:

(i) Support for mariculture-related disease monitoring programmes at the global level;
(ii) Support for the transfer of biotechnological diagnostic tools for wide use;
(iii) Update of taxonomic database including genetic diversity at the intra-specific level.

ANNEX II
GUIDANCE FOR THE DEVELOPMENT OF A NATIONAL MARINE AND COASTAL BIODIVERSITY MANAGEMENT FRAMEWORK[188]

1. For countries with no marine and coastal protected areas or no highly protected marine and coastal protected areas, the first step should be to develop the first few marine and coastal protected areas, and the necessary mechanisms to

188 Further elaboration is provided in CBD Technical Document No. 13.

allow future marine and coastal protected areas and networks to be developed. The goals and objectives of each marine and coastal protected areas should be clearly established when they are created.

2. A strategic planning approach should be adopted at the national and regional levels when developing an ecologically viable framework for the development of marine and coastal protected areas. This should be based on past experiences in effective management, large-scale factors affecting the viability and long-term goals of marine and coastal protected areas.

3. Management should focus on ensuring that each marine and coastal protected areas, and the network, are fulfilling the identified goals and objectives. This will require evaluation of effectiveness, and adaptive management over time.

4. Key factors for achieving effective management of marine and coastal protected areas include good governance, clear legal or customary frameworks to prevent damaging activities, effective compliance and enforcement, ability to control external activities that affect the marine and coastal protected areas, strategic planning, and sustainable financing.

5. Good governance will depend on having one or more bodies, each with the authority and capacity to undertake their responsibilities. When there is more than one body, including, in the case of transboundary areas, bodies in different countries, mechanisms for coordinating and integrating management will be vital.

6. The legal or customary framework should clearly identify:

(a) Prohibited activities that will be contrary to the objectives of the marine and coastal protected areas;

(b) Those activities which will be allowed with clear restrictions or conditions to ensure that they will not be contrary to the objectives; and

(c) A decision-making process for all other activities.

7. Minimizing the number of discretionary activities is desirable in order to minimize potential harmful impacts in the marine and coastal protected areas.

8. Effective enforcement will depend on:

(a) Adequate enforcement capacity, including clear responsibilities, inter-agency coordination, trained and equipped personnel and the necessary legal or customary powers;

(b) Appropriate penalties and associated legal provisions; and

(c) Integration between enforcement, voluntary compliance and management.

9. Governments should be encouraged to urgently address, through appropriate integrated marine and coastal management approaches, all threats, including those arising from the land (e.g., water quality, sedimentation and marine debris), and shipping/transport in order to maximize the effectiveness of marine and coastal protected areas and the network in achieving their objectives for marine and coastal biodiversity.

10. The Ad Hoc Technical Expert Group identified stakeholder participation as essential for achieving the global goal and for the establishment and maintenance of individual marine and coastal protected areas and regional networks. Stakeholder participation would be particularly important in establishing equitable sharing of benefits accruing from creation of marine and coastal protected areas. In addition, stakeholder participation would:

(a) Allow decisions to be made in an inclusive and transparent way;

(b) Facilitate the involvement in decision-making and management of a wide range of players, increasing the likelihood of success;

(c) Recognize traditional rights and customs, and other interests of indigenous and local communities and other relevant stakeholders in accordance with national law as appropriate; and

(d) Allow decisions and management to be undertaken at the appropriate level (e.g., through decentralization).

11. It was recognized that the type and extent of participation will depend on local circumstances, including issues such as the traditional rights, customs and traditions of indigenous and local communities in accordance with national law, available mechanisms and governance approaches, and the degree of interest of stakeholders.

ANNEX III
IMPROVEMENT OF AVAILABLE DATA FOR ASSESSMENT OF PROGRESS TOWARDS THE GLOBAL GOAL

1. Since 1981, UNEP-WCMC has developed and maintained a global database on protected areas. The importance of this database, which is managed in collaboration with the IUCN World Commission on Protected Areas, has been broadly recognized. Within the database is a subset of clearly identified marine and coastal protected areas.

2. The Ad Hoc Technical Expert Group examined available information, consulted UNEP-WCMC (and indirectly WWF-International), and concluded that global data on marine and coastal protected areas should be improved and/or gathered in the following critical categories:

(a) *Location* (physical coordinates and country or political unit, including the names of neighbouring country/countries where the marine and coastal protected areas is transboundary);

(b) *Total size* of the protected area, the relative size of the marine and coastal component and, where transboundary, the total area under country jurisdiction;

(c) *Temporal aspects* (e.g., permanency or seasonality of protection or management);

(d) *Type of protection and management* proposed or being implemented, using a simple three-tier system:

    (i) Representative highly-protected areas where extractive uses are excluded;

(ii) Additional marine and coastal protected areas;
(iii) Sustainable-management practice in the wider coastal and marine environment;

(e) *Effectiveness of protection and management* gauged against the regime being proposed or being implemented, using a simple three-tier system:

(i) Currently fully effective—no significant problems known;
(ii) Currently partially effective—some deficiencies;
(iii) Currently ineffective—significant implementation problems;

(f) *Nationally-designated names* for type of protection and management (e.g., marine park, marine and coastal nature reserve, etc.);

(g) *Habitats protected and managed* (3D not just benthic);

(h) *Species protected and managed* (3D not just benthic);

(i) *Habitats and species specifically excluded from protection/management within the marine and coastal protected area* (i.e., that have no legal protection);

(j) *Nature of threats to habitats/species*—see table 1;

(k) *Name and contact details* of person(s) providing the above information and date on which this was done.

3. These data categories are a core set, which would provide the key information needed to evaluate progress, and success. They consist of sufficiently few categories to make data collection rapid, easy and hopefully achievable. They would not only underpin the actions of the Convention in the marine and coastal environments but are also considered to be of value to the wider conservation community at global, regional and national levels.

4. The collection of information on habitats being protected and managed would need to be structured from a standard list. This would speed up and standardize data collection. This would need to consist of no more than 15 categories and would need to take a very high level approach. Such an approach needs to be developed but could use terms such as "coral, sea grass, mangrove, estuary, seamounts, etc." A similar approach would need to be taken over high-level categories to collect information on threats. Some first thoughts on such categories are provided in table 1 below. In both cases, a decision at the time of data collection would need to be made on which categories were relevant. Whilst this may cause difficulty on occasions, 'fitting' a site into this proposed management framework, any errors would be insignificant at the network, regional and global scales.

5. Data in other fields currently held within the world database on protected area of proven value to a wider audience, such as the IUCN management categories and GIS boundary data, could also be gathered but are not considered to be as important. IUCN category information will be collected for all sites on the United Nations list and so could be integrated into the above "global" categories.

6. It is also important, in the context of the Convention on Biological Diversity, that additional contextual information be gathered for each signatory country on the nature of their marine and coastal environments. This would provide bench-

marks against which data return would be analysed, progress tracked and future Convention policy determined. This information should include:

(a) *Total area of seas under country jurisdiction in km*^{2} in accordance with the United Nations Convention on the Law of the Sea, and the criteria against which this measurement was made (e.g., high water to seaward limit of jurisdiction, low water to seaward limit); and

(b) *Habitat and species inventories*. In order to assess whether adequate action is being taken, habitat and species inventories to establish global extent and distribution will be required.

7. The former would enable coverage of the marine and coastal protected area network being established under the Convention on Biological Diversity at local, regional and global scales to be tracked, whilst the latter would provide a reference point against which to set future priorities for action under the Convention to address deficiencies. Both are essential for assessing achievement of the proposed global goal.

8. UNEP-WCMC and the IUCN World Commission on Protected Areas (WCPA), working in collaboration with UNEP regional seas offices and other relevant bodies, provide a vehicle by which such a consolidation and updating of global data on marine and coastal protected areas could be achieved. The United States National Oceanographic and Atmospheric Administration currently chairs the marine and coastal protected areas marine programme, and is interested in using its resources and experience of marine and coastal issues to help develop the information base for making decisions on marine and coastal protected areas.

9. The advent of Internet-based tools will greatly ease data-gathering and increase the accessibility of the information and its analysis to advise on local, regional and global progress and trends. Internet-based initiatives, and the predominate use of drop-down menus when gathering data from managers and practitioners, will also reduce data entry time and provide major advantages for the consistency and coherency, and ultimately reliability, of the dataset that needs to be gathered.

TABLE 1: EXAMPLES OF SIX POSSIBLE HIGH-LEVEL CATEGORIES THAT COULD BE USED GLOBALLY TO STRUCTURE COLLECTION OF INFORMATION ON THE NATURE OF THE PRINCIPAL THREATS TO HABITATS/SPECIES WITHIN MARINE AND COASTAL PROTECTED AREAS*

HIGH LEVEL CATEGORY	SUB-CATEGORIES
Physical loss	• Removal (e.g., harvesting, draining to create dry land) • Smothering (e.g., by artificial structures, disposal of dredge spoil)
Physical damage	• Siltation (e.g., run-off, dredging, outfalls) • Abrasion (e.g., boating, anchoring, trampling) • Selective extraction (e.g., aggregate dredging, entanglement, turf cutting)
Non-physical disturbance	• Noise (e.g., boat activity) • Visual (e.g., recreational activity)
Toxic contamination	• Introduction of synthetic compounds (e.g., pesticides, antifoulants, PCBs) • Introduction of non-synthetic compounds (e.g., heavy metals, hydrocarbons) • Introduction of radio nuclides
Non-toxic contamination	• Nutrient enrichment (e.g., agricultural run-off, outfalls) • Organic enrichment (e.g., mariculture, outfalls) • Changes in thermal regime (e.g., outfalls, power stations) • Changes in turbidity (e.g., run-off, dredging) • Changes in salinity (e.g., water abstraction, outfalls)
Biological disturbance	• Introduction of microbial pathogens • Introduction of non-native species and translocations • Selective extraction of species (e.g., bait collection, wildfowling, commercial & recreational fishing)

* NOTE: ONE MARINE AND COASTAL PROTECTED AREA COULD QUALIFY FOR A NUMBER OF HIGH-LEVEL CATEGORIES.

DECISION VII/6 | Assessment processes

The Conference of the Parties

1. *Urges* Parties and other Governments to participate actively in the relevant review processes under the Global Forest Resources Assessment and the Millennium Ecosystem Assessment, as required;

2. *Takes note* of the progress of the Millennium Ecosystem Assessment and the outline for the synthesis report that will be prepared for the Convention on Biological Diversity as contained in annex I of the progress report of the Millennium Assessment submitted to the Conference of the Parties at it seventh meeting (UNEP/CBD/COP/7/INF/34);

3. *Encourages* national focal points to participate in the review of the Millennium Ecosystem Assessment reports;

4. *Requests* the Subsidiary Body for Scientific, Technical and Technological Advice to review the findings of the Millennium Ecosystem Assessment including the synthesis report on biodiversity, to be taken into account by the Millennium Ecosystem Assessment in finalizing its reports; and to prepare recommendations to the eighth meeting of the Conference of the Parties;

5. Recognizing the need to strengthen the scientific base for decisions, *requests* the Executive Secretary to cooperate with the United Nations Environment Programme on the follow-up of the process of international environmental governance;

6. *Encourages* the Executive Secretary to continue collaborating with the international assessment of agricultural science and technology for development (UNEP/CBD/SBSTTA/9/INF/38).

DECISION VII/7 | Environmental impact assessment and strategic environment assessment

The Conference of the Parties,

Noting that, in paragraph 4 of its recommendation IX/1, the Subsidiary Body on Scientific, Technical and Technological Advice decided to follow up on decision VI/7 A at one of its future meetings, in line with the multi-year programme of work of the Conference of the Parties up to 2010;

Urges Parties and other Governments that have not done so to contribute case-studies on current experiences in environmental impact assessment and strategic environmental assessment procedures that incorporate biodiversity-related issues as well as experiences in applying the guidelines contained in the annex to decision VI/7 A.

DECISION VII/8 | Monitoring and indicators: designing national-level monitoring programmes and indicators

The Conference of the Parties

1. *Welcomes* the progress made by the ninth meeting of the SBSTTA on monitoring and indicators;

2. *Notes* the indicators already in use by Parties and ongoing regional and biome-related initiatives and cooperation, as reported in annex I to the note by the Executive Secretary on designing national-level monitoring programmes and indicators prepared for the ninth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice (UNEP/CBD/SBSTTA/9/10), and w*elcomes* the ongoing efforts on the development of biodiversity indicators within the various thematic programmes and cross-cutting themes of the Convention;

3. *Also welcomes* the report prepared by the expert meeting on indicators of biological diversity including indicators for rapid assessment of inland water ecosystems (UNEP/CBD/SBSTTA/9/INF/7);

4. *Expresses its gratitude to* the Government of the United Kingdom of Great Britain and Northern Ireland for its financial support for the expert meeting on indicators of biological diversity, the co-chairs and all the experts for their contributions to the meeting;

5. *Notes* and *encourages* the increased collaboration between the Convention on Biological Diversity and other conventions and organizations in facilitating the development of national-level indicators and monitoring programmes that Parties may draw upon if they so wish as well as the development of global indicators on biodiversity;

6. *Requests* the Executive Secretary to continue collaborating with the Food and Agriculture Organization of the United Nations, the Organisation for Economic Cooperation and Development, the European Environment Agency, and other relevant international and regional organizations and initiatives on the further development and consolidation of indicators relevant to the 2010 target in accordance with decision VII/30 and the thematic programmes of work of the Convention;

7. *Recognizes* that regional and national differences and different national priorities on the conservation and sustainable use of biodiversity necessitates a flexible approach at the national level but that there are benefits in promoting a more consistent framework for data gathering, computation and reporting that can contribute to the development of commonly agreed indicators at regional and global levels;

8. *Urges* all Parties that have not done so to develop a set of biodiversity indicators as part of their national strategies and action plans, taking into account, as appropriate, the targets of the Global Strategy for Plant Conservation and the target to achieve by 2010 a significant reduction in the current rate of biodiversity loss at the global, regional and national level, as well as the guidance, lessons learned and list of indicators provided in the note by the Executive Secretary prepared for the ninth meeting of the Subsidiary Body on Scientific, Technical and Technolog-

ical Advice (UNEP/CBD/SBSTTA/9/10) document, and to report on progress to the Conference of the Parties at its eighth meeting;

9. *Invites* Parties, other Governments and relevant organizations to make use of biodiversity indicators in their assessment of biodiversity, in particular in their assessment of progress towards the achievement of globally agreed targets such as those of the Global Strategy for Plant Conservation, the Strategic Plan of the Convention, the Plan of Implementation of the World Summit on Sustainable Development and the Millennium Development Goals;

10. *Agrees* that the framework contained in annex II to the note by the Executive Secretary (UNEP/CBD/SBSTTA/9/10) provides useful guidance for the development of national-level biodiversity indicators and monitoring, emphasizing the use of existing national data, indicators and evaluation methods in a participatory and accessible approach;

11. *Recognizes* that the development and use of indicators, particularly in the development phase, requires a financial and technical commitment from Parties, and therefore *encourages* bi-lateral and multilateral funding agencies to assist developing countries, in particular the least developed and small island developing States among them, and countries with economies in transition through the provision of financial assistance and training, as required and as appropriate, to develop and implement effective biodiversity indicators;

12. *Acknowledges* that the project funded by the Global Environment Facility on biodiversity indicators in national use, might illustrate how each step proposed in the guidelines for indicator development contained in this document could be carried out in practice and thereby provides lessons on the practical development of biodiversity indicators;

13. *Encourages* Parties to share experience in the development and use of indicators and monitoring and to cooperate and promote, where useful, harmonized procedures and formats for data acquisition, computation and reporting, especially at subregional and regional levels;

14. *Requests* the clearing-house mechanism of the Convention to develop an effective system of information-sharing on lessons learned on the development of national-level biodiversity indicators and monitoring, including through the presentation of worked examples and case-studies;

15. *Requests* the Executive Secretary to further develop the identification, development and testing of indicators based on accrued experience and making particular efforts on indicators: (i) concerning the fair and equitable sharing of the benefits arising out of the utilization of genetic resources; and (ii) on the status and trends of biodiversity at the genetic level, taking into account the ongoing work of the Food and Agriculture Organization of the United Nations (FAO), the International Plant Genetic Resources Institute (IPGRI), the Organisation for Economic Co-operation and Development (OECD) and other relevant organizations, and *invites* him to report on progress for the ninth meeting of the Conference of the Parties;

16. *Also requests* the Executive Secretary to identify, and bring to the attention of Parties, areas with potential for better coordination and integration, as applicable,

between sets of indicators prepared within the various programmes of work and cross-cutting themes of the Convention to avoid duplication of efforts in developing indicators, data-gathering and reporting, particularly at the national level;

17. *Further requests* the Executive Secretary to update, complete and make available, through the clearing-house mechanism and other appropriate means, the indicative list of indicator initiatives and sources of information contained in appendix 2 to annex II to the note by the Executive Secretary (UNEP/CBD/SBSTTA/9/10).

DECISION VII/9 | Global Taxonomy Initiative

The Conference of the Parties

1. *Notes* the progress and commitment being made in implementing the programme of work for the Global Taxonomy Initiative;

2. *Invites* Parties, other Governments, regional and international organizations to take full account of the importance of taxonomic capacities in achieving the goals of the Convention, to support taxonomic activities to attain the 2010 target, and to provide all necessary support to national, and where appropriate regional, taxonomic centres of research and expertise; and *urges* Parties, other Governments and relevant funding organizations to provide adequate and timely support to developing countries to assist in the implementation of the Global Taxonomy Initiative, and for integrating taxonomic capacity-building activities into thematic and cross-cutting programmes, including supporting activities and projects, such as, where appropriate, stand alone capacity-building projects;

3. *Invites* Parties to appoint national focal points for the Global Taxonomy Initiative as called for in decision V/9, and *urges* all Parties to ensure that those focal points work with their taxonomic communities taking into account the programme of work for the Global Taxonomy Initiative;

4. *Requests* Parties to appropriately include and give full support to the taxonomic work needed to accomplish the thematic and cross-cutting programmes of work and activities under the Convention;

5. *Invites* developed country Parties to provide technical and financial support for the operations of the Coordination Mechanism of the Global Taxonomy Initiative;

6. *Requests* Parties to report on the status of implementation of the programme of work for the Global Taxonomy Initiative and further *invites* national and international, taxonomic institutions, funding organisations, financial agencies, and the financial mechanism of the Convention to contribute information on their relevant activities to the review of the Global Taxonomy Initiative for consideration by the Conference of the Parties at its eighth meeting;

7. *Requests* the Executive Secretary, in collaboration with the Coordination Mechanism for the Global Taxonomy Initiative to:

(a) Ensure that appropriate taxonomic expertise with balanced regional representation is included in inter-sessional meetings and expert groups convened by the Secretariat as appropriate;

(b) Develop the process and guidelines for the in-depth review, including mechanisms for monitoring progress in the implementation of the programme of work for the Global Taxonomy Initiative, to be finalized during the tenth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice for consideration at the eleventh meeting of the Subsidiary Body; and

(c) Undertake an analysis of the existing thematic programmes of work and cross-cutting issues with respect to taxonomic components, in order to more effectively build taxonomy into the work programmes and to develop an understanding of the taxonomic capacity necessary to accomplish the targets of these programmes of work.

(d) Undertake a gap analysis of missing elements of the existing programme of work for the Global Taxonomy Initiative in the light of the decisions at the sixth and seventh meetings of the Conference of the Parties, considering also the result of the regional workshops held after the adoption of the programme of work.

(e) Further facilitate the synergistic collaboration between existing initiatives, including the clearing-house mechanism, the Global Biodiversity Information Facility, and regional and sub-regional taxonomic networks in order to develop more accessible information sources for countries on their biodiversity;

(f) Ensure that there are linkages between Articles 15 and 8(j) of the Convention, decisions VII/19 A–F of the Conference of the Parties, on access and benefit-sharing, and taxonomy;

8. *Welcomes* the contribution offered by the Government of Belgium through the Directorate-General for Development Cooperation for training in taxonomy and collection management for developing countries.

DECISION VII/10 | Global Strategy for Plant Conservation

The Conference of the Parties

1. *Notes with satisfaction* the progress achieved in the further development and implementation of the Strategy in line with decision VI/9;

2. *Expresses appreciation* to the organizations that are facilitating stakeholder consultations in relation to the various targets of the Strategy, and to Botanic Gardens Conservation International for supporting the process of developing and implementing the Strategy, including through the secondment of a Programme Officer to the Secretariat of the Convention on Biological Diversity;

3. *Welcomes* the establishment of the global partnership for plant conservation and encourages the participating organizations to continue to contribute to the

implementation of the Strategy, invites other organizations to join the partnership, and encourages Botanic Gardens Conservation International to continue its support for the partnership;

4. *Welcomes* the establishment, by the Executive Secretary, of a flexible coordination mechanism for the Strategy, comprising: liaison groups to be convened as necessary according to established procedures; national focal points, as determined by Parties; the Global Partnership for Plant Conservation; and the Secretariat, including the Programme Officer supported by Botanic Gardens Conservation International;

5. *Invites* the World Conservation Monitoring Centre of the United Nations Environment Programme to support the Executive Secretary in monitoring implementation of the Strategy, working in collaboration with the Global Partnership for Plant Conservation;

6. *Encourages* Parties to nominate focal points for the Strategy, or designate from among existing focal points, in order to:

(a) Promote and facilitate implementation and monitoring of the Strategy at national level, including the identification of national targets and their integration in national biodiversity strategies and action plans and sectoral and cross-sectoral plans programmes and activities;

(b) Promote the participation of national stakeholders in the implementation and monitoring of the Strategy at national level; and

(c) Facilitate communication between national stakeholders and the Secretariat and Global Partnership for Plant Conservation;

7. *Requests* the Executive Secretary, with the support of members of the global partnership for plant conservation, to elaborate proposals for a toolkit, including a checklist to assist Parties in integrating the targets into their strategies, plans and programmes, for review by the Subsidiary Body on Scientific, Technical and Technological Advice prior to the ninth meeting of the Conference of the Parties;

8. *Decides* to integrate the targets of the Strategy into all the thematic and relevant cross-cutting programmes of work of the Convention and *requests* the Subsidiary Body on Scientific, Technical and Technological Advice to prepare proposals for the respective programmes of work when they are due for review according to the multiyear programme of work of the Conference of the Parties (decision VII/31). This process should be consistent with decision VII/30. In particular, the following targets should be integrated:

(a) Target 1 into the Global Taxonomy Initiative;

(b) Targets 4 and 5, 7 and 8 into the programme of work on protected areas;

(c) Target 10 into work on invasive alien species;

(d) Targets 11, 12 and 13 in the work on sustainable use;

(e) Targets 9 and 13 into work on Article 8(j) and related provisions;

(f) Target 14 into the programme for communication, education and public awareness; and

(g) Targets 6, 9 and 12 into the thematic programmes for agricultural biodiversity and forest biodiversity;

9. *Emphasizes* that, in line with paragraphs 3, 4, 6 and 7 of decision VI/9, the Strategy is to be implemented in a flexible way, and with due regard to the need for capacity building in identifying and achieving national targets, particularly in developing countries, especially the least developed and small island States among them, and countries with economies in transition;

10. *Decides* to integrate the targets of the Strategy into the reporting framework for the third national reports; while reflecting the fact that the targets are a flexible framework within which national and/or regional targets may be developed, in line with paragraphs 3 and 4 of decision VI/9;

11. *Welcomes* the decisions of the Conference of the Parties and Plants Committee of the Convention on Trade in Endangered Species of Wild Flora and Fauna (CITES) to consider how they can contribute to the implementation of the Strategy, especially regarding target 11 ("No species of wild flora endangered by international trade");

12. *Invites* the Commission on Genetic Resources for Food and Agriculture of the Food and Agriculture Organization of the United Nations to consider how the Global Plan of Action for the Conservation and Sustainable Use of Plant Genetic Resources for Food and Agriculture contributes to the implementation of the Strategy, in particular target 9 ("70 per cent of the genetic diversity of crops and other major socio-economically valuable plant species conserved, and associated indigenous and local knowledge maintained").

DECISION VII/11 | Ecosystem approach

The Conference of the Parties

1. *Notes* that there has been significant experience in implementing the ecosystem approach by some Parties operating under the Convention, as well as experience in implementation of similar approaches to management under other national, regional and international processes, but that additional efforts are needed to ensure effective implementation of the approach by all Parties and other Governments. The scale of application of the ecosystem approach should be decided within countries according to their needs and circumstances;

2. *Agrees* that the priority at this time should be on facilitating the implementation of the ecosystem approach as the primary framework for addressing the three objectives of the Convention in a balanced way, and that a potential revision of the principles of the ecosystem approach should take place only at a later stage, when the application of the ecosystem approach has been more fully tested;

3. *Welcomes* the implementation guidelines and annotations to rationale as outlined in annex I to the present decision and calls on parties and other governments to implement the ecosystem approach, keeping in mind that in applying the ecosystem approach, all principles need to be considered, with appropriate weight given to each, in accordance with local conditions, and keeping in mind also that the implementation of the ecosystem approach and all principles need to be considered as voluntary instruments and should be adapted to local conditions and implemented in accordance with national legislation;

4. *Recognizes* that the implementation of the ecosystem approach is facilitated by the conditions, *inter alia*, for the transfer of "know-how" to enable the relevant actors to develop environmentally-sound adaptive technologies;

5. *Welcomes* the progress in developing the practical principles, operational guidance and associated instruments for sustainable use (the Addis Ababa Principles and Guidelines), which are based on the ecosystem approach as their overarching conceptual framework;

6. *Notes* the relevance of the conceptual framework of the Millennium Ecosystem Assessment in supporting the implementation of the ecosystem approach;

7. *Notes* that sustainable forest management, as developed within the framework established by the Rio Forest Principles, can be considered as a means of applying the ecosystem approach to forests (see annex II to the present decision). Further, there is potential for the tools developed under sustainable forest management to be used to help implement the ecosystem approach. These tools include *inter alia* the criteria and indicators developed under various regional and international processes, national forest programmes, "model forests" and certification schemes (as relating to decision VI/22 on forest biodiversity). There is substantial potential for mutual learning among those implementing both the ecosystem approach and sustainable forest management;

8. *Notes* that, in addition to sustainable forest management, some existing approaches, which are also relevant to other environmental conventions, including "ecosystem based management", "integrated river-basin management", "integrated marine and coastal area management", and "responsible fisheries approaches", may be consistent with the application of the Convention's ecosystem approach, and support its implementation in various sectors or biomes. Implementation of the ecosystem approach in various sectors can be promoted by building upon the approaches and tools developed specifically for such sectors;

9. *Requests the* Executive Secretary, in collaboration with Parties and relevant international and regional organizations, to facilitate the undertaking of the following activities, and report on progress made to the Subsidiary Body on Scientific, Technical and Technological Advice prior to the eighth meeting of the Conference of the Parties:

(a) Undertake an analysis of the range of existing tools and approaches, that are consistent with the Convention's ecosystem approach, but operate on different levels and belong to a variety of sectors/communities, and are applied in programmes of work of the Convention on Biological Diversity, in order to

learn from their experiences and build upon their approaches, and identify any gaps in the coverage of such tools;

(b) Where needed, facilitate development of new tools and techniques to enable the implementation of the ecosystem approach, and in collaboration with appropriate regional and international organization develop tools specific to each sector and biome;

(c) Continue collection of case-studies at national, sub-regional, regional and international level on the implementation of the ecosystem approach, and develop, in cooperation with the clearing-house mechanism, a database of case-studies, searchable by biome/ecoregion and sector;

(d) Make the above widely available to Parties through the development of a web-based "sourcebook" for the ecosystem approach, accessible through the clearing-house mechanism. This sourcebook should be non-prescriptive and allow adaptation to differing regional, national and local needs. It should be prepared in a language that is brief, non-technical and simple, ensuring its accessibility to practitioners working to implement the ecosystem approach on the ground. A supporting summary explanation of the ecosystem approach will also be prepared. It should be developed in collaboration with other relevant organizations, peer-reviewed and field tested as appropriate, and made available through the clearing-house mechanism, in hard copy and on CD-ROM, and periodically revised;

10. *Recommends* that Parties and other Governments, facilitate the full and effective participation of indigenous and local communities and other stakeholders and continue or start implementation of the ecosystem approach, including the implementation guidelines and annotations to the rationale as outlined in annex I to the present decision, and:

(a) Provide feedback on their experiences to the Executive Secretary and to other Parties, including by submitting further annotated case-studies and lessons learned for dissemination through the clearing-house mechanism;

(b) Provide technical input to the development and field testing of the "sourcebook";

(c) Promote the application of the ecosystem approach in all sectors with potential impacts on biodiversity and ecosystems, as well as inter-sectoral integration;

(d) Enhance and facilitate the sharing of experiences and expertise through approaches such as undertaking workshops to bring together experts and practitioners from different sectors and approaches;

(e) Undertake focused activities and initiatives in partnership with indigenous and local communities and the private sector and other relevant stakeholders under various thematic programmes of work where applicable to deepen understanding and further application of the ecosystem approach;

(f) Promote better understanding of the ecosystem approach through programmes of communication, education and public awareness;

11. *Requests* that the Executive Secretary collaborate with the Coordinator and Head of the United Nations Forum on Forests Secretariat and members of the Col-

laborative Partnership on Forests in order to further integrate the concepts of ecosystem approach and sustainable forest management, in particular with respect to:

(a) Considering lessons learnt from sustainable forest management particularly the application of tools such as the criteria and indicators as an outcomes oriented application of the ecosystem approach;

(b) Considering, within sustainable forest management, placing greater emphasis on:

(i) Better cross-sectoral integration and inter-sectoral collaboration;
(ii) The interactions between forests and other biome/habitat types within a landscape; and
(iii) Biodiversity conservation issues, in particular through continued development of criteria, indicators and forest management certification programmes (as relating to decision VI/22 on forest biodiversity), and including protected areas;

12. *Requests* the Executive Secretary, in collaboration with Parties and relevant international and regional organisations, to assess the implementation of the ecosystem approach in light of the experiences gained from the activities under paragraphs 8, 9 and 10 above for the consideration of the Subsidiary Body on Scientific, Technical and Technological Advice prior to the ninth meeting of the Conference of the Parties;

13. *Invites* funding institutions and development agencies to provide financial support for the implementation of the ecosystem approach.

14. *Invites* the Executive Secretary, Parties and international organizations to initiate and facilitate as appropriate capacity-building, technology transfer, and awareness raising to assist implementation of the ecosystem approach. In addition, *urges* Parties to create an enabling environment for the implementation of the ecosystem approach, including through development of appropriate institutional frameworks.

15. *Noting* the importance of applying the ecosystem approach to management of dry and sub-humid lands ecosystems, *agrees* that special efforts to facilitate its application should be made.

ANNEX I
REFINEMENT AND ELABORATION OF THE ECOSYSTEM APPROACH, BASED ON ASSESSMENT OF EXPERIENCE OF PARTIES IN IMPLEMENTATION

A. Further guidance on the implementation of the ecosystem approach principles

1. The ecosystem approach is a strategy for the integrated management of land, water and living resources that promotes conservation and sustainable use in an equitable way. The application of the ecosystem approach will help to reach a balance of the three objectives of the Convention: conservation; sustainable use; and the fair and equitable sharing of the benefits arising out of the utilisation of genetic resources. In addition the ecosystem approach has been recognized by the World

Summit on Sustainable Development as an important instrument for enhancing sustainable development and poverty alleviation.

2. The ecosystem approach is based on the application of appropriate scientific methodologies focused on levels of biological organisation, which encompass the essential structure, processes, functions and interactions among organisms and their environment. It recognizes that humans, with their cultural diversity, are an integral component of many ecosystems.

3. The ecosystem approach provides an integrating framework for implementation of objectives of the Convention on Biological Diversity. The approach incorporates three important considerations:

(a) Management of living components is considered alongside economic and social considerations at the ecosystem level of organisation, not simply a focus on managing species and habitats;

(b) If management of land, water, and living resources in equitable ways is to be sustainable, it must be integrated and work within the natural limits and utilize the natural functioning of ecosystems;

(c) Ecosystem management is a social process. There are many interested communities, which must be involved through the development of efficient and effective structures and processes for decision-making and management.

4. The approach is an overall methodological framework for supporting decisions in policy-making and planning, within which those implementing the Convention can develop more specific approaches appropriate to their particular circumstances. The ecosystem approach is a tool that contributes to the implementation of various issues addressed under the Convention, including the work on, *inter alia*, protected areas and ecological networks.[189] There is no single correct way to achieve the ecosystem approach to management of land, water, and living resources. The underlying principles can be translated flexibly to address management issues in different social contexts. Already, there are sectors and governments that have developed sets of guidelines that are partially consistent, complementary or even equivalent to the ecosystem approach (e.g., the Code for Responsible Fisheries, the Sustainable Forest Management approach, adaptive forest management).

5. There are a number of options for implementing the ecosystem approach. One is the incorporation of the principles into the design and implementation of national biodiversity strategies and action plans and regional strategies. Others include incorporation of the ecosystem approach principles into policy instruments, mainstreaming in planning processes, and sectoral plans (e.g., in forest, fisheries, agriculture). In addition, Parties and the various bodies of the Convention on Biological Diversity should be encouraged to work to achieve synergies at the national level between the ecosystem approach and the various programmes of work of the Convention on Biological Diversity, as well as promoting linkages with

189 A generic term used in some countries and regions, as appropriate, to encompass the application of the ecosystem approach that integrates protected areas into the broader land- and/or seascapes for effective conservation of biodiversity and sustainable use.

other international initiatives. To implement the ecosystem approach, countries should incorporate its principles or identify pre-existing, consistent or equivalent guidelines, in the appropriate institutional, legal and budgetary channels. Work by Convention bodies and other relevant organizations should be focused on supporting local and regional efforts as a contribution to achieving the Millennium Development Goals.

6. It should be stressed that in applying the ecosystem approach, all its principles need to be considered in a holistic way, and appropriate weight given to each, according to local circumstances.

7. Notwithstanding the need for implementation to be designed to fit with the particular circumstances of the relevant problems, there is strong potential for shared experiences and expertise between ecosystems and countries. The clearing-house mechanism established under Article 18 should be the primary focus for facilitating that cooperation. A solid and broad understanding of the principles, their intentions and their consequences, is an essential condition for their application. A communication strategy for promoting the ecosystem approach to relevant target groups, within and outside the conservation sector, can be a useful tool.

8. The donor community, like governments, while noting the value of the ecosystem approach in fostering better ecosystem stewardship, should also be encouraged to be flexible in promoting its application in setting priorities and funding decisions, to allow for other perspectives, and different capacities to respond to the principles.

9. After assessing the experience of Parties in implementing the ecosystem approach decisions of the Conference of the Parties, it was noted that while the principles were not always precisely worded expressions of the concepts they incorporated, they nevertheless reflected the meaning of important concepts. The experience of Parties did not suggest a need for change to the decisions of the Conference of the Parties, but simply for the provision of additional advice and elaboration to overcome any problems of clarity and interpretation.

10. With this in mind, the following text and table 1 provide some suggestions on approaches for implementation and implementation support. These include annotations to the rationale, implementation guidelines for each principle and clarification of crosscutting aspects of the ecosystem approach.

B. Additional explanatory notes on cross-cutting issues related to operational guidance

11. In applying the operational guidance of the ecosystem approach ecosystem approach, the following cross-cutting issues need to be considered.

Initiating the approach

12. When initiating the ecosystem approach, the first task is to define the problem that is being addressed. In doing so the scope of the problem and the task to be undertaken has to be well specified. The strategy to be followed to promote the ecosystem approach has to be clearly defined with contingencies for unforeseen situations incorporated into the strategy. The approach should consider all principles as a package but depending upon the task at hand emphasis on particular principles

may be warranted. A collective ownership for the vision, strategy and parameters for the ecosystem approach relevant to the task has to be developed, communicated, and facilitated among partners and sponsors. Collectively developing the overarching goals, objectives, targets for the exercise is important before applying the ecosystem approach.

Capacity-building and collegiate will

13. To apply the ecosystem approach successfully it is critical to investigate what resources and sponsorship are required to undertake the exercise. This can be in the form of capacity-building and fostering collegiate will.

14. Collegiate will can be in terms of community partnerships, stakeholder engagement, political and institutional will, and the commitment of donors or sponsors. An important consideration is the length of time such collegiate will is required; that is, it may be required in the initiation phase, assessment phase or the phase associated with implementation of outcomes. Examples of where the ecosystem approach has been compromised can be from a loss of allegiance from one or more of the community, other stakeholders, the political establishment and institutions, or sponsors and donors.

15. Capacity-building is also important for the success of the ecosystem approach. Adequate financial support and appropriate infrastructure support are important requirements to the success of an approach. So too is access to suitable expertise and the sharing of knowledge and experience. In undertaking the ecosystem approach it is useful to build from lessons learnt from other undertakings applying the ecosystem approach. Technology, including decision support tools and inventory systems, which have been developed in other applications of the ecosystem approach, may be transferable or can be adapted.

Information, research and development

16. The collection of resource, biophysical, social, and economic information is important to the successful completion of the ecosystem approach. Research and development is needed to target strategic gaps in knowledge that are important for addressing the exercise at hand. Knowledge derived from research and information from other sources has to be integrated and packaged into information products (including decision-support systems) that allow and provide for interpretation, and which facilitate their use in applying the ecosystem approach. Information products are necessary for communicating with stakeholders, planners, managers and decision makers. Consideration should be given to enhancing the access of stakeholders to information because the more transparent the decision-making is, based on information at hand, the better the ownership of the resultant decisions between partners, stakeholders and sponsors. Priorities for research and development are likely to be clearer once the ecosystem approach begins to be applied and implementing actions are put in place.

Monitoring and review

17. Monitoring and review are crucial components in implementing the ecosystem approach. They allow a responsive and adaptive management capability to be

developed. Monitoring and review are also useful in reporting performance and the resultant outcomes of the approach. Indicators of performance should be defined, developed and implemented. Appropriate monitoring and auditing systems need to be implemented to support reporting on indicators of performance. Periodic reviews of these indicators need to be undertaken to assess performance and whether adaptive management needs to be applied. Strategies, practices and processes may need to be modified depending upon the findings from monitoring and auditing.

Good governance

18. Good governance is essential for successful application of the ecosystem approach. Good governance includes sound environmental, resource and economic policies and administrative institutions that are responsive to the needs of the people. Robust and sound resource management systems and practices are required to support these policies and institutions. Decision-making should account for societal choices, be transparent and accountable and involve society. Accountability for making decisions has to be placed at the appropriate level that reflects that community of interest. For example, strategic land-use planning and management might be taken by central government, operational decisions taken by local government or management agency, whereas decisions associated with the sharing of benefits could be taken by a community organization.

19. Good governance at all levels is fundamental for achieving sustainable use and conservation of biodiversity. It is important to ensure intersectoral cooperation. There is a need to integrate the ecosystem approach into agriculture, fisheries, forestry and other production systems that have an effect on biodiversity. Management of natural resources, according to the ecosystem approach, calls for increased intersectoral communication and cooperation at a range of levels (government ministries, management agencies).

TABLE 1: THE 12 PRINCIPLES OF THE ECOSYSTEM APPROACH AND THEIR RATIONALE (DECISION V/6 OF THE CONFERENCE OF THE PARTIES, <http://www.biodiv.org/decisions/default.asp?lg=0&dec=V/6>), SUGGESTED ANNOTATIONS TO THE RATIONALE AND IMPLEMENTATION GUIDELINES.

PRINCIPLE 1: The objectives of management of land, water and living resources are a matter of societal choice.

RATIONALE: Different sectors of society view ecosystems in terms of their own economic, cultural and societal needs. Indigenous peoples and other local communities living on the land are important stakeholders and their rights and interests should be recognized. Both cultural and biological diversity are central components of the ecosystem approach, and management should take this into account. Societal choices should be expressed as clearly as possible. Ecosystems should be managed for their intrinsic values and for the tangible or intangible benefits for humans, in a fair and equitable way.

Annotations to the rationale:

The objectives for managing land, water, and living resources is a matter of societal choice, determined through negotiations and trade-offs among stakeholders having different perceptions, interests, and intentions. In this regard it should be noted that:

Human society is diverse in the kind and manner of relationships that different groups have with the natural world, each viewing the world around them in different ways and emphasising their own economic, cultural, and societal interests and needs.

All relevant sectors of society need to have their interests equitably treated, which may involve providing for different outcomes in separate locations or at different times.

It is also necessary to ensure that the needs of future generations and the natural world are adequately represented.

Given this diversity, good decision-making processes that provide for negotiations and trade-offs are necessary to establish broadly acceptable objectives for the management of particular areas and their living resources.

Good decision-making processes incorporate the following characteristics:

- All interested parties (particularly including indigenous and local communities) should be involved in the process,
- It needs to be a clear how decisions are reached and who the decision-maker(s) is (are),
- The decision-makers should be accountable to the appropriate communities of interest,
- The criteria for decisions should be appropriate and transparent, and
- Decisions should be based on, and contribute to, inter-sectoral communication and coordination.

Good decisions depend on those involved having access to accurate and timely information and the capacity to apply this knowledge.

Implementation guidelines

1.1 Involve all stakeholders (interested parties) (including indigenous and local communities) in:

- clearly articulating, defining and agreeing upon the goals of management
- defining problems
- making choices (in principle 12).

1.2 There need to be clearly defined boundaries (in time and space) for the management unit that is the subject of the societal choice process.

1.3 Ensure that those stakeholders that cannot directly represent themselves are adequately represented by someone else.

1.4 Ensure that all stakeholders have an equitable capacity to be effectively involved, including through ensuring equitable access to information, ability to participate in the processes, etc.

1.5 Ensure that the decision-making process compensates for any inequities of power in society, in order to ensure that those who are normally marginalized (e.g., women, the poor, indigenous people) are not excluded or stifled in their participation.

1.6 Determine who the decision-makers are for each decision, how the decisions will be taken (what process will be used), and what are the limits on the discretion of the decision-maker (e.g., what are the criteria for the decision in law, what is the overall policy guidance within which the decision must fit, etc).

1.7 Ensure that the recognition of stakeholder interests occurs within the full range of decisions over time and space and levels. In doing so, however, ensure that "stakeholder fatigue" does not develop, by incorporating known stakeholder views into future decisions, and allowing efficient stakeholder input.

1.8 Where possible, use existing societal mechanisms, or build new mechanisms that are compatible with existing or desired societal conditions.

1.9 Ensure that decision-makers are accountable to the appropriate communities of interest.

1.10 Develop the capacity to broker negotiations and trade-offs, and manage conflicts, among relevant stakeholder groups in reaching decisions about management, use and conservation of biological resources.

1.11 There need to be mechanisms in place to ensure that, once an appropriate societal choice has been made, the decision will be able to be implemented over the long term, i.e., policy, legislative and control structures need to be in place.

1.12 Undertake assessment at the national level to analyse effects of ecosystem management practices on society, with a view to find ways and means to mitigate possible constraints between stakeholders in the implementation phase.

PRINCIPLE 2: Management should be decentralized to the lowest appropriate level.

RATIONALE: Decentralized systems may lead to greater efficiency, effectiveness and equity. Management should involve all stakeholders and balance local interests with the wider public interest. The closer management is to the ecosystem, the greater the responsibility, ownership, accountability, participation, and use of local knowledge.

Annotations to the rationale:

Decisions should be made by those who represent the appropriate communities of interest, while management should be undertaken by those with the capacity to implement the decisions. In this regard it should be noted that:

There are usually many communities-of-interest in ecosystem management. These can be compatible, complimentary, or contradictory. It is important to ensure that the level of decision-making and management selected maintains an appropriate balance among these interests.

Often, but not always, the closer the decision-making and management are to the ecosystem, the greater the participation, responsibility, ownership, accountability and use of local knowledge will be, all of which are critical to the success of management.

Because there are several levels of interests with people who have varying capacities to address different aspects of ecosystem management, there are often multiple decision-makers and managers with different roles for any individual place or resource.

Decisions made by local resource managers are often affected by, or even subordinate to, environmental, social, economic and political processes that lie outside their sphere of influ-

ence, at higher levels of organisation. Therefore there is a need for mechanisms to coordinate decisions and management actions at a number of different organisational levels.

Implementation guidelines

2.1 The multiple communities of interest should be identified, and decisions about particular aspects of management assigned to the body that represents the most appropriate community of interest. If necessary, management functions/decisions should be subdivided. For example, strategic decisions might be taken by central government, operational decisions by a local government or local management agency, and decisions about allocation of benefits between members of a community by the community itself.

2.2 The potential adverse effects of fragmented decision-making and management responsibilities should be compensated for by:

- ensuring that decisions are appropriately nested and linked
- sharing information and expertise
- ensuring good communication between the different management bodies
- presentation of the overall combination of decisions/management to the community in an understandable and consolidated form so they can effectively interact with the overall system
- supportive relationships between the levels.

2.3 Good governance arrangements are essential, particularly:

- clear accountabilities
- accountabilities of the necessary authorities
- accountabilities of competent bodies or persons.

Note that this is not a complete enough list, and there seems no good reason to particularly identify these.

2.4 Achieving an appropriate level of decentralization requires taking decisions at a higher level to create an enabling and supportive environment, as well as a commitment to devolve those decision-making responsibilities that are currently situated at too high a level.

2.5 In choosing the appropriate level of decentralization, the following are relevant factors that should be taken into account in choosing the appropriate body. .

- whether the body represents the appropriate community of interest
- whether the body has a commitment to the intent of the function
- whether the body has the necessary capacity for management
- efficiency (e.g., by moving the function to a higher level you may have sufficient work to allow maintenance of the necessary level of expertise to do the function efficiently and effectively)
- whether the body has other functions which represent a conflict of interest
- the effect on marginalized members of society (e.g., women, marginalized tribal groups).

In some cases problems could be corrected, such as through capacity-building. If no appropriate body is available at the level, a new body might be created, or an existing body modified, or a different level chosen.

2.6 Where functions are to be moved to another level, it is necessary to ensure that the body receiving the responsibility has sufficient capacity to fulfil that responsibility (e.g., resources, systems, authority), and that any risks arising from the transition can be managed. This means doing capacity-building if necessary to allow the decentralization to occur.

Institutional arrangements are the key. If you don't have the institutional structure that supports and coordinates the decision-making authorities then their work is worthless.

PRINCIPLE 3: Ecosystem managers should consider the effects (actual or potential) of their activities on adjacent and other ecosystems.

RATIONALE: Management interventions in ecosystems often have unknown or unpredictable effects on other ecosystems; therefore, possible impacts need careful consideration and analysis. This may require new arrangements or ways of organization for institutions involved in decision-making to make, if necessary, appropriate compromises.

Annotations to the rationale:

Ecosystems are not closed systems, but rather open and often connected to other ecosystems. This open structure and connectedness of ecosystems ensures that effects on ecosystem functioning are seldom confined to the point of impact or only to one system. In this regard it should be noted that:

- The effects of management interventions, or decisions not to intervene, are therefore not confined solely to the point of impact.
- The effects between ecosystems are frequently non-linear and will likely have associated time-lags.
- Management systems need to be designed to cope with these issues.

There is a need for this to reflect the fact that impacts are in both directions—into and out of a particular ecosystem. Not just adjacent and downstream, but those have other connections as well (e.g., systems linked by migratory species).

Implementation guidelines

3.1 Natural resource managers, decision makers and politicians should consider the possible effects that their actions could have on adjacent and downstream ecosystems (river basins and coastal zones) so that effects inside and outside the ecosystem are determined.

3.2 Where impacts of management or use of one ecosystem has or is projected to have effects elsewhere, bring together relevant stakeholders and technical expertise to consider how best to minimize adverse consequences.

3.3 Environmental impact assessment (EIAs), including strategic environmental assessments (SEAs) should be carried out for developments that may have substantial environmental impacts taking into account all the components of biological diversity. These assessments should adequately consider the potential offsite impacts. The results of these assessments, which can also include social impact assessment, should subsequently acted upon. When identifying existing and potential risks or threats to ecosystem, different scales need to be considered.

3.4 Establish and/or maintain national and regional, where applicable, feed-back mechanisms to monitor the effects of management practices across ecosystems.

PRINCIPLE 4: Recognizing potential gains from management, there is usually a need to understand and manage the ecosystem in an economic context. Any such ecosystem-management programme should:

(a) Reduce those market distortions that adversely affect biological diversity;

(b) Align incentives to promote biodiversity conservation and sustainable use;

(c) Internalize costs and benefits in the given ecosystem to the extent feasible.

RATIONALE: The greatest threat to biological diversity lies in its replacement by alternative systems of land use. This often arises through market distortions, which undervalue natural systems and populations and provide perverse incentives and subsidies to favour the conversion of land to less diverse systems. Often those who benefit from conservation do not pay the costs associated with conservation and, similarly, those who generate environmental costs (e.g., pollution) escape responsibility. Alignment of incentives allows those who control the resource to benefit and ensures that those who generate environmental costs will pay.

Annotations to the rationale:

Many ecosystems provide economically valuable goods and services and it is therefore necessary to understand and manage ecosystems in an economic context. Frequently economic systems do not make provision for the many, often, intangible values derived from ecological systems. In this regard it should be noted that:

Ecosystem goods and services are frequently undervalued in economic systems.

Even when valuation is complete, most environmental goods and services have the characteristic of "public goods" in an economic sense, which are difficult to incorporate into markets.

It is often difficult to introduce new uses of ecosystems, even where these are less impacting or provide wider benefits to society, because economic and social systems exhibit significant inertia, particularly where strong existing interests are affected by and resist change.

Many stakeholders with strong interests in the ecosystem, but having limited political and economic influence, may be marginalized from the relevant economic systems.

Where those who control use of the land do not receive benefits from maintaining natural ecosystems and processes, they are likely to initiate unsustainable land use practices from which they will benefit directly in the short term. To counter this, more equitable sharing of benefits is advised.

International, national and sub-national policies, laws and regulations, including subsidies may provide perverse incentives for unsustainable management of ecosystems. Economic systems therefore need to be redesigned to accommodate environmental management objectives.

Addressing the issue of market distortions that adversely affect biodiversity will require establishing dialogue with other sectors.

Deriving economic benefits is not necessarily inconsistent with attaining biodiversity conservation and improvement of environmental quality.

Implementation guidelines

4.1 Develop an understanding of the social and economic context of the issue to which the ecosystem approach is being applied.

4.2 Apply appropriate practical economic valuation methodologies for ecosystem goods and services (direct, indirect and intrinsic values); and for the environmental impacts (effects or externalities).

4.3 Aim to reduce those market distortions that adversely affect biological diversity.

4.4 Align economic and social incentives to promote biodiversity conservation and sustainable use.

4.5 Internalize costs and benefits in the given ecosystem to the extent feasible.

4.6 Evaluate the direct as well as indirect economic benefits associated with good ecosystem management including biodiversity conservation and environmental quality.

4.7 Enhance benefits of using biological diversity.

4.8 Ensure equitable sharing of costs and benefits.

Incorporate social and economic values of ecosystem goods and services into National Accounts, policy, planning, education and resource management decisions.

PRINCIPLE 5: Conservation of ecosystem structure and functioning, in order to maintain ecosystem services, should be a priority target of the ecosystem approach.

RATIONALE: Ecosystem functioning and resilience depends on a dynamic relationship within species, among species and between species and their abiotic environment, as well as the physical and chemical interactions within the environment. The conservation and, where appropriate, restoration of these interactions and processes is of greater significance for the long-term maintenance of biological diversity than simply protection of species.

Annotations to the rationale:

Biodiversity conservation and the maintenance of human wellbeing depend on the functioning and resilience of natural ecosystems. In this regard it should be noted that:

Ecosystem services—the benefits people obtain from ecosystems by way of resources, environmental regulation including, support of biospheric processes, inputs to culture, and the intrinsic values of the systems themselves—depend on maintaining and, where appropriate, restoring particular ecological structures and functions.

Ecosystem functioning and resilience depend on inter-relationships within and among species, between species and their abiotic environments, and on the physical and chemical interactions within these environments.

Given this complexity, management must focus on maintaining, and where appropriate restoring, the key structures and ecological processes (e.g., hydrological systems, pollination systems, habitats and food webs) rather than just individual species.

Given that the loss of genetic diversity predisposes populations and species to local extinction, the conservation of ecosystem composition and structure requires monitoring of population sizes of vulnerable and economically important species.

Management of ecosystem processes has to be carried out despite incomplete knowledge of ecosystem functioning.

Implementation guidelines

5.1 Improve understanding of the interrelationship among ecosystem composition, structure and function with respect to (i) human interaction, needs and values (including cultural aspects), (ii) conservation management of biodiversity, and (iii) environmental quality, integrity and vitality.

5.2 Determine and define conservation, social and economic objectives and goals that can be used to guide policy, management and planning using participatory processes.

5.3 Assess the extent to which ecosystem composition, structure can function contribute to the delivery of goods and services to meet the desired balance of conservation, social and economic outcomes.

5.4 Expand knowledge of the responses of ecosystems, in terms of changes in composition, structure and function, to both internally and externally induced stresses caused by, *inter alia*, human use, disturbance, pollution, fire, alien species, disease abnormal climatic variations (drought, flood), etc.

5.5 Develop and promote management strategies and practices that enable and ensure conservation of ecosystem service and take account of, or minimize, risks/threats to ecosystem function and structure.

5.6 Apply instruments to maintain and/or restore ecosystem service.

5.7 Where required, develop management strategies and practices to facilitate recovery of ecosystem structure and function (including threatened components) to generate or enhance ecosystem services and biodiversity benefits.

5.8 Develop and apply instruments that contribute to achievement of conservation management goals through a combination of managing protected area networks, ecological networks and areas outside of such networks to meet both short-term and long-term requirements and conservation outcome in accordance with VII/28.

5.9 Monitoring population sizes of vulnerable and important species should be linked to a management plan that identifies appropriate response measures and actions.

PRINCIPLE 6: Ecosystems must be managed within the limits of their functioning.

RATIONALE: In considering the likelihood or ease of attaining the management objectives, attention should be given to the environmental conditions that limit natural productivity, ecosystem structure, functioning and diversity. The limits to ecosystem functioning may be affected to different degrees by temporary, unpredictable or artificially maintained conditions and, accordingly, management should be appropriately cautious.

Annotations to the rationale:

There are limits to the level of demand that can be placed on an ecosystem while maintaining its integrity and capacity to continue providing the goods and services that provide the basis for human wellbeing and environmental sustainability. Our current understanding is insufficient to allow these limits to be precisely defined, and therefore a precautionary approach coupled with adaptive management, is advised. In this regard it should be noted that:

Just as there are limits to the demands (production, off-take, assimilation, detoxification) that can be made on ecosystems, so too there are limits to the amount of disturbance

that ecosystems can tolerate, depending on the magnitude, intensity, frequency and kind of disturbance.

These limits are not static but may vary across sites, through time, and in relation to past circumstances and events.

Cumulative effects of interventions over time and space should be assessed when considering ecosystem limits.

If these limits are exceeded, an ecosystem undergoes substantial change in composition, structure and functioning, usually with a loss of biodiversity and a resulting lower productivity and capacity to process wastes and contaminants.

There is considerable lack of knowledge and uncertainty about the actual limits (thresholds for change) in different ecosystems. While further research can reduce these uncertainties, given the dynamic and complex nature of ecosystems we may never have perfect understanding.

Given the pervasiveness of uncertainties in managing ecosystems, management will need to be adaptive, with a focus on active learning derived from monitoring the outcomes of planned interventions using a sound experimental approach that allow the effects of the intervention to be accurately determined.

Management to restore lost capacities or control use should be appropriately cautious and apply an adaptive management approach.

Implementation guidelines

6.1 Identify practices that are not sustainable and develop appropriate mechanisms for improvement involving all stakeholders.

6.2 Given the uncertainty associated with defining the limits to ecosystem functioning under most circumstances, the precautionary approach should be applied.

6.3 Implement an adaptive management approach.

6.4 Develop understanding of the limits of ecosystem functioning and the effects of various human use on the delivery of ecosystem goods and services.

6.5 Where permissible limits to change in specific ecosystem components can be agreed, manage within these but monitor and assess the ecosystem response. Feedback the information at regular intervals to those responsible for setting the off-take or other limits.

6.6 Encourage the use of environmental assessments and monitoring to establish ecosystem responses to disturbance, in order to provide management feedback and develop appropriate responses.

6.7 Develop and promote appropriate management strategies and practices that sustain resources and maintain ecosystems within the limits of their functioning.

6.8 Sustainable use management goals and practices should avoid or minimize adverse impacts on ecosystem services, structure and functions as well as other components of ecosystems.

6.9 Formulate, review and implement regulatory framework, codes of practice and other instruments to avoid using ecosystems beyond their limits.

PRINCIPLE 7: The ecosystem approach should be undertaken at the appropriate spatial and temporal scales.

RATIONALE: The approach should be bounded by spatial and temporal scales that are appropriate to the objectives. Boundaries for management will be defined operationally by users, managers, scientists and indigenous and local peoples. Connectivity between areas should be promoted where necessary. The ecosystem approach is based upon the hierarchical nature of biological diversity characterized by the interaction and integration of genes, species and ecosystems.

Annotations to the rationale:

The driving forces of ecosystems, including those due to human activities, vary spatially and through time, necessitating management at more than one scale to meet management objectives. In this regard it should be noted that:

Ecosystems are made up of biotic and abiotic components and processes, which function at a range of spatial and temporal scales, within a nested hierarchy.

The dynamics of human social and economic systems also vary across scales of space, time and quality.

How components are perceived spatially depends partly on the scale of observation. At one scale, individuals of a species may seem relatively regularly and continuously distributed; at another the distribution may be discontinuous. Likewise with time, for example, at one time scale (e.g., monthly, annually) a component or process may appear predictable; at another, longer or shorter time scale, the temporal dynamics may be unpredictable.

Management processes and institutions should be designed to match the scales of the aspects of the ecosystem being managed. More importantly, perhaps, given that ecosystem components and processes are linked across scales of both space and time, management interventions need to be planned to transcend these scales.

Failure to take scale into account can result in mismatches between the spatial and time frames of the management and those of the ecosystem being managed. For example, policy makers and planners sometimes may have to consider shorter time frames than the time frames of major ecosystem processes. The reverse can also be true, for example, where bureaucratic inertia can delay the quick management response needed to address a rapidly changing environmental condition. Spatial mismatches are also common, such as when administrative boundaries and those of ecosystem properties or related human activities that they are designed to regulate do not coincide.

Implementation guidelines

7.1 Enhanced capacity is required to analyse and understand the temporal and spatial scales at which ecosystem processes operate, and the effect of management actions on these processes and the delivery of ecosystem goods and services. Identification of spatial patterns and gaps in connectivity should be included in this analysis.

7.2 Functional mismatches in the administration and management of natural resources should be avoided by readjusting the scale of the institutional response to coincide more closely with spatial and temporal scales of processes in the area under management. This logic underpins the current global trend towards decentralized natural resource management.

7.3 Given that ecosystem components and processes are linked across scales of both time and space, management interventions need to be planned to transcend these scales. Developing a nested hierarchy of spatial scales may be appropriate in some circumstances.

7.4 Managing large areas such as river basins or large marine areas may require development of new institutional mechanisms to engage stakeholders across administrative borders and different levels of administration.

7.5 Attention to spatial and temporal scales is needed in the design of assessment and monitoring efforts.

7.6 Concepts of stewardship, intergenerational equity and sustainable yield need to be applied to considerations of the temporal scale.

7.7 Regional collaboration is necessary to deal with large-scale changes.

PRINCIPLE 8: Recognizing the varying temporal scales and lag-effects that characterize ecosystem processes, objectives for ecosystem management should be set for the long term.

RATIONALE: Ecosystem processes are characterized by varying temporal scales and lag-effects. This inherently conflicts with the tendency of humans to favour short-term gains and immediate benefits over future ones.

Annotations to the rationale:

Time needs to be considered explicitly in formulating management plans, and in longer-scale processes need to especially considered and planned for because these are otherwise often neglected. In this regard it should be noted that:

People find long-term trends more difficult to detect than short term trends, particularly in complex systems.

Management systems tend to operate at relatively short time scales, often much shorter than the timescales for change in ecosystem processes.

Where there is a lag between management actions and their outcomes, it is difficult to take reasoned management decisions.

Long-term ecological processes, which can be very important, are therefore likely to be poorly accommodated in management systems, unless these are explicitly and carefully designed to address long-term issues.

Awareness of long-term processes is important because it is the long-term, spatially, extensive processes that both characterize and determine the broad ecosystem properties.

Implementation guidelines

8.1 Adaptive management processes should include the development of long-term visions, plans and goals that address inter-generational equity, while taking into account immediate and critical needs (e.g., hunger, poverty, shelter).

8.2 Adaptive management should take into account trade-offs between short-term benefits and long-term goals in decision-making processes.

8.3 Adaptive management should take into account the lag between management actions and their outcomes.

8.4 Monitoring systems should be designed to accommodate the time scale for change in the ecosystem variables selected for monitoring. Alternatively, if the monitoring cannot

be adjusted, a more appropriately scaled but still relevant variable should be selected to monitor.

8.5 The capacity to monitor and detect long-term, low frequency changes in ecosystem structure and functioning should be strengthened.

8.6 To implement long-term management requires stability of institutions, legal and policy frameworks, monitoring programs, and extension and awareness-raising programs.

PRINCIPLE 9: Management must recognize that change is inevitable.

RATIONALE: Ecosystems change, including species composition and population abundance. Hence, management should adapt to the changes. Apart from their inherent dynamics of change, ecosystems are beset by a complex of uncertainties and potential "surprises" in the human, biological and environmental realms. Traditional disturbance regimes may be important for ecosystem structure and functioning, and may need to be maintained or restored. The ecosystem approach must utilize adaptive management in order to anticipate and cater for such changes and events and should be cautious in making any decision that may foreclose options, but, at the same time, consider mitigating actions to cope with long-term changes such as climate change.

Annotations to the rationale:

Change in ecosystems is both natural and inevitable, and therefore management objectives should not be construed as fixed outcomes but rather the maintenance of natural ecological processes. In this regard it should be noted that:

Ecosystems change constantly as a result of natural processes. Those changes include shifts in species composition, population abundance, and physical characteristics.

Such changes are not necessarily constant, variable, dynamic and usually difficult to predict at any point in time.

It is therefore difficult to select an appropriate outcome or future state of an ecosystem as a static management goal. Instead, in addressing this and Principle 8, management should focus on maintaining the natural processes, which drive those changes.

This focus on processes requires a management approach that is flexible and adaptive, both as a response to changing circumstances and to take account of new knowledge and understanding. Adaptive management should generate new knowledge and reduce uncertainties, thereby allowing the manager to anticipate and cater for change.

Ecosystem management must therefore involve a learning process that will help to adapt methods and practices to improve the ways in which these systems are being managed and monitored. Flexibility is also needed in policy-making and implementation. Long-term, inflexible decisions are likely to be ineffective or detrimental.

Implementation guidelines

9.1 Adaptive management is needed to respond to changing social and ecological conditions, and to allow management plans and actions to evolve in light of experience.

9.2 Natural resource managers must recognise that natural and human-induced change is inevitable and take this into account in their management plans.

9.3 Adaptive management should be encouraged when there is a risk degradation or loss of habitats, as it can facilitate taking early actions in response to change.

9.4 Monitoring systems, both socio-economic and ecological, are an integral part of adaptive management, and should not be developed in isolation from the goals and objectives of management activities.

9.5 Adaptive management must identify and take account of risks and uncertainties.

9.6 Where changes occur across national borders, the scale of adaptive management may need to be adjusted.

9.7 While ecosystems are inherently dynamic and resilient, special adaptation and mitigation measures are needed when ecosystems may be pushed beyond the limits of natural variation. Capacity-building efforts are needed to address highly vulnerable areas such as small island states and coastal areas.

9.8 Capacity-building efforts are needed to address highly vulnerable areas such as small island states and coastal areas.

9.9 Traditional knowledge and practice should be used to enable better detection and understanding of ecosystem change, and to develop appropriate adaptation measures.

9.10 Adaptive management should recognize the resilient capacity of ecosystems in response to natural disturbances, and should be aimed at maintaining or restoring this capacity so as to reduce the risk of adverse social and economic consequences of natural variability in ecosystems.

9.11 Awareness-raising measures are needed to enhance public knowledge that ecosystem change is a natural phenomenon, and to build support and capacity for adaptive management.

PRINCIPLE 10: The ecosystem approach should seek the appropriate balance between, and integration of, conservation and use of biological diversity.

RATIONALE: Biological diversity is critical both for its intrinsic value and because of the key role it plays in providing the ecosystem and other services upon which we all ultimately depend. There has been a tendency in the past to manage components of biological diversity either as protected or non-protected. There is a need for a shift to more flexible situations, where conservation and use are seen in context and the full range of measures is applied in a continuum from strictly protected to human-made ecosystems.

Annotations to the rationale:

Biological resources play a role in providing the ecosystem goods and services on which humans ultimately depend. In this regard it should be noted that:

The ecosystem approach is designed to support the conservation of biodiversity, the sustainable use of its components, and the equitable sharing of benefits derived from the use of biodiversity.

Sustainable use and management depends on also achieving conservation objectives.

Management for conservation and sustainable use are not inherently incompatible, and can be integrated.

Integration can be achieved at various scales and in various ways including both spatial and temporal separation across the landscape as well as through integration within a site.

Implementation guidelines

10.1 Develop integrated natural resource management systems and practices to ensure the appropriate balance between, and integration of, the conservation and use of biological diversity, taking into account long- and short-term, direct and indirect, benefits of protection and sustainable use as well as management scale.

10.2 Develop policy, legal, institutional and economic measures that enable the appropriate balance and integration of conservation and use of ecosystems components to be determined.

10.3 Promote participatory integrated planning, ensuring that the full range of possible values and use options are considered and evaluated.

10.4 Seek innovative mechanisms and develop suitable instruments for achieving balance appropriate to the particular problem and local circumstances.

10.5 Manage areas and landscapes in a way that optimises delivery of ecosystem goods and services to meet human requirements, conservation management and environmental quality.

10.6 Determine and define sustainable use objectives that can be used to guide policy, management, and planning, with broad stakeholder participation.

Identify solutions which relieve sectoral pressure on existing resources.

PRINCIPLE 11: The ecosystem approach should consider all forms of relevant information, including scientific and indigenous and local knowledge, innovations and practices.

RATIONALE: Information from all sources is critical to arriving at effective ecosystem management strategies. A much better knowledge of ecosystem functions and the impact of human use is desirable. All relevant information from any concerned area should be shared with all stakeholders and actors, taking into account, *inter alia*, any decision to be taken under Article 8(j) of the Convention on Biological Diversity. Assumptions behind proposed management decisions should be made explicit and checked against available knowledge and views of stakeholders.

Annotations to the rationale:

Ecosystems can be viewed at various scales and from different perspectives, each yielding unique information and insights. Good management should therefore consider all relevant information. In this regard it should be noted that:

The ecosystem approach is designed to accommodate a range of values and associated goals, and the information and perspectives of the communities that hold those values are therefore important in designing and implementing management.

There is no single level of organisation at which one can understand and optimize management of ecosystem functioning. Different information sources will address issues at different levels, providing complementary perspectives to support integrated management.

Implementation guidelines

11.1 Relevant information should be shared with other stakeholders and actors and technical and scientific information be made available in an accessible way (indigenous and

local knowledge should be treated with full respect of Article 8(j) and further decisions of the CBD).

11.2 Assumptions behind proposed management decisions should be made explicit based on the best available expertise, explicitly regard scenarios of future change and include the knowledge and views of stakeholders.

11.3 Appropriate mechanisms should be developed to document and make more widely available the information from all relevant disciplines (including natural and social sciences) and from relevant knowledge systems, particularly those based on local and traditional practices. This guideline should be implemented consistent with any decision to be taken under Article 8(j) of the CBD.

11.4 The implications for ecosystem management of different "world views" based on different knowledge systems should be evaluated.

11.5 Good management depends upon improving the information base and scientific understanding of ecosystems through the promotion, implementation and application of research and integrating this information into decision-making.

PRINCIPLE 12: The ecosystem approach should involve all relevant sectors of society and scientific disciplines.

RATIONALE: Most problems of biological-diversity management are complex, with many interactions, side-effects and implications, and therefore should involve the necessary expertise and stakeholders at the local, national, regional and international level, as appropriate.

Annotations to the rationale:

The complexity of ecosystem management for sustained use and conservation requires integrating the activities and actions of many different stakeholders. In this regard it should be noted that:

The activities of all sectors affect biological diversity, and can contribute to, or detract from, the achievement of the objectives of the Convention.

The management of biodiversity, because of its complexity, and the significance of human impacts, requires a wide range of scientific and management skills, including those located in sectors that have not traditionally been involved in biodiversity conservation or management.

For these reasons the ecosystem approach should provide a framework for fostering greater involvement of all relevant stakeholders and technical expertise in planning and carrying out coordinated activities, sharing management resources, or simply exchanging information.

Implementation guidelines

12.1 The integrated management of land, water and living resources requires increased communication and cooperation, (i) between sectors, (ii) at various levels of government (national, provincial, local), and (iii) among governments, civil society and private sector stakeholders. Increased communication among international and regional organisations also.

12.2 Further incorporation of the ecosystem approach as an integral part of planning in, among others, the agriculture, fisheries, forestry and other natural resources management sectors potentially affecting biodiversity and ecosystem functioning, should be encouraged, following the example, for instance, of the Code of Conduct for Responsible Fisheries, Sustainable Forest Management or others. Sectors other than the primary production sectors may also have major effects but are often less recognized in this respect. These include sectors such as the judicial sector, which affects governance, as well as those such as energy and transport, which are managing or affecting resources either directly or indirectly.

12.3 Procedures and mechanisms should be established to ensure effective participation of all relevant stakeholders and actors during the consultation processes, decision making on management goals and actions, and, where appropriate, in implementing the ecosystem approach.

12.4 The effective implementation of the ecosystem approach may require involving multidisciplinary professional and scientific expertise, including such disciplines as economic, social and natural sciences.

12.5 When assessing the costs and benefits of conserving, maintaining, using and restoring ecosystems, the interests of all relevant sectors should be taken into account for equitable sharing of the benefits according to national law.

ANNEX II
CONSIDERATION OF THE RELATIONSHIP BETWEEN SUSTAINABLE FOREST MANAGEMENT AND ECOSYSTEM APPROACH, AND REVIEW OF, AND DEVELOPMENT OF STRATEGIES FOR, THE INTEGRATION OF THE ECOSYSTEM APPROACH INTO THE PROGRAMMES OF WORK OF THE CONVENTION

A. Sustainable forest management

1. CONCEPTUAL BASIS OF THE ECOSYSTEM APPROACH IN RELATION TO SUSTAINABLE FOREST MANAGEMENT

1. In 1992, the Non-legally Binding Authoritative Statement of Principles for a Global Consensus on the Management, Conservation and Sustainable Development of All Types of Forest of the United Nations Conference on Environment and Development (UNCED), also referred to as "Forest Principles", defined a new paradigm for forest management, through a set of 15 principles in support to the overall objective of contributing to the management, conservation and sustainable development of forests and their multiple functions and uses. In this regard, the concept of sustainable forest management (SFM) anticipated the ecosystem approach, both of which are based on the tenet of sustainability. SFM incorporates the following key sustainability concepts: (i) stewardship; (ii) enabling environment; (iii) continuous flow of goods and services without undermining the resource base; (iv) maintenance of ecosystem functioning and biodiversity; (v) maintenance of economic, social, and cultural functions; (vi) benefit-sharing; and (vii) stakeholder participation in decision-making.

2. SFM can be considered as a means of applying the ecosystem approach to forests. Although the concept of SFM and the ecosystem approach are not identical,

the two are similar in many respects. Both need to be applied as an integrated whole. Both are also rapidly evolving. Both have a non-legally binding nature, allowing for flexibility and experimentation. SFM and the ecosystem approach are overarching frameworks—both with due consideration to societal, ecological, and governance issues—although the former has undergone substantial refinement over the last decade, being primarily an outcome-based approach. The ecosystem approach is still in need of further elaboration to be translated into good operational practice in a particular situation. As far as challenges are concerned, both SFM and the ecosystem approach need to deal with complex issues such as law enforcement, land tenure rights, and the rights of indigenous and local communities. In this regard, implementation of both approaches requires political will, including that of institutions and communities.

3. The broad overlap between the concepts of SFM and the ecosystem approach is encouraging, but there are yet significant opportunities for mutual learning. Lessons learned should flow both ways. Country-level meetings to examine the relationship between SFM and the ecosystem approach would be useful, and should be commended to Parties to the Convention. These meetings should emphasize mutual learning opportunities.

4. As stated above, SFM is relatively more mature than the ecosystem approach in the sense of being more refined from an operational standpoint; thus it can feed on some aspects of the ecosystem approach to this end. Specifically, there is a clear need for the ecosystem approach to adopt processes that are based upon clear statements of visions, objectives, and goals for defined regions or issues, thereby becoming more outcome-oriented. Conceptual development of the ecosystem approach to date has emphasized a description of the content of the principles. Moving from a content-driven approach to an outcome-driven approach would be beneficial. Tools and approaches developed to implement SFM, which are discussed below, may be useful in other productive sectors as they explore ways to apply the ecosystem approach.

2. PROPOSALS FOR INTEGRATION OF THE ECOSYSTEM APPROACH AND SUSTAINABLE FOREST MANAGEMENT

5. Even though the ecosystem approach and sustainable forest management are broadly overlapping concepts, more could be done to ensure their integration. Sustainable forest management could gain insights from the ecosystem approach concepts as cross-sectoral integration is largely missing from SFM, reflecting restricted legal mandates mostly within forest sector institutions. Mechanisms for inter-sectoral collaboration could be strengthened within SFM. Agro-forestry integrates the forest and agriculture sectors but other linkages between the forest sector and the agriculture sector (and other sectors such as water management, transport, and conservation) need to be strengthened.

6. Although there is no pre-defined scale, the ecosystem approach can be applicable over large areas (landscape level), while SFM has historically emphasized forest management-unit levels of work at typically small spatial scales. Although the Forest Principles do not indicate that forest management should be integrated with

management of adjacent areas, and some larger-scale applications (e.g., landscape restoration initiatives and model forests) have been developed within the last decade, greater emphasis could be placed on SFM within a broader spatial context, including protected areas, taking into consideration conservation issues in general, and developing stronger links to adjacent land uses and/or complementary approaches, such as extraction of non-timber forest resources, agriculture, watershed management, and ecological restoration.

7. There are areas where further conceptual development is needed in both SFM and the ecosystem approach. Both approaches, for example, should explicitly incorporate a principle of sustainability. The inter-generational obligation to sustain the provision of ecosystem goods and services to future generations should be clearly stated. Another area warranting further work is to incorporate issues, in both SFM and the ecosystem approach, of consideration of risks and threats. Global climate change creates risks and uncertainties for all sectors involved in applying the ecosystem approach. Concerns in the forest sector include insecure land tenure, increased forest fire incidence, and the spread of forest pests and diseases into higher latitudes.

8. As stated in the previous section, there is a need for the ecosystem approach to adopt a more outcome-based approach. As such, lessons learned from implementation of SFM through the application of criteria and indicators would be particularly beneficial. In addition, the experiences of applying the ecosystem approach through Global Environmental Facility projects should be taken into account.

9. In general, tools and approaches developed to implement SFM may be useful in other productive sectors as they explore ways to implement the ecosystem approach. The processes of developing and using criteria and indicators for sustainable forest management (including local-level indicators), designing and setting up model forests and demonstration forests, and drawing up national forest programs, action-oriented forest management plans, environmental management systems, and codes of conduct and practice, are all tools with broader potential relevance. For example, codes of practice for sustainable agricultural systems are not as advanced as for SFM. Approaches and tools developed for community forestry and social forestry to achieve broader stakeholder engagement, also have considerable potential for application in other sectors.

10. In particular, the use of criteria and indicators is considered a key tool for implementing and monitoring SFM, and the approach is being applied both nationally and at the forest management unit level. Criteria and indicators can be used for setting goals, assessing management outcomes and policy effectiveness, orienting forest certification systems, and for communicating progress to policy makers. Although nine regional and international processes to develop and implement criteria and indicators for sustainable forest management have largely developed independently, to date, 149 countries, encompassing 95% of the world's forests, are in the process of applying the criteria and indicators approach. Criteria and indicators for sustainable forest management represent a detailed expression of the elements of SFM when taken as a integrated whole, and bear many points of similarity to the ecosystem approach. Criteria and indicators can be adapted towards on-the-

ground action, as illustrated by the development of local-level indicators applicable at the forest management unit level by ITTO.

11. Local-level indicator work is one of the most interesting developments in the criteria and indicators approach. This work helps engage stakeholders in developing a longer-term vision and objectives for defined management areas, generating indicators that are meaningful to local needs. Their goal is to provide useful feedback to management, rather than to fulfil national monitoring and reporting requirements. Monitoring systems that can provide on-the-ground feedback and verify sustainability are essential for implementing adaptive management, a central concept within the ecosystem approach. These monitoring systems support the management-feedback process and allow it to evolve through time. Model forests and demonstration forests (such as the work undertaken by ITTO) are providing further valuable opportunities to test adaptive management concepts and to promote their wider application.

12. While existing efforts in SFM/criteria and indicators are currently focused on the national level and the forest-management unit level, some recent efforts (such as work undertaken by IUCN) are focusing at the landscape level. The development of criteria and indicators for the landscape level should be further pursued. In this context, it is worth noting that restoration actions are starting to be undertaken at the landscape level, and that the ITTO Guidelines for the Restoration, Management and Rehabilitation of Degraded Secondary Tropical Forests have been developed for guiding policy makers on forest restoration at this spatial scale. The assessment through criteria and indicators tools could be used to determine flows of specific ecosystem services (e.g., carbon capture in plantations).

13. In this regard, the potential for application of forest criteria and indicators to the ecosystem approach is high, particularly in regions where forests are an integral part of the resource base being used. In a recent effort at summarizing the state of knowledge of the contribution of criteria and indicators for sustainable forest management, seven thematic areas were identified in which the development of criteria and indicators can suit specific management needs; these areas can easily be applied to many principles of the ecosystem approach.[190]

14. Forest certification is another rapidly evolving approach that involves the use of criteria and indicators as primary tools. Globally, about 120 million hectares of forest have been certified. Certification is more limited in scope than SFM as it tends to focus on production forests only, to the exclusion of protected areas and landscape-level considerations as mentioned earlier. However, some certified forests currently exist in protected areas, and some certification schemes require, in turn, that a proportion of the managed forest be set aside for protection. Therefore the potential of forest certification to link with protected areas is high.[191] In

190 International Conference on the Contribution of criteria and indicators for sustainable forest management: the way forward. Guatemala City, 3-7 February 2003. The common thematic areas are: (1) extent of forest resources; (2) biological diversity; (3) forest health and vitality; (4) productive functions of forest resources; (5) protective functions of forest resources; (6) socio-economic functions; (7) legal, policy and institutional framework.

191 Certification of good forest management and its relationship to protected areas. IUCN forest case-study number 3. April 2003.

this context, forest certification programmes could benefit from moving in the direction of the ecosystem approach being broader in scope.

15. Nevertheless, certification systems have found limited application in some developing countries, notably in the tropics, where enabling conditions to implement these systems are generally lacking. There are various barriers to tropical forest certification, such as limited institutional and technical capacity, and poor development of markets for certified wood. Efforts to overcome these barriers could be a priority for the ecosystem approach. ITTO's efforts to develop a phased approach to tropical forest certification should be noted in this context.

16. In addition, and of direct relevance for the integration of the ecosystem approach with SFM, ITTO has also developed policy guidelines for sustainable forest management. The guidelines contain a set of principles and recommended actions and relate to sustainable natural and planted tropical forests; conservation of biological diversity in tropical production forests; fire management in tropical forests; and restoration, management and rehabilitation of degraded secondary tropical forests. ITTO has also been promoting demonstration sites and demonstration watersheds.

17. If SFM were to explicitly examine tools and approaches that could be applied to other sectors—such as criteria and indicators, certification, and Model Forests—it would promote cross-fertilization, and help strengthen cross-sectoral integration. Developing institutional mechanisms to get people from different sectors around the table on an ongoing basis is a challenge in all countries. In addition to wider dissemination of useful tools, cross-sectoral meetings on SFM and the ecosystem approach would help demystify concepts and support mutual recognition, allowing people to use their own vocabulary.

18. The FAO is actively developing tools relevant to implementing SFM and the ecosystem approach. The FAO and World Bank have a support programme for facilitating stakeholder participation in the development of national forest programmes. Increased knowledge sharing is a major focus of FAO's efforts. The FAO Model Code of Forest Harvesting Practices has led to development of regional codes and country codes. The non-legally binding nature of these codes is a key to wider acceptance. Codes for integrated pest management, fire management, and integrated watershed management should also be noted. In addition, the recent FAO initiative, "In Search of Excellence in Forest Management," with its call for nominations of well-managed forests, has generated an excellent response. Multiple use, stakeholder participation, good information and monitoring systems, and good governance are recurring themes in well-managed forests, and they are as well key issues for the ecosystem approach.

19. In summary, in order to achieve greater harmonization of the SFM and ecosystem approach concepts, there is a need for SFM to strengthen cross-sectoral integration, which can be undertaken at least in part through application of SFM tools into other sectors. Developing and implementing biodiversity indicators would also help strengthen the contribution of SFM to biodiversity conservation. The development of criteria and indicators as well as certification programmes within SFM at the landscape level should also be pursued.

20. The ecosystem approach, should, in turn, consider lessons learned from application of SFM tools and approaches, such as criteria and indicators, certification systems, and model and demonstration forests in its effort to move towards an outcome-oriented approach. In addition, both approaches should explicitly incorporate the principle of sustainability.

B. Integration of ecosystem approach into sectors and biomes corresponding to the thematic programmes of work of the Convention

1. INTRODUCTION

21. There has been considerable progress in the development of sector-specific approaches incorporating many elements of the ecosystem approach. In particular, relevant tools have been developed in forestry, fisheries management, and watershed management—sectors associated with the Convention's programmes of work on forest biological diversity, marine and coastal areas, and inland water ecosystems, respectively. These sectors have recognized principles that are consistent with the ecosystem approach, and are moving to develop goal- or target-oriented approaches that include stakeholder participation, adaptive management, and monitoring/feedback systems. These sectors also deal with resources that tend to be under communal or public management rather than private management. This may help facilitate the development and implementation of sector-specific tools. The progress to date should be acknowledged, and further elaboration of the ecosystem approach in individual sectors should be encouraged.

2. MARINE AND COASTAL BIOLOGICAL DIVERSITY

22. The 1995 Code of Conduct for Responsible Fisheries includes principles that anticipate many of those in the ecosystem approach. In addition, there has been a movement towards the ecosystem approach in marine fisheries. The World Summit on Sustainable Development referred to the need to incorporate the ecosystem approach in responsible fisheries management, setting a target of 2010 for its achievement. The 2001 Reykjavik Declaration called for "guidelines for best practices with regard to introducing ecosystem considerations into fisheries management." This led FAO in 2003 to update and revise its 1995 Code in the form of a new manual called "Fisheries management: the ecosystem approach to fisheries." The World Wide Fund for Nature (WWF) has also developed a guide to ecosystem-based management for fisheries, and helped launch an effort to develop a certification program for marine fisheries under the Marine Stewardship Council. The Global Environment Facility (GEF) has provided financial support to 15 Large Marine Ecosystem (LME) projects involving more than 100 countries around the world. The LME projects build on an ecosystem approach in developing capacity and infrastructure for integrated management of marine and coastal environment and resources. Marine and coastal protected areas (MCPAs) are another significant cross-cutting approach in the context of marine and coastal areas. A CBD ad hoc technical expert group prepared detailed guidance, in line with the ecosystem approach, on this topic that was discussed at the eighth meeting of the SBSTTA (recommendation VIII/3). This guidance reflects the spirit of the ecosystem approach, and is available in document

UNEP/CBD/SBSTTA/8/INF/11. Current thinking emphasizes a need to combine integrated marine and coastal area management (IMCAM) with a core network of highly protected areas, which act as baselines and an insurance policy. The SBSTTA accepted this notion at its eighth meeting, while indicating that the balance between highly protected zones and other areas where extractive uses are allowed is a choice for individual countries. The concept of IMCAM covers both marine areas and coastal portions of the land. These approaches are area-based, and are explained by detailed sets of guidelines such as those developed by Ramsar and FAO, and those under development within the framework of the Convention on Biological Diversity. UNEP is trying to bring together ocean management and river basin management in the project on integrated watershed and coastal area management (IWCAM) in small island developing States of the Caribbean.

3. INLAND WATER ECOSYSTEMS BIOLOGICAL DIVERSITY

23. The concepts of integrated watershed management and river basin management present multidisciplinary approaches to the management of biophysical, social, and economic issues affecting water resources and their uses, and as such are consistent with the ecosystem approach. The River Basin Initiative operates under the framework of the joint work plan between the Convention on Biological Diversity and the Ramsar Convention, to support implementation of convention decisions related to better management of inland water ecosystems and associated biodiversity, water resources and wetlands. The Ramsar Convention, as the lead partner of the Convention on Biological Diversity in the implementation of activities under the Convention on inland water ecosystems, has developed a tool kit that includes practical guidance for integrated planning and management of river basins and coastal zones. In addition, the Ramsar Convention has developed guidelines for Global Action on Peatlands, and for "allocation and management of water for maintaining the ecological functions of wetlands."[192] These guidelines make connections between ecological functions, hydrology, economic demands and institutional responses.

4. AGRICULTURAL BIOLOGICAL DIVERSITY

24. The programme of work on agricultural biodiversity recognizes the ecosystem approach and addresses many of the twelve principles individually. However, there is a potential deficiency in that the agricultural biodiversity programme of work does not apply the ecosystem approach in an integrated way. Furthermore, there has been less progress in development of relevant tools within the agricultural sector than in other sectors. This may partly reflect the fact that agriculture is practiced largely on lands under private ownership. Participants at the expert meeting suggested that the issue of integrating the ecosystem approach within the agricultural sector be addressed in a comprehensive manner the next time that the programme of work in agricultural biodiversity is reviewed. Consideration might also be given to developing an addendum to the existing programme of work on use of the ecosystem approach.

192 Turkey notes that goal of Ramsar Convention is not the management and allocation of water.

25. Examples of initiatives and tools include efforts by FAO to codify "good agricultural practices," and development of a manual on integrated production and protection (IPP) crop management, with specific IPP guidelines for various crops. An information document prepared for the fifth meeting of the Conference of the Parties to the Convention on Biological Diversity entitled "The ecosystem approach: toward its application to agricultural biodiversity" (UNEP/CBD/COP/5/INF/11) discussed approaches or tools that can contribute to ecosystem approach objectives, with a focus on integrated pest management and farmer field schools. An integrated natural resource management (INRM) approach has been adopted throughout the Consultative Group on International Agricultural Research (CGIAR) system. INRM has been conceptually defined as "the responsible and broad-based management of the land, water, forest and biological resource base—including genes—needed to sustain agricultural productivity and avert degradation of potential productivity." Research and applications development are under way related to adaptive management, multiple scales and stakeholders, and measurable outcomes. Certification schemes, such as those for organic agriculture, are evolving in directions consistent with the ecosystem approach.

5. DRY AND SUB-HUMID LANDS BIOLOGICAL DIVERSITY

26. The programme of work on dry and sub-humid lands explicitly addresses the twelve principles of the ecosystem approach in an integrated way. An important consideration is the interaction between the Convention on Biological Diversity and the Convention to Combat Desertification (CCD). The CCD does not use the term "ecosystem approach," but embraces many of the principles, especially participatory aspects. There may be opportunities to bring ecosystem approach concepts into certain CCD-specific initiatives such as those in drought resistance and early warning systems. Considerations related to developing alternative livelihoods, which are conceptually similar to the ecosystem approach, are central to work in drylands. Maintenance of a multi-biome perspective is also important, and therefore existing tools such as integrated river basin management are broadly applicable. A major reason for applying the ecosystem approach is to break down sectoral and institutional barriers.

DECISION VII/12 | Sustainable Use (Article 10)

The Conference of the Parties,

Underlining that the proposals for the application of ways and means to remove or mitigate perverse incentives elaborated by the Workshop on Incentive Measures for the Conservation and Sustainable Use of Components of Biological Diversity, held in Montreal from 3 to 5 June 2003, provide further guidance on the implementation of principle 3 of the Addis Ababa Principles and Guidelines for the Sustainable Use of Biodiversity,

Stressing that the ecosystem approach is the primary framework for action in the Convention on Biological Diversity and that there is a need to consider the inter-

linkages between the Addis Ababa Principles and Guidelines for the Sustainable Use of Biological Diversity and the ecosystem approach in the conservation and sustainable management of biodiversity,

Noting the ongoing work on impact assessment under the Convention on Biological Diversity,

Recognizing that agricultural biodiversity was not fully addressed in the process leading up to the development of the Addis Ababa Principles and Guidelines for the Sustainable Use of Biodiversity and that there is a need for their further elaboration specifically with respect to domesticated species, breeds and varieties in the context of the programme of work on agricultural biodiversity,

Recognizing that the Addis Ababa Principles and Guidelines would provide Parties with an important tool to achieve the 2010 target endorsed by the World Summit on Sustainable Development, the Millennium Development Goals and the three objectives of the Convention,

Emphasizing further the need for technology transfer and cooperation, and support as well as capacity building activities to assist Governments to apply the Addis Ababa Principles and Guidelines,

1. *Adopts* the Addis Ababa Principles and Guidelines for the Sustainable Use of Biodiversity, as contained in annex II to the present decision;[193]

2. *Invites* Parties, other Governments and relevant organizations to initiate a process for the implementation of the Addis Ababa Principles and Guidelines, in accordance with Article 10 of the Convention which provides that Contracting Parties undertake specified actions as far as possible, and as appropriate, at the national and local levels, and in line with Article 6 of the Convention on Biological Diversity, taking into account obligations under other international agreements and conventions and existing frameworks for sustainable use of components of biodiversity, including the concept of sustainable forest management, e.g., by developing pilot projects, with a view to:

(a) Integrating and mainstreaming the Addis Ababa Principles and Guidelines into a range of measures including policies, programmes, national legislation and other regulations, sectoral and cross-sectoral plans and programmes addressing consumptive and non consumptive use of components of biological diversity, including plans and programmes addressing the removal or mitigation of perverse incentives that undermine the conservation and sustainable use of biodiversity, as deemed necessary by individual Parties; and

(b) Gathering and disseminating through the clearing-house mechanism and other means relevant information on experiences and lessons learned for the further improvement of the guidelines;

3. *Requests* the Subsidiary Body on Scientific Technical and Technological Advice, prior to the ninth meeting of the Conference of the Parties, to explore the applicability of these principles and guidelines to agricultural biodiversity, in

193 The implementation of this programme of work should not provide incentives that negatively affect the biodiversity of other countries.

particular domesticated species, breeds and varieties, and make appropriate recommendations,[194]

4. *Requests* the Executive Secretary to collect information and experiences on successful efforts made to implement Article 10 of the Convention and, as they are developed, success stories, best practices and lessons learned in the application of the Addis Ababa Principles and Guidelines, including information and experiences on how sustainable use of biodiversity can contribute to the achievement of the target of significantly reducing the rate of biodiversity loss by 2010 for consideration by the Subsidiary Body on Scientific, Technical and Technological Advice prior to the ninth meeting of the Conference of the Parties;

5. *Requests* the Executive Secretary to undertake further work on issues pertaining to use of terms for sustainable use, adaptive management, monitoring and indicators building on the outcome of the Addis Ababa workshop, and in particular and in line with Article 7 of the Convention, to further consolidate the work on the use of terms and on associated instruments based on sections I D and II D together with appendix I of annex I to the report of the Addis Ababa Workshop (UNEP/CBD/SBSTTA/9/INF/8), for consideration by the Subsidiary Body on Scientific, Technical and Technological Advice prior to the eighth meeting of the Conference of the Parties and, recalling decisions V/15 and V/24, *requests* the Executive Secretary to convene a series of technical experts workshops on ecosystem services assessment, financial costs and benefits associated with conservation of biodiversity, and sustainable use of biological resources, taking into account decision VII/12 on sustainable use;

6. *Invites* Parties and Governments, in collaboration with other relevant international organisations and agreements, indigenous and local communities and stakeholders to undertake further research including, through, *inter alia,* the compilation and analysis of case-studies and existing literature on sustainable use consistent with practical principle 6:

(a) The impacts of sustainable use and non-sustainable use on livelihoods, and ecosystems goods and services;

(b) The role of indigenous and local communities, and women in the sustainable use of components of biodiversity;

(c) The relationship between resilience of ecosystems and the sustainable use of biodiversity;

(d) The terms used in the description of sustainable use, , taking into account the aspirations of present and future generations in different regions and situations; building on the consensus reached in the Addis Ababa report (UNEP/CBD/SBSTTA/9/INF/8);

(e) The elaboration of management plans at time scales appropriate to the life history of species or populations;

(f) The applicability of the Addis Ababa Principles and Guidelines on the use of components of biological diversity in a transboundary context, (e.g., a

194 SBSTTA will also consider the range of use options and management practices covered by the term agricultural biodiversity.

resource shared between different countries, or migratory species moving across national jurisdictions);

(g) The functional relationships between different components of biological diversity in the context of sustainable use;

(h) The socio-economic factors that influence pattern and intensity of use of biological resources, economic and social values of goods and services provided by ecosystems;

(i) Methods and mechanisms to determine sustainability of various intensities of use and participatory methods for determining appropriate levels of sustainable use;

(j) Ways of enhancing equitable distribution of benefits derived from the sustainable use of components of biodiversity, including genetic resources;

7. *Requests* the Executive Secretary to integrate the work on indicators for monitoring sustainable use referred to in section III of the note by the Executive Secretary on sustainable use (UNEP/CBD/SBSTTA/9/9) (see annex I to the present decision) also into the broader work undertaken pursuant to decision IV/7 on "identification, monitoring, indicators and assessment." In particular, social, economic and ecological indicators of external disturbances should be identified and developed. Existing indicator frameworks, monitoring systems and inventories of natural resources should be utilized, as appropriate;

8. *Invites* Parties and Governments, in collaboration with relevant organizations, including the private sector, to develop and transfer technologies and provide financial support to assist in the implementation of the Addis Ababa Principles and Guidelines at the national level to ensure that the use of biological diversity is sustainable.

ANNEX I
EXTRACT FROM THE NOTE BY THE EXECUTIVE SECRETARY ON SUSTAINABLE USE PREPARED FOR THE NINTH MEETING OF THE SUBSIDIARY BODY ON SCIENTIFIC, TECHNICAL AND TECHNOLOGICAL ADVICE (UNEP/CBD/SBSTTA/9/9)

I. Introduction

1. In recent decades, biodiversity components have been used in a way leading to degradation of habitats, loss of species and erosion of genetic diversity, thus jeopardizing present and future livelihoods. Sustainable use of components of biodiversity, one of the three objectives of the Convention, is a key to achieving the broader goal of sustainable development and is a cross-cutting issue relevant to all thematic issues and areas addressed by the Convention and to all biological resources. It entails the application of methods and processes in the utilization of biodiversity to maintain its potential to meet current and future human needs and aspirations and to prevent its long-term decline.

2. Sustainable use of the components of biological diversity is defined in Article 2 of the Convention as the use of components of biological diversity in a way and at a rate that does not lead to the long-term decline of biological diversity, thereby maintaining its potential to meet the needs and aspirations of present and future gen-

erations. Provisions relating to sustainable use are given in Article 10, which, *inter alia*, requests Parties to "adopt measures relating to the use of biological diversity to avoid or minimize impacts on biological diversity." In order to assist Governments in their implementation of Article 10, the Conference of the Parties at its fifth meeting requested the Executive Secretary "to assemble practical principles, operational guidelines and associated instruments, and guidance specific to sectors and biomes, which would assist Parties and Governments to develop ways to achieve the sustainable use of biological diversity, within the framework of the ecosystem approach" (decision V/24).

3. In response to that decision, the Executive Secretary, in collaboration with the Governments of Mozambique, Viet Nam and Ecuador and with financial support from the Government of the Netherlands, convened three regional expert workshops in 2001-2002 designed to develop a set of practical principles and operational guidelines and associated enabling instruments for Parties, resource managers and other stakeholders.

4. The first workshop, held in Maputo in September 2001, focused on key elements relating to the sustainable use of dryland resources and wildlife utilization in Africa.[195] The second workshop was held in Hanoi in January 2002 and addressed in particular the uses of forest biological diversity, including timber and non-wood forest products in Asia, with references to agricultural biological diversity.[196] The third workshop, held in Salinas, Ecuador, in February 2002, focused on marine and freshwater fisheries uses particularly in Latin America and the Caribbean.[197]

5. At its sixth meeting, the Conference of the Parties, in its decision VI/13, called for a fourth open-ended workshop in order to:

(a) Synthesize the outcomes of the three workshops;

(b) Integrate different views and regional differences; and

(c) Develop a set of practical principles and operational guidelines for the sustainable use of biological diversity.

6. The fourth open-ended workshop was organized in Addis Ababa, Ethiopia, from 6 to 8 May 2003. The report of the meeting is available to the ninth meeting of the SBSTTA as an information document (UNEP/CBD/SBSTTA/9/INF/8).

7. Information contained in the present note as well as the suggested recommendations are based on the outcome of the aforementioned fourth workshop.

II. Overview of the Addis Ababa Principles and Guidelines for the Sustainable use of Biodiversity

8. The Addis Ababa Principles and Guidelines for the Sustainable Use of Biodiversity are annexed to the present note. A preamble to the principles is gives a list

195 The report of the Maputo workshop is contained in document UNEP/CBD/COP/6/INF/24/Add.1.

196 The report of the Hanoi workshop is contained in document UNEP/CBD/COP/6/INF/24/Add.2.

197 The report of the Salinas workshop is contained in document UNEP/CBD/COP/6/INF/24/Add.3.

of seven underlying conditions that should be taken into account in government and natural resources planning. This list is followed by the fourteen principles, which provide a framework for advising Governments, indigenous and local communities, resource managers, the private sector and other stakeholders, about how they can ensure that their uses of biodiversity components will not lead to the long-term decline of biological diversity. Each principle is followed by the rationale, a thorough explanation and exemplification of the motivation and meaning of the principle, and the operational guidelines, which provide functional advice on the implementation of the principle.

9. The principles are intended to be of general relevance, although not all principles will apply equally to all situations, nor will they apply with equal rigour. Their application will vary according to the biodiversity being used, the conditions under which they are being used, and the institutional and cultural context in which the use is taking place. The practical principles in most instances apply to both consumptive and non-consumptive uses of biodiversity components. They take into account requirements related to:

(a) Policies, laws, and regulations;

(b) Management of biological diversity;

(c) Socio-economic conditions; and

(d) Information, research and education.

III. Associated Instruments[198]

10. Implementation of the principles and guidelines for the sustainable use of biodiversity will depend on many inter-related factors including, but not limited to, existence of appropriate incentive measures, ability to manage and exchange information and sufficient capacity with which to implement sustainable management plans, and, the capacity to adapt to changing conditions based on monitoring and feedback. In particular, because in ecosystem management, circumstances change and thus uncertainties are inherent in all managed uses of components of biodiversity, adaptive management must be an essential part of any management for sustainable use. The successful application of adaptive management is dependent on monitoring changes in the indicators being uses, which could lead to changes in an array of activities associated with the management system. The issues of adaptive management and monitoring and indicators for sustainable use are addressed below.

3.1. ADAPTIVE MANAGEMENT

11. Sustainable use is not a fixed state, but rather the consequence of balancing an array of factors, which vary according to the context of the use. In addition, sustainability of uses cannot be expressed with certainty, but rather as a probability

198 Information contained in this section is based on information contained in the report of the Fourth Open-ended Workshop on the Sustainable Use of Biological Diversity (Addis Ababa, 6–8 May 2003 (UNEP/CBD/SBSTTA/9/INF/8).

that may have to change if the conditions in which management is taking place change. In this context, adaptive management deals with the complex and dynamic nature of ecosystems and their uses and the absence of complete knowledge of their functioning, it is able to respond to uncertainties and it contains elements of "learning-by-doing" or research feedback. Achievement of sustainability is also dependent on institutional capacities to adapt to changing conditions based on monitoring and feedback. Given the uncertainties, sudden changes and different contexts in which the use of biodiversity is taking place, sustainable use entails the adaptive management of biological resources.

12. Briefly, adaptive management is considered the appropriate approach toward the management of biological resources because of its ability to deal with the uncertainty and natural variation, its iterative nature of monitoring biological resource through the management cycles, and the feedback/decision-making mechanisms to alter the management. Adaptive management can be applied at each of the recognized components of biological diversity, where the scale of management (and adaptive-management needs) is determined by the component being used.

3.2. MONITORING AND INDICATORS

13. Monitoring is a key component of adaptive management and managers should be accountable and responsible for developing and implementing the monitoring programme. The indicators and benchmarks that form part of that monitoring programme should be agreed upon by all relevant stakeholders including Governments and scientists.

14. A series of criteria and characteristics should be taken into consideration in developing a monitoring system. For instance, monitoring should be bounded by spatial and temporal scales that are relevant to the potential impact, but should not ignore "downstream," indirect side effects of management. There are also different levels at which consumptive and non-consumptive uses should be conducted. For instance, harvest efforts should be monitored, in order to determine changes in the yield per unit effort as an index of the impact of the management programme, taking into account improvements in technology and practice relating to the efficiency of harvesting.

15. Monitoring of both consumptive and non-consumptive use should be conducted at the same frequency and by the same agencies, although the combination of monitoring may result in a greater probability that use-related impacts will be detected and that monitoring systems will be maintained in the long term. Monitoring at multiple levels is particularly important in cases where limited information is available about the current status of the component of biological diversity that is being used, or to avoid bias resulting from information derived as the result of use (e.g., harvesting is most often targeted at specific components only). It is also important to consider impacts on a resource other than influence by direct management actions, such as illegal off-takes, and to use all other relevant sources of information to verify conclusions about the trends in resource status and recommendations concerning its management.

16. There is the need to identify/further develop indicators[199] within the context of sustainable use in order to describe; status of a system, change in a system, trends in a system, combinations of the above. Desirable characteristics of indicators should also be identified.

17. Indicators should be developed at various scales. Some will be national in context; some will be management-area indicators. It is important for managers/planners to include in the monitoring system indicators relevant to their specific situation. Managers should be aware that there are many existing sources of information on indicators (e.g., the Food and Agriculture Organization of the United Nations (FAO), Agenda 21, the United Nations System Wide Earth Watch Indicators, the World Bank).

18. For each of the components of biological diversity a set of indicators to measure their decline should be finalized. In this biological context, indicators should be identified for the components of biological diversity that can be subject to use. The assessment of the sustainability of use on a particular component will largely depend on the scale and extent of use. Indicators of sustainability should be applied to the component of biological diversity that approximates the unit of management.

19. The indicators identified should be suitable to demonstrate the impact of use, and only refer to the biological status of each component of biological diversity, as they should be built to detect decline in the status of biodiversity components.

20. Economic indicators will be also essential in indicating status, change and trends of use of biological components of biodiversity in economic terms. Indicators identified should be used to assess sustainability of the use. For example, the degree to which biological resources are priced and reflect true value, being a condition for effective management, may serve as an economic indicator.

21. In addition, social indicators that reflect social values with respect to the sustainable use of biological components. The indicators identified should be suitable examples to demonstrate:

(a) The incorporation of social values into the use of biological resources;

(b) How unique needs of individuals and indigenous and local communities are considered in policy-making and management decisions; and

(c) The extent to which the allocation of resources can be considered to be fair and equitable.

22. All cultures use aspects of biological diversity for the maintenance of their cultures. Using indicators to monitor sustainable use in a cultural context is important to understand the impact of the use upon cultures, and vice versa. Cultures need to be defined beyond indigenous groups; to include beliefs, customs, practices and social behaviour of all people. Some cultural indicators should therefore be identified.

199 See also the note by the Executive Secretary on designing national-level monitoring programmes and indicators (UNEP/CBD/SBSTTA/9/10).

ANNEX II
ADDIS ABABA PRINCIPLES AND GUIDELINES FOR THE SUSTAINABLE USE OF BIODIVERSITY

1. The Addis Ababa Principles and Guidelines for the Sustainable use of Biodiversity consist of fourteen interdependent practical principles, operational guidelines and a few instruments for their implementation that govern the uses of components of biodiversity to ensure the sustainability of such uses. The principles provide a framework for advising Governments, resource managers, indigenous and local communities, the private sector and other stakeholders about how they can ensure that their use of the components of biodiversity will not lead to the long-term decline of biological diversity. The principles are intended to be of general relevance, although not all principles will apply equally to all situations, nor will they apply with equal rigour. Their application will vary according to the biodiversity being used, the conditions under which they are being used, and the institutional and cultural context in which the use is taking place.

2. Sustainable use is a valuable tool to promote conservation of biological diversity, since in many instances it provides incentives for conservation and restoration because of the social, cultural and economic benefits that people derive from that use. In turn, sustainable use cannot be achieved without effective conservation measures. In this context, and as recognized in the Plan of Implementation of the World Summit on Sustainable Development, sustainable use is an effective tool to combat poverty, and, consequently, to achieve sustainable development.

3 Agricultural biodiversity was not fully addressed in the process leading up to the development of the Addis Ababa Principles and Guidelines for the Sustainable Use of Biodiversity and there is a need for their further elaboration specifically with respect to domesticated species, breeds and varieties in the context of the programme of work on agricultural biodiversity.

4. The practical principles in most instances apply to both consumptive and non-consumptive uses of biodiversity components. They take into account requirements related to: (i) policies, laws, and regulations; (ii) management of biological diversity; (iii) socio-economic conditions; and (iv) information, research and education.

5. It is a fundamental assumption that the application of the practical principles and operational guidelines is set within the context of the ecosystem approach (decision V/6 of the Conference of the Parties). For the practical principles, footnotes provide cross references to the relevant principle(s) of the ecosystem approach.

6. Progress towards sustainability will require the political will to bring about changes to create the necessary enabling environment at all levels of government and society. The operational guidelines are intended to provide functional advice on the implementation of the principles. These guidelines have been developed taking into account regional and thematic differences and best practices and lessons learned that have been documented in case-studies on the sustainable use of biological diversity in different biomes as well as existing codes of conduct.

7. The operationalization of the principles will require an enabling institutional, legal and administrative structure at all levels of government and society within

each Party. Further, to be effective, policies and regulations that are adopted should ensure that the application of the principles is flexible and adaptable to different local realities and adjustable to specific ecosystems. In this context, seven underlying conditions should be taken into account as a framework for the correct implementation of the principles and guidelines, as listed in section A below.

A. Underlying conditions for sustainable use

8. In structuring a sustainable use programme and the attendant policies, laws and regulations to implement such a programme, there are a few underlying conditions that should be taken into account in government and natural resource management planning:

(a) It is possible to use biodiversity components in a manner in which ecological processes, species and genetic variability remain above thresholds needed for long-term viability, and thus all resource managers and users have the responsibility to ensure that use does not exceed these capacities. It is crucial that the biodiversity in ecosystems is maintained, or in some cases recovered, to ensure that those ecosystems are capable to sustain the ecological services on which both biodiversity and people depend;

(b) Ecosystems, ecological processes within them, species variability and genetic variation change over time whether or not they are used. Therefore, governments, resource managers and users should take into account the need to accommodate change, including stochastic events that may adversely affect biodiversity and influence the sustainability of a use;

(c) In circumstances where the risk of converting natural landscapes to other purposes is high, encouraging sustainable use can provide incentives to maintain habitats and ecosystems, the species within them, and the genetic variability of the species. Also, for particular species, such as crocodiles, sustainable use has provided substantial incentives for conserving a dangerous animal that represents a threat to humans;

(d) The basic necessities of life, such as food, shelter, freshwater and clean air are produced either directly or indirectly from using biological diversity. In addition, biodiversity provides many direct benefits and ecosystem services necessary for life. In many countries, there is complete or substantial dependence on harvested plants and animals by millions of people, often among the poorest, for their livelihoods. Increasingly other uses such as pharmaceuticals for disease prevention and cure are becoming evident and are also met from using biological diversity. Finally, indigenous and local communities and their cultures often depend directly on the uses of biological diversity for their livelihoods. In all of these instances, governments should have adequate policies and capacities in place to ensure that such uses are sustainable;

(e) The supply of biological products and ecological services available for use is limited by intrinsic biological characteristics of both species and ecosystems, including productivity, resilience, and stability. Biological systems, which are dependent on cycling of finite resources, have limits on the goods they can pro-

vide and services they can render. Although certain limits can be extended to some degree through technological breakthroughs, there are still limits, and constraints, imposed by the availability and accessibility of endogenous and exogenous resources;

(f) To ameliorate any potential negative long-term effects of uses it is incumbent on all resource users, to apply precaution in their management decisions and to opt for sustainable use management strategies and policies that favour uses that provide increased sustainable benefits while not adversely affecting biodiversity. Likewise, Governments should be certain that licensed or authorized sustainable uses of biological diversity are taking such precaution in their management;

(g) In considering individual guidelines provided below, it is necessary to refer to and apply the provisions of Article 8(j), Article 10(c) and other related provisions and their development in relevant decisions of the Conference of the Parties in all matters that relate to indigenous and local communities.

B. Practical principles, rationale and operational guidelines for the sustainable use of biodiversity

9. Sustainability of use of biodiversity components will be enhanced if the following practical principles and related operational guidelines are applied:

PRACTICAL PRINCIPLE 1: *Supportive policies, laws, and institutions are in place at all levels of governance and there are effective linkages between these levels.*

RATIONALE: There is need to have congruence in policies and laws at all levels of governance associated with a particular use. For example, when an international agreement adopts a policy regarding use of biodiversity, national[200] laws must be compatible if sustainability is to be enhanced. There must be clear and effective linkages between different jurisdictional levels to enable a "pathway" to be developed which allows timely and effective response to unsustainable use and allows sustainable use of a resource to proceed from collection or harvest through to final use without unnecessary impediment. In most cases the primary means for achieving congruence between local and international levels of governance should be through national Governments.

Operational guidelines

Consider local customs and traditions (and customary law where recognized) when drafting new legislation and regulations;

Identify existing and develop new supportive incentives measures, policies, laws and institutions, as required, within the jurisdiction in which a use will take place, also taking into account Articles 8(j) and 10(c), as appropriate;

200 It is recognized that, throughout the principles, rationale and operational guidelines, the term "national" may mean either national or, as appropriate in some countries, subnational.

Identify any overlaps, omissions and contradictions in existing laws and policies and initiate concrete actions to resolve them;

Strengthen and/or create cooperative and supportive linkages between all levels of governance in order to avoid duplication of efforts or inconsistencies.

PRACTICAL PRINCIPLE 2: *Recognizing the need for a governing framework consistent with international*[201] *national laws, local users of biodiversity components should be sufficiently empowered and supported by rights to be responsible and accountable for use of the resources concerned.*[202]

RATIONALE: Uncontrolled access to biodiversity components often leads to over-utilization as people try to maximize their personal benefits from the resource while it is available. Resources for which individuals or communities have use, non-use, or transfer rights are usually used more responsibly because they no longer need to maximise benefits before someone else removes the resources. Therefore sustainability is generally enhanced if Governments recognize and respect the "rights" or "stewardship" authority, responsibility and accountability to the people who use and manage the resource, which may include indigenous and local communities, private landowners, conservation organizations and the business sector. Moreover, to reinforce local rights or stewardship of biological diversity and responsibility for its conservation, resource users should participate in making decisions about the resource use and have the authority to carry out any actions arising from those decisions.

Operational guidelines

Where possible adopt means that aim toward delegating rights, responsibility, and accountability to those who use and/or manage biological resources;

Review existing regulations to see if they can be used for delegating rights; amend regulations where needed and possible; and/or draft new regulations where needed. Throughout local customs and traditions (including customary law where recognized) should be considered;

Refer to the programme of work related to the implementation of Article 8(j) with regard to indigenous and local community issues (decision V/16), implement and integrate tasks relevant for the sustainable use of biodiversity components, in particular element 3, tasks 6, 13 and 14;

201 Where consistency with international law is referred to this recognizes: (i) that there are cases where a country will not be a party to a specific international convention and accordingly that law will not apply directly to them; and (ii) that from time to time countries are not able to achieve full compliance with the conventions to which they are a party and may need assistance.

202 See principle 2 of the ecosystem approach.

Provide training and extension services to enhance the capacity of people to enter into effective decision-making arrangements as well as in implementation of sustainable use methods;

Protect and encourage customary use of biological resources that is sustainable, in accordance with traditional and cultural practices (Article 10(c)).

PRACTICAL PRINCIPLE 3: *International, national policies, laws and regulations that distort markets which contribute to habitat degradation or otherwise generate perverse incentives that undermine conservation and sustainable use of biodiversity, should be identified and removed or mitigated.*[203]

RATIONALE: Some policies or practices induce unsustainable behaviours that reduce biodiversity, often as unanticipated side effects as they were initially designed to attain other objectives. For example, some policies that encourage domestic over production often generate perverse incentives that undermine the conservation and sustainable use of biological diversity. Eliminating subsidies that contribute to illegal, unreported and unregulated fishing and to over-capacity, as required by the WSSD Plan of Implementation in order to achieve sustainable fisheries, is a further instance of the recognition of the need to remove perverse incentives.

Operational guidelines

Identify economic mechanisms, including incentive systems and subsidies at international, national levels that are having a negative impact on the potential sustainability of uses of biological diversity;

Remove those systems leading to market distortions that result in unsustainable uses of biodiversity components;

Avoid unnecessary and inadequate regulations of uses of biological diversity because they can increase costs, foreclose opportunities, and encourage unregulated uses thus decreasing the sustainability of the use.

PRACTICAL PRINCIPLE 4: *Adaptive management should be practiced, based on:*
(a) Science and traditional and local knowledge;
(b) Iterative, timely and transparent feedback derived from monitoring the use, environmental, socio-economic impacts, and the status of the resource being used; and
(c) Adjusting management based on timely feedback from the monitoring procedures.[204]

RATIONALE: Biological systems and the economic and social factors that can affect the sustainability of use of biological diversity are highly variable. It is not possible to have knowledge of all aspects of such systems before a use of biological diversity begins. There-

203 See principle 4 of the ecosystem approach.
204 See principles 9 and 11 of the ecosystem approach.

fore, it is necessary for the management to monitor the effects of that use and allow adjustment of the use as appropriate, including modification, and if necessary suspension of unsustainable practices. In this context, it is preferable to use all sources of information about a resource when deciding how it can be used. In many societies traditional and local knowledge has led to much use of biological diversity being sustainable over long time-periods without detriment to the environment or the resource. Incorporation of such knowledge into modern use systems can do much to avoid inappropriate use and enhance sustainable use of components of biodiversity.

Operational guidelines

Ensure that for particular uses adaptive management schemes are in place;

Require adaptive management plans to incorporate systems to generate sustainable revenue, where the benefits go to indigenous and local communities and local stakeholders to support successful implementation;

Provide extension assistance in setting up and maintaining monitoring and feedback systems;

Include clear descriptions of their adaptive management system, which includes means to assess uncertainties;

Respond quickly to unsustainable practices;

Design monitoring system on a temporal scale sufficient to ensure that information about the status of the resource and ecosystem is available to inform management decisions to ensure that the resource is conserved;

When using traditional and local knowledge, ensure that approval of the holder of that knowledge has been obtained.

PRACTICAL PRINCIPLE 5: *Sustainable use management goals and practices should avoid or minimize adverse impacts on ecosystem services, structure and functions as well as other components of ecosystems.*[205]

RATIONALE: For use of any resource there is a need to take into account the functions that resource may fulfil within the ecosystem in which it occurs, and that use must not adversely affect ecosystem functions. For example, clear felling in a watershed could lead to erosion of soil and impairment of the water filtration function of the ecosystem. Avoidance of this situation would involve setting conservative cutting quotas with appropriate harvesting techniques and monitoring the effects of the harvest as it occurs. As another example, the shrimping industry has developed nets that can separate out juveniles and by-catch and also reduce negative effects on benthic and other associated communities.

205 See principles 3, 5 and 6 of the ecosystem approach.

Operational guidelines

Ensure management practices do not impair the capacity of ecosystems to deliver goods and services that may be needed some distance from the site of use. For example, selective cutting of timber in a watershed would help maintain the ecosystem's capacity to prevent soil erosion and provide clean water;

Ensure that consumptive and non-consumptive use does not impair the long-term sustainability of that use by negatively impacting the ecosystem and species on which the use depends, paying special attention to the needs of threatened components of biological diversity;

Apply a precautionary approach in management decisions in accordance with principle 15 of the Rio Declaration on Environment and Development;

Identify successful experiences of management of biodiversity components in other countries in order to adapt and incorporate this knowledge in their efforts to resolve their own difficulties;

Where possible consider the aggregate and cumulative impact of activities on the target species or ecosystem in management decisions related to that species or ecosystem;

Where previous impacts have degraded and reduced biodiversity, support formulation and implementation of remedial action plans (Article 10(d)).

PRACTICAL PRINCIPLE 6: *Interdisciplinary research into all aspects of the use and conservation of biological diversity should be promoted and supported.*

RATIONALE: International conventions and national decisions that affect use should always apply the best information on which to base decisions and be aware of the local circumstances where a use is undertaken. In addition, there is need to ensure that research is supported into the biological and ecological requirements of the species to ensure that the use remains within the capacity of the species and ecosystem to sustain that use. Further, to enhance incentives that promote sustainability, there would be value in investing in research to open up new economic opportunities for stakeholders.

Operational guidelines

Ensure that the results of research inform and guide international, national policies and decisions;

Invest in research into techniques and technologies of management of biodiversity components that promote sustainability in both consumptive and non-consumptive uses of biodiversity;

Encourage active collaboration between scientific researchers and people with local and traditional knowledge;

Encourage international support and technology transfer, relating to both consumptive and non-consumptive uses of biodiversity;

Develop cooperation between researchers and biodiversity users (private or local communities), in particular, involve indigenous and local communities as research partners and use their expertise to assess management methods and technologies;

Investigate and develop effective ways to improve environmental education and awareness, to encourage public participation and to stimulate the involvement of stakeholders in biodiversity management and sustainable use of resources;

Investigate and develop means of ensuring rights of access and methods for helping to ensure that the benefits derived from using components of biodiversity are equitably shared;

Make research results available in a form which decision makers, users, and other stakeholders can apply;

Promote exchange programmes in scientific and technical areas.

PRACTICAL PRINCIPLE 7: *The spatial and temporal scale of management should be compatible with the ecological and socio-economic scales of the use and its impact.*[206]

RATIONALE: Management of sustainable use activities should be scaled to the ecological and socio-economic needs of the use. If, for example, fish are harvested from a lake, the owner of the lake should be in charge of, and accountable for, the management of the lake subject to national or, as appropriate, subnational policy and legislation.

Operational guidelines

Link responsibility and accountability to the spatial and temporal scale of use;

Define the management objectives for the resource being used;

Enable full public participation in preparation of management plans to best ensure ecological and socio-economic sustainability.

In case of transboundary resources, it is advisable that appropriate representation from those states participate in the management and decisions about the resources.

PRACTICAL PRINCIPLE 8: *There should be arrangements for international cooperation where multinational decision-making and coordination are needed.*

RATIONALE: If a biodiversity resource is transboundary between two or more countries then it is advisable to have a bilateral or multilateral agreement between those states to determine how the resource will be used and in what amounts. Absence of such agreements can lead to each state implementing separate management regimes which, when taken together, may mean that the resource is over-utilized.

206 See principles 2 and 7 of the ecosystem approach.

Operational guidelines

Make arrangements for international cooperation when the distribution of populations or communities/habitats being used span two or more nations;

Promote multinational technical committees to prepare recommendations for the sustainable use of transboundary resources;

Have bilateral or multilateral agreements between or among the States for the sustainable use of transboundary resources;

Establish mechanisms involving the collaborating states to ensure that sustainable use of transboundary resources does not negatively impact the ecosystem capacity and resilience.

PRACTICAL PRINCIPLE 9: *An interdisciplinary, participatory approach should be applied at the appropriate levels of management and governance related to the use.*

RATIONALE: Sustainability of use depends on biological parameters of the resources being utilized. However, it is recognized that social, cultural, political and economic factors are equally important. It is therefore necessary to take such factors into consideration and involve indigenous and local communities and stakeholders, including and the private sector, and the people experienced in these different fields, at all levels of the decision making process.

Operational guidelines

Consider providing mechanisms that encourage interdisciplinary cooperation in management of biodiversity components;

Set standards for resource management activities that promote interdisciplinary consultations;

Facilitate communication and exchange of information between all levels of decision-making;

Identify all relevant stakeholders and seek their participation in planning and executing of management activities;

Take account of socio-economic, political, biological, ecological, institutional, religious and cultural factors that could influence the sustainability of the management;

Seek guidance from local, traditional and technical specialists in designing the management plan;

Provide adequate channels of negotiations so that potential conflicts arising from the participatory involvement of all people can be quickly and satisfactorily resolved.

PRACTICAL PRINCIPLE 10: *International, national policies should take into account: (a) Current and potential values derived from the use of biological diversity;*

(b) Intrinsic and other non-economic values of biological diversity and
(c) Market forces affecting the values and use.

RATIONALE: Recent work in calculating the potential costs of replacing natural systems with man-made alternatives has shown that such natural systems should be valued very highly. It follows that international and national policies that guide trade and development should compare the real value of natural systems against any intended replacement uses before such development is undertaken. For instance, mangroves have the function of fish-spawning and nursery sites, erosion and storm-surge alleviation and carbon sequestration. Coral reefs provide protection for juvenile fish and many species, as well as coastal zone protection.

Operational guidelines

Promote economic valuation studies of the environmental services of natural ecosystems;

Incorporate this information in policy and decision making processes, as well as educational applications;

Consider this principle in relation to land use/habitat conversion tradeoffs. Recognize that market forces are not always sufficient to improve living conditions or increase sustainability in the use of components of biological diversity;

Encourage governments to take into account biodiversity values in their national accounts;

Encourage and facilitate capacity building for decision makers about concepts related to economic valuation of biodiversity.

PRACTICAL PRINCIPLE 11: *Users of biodiversity components should seek to minimize waste and adverse environmental impact and optimize benefits from uses.*

RATIONALE: Users should seek to optimize management and to improve selectivity of extractive uses through environmentally friendly techniques, so that waste and environmental impacts are minimized, and socio-economic and ecological benefits from uses are optimized.

Operational guidelines

Eliminate perverse incentives and provide economic incentives for resource managers to invest in development and/or use of more environmentally friendly techniques, e.g., tax exemptions, funds available for productive practices, lower loan interest rates, certification for accessing new markets;

Establish technical cooperation mechanisms in order to guarantee the transfer of improved technologies to communities;

Endeavour to have an independent review of harvests to ensure that greater efficiencies in harvest or other extractive uses do not have a deleterious impact on the status of the resource being used or its ecosystem;

Identify inefficiencies and costs in current methods;

Conduct research and development into improved methods;

Promote or encourage establishment of agreed industry and third party quality standards of biodiversity component processing and management at the international and national levels;

Promote more efficient, ethical and humane use of components of biodiversity, within local and national contexts, and reduce collateral damage to biodiversity.

PRACTICAL PRINCIPLE 12: *The needs of indigenous and local communities who live with and are affected by the use and conservation of biological diversity, along with their contributions to its conservation and sustainable use, should be reflected in the equitable distribution of the benefits from the use of those resources.*

RATIONALE: Indigenous and local communities and local stakeholders often shoulder significant costs or forgo benefits of potential use of biological diversity, in order to ensure or enhance benefits accruing to others. Many resources (e.g., timber, fisheries) are over-exploited because regulations are ignored and not enforced. When local people are involved as stakeholders such violations are generally reduced. Management regimes are enhanced when constructive programmes that benefit local communities are implemented, such as capacity training that can provide income alternatives, or assistance in diversifying their management capacities.

Operational guidelines

Promote economic incentives that will guarantee additional benefits to indigenous and local communities and stakeholders who are involved in the management of any biodiversity components, e.g., job opportunities for local peoples, equal distribution of returns amongst locals and outside investors/co-management;

Adopt policies and regulations that ensure that indigenous and local communities and local stakeholders who are engaged in the management of a resource for sustainable use receive an equitable share of any benefits derived from that use;

Ensure that national policies and regulation for sustainable use recognize and account for non-monetary values of natural resources;

Consider ways to bring uncontrolled use of biological resources into a legal and sustainable use framework, including promoting alternative non-consumptive uses of these resources;

Ensure that an equitable share of the benefits remain with the local people in those cases where foreign investment is involved;

Involve local stakeholders, including indigenous and local communities, in the management of any natural resource and provide those involved with equitable compensation for their efforts, taking into account monetary and non-monetary benefits;

In the event that management dictates a reduction in harvest levels, to the extent practicable assistance should be provided for local stakeholders, including indigenous and local communities, who are directly dependent on the resource to have access to alternatives.

PRACTICAL PRINCIPLE 13: *The costs of management and conservation of biological diversity should be internalized within the area of management and reflected in the distribution of the benefits from the use.*[207]

RATIONALE: The management and conservation of natural resources incurs costs. If these costs are not adequately covered then management will decline and the amount and value of the natural resources may also decline. It is necessary to ensure that some of the benefits from use flow to the local natural resource management authorities so that essential management to sustain the resources is maintained. Such benefits may be direct, such as entrance fees from visitors to a national park paid directly to, and retained by, the park management authority or indirect, such as stumpage tax revenue from timber harvesting paid by loggers that flows through a national treasury to a local forest service. In some cases licence fees for fishing rights are paid directly to the management authority, or to the national treasury.

Operational guidelines

Ensure that national policies do not provide subsidies that mask true costs of management;

Ensure that harvest levels and quotas are set according to information provided by the monitoring system, not the economic needs of the management system;

Provide guidelines for resource managers to calculate and report the real cost of management in their business plans;

Create other alternative mechanisms to invest revenues from biodiversity management;

Provide economic incentives for managers who have already internalized environmental costs, e.g., certification to access new markets, waiver or deferral of taxes in lieu of environmental investment, promotion of "green-labelling" for marketing.

PRACTICAL PRINCIPLE 14: *Education and public awareness programmes on conservation and sustainable use should be implemented and more effective methods of communications should be developed between and among stakeholders and managers.*

207 See the operational guidance for the application of the ecosystem approach (decision V/6, annex, section C, paragraph 11).

RATIONALE: To ensure that people are aware of the connectivity between different parts of biological diversity, its relevance to human life, and the effects of uses it is advisable to provide means to engage people in education and awareness of the opportunities and constraints of sustainable use. It is also important to educate people on the relationship of sustainable use and the other two objectives of the Convention. An important way to achieve sustainable use of biological diversity would be to have in place effective means for communications between all stakeholders. Such communications will also facilitate availability of the best (and new) information about the resource.

Operational guidelines

Plan education and public-awareness activities concerning: management, values of sustainable use, changing consumptive patterns and the value of biodiversity in the lives of people;

Ensure that public-awareness programmes also inform and guide decision makers;

Target all levels of the chain of production and consumption with such communications;

Report lessons learned about sustainable use activities to the clearing-house mechanism of the Convention on Biological Diversity;

Encourage and facilitate communication of lessons learned and best practices to other nations;

Ensure that resource users report to government on their activities in a manner that facilitates broader communications;

Increase awareness of the contributions of knowledge, practices and innovations of indigenous and local communities for the sustainable use of biological diversity.

DECISION VII/13 | Alien species that threaten ecosystems, habitats or species (Article 8(h))

The Conference of the Parties

1. *Notes* the importance of mainstreaming activities relating to invasive alien species management, particularly with reference to poverty and inequity, to provide optimal value to such activities;

2. *Welcomes* the collaboration between the Convention on Biological Diversity and other conventions and organizations, in particular the Ramsar Convention on Wetlands of International Importance especially as Waterfowl Habitat and the International Plant Protection Convention, in developing mechanisms to address the threats posed by invasive alien species;

3. *Notes* the adoption of the International Convention for the Control and Management of Ships' Ballast Water and Sediments under the International Maritime

Organization, and recommends that Parties to the Convention on Biological Diversity and other Governments consider ratifying this Convention;

4. *Recognizes* the need to strengthen further institutional coordination among international organizations and *requests* the Executive Secretary to:

(a) Promote fuller consideration of issues relating to invasive alien species in other international forums, including through the joint liaison group of the Convention on Biological Diversity, the United Nations Framework Convention on Climate Change and the United Nations Convention to Combat Desertification, and the Collaborative Partnership on Forests;

(b) Further collaborate with relevant organizations and initiatives including, *inter alia* the Food and Agricultural Organization of the United Nations, the World Health Organization and the International Maritime Organization;

(c) Further collaborate with relevant conventions including the Convention on International Trade in Endangered Species (CITES);

(d) Support closer coordination between national focal points of relevant international instruments, regional institutions and international conventions and programmes;

(e) Develop a joint work plan with the secretariat of the International Plant Protection Convention;

(f) Establish closer linkages with the Office international des épizooties;

(g) Explore options for closer collaboration with the International Civil Aviation Organization (ICAO) in the development of a preventive strategy for invasive alien species through civil-aviation pathways;

(h) Cooperate with relevant site-based conventions and other organizations to develop biome-specific practical guidance for site managers;

5. *Noting* the existing international, regional and national frameworks but *recognizing* the need to strengthen institutional coordination at international, regional and national levels on invasive alien species as a trade-related issue:

(a) *Invites* the World Trade Organization and its relevant bodies to give consideration to the risks from invasive alien species, in their deliberations;

(b) *Requests* the Executive Secretary to collaborate, whenever feasible and appropriate, with the Secretariat of the World Trade Organization in its training, capacity-building and information activities, with a view to raising awareness of the issues related to invasive alien species, and promoting enhanced cooperation on this issue;

(c) *Requests* the Executive Secretary to renew his application for observer status in the Committee on Sanitary and Phytosanitary Measures (SPS) of the World Trade Organization with a view to enhancing the exchange of information on deliberations and recent development in the respective bodies of relevance to alien invasive species;

(d) *Invites* Parties and other Governments to take into consideration, as appropriate, the risks associated with the introduction, use and spread of invasive alien species during the development, expansion and environmental review of international, bilateral and regional arrangements such as trade arrangements, where appropriate; and

(e) *Invites* Parties and other Governments to improve communication and cooperation between national environment, plant protection, trade and other relevant authorities with a view to increasing awareness on issues related to the prevention and management of risks from potentially invasive alien species and ensuring consistency of national policies and programmes;

6. *Invites* relevant Parties to the Convention on Biological Diversity and other Governments, as well as national, regional and international organizations to:[208]

(a) Improve the coordination of regional measures to address transboundary issues through the development and implementation of regional standards, regional support for risk analysis and regional cooperation mechanisms;

(b) Support national and regional decision-making and rapid response through the further development of risk analysis which include environmental risk assessment, as well as alert lists, diagnostic tools and capacity development;

(c) Incorporate invasive alien species considerations, including monitoring and reporting and notification of new threats, into regional agreements and other instruments, and make information on invasive alien species status and trends available through the clearing-house mechanism and other relevant regional information systems;

(d) Allocate, as appropriate, adequate financial resources to developing countries, in particular the least develop countries and small island developing States among them, and countries with economies in transition, and to build capacity for effective mitigation, border control and quarantine measures with a view to improve synergies with policies relating to trade, food security, human health and environmental protection, scientific research and exchange of information;

(e) Strengthen, as appropriate the cooperation between biodiversity, agriculture, forestry, land and water management agencies in the application of risk analysis standards and guidance;

(f) Consider the introduction of positive incentive measures for the prevention, mitigation, eradication or control of invasive alien species and the use of native species taking into consideration effectiveness in control and impact on the other native species in land and water management and other programmes;

(g) Proactively engage relevant stakeholders and indigenous and local communities in the eradication, the prevention of introductions, and mitigation of impacts of invasive alien species, including by awareness-raising and training as well as through the design and implementation of appropriate incentive measures;

7 *Notes* that specific gaps in the international regulatory frameworks at global, regional and national levels persist, notably in relation to species that are invasive,

208 Implementation of this paragraph should not promote incentives that negatively affect the biodiversity of other countries.

but do not qualify as plant pests under the regulations of the IPPC and other international agreements or animal diseases under the regulations of the Office international des épizooties and other international agreements with regard to the following potential pathways:

(a) The use of non-native organisms in aquaculture and the restocking of marine and inland water systems for commercial and recreational fisheries taking into account contributions of national codes, and voluntary international efforts such as Codes of Practice on the Introductions and Transfers of Marine Organisms developed by the International Council for the Exploration of the Seas and the FAO Code of Conduct on Responsible Fisheries;

(b) Unintentional or opportunistic introductions (e.g., "hitchhiker organisms"), including through hull-fouling, packaging material, import consignments, vehicular transport and other means;

(c) Unintentional introductions of invasive alien species through international assistance and humanitarian programmes, tourism, military, scientific research, cultural and other activities;

(d) Intentional introductions of alien species for non-food purposes, including certain aspects of horticulture and trade in pets and aquarium species;

(e) Intentional introduction of alien species, as biocontrol agents for control or eradication of invasive alien species, pests or weeds;

(f) Transnational and national *ex situ* breeding projects with alien species as sources for intentional or unintentional introduction;

(g) Intentional introduction of invasive alien species through international assistance programmes, including conservation and development projects and other activities;

(h) Intentional introduction of potentially invasive alien species through international incentives schemes;

(i) Introduction of alien species through aquaculture escapes, bait and pet releases, water transfer schemes.

8. *Notes* that there is potential for the application of existing methodologies for risk assessment and risk analysis, including those established in the contexts of plant and animal health, to a wider range of issues related to invasive alien species;

9. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice to establish an ad hoc technical expert group to address gaps and inconsistencies in the international regulatory frameworks at global, and regional levels, in particular the specific gaps identified in paragraph 7 above, and, on the basis of the work of the expert group, to make recommendations to Subsidiary Body of the Scientific Technical and Technological Advice prior to the ninth meeting of the Conference of the Parties for the full and effective implementation of Article 8(h) of the Convention, and further be considered by the Conference of the Parties. The expert group should:

(a) Further clarify the gaps and inconsistencies in the international regulatory framework that are significantly hindering countries' efforts to manage threats

arising from the introduction, establishment and spread from invasive alien species, focusing this analysis on the known major pathways for the spread of invasive alien species, and taking into account past efforts of relevant organizations and initiatives that have considered the issue;

(b) Develop practical options on how to address these gaps and inconsistencies, where possible within the context of existing international frameworks including identifying, if appropriate, those gaps which should be addressed at the national level, in order to achieve the full and effective implementation of Article 8(h), taking into account the costs/benefits of options for addressing the gaps and inconsistencies and the need for appropriate capacity-building at the national and regional level, to support this work;

(c) Also, in the event that it identifies the potential need for standards or other measures, identify the appropriate standard-making authority, if any, or other appropriate options, so that the Conference of the Parties can consider referring the issue to the appropriate standard-making authority and/or any other course of action that it considers appropriate;

10. *Welcomes* the generous offer made by the Government of New Zealand to fund and host the ad hoc technical expert group referred to in paragraph 9 above;

11. *Requests* the Executive Secretary together with the Global Invasive Species Programme, and its participating organizations, and with other relevant organizations to address the priorities for practical actions identified in the decisions of the Conference of the Parties;

12. R*equests* the Executive Secretary to facilitate the development of practical processes to allow Parties to share best practice and lessons learned, and to cooperate in the development of new technology, scientific understanding and best practice; and

13. *Invites* funding institutions and development agencies to provide financial support to developing countries, in particular the least develop countries and small island developing States among them, and countries with economies in transition, to assist in the improved prevention, rapid response and management measures to address threats of alien invasive species.

DECISION VII/14 | Biological Diversity and tourism

The Conference of the Parties

1. *Adopts* the Guidelines on Biodiversity and Tourism Development annexed to the present decision;

2. *Recognizing* that sustainable tourism can provide significant benefits to biodiversity conservation, *note*s that the Guidelines are voluntary and represent a range of opportunities for local, regional, national governments, indigenous and local communities and other stakeholders to manage tourism activities in an ecological, economic and socially sustainable manner;

3. *Recognizing* that these international guidelines have a broad application and audience, *requests* the Executive Secretary, in order to increase clarity and facilitate the detailed understanding of the guidelines and the implementation by Parties and to identify and address specific stakeholders, to:

(a) Develop a user's manual, checklists and, on the basis of experience gained , including the contribution of indigenous and local communities, produce and make available a streamlined and user-friendly core set of improved voluntary guidelines;

(b) Prepare a glossary and definitions of terms used in the Guidelines;

(c) Promote the use of the clearing-house mechanism to collect and disseminate information on:

(i) Specific case-studies on the implementation of the Guidelines that make clearer reference to the use and application of specific analytical management tools; and

(ii) Best practices, lessons learned and case-studies on the involvement of indigenous and local communities embodying traditional lifestyles in sustainable-tourism and ecotourism activities and projects.

4. *Aware* that the Guidelines should recognize and shall respect the rights of indigenous and local communities, consistent with the provisions of the Convention;

5. *Recalls* Article 8(j) of the Convention and related provisions and *emphasizes* that the Guidelines on Biodiversity and Tourism Development should be consistent with the Akwé: Kon Voluntary Guidelines for the Conduct of Cultural, Environmental and Social Impact Assessment regarding Developments Proposed to Take place on, or which Are Likely to Impact on, Sacred Sites and on Lands and Waters Traditionally Occupied or Used by Indigenous and Local Communities;

6. *Invites* Parties, the Governments and relevant organizations to implement pilot projects, also through public-private partnerships as outlined in the World Summit on Sustainable Development, to test the applicability of the Guidelines, understand their practical implications and provide feedback on their effectiveness (e.g. through the clearing-house mechanism);

7. *Encourages* Parties, Governments and relevant organizations to establish monitoring and reporting systems based on relevant indicators to assess the applicability and status of implementation of the Guidelines;

8. *Invites* Parties, Governments and relevant organizations to provide indigenous and local communities with capacity-building and financial resources to support their active participation in tourism policy-making, development planning, product development and management indicated by the Guidelines and *invites* non-governmental organizations to continue and increase their involvement in fostering effective policy-making for sustainable tourism development;

9. In light of the collaboration between the Convention on Biological Diversity, the United Nations Environment Programme and the United Nations Educational, Scientific and Cultural Organization, *invites* the World Tourism Organization, the United Nations Conference on Trade and Development, the United Nations

Development Programme, the World Bank, World Trade Organization, regional development banks and other relevant international organizations, to:

(a) Take these Guidelines into account in undertaking their activities;

(b) Provide technical and financial assistance in the implementation of the Guidelines and pay due regard to the Guidelines when preparing, approving and funding tourism development projects having potential implications on biological diversity, as also recommended in the report of the Workshop on Tourism and Biodiversity, held in Santo Domingo in June 2001. To this end, the Conference of the Parties requests the Executive Secretary to forward the endorsed guidelines to financing agencies, regional development banks and developers;

10. *Invites* all Governments to integrate these Guidelines in the development or review of their strategies and plans for tourism development, national biodiversity strategies and action plans, and other related sectoral strategies, at appropriate levels in consultation with interested stakeholders including tourism operators and all members of the tourism sector;

11. *Calls for* additional efforts to increase awareness and training on the Guidelines and their applicability among the tourism sector and other stakeholders;

12. *Invites* the Executive Secretary to report on progress made in the implementation and improvement of the Guidelines, including the development of relevant tools, to the Conference of the Parties at its eighth meeting.

ANNEX
GUIDELINES ON BIODIVERSITY AND TOURISM DEVELOPMENT

International guidelines for activities related to sustainable tourism development in vulnerable terrestrial, marine and coastal ecosystems and habitats of major importance for biological diversity and protected areas, including fragile riparian and mountain ecosystems.

A. Scope

1. The present Guidelines are voluntary and represent a range of opportunities for local, regional, national governments, indigenous and local communities and other stakeholders to manage tourism activities in an ecological, economic and socially sustainable manner. They can be flexibly applied to suit different circumstances and domestic institutional and legal settings.

2. The Guidelines will assist Parties to the Convention on Biological Diversity, public authorities and stakeholders at all levels, to apply the provisions of the Convention to the sustainable development and management of tourism policies, strategies, projects and activities. They will provide technical guidance to policy makers, decision makers and managers with responsibilities covering tourism and/or biodiversity, whether in national or local government, the private sector, indigenous and local communities,[209] non-governmental organizations or other organizations,

209 For the purposes of the present Guidelines "indigenous and local communities" means "indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity."

on a process for working together with key stakeholders involved in tourism and biodiversity.

3. The Guidelines cover all forms and activities of tourism. These activities should be consistent with the principles of conservation and sustainable use of biological diversity. These include, but are not limited to, conventional mass tourism, ecotourism, nature- and culture-based tourism, heritage and traditional tourism, cruise tourism, leisure and sports tourism. Although the primary focus of the Guidelines is vulnerable ecosystems and habitats, they are also appropriate for tourism with impact on biodiversity in all geographical locations and tourist destinations. The guidelines on Biodiversity and Tourism Development can also play a crucial role in incorporating sustainable use and equity strategies within and around protected areas. Furthermore the Guidelines recognize the need for collaboration between originating and receiving countries and should be used to balance local interests and national, regional and international policies.

B. The policy-making, development planning and management process

4. The main elements considered in developing the Guidelines are:

(a) Framework for management of tourism and biodiversity;

(b) Notification process in relation to such a management framework;

(c) Public education, capacity-building and awareness-raising concerning tourism and biodiversity.

5. Policy-making, development planning and the management process need to be undertaken through a multi-stakeholder process. Governments will normally coordinate this process at national level. This process may also be undertaken at more local levels by local government, and should ensure strong involvement of indigenous and local communities throughout the management and decision-making process. In addition, those responsible for tourism development and activities are encouraged to consult with and involve all relevant stakeholders, and especially those who are or may be affected by such developments and activities. The process applies to both new tourism development and the management of the existing tourism operations.

Institutions

6. In order to ensure coordination between the levels of decision-making in government departments and agencies concerned with management of biological diversity and tourism as well as agencies responsible for broader national economic development, inter- and intra-departmental and inter-organizational structures and processes should be established, if they do not already exist, to guide policy development and implementation.

7. There is a need to improve awareness and exchange of knowledge between those responsible for and affected by tourism and nature conservation at a national, subnational and local level. In addition, national biodiversity strategies and action plans should include consideration of tourism issues, and tourism plans should likewise include full consideration of biodiversity issues. Existing docu-

ments, strategies and plans should be coherent or revised and amended to that effect as applicable.

8. A consultative process should be established to ensure ongoing and effective dialogue and information-sharing with stakeholders, as well as to resolve conflicts that might arise in relation to tourism and biological diversity and build consensus. To assist in this process, a multi-stakeholder body should be established including government departments, the tourism sector, non-governmental organizations, indigenous and local communities and other stakeholders, to ensure their engagement and full participation in the whole process, and encourage the establishment of partnerships.

9. The institutional arrangements should provide for the comprehensive involvement of stakeholders in the management process described in these Guidelines.

10. Authorities and managers of protected areas have a special role for the management of tourism and biodiversity. To this end, there is a need for government support and resources for managers, including training to perform their role effectively. In addition, it is necessary to establish and review mechanisms and funding policies to ensure the availability of adequate resources for maintaining biodiversity and promoting sustainable tourism. International institutions and development agencies should be involved as appropriate.

11. To be sustainable, tourism development in any destination requires coordinated policy-making, development planning and management. The policy-making, development planning and management process comprises the following steps:

(a) Baseline information and review;

(b) Vision and goals;

(c) Objectives;

(d) Review of legislation and control measures;

(e) Impact assessment;

(f) Impact management and mitigation;

(g) Decision-making;

(h) Implementation;

(i) Monitoring and reporting;

(j) Adaptive management.

1. BASELINE INFORMATION

12. Baseline information is necessary to enable informed decisions to be taken on any issue. A minimum of baseline information is needed to enable impact assessment and decision-making and it is recommended that its compilation follow the ecosystem approach.

13. For tourism and biodiversity, the baseline information should include information, as appropriate, on:

(a) Current economic, social and environmental conditions at national and local level, including current and planned tourism development and activities and their overall positive and negative impacts, as well as development and activities in other sectors;

(b) Structure and trends within the tourism sector, tourism policy and tourism markets and trends, at national, regional and international level, including information based on market research as necessary;

(c) Environmental and biodiversity resources and processes, including any special features and sites of particular importance and protected areas, and identifying those resources that may be off bounds to development due to their particular fragility and those resources identified by existing analysis of threats;

(d) Culturally sensitive areas;

(e) Benefits from, and costs of, tourism to indigenous and local communities;

(f) Information on damage done to the environment in the past;

(g) National biodiversity strategies, action plans and reports and other sectoral plans and policies relevant for tourism development and biodiversity;

(h) National, subnational and local sustainable-development plans.

14. Baseline information should take into consideration all sources of knowledge. The adequacy of the baseline information available will need to be reviewed, and where necessary, further research and information-gathering can be undertaken to fill gaps that may be identified.

15. All stakeholders may contribute relevant information to this process, including indigenous and local communities. To this end, there is a need for capacity-building and training to assist stakeholders in documenting, accessing, analysing and interpreting baseline information.

16. Collation and synthesis of information provided will need to be undertaken by an appropriately qualified team, drawing on a range of expertise, including expertise in tourism and in biodiversity issues, and in traditional knowledge and innovation systems.

17. In order to ensure that all relevant information, its credibility and reliability, are considered, all stakeholders should be involved in review of the collated baseline information available, and in the synthesis of this information.

18. Baseline information should include maps, geographical information systems and other visual tools, including already identified zoning schemes.

19. The baseline information-gathering and review process should make full use of the clearing-house mechanism under the Convention on Biological Diversity, as well as other relevant networks such as the World Network of Biosphere Reserves, World Heritage sites and Ramsar sites.

20. Requirements for site-specific information in relation to proposals for tourism development and activities at particular locations are set out in the notification

process, and its compilation should follow the ecosystem approach. To enable impact assessment and decision making, the basic information required includes:

(a) Site-specific aspects:

(i) The various laws and regulations and plans that may be applicable to the specific site, including overviews of:
a. Existing laws at local, subnational and national levels;
b. Existing uses, customs and traditions;
c. Relevant regional and international conventions or agreements and their status, and cross-boundary agreements or memoranda of understanding (MoUs);

(ii) Identification of various stakeholders involved in or potentially affected by the proposed project—including stakeholders in governmental, non-governmental, and private sectors (particularly those from the tourism sector), and indigenous and local communities—along with details concerning their participation in and/or consultation on the proposed project during its design, planning, construction and operation;

(b) Ecological aspects:

(i) Detailed indication of the protected and biodiversity significant areas;
(ii) Specifications on the ecosystems, habitats, species;
(iii) Quantitative and qualitative information on the loss of habitats and species (main reasons, trends);
(iv) Indexing of species;
(v) Identified threats;
(vi) Existing zones, ecological zones and existing tourism zones within the ecological zones;
(vii) Ecologically sensitive zones and zones where ecological disasters have or will most likely take place;

(c) Development aspects:

(i) Summary of the proposed project, why and by whom it is proposed, estimated outcomes and possible impacts (including impacts on the surrounding areas and transboundary impacts), and quantitative and qualitative data on these aspects;
(ii) Description of the stages of development and the various structures and stakeholders that may be involved at each stage;
(iii) Description of current land-uses, infrastructures, tourism facilities and services and their interaction with proposed operations.

2. VISION AND GOALS

Vision

21. An overall vision for sustainable tourism development in harmony with the goals and objectives of the Convention on Biological Diversity and other related conventions, such as the World Heritage Convention, is important for the effective

management of tourism and biodiversity, and for ensuring that this also contributes to income generation and poverty reduction and a reduction of threats to biodiversity. The vision developed at the local level, while reflecting local priorities and realities, should take into account, as appropriate, national and regional tourism development strategies, policies and plans for economic and social development and for land-use, as well as the baseline information and review. It should be based on a multi-stakeholder process including indigenous and local communities that are or may be affected by tourism development.

Goals

22. The main goals are established to maximize the positive benefits of tourism to biodiversity, ecosystems, and economic and social development, and of biodiversity to tourism, while minimizing negative social and environmental impacts from tourism, and can cover, *inter alia*:

(a) Maintenance of the structure and functioning of ecosystems;

(b) Sustainable tourism compatible with biodiversity conservation and sustainable use;

(c) Fair and equitable sharing of benefits of tourism activities, with emphasis on the specific needs of the indigenous and local communities concerned;

(d) Integration and interrelation with other plans, developments or activities in the same area;

(e) Information and capacity-building;

(f) Poverty reduction, through the generation of sufficient revenues and employment to effectively reduce threats to biodiversity in indigenous and local communities;

(g) Protection of indigenous livelihoods, resources and of access to those resources;

(h) Diversification of economic activities beyond tourism to reduce dependency on tourism;

(i) Prevention of any lasting damage to biological diversity, ecosystems, and natural resources, and of social and cultural damage, and restoration of past damage where appropriate;

(j) Supporting the effective participation and involvement of representatives of indigenous and local communities in the development, operation and monitoring of tourism activities on lands and waters traditionally occupied by them

(k) Zoning and control of tourism developments and activities, including licensing and overall targets for and limits to the scale of tourism, to provide a range of activities for user groups that meet overall visions and goals;

(l) Empowerment through participation in decision-making;

(m) Access by indigenous and local communities to infrastructure, transport, communications and healthcare provisions laid on for tourists;

(n) Increased safety for indigenous local communities;

(o) Increased social pride;

(p) Control of tourism development and activities including licensing and clear indication on the limits to the scale and type of tourism development.

23. In relation to sharing of benefits arising from tourism and the conservation of biodiversity with indigenous and local communities, it should be noted that benefits may take various forms, including: job creation, fostering local enterprises, participation in tourism enterprises and projects, education, direct investment opportunities, economic linkages and ecological services. Appropriate mechanisms need to be established/evolved to capture the benefits.

24. The vision and goals will form the basis of national strategies or master plans for sustainable development of tourism in relation to biodiversity. Such plans should also incorporate consideration of biodiversity strategies and plans. In addition, biodiversity strategies and plans should include consideration of tourism issues.

25. Governments will normally coordinate this process at national level. This process may also be undertaken at more local levels by local government, and by communities at community level. Where local and community level vision and goals for tourism and biodiversity have been set, these may be taken into account by Governments when preparing the national level vision and goals, for example through workshops at the local level.

3. OBJECTIVES

26. The objectives focus on actions to implement specific elements of the overall vision and goals, and may include clear activities and the time by which these will be achieved. Objectives should be performance-based (e.g., construction of an interpretative trail to aid development of local guide services) and process-based (e.g., establishment of an operational management system for tourism and biodiversity). As with the vision and goals, it is important to involve and consult with all relevant stakeholders, and especially the tourism industry and indigenous and local communities that are or may be affected by tourism development, in the process for setting objectives.

27. Objectives should be specific and should include specific areas identified in clearly delineated zones listing the types of activities and infrastructure that would be acceptable and should be developed. It should also outline the impact management measures that would be appropriate, and intended markets (with greater detail, as set out in the notification process, being required for proposals for tourism development or activities at specific locations).

28. Governments may also wish to consider:

(a) Measures to ensure that sites designated at international level, such as Ramsar or World Heritage Sites or Biosphere Reserves, are accorded appropriate legal recognition and government assistance at the national level;

(b) Establishing reserves based on the biosphere reserve concept and incorporating sustainable-development objectives, generating income and employment

opportunities for indigenous and local communities, and promoting appropriate product development;

(c) Measures to ensure that sites, at the national level, such as national parks, reserves and marine conservation areas are accorded appropriate legal recognition, have management plans and are provided necessary government support;

(d) Strengthening the protected area network and encouraging the role of protected areas as key locations for good practices in the management of sustainable tourism and biodiversity, taking into account the full range of protected area categories;

(e) Use of political and economic tools and measures to encourage the channelling of part of total tourism revenues towards supporting the conservation and sustainable use of biodiversity, such as conservation of protected areas, education, research programmes, or local community development;

(f) Encouraging all stakeholders, as well as the private sector, to actively support the conservation of biodiversity and the sustainable use of its components.

29. Governments will normally coordinate this process at national level. This process may also be undertaken at more local levels by local government, and by communities at community level. Where local- and community-level objectives for tourism and biodiversity have been set, these may be taken into account by governments when preparing national level objectives.

4. LEGISLATION AND CONTROL MEASURES

30. Respect for existing national legislation and appropriate regulatory mechanisms and tools, such as land-use planning, protected area management plans, environmental assessment, building regulations and standards for sustainable tourism, are essential for the effective implementation of any overall vision, goals, and objectives. A review of legislation and control measures could consider, as appropriate, the legislation and control measures available for implementation of the overall vision, goals and objectives for tourism and biodiversity, their effectiveness, including enforcement, and any gaps that may need to be addressed for example, by revision of—or the development of additional—legislation and control measures.

31. The review of legislation and control measures may include, *inter alia*, assessment of the effectiveness of any provisions for resource management, access, and/or ownership by communities, especially indigenous and local communities in relation to tourism development or operations on lands and waters traditionally occupied or used by them; addressing legally established rights of indigenous and local communities; and enabling these groups to make decisions about tourism development and activities, amongst other forms of development and activities, in these areas.

32. Legislation and control measures considered could include measures for:

(a) Effective enforcement of existing laws, including the participation of all stakeholders;

(b) Approval and licensing processes for tourism development and activities;

(c) Controlling the planning, siting, design and construction of tourism facilities and infrastructures;

(d) Management of tourism in relation to biodiversity and ecosystems, including vulnerable areas;

(e) Application of environmental assessment, including assessment of cumulative impacts and effects on biodiversity, to all proposed tourism developments, and as a tool to develop policies and measure their impacts;

(f) Setting national standards and/or criteria for tourism that are consistent with overall national or regional plans for sustainable development and national biodiversity strategies and action plans:

  (i) Environmental quality and land-use criteria in and around tourism sites;

  (ii) Development of a decision-making process with environmental and cultural sustainability guidelines for new and existing tourism development within the designated goals and objectives of the site's different zones and within the limits of acceptable change;

(g) Integrated land-use management;

(h) Ensuring inter-linkages between tourism and cross-cutting issues, including agricultural development, coastal zone management, water resources, etc.;

(i) Mechanisms to resolve any inconsistencies between policy objectives and/or legislation in a manner that takes into account the interests of all stakeholders;

(j) Application of economic instruments, including tiered user fees, bonds, taxes or levies, for the management of tourism and biodiversity;

(k) Creating incentives for sustainable tourism development in line with the provisions of the Convention on Biological Diversity and Agenda 21 through relevant economic mechanisms;

(l) Supporting private sector voluntary initiatives consistent with these Guidelines, such as certification schemes and providing opportunities for the private tourism sector to contribute to management initiatives through direct donations, in-kind services, and other voluntary initiatives consistent with these Guidelines, and relevant policies;

(m) Avoiding tourism development or activities outside those areas set out in the objectives;

(n) Monitoring, control of and provision of information on activities related to collection and trade of biological and related cultural resources within tourism sites.

33. Governments will normally coordinate this process at the national level. It is important to involve and consult with all relevant stakeholders, and especially indigenous and local communities that are or may be affected by tourism development, in the process for reviewing legislation and control measures, assessing their adequacy and effectiveness, and proposing development of new legislation and measures where necessary.

5. IMPACT ASSESSMENT

34. Impact assessment for sustainable tourism development in ecosystems should be based on the "Guidelines for incorporating biodiversity-related issues into environmental impact assessment legislation and/or processes and in strategic environmental assessment" developed by the Convention on Biological Diversity and contained in the annex to decision VI/7 A (paras. 1–24) as well as on the Akwé: Kon Voluntary Guidelines for the conduct of cultural, environmental and social impact assessment regarding developments proposed to take place on, or which are likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities (as contained in section F of decision VII/16).

35. At national level, Governments should normally undertake assessment of impacts associated with the overall vision, goals and objectives for tourism and biodiversity. In addition, this process may also be undertaken at more local levels by local government, and by indigenous and local communities.

36. Proposers of tourism developments or activities should assess the potential impacts of their proposals and provide information on this through a notification process.

37. Governments will normally undertake evaluations of the adequacy of impact assessments submitted by proposers of tourism developments or activities. These evaluations will need to be undertaken by an appropriately qualified team, drawing on a range of expertise, including expertise in tourism and in biodiversity management, and also involving those indigenous and local communities that would be affected by the proposals. There should be public access to the documentation.

38. If the information provided is not sufficient, or the impact assessment inadequate, then further impact assessment studies may need to be undertaken. The proposer may be requested to undertake such studies, or the Government may decide to undertake these studies, and may request funds from the proposer for this purpose, as appropriate. Other stakeholders, including biodiversity managers and indigenous and local communities that may be affected by a proposed development, may also provide their assessments of impacts associated with specific proposals for tourism developments or activities, and provisions may be needed to ensure that any such assessments are taken into account by decision-makers.

39. Indigenous and local communities concerned should be involved in impact assessment. Their traditional knowledge should be acknowledged and considered for impact assessment in particular tourism projects that affect their sacred sites or lands and waters traditionally occupied or used by them.

40. Sufficient time should be allowed considering the different conditions and circumstances to ensure that all stakeholders are able to participate effectively in the decision-making process for any project using information provided by the impact assessment. Such information should be provided in forms that are accessible and comprehensible to all the various stakeholders involved.

41. Impacts of tourism in relation to the environment and biological diversity may include:

(a) Use of land and resources for accommodation, tourism facilities and other infrastructure provision, including road networks, airports and seaports;

(b) Extraction and use of building materials (e.g., use of sand from beaches, reef limestone and wood);

(c) Damage to or destruction of ecosystems and habitats, including deforestation, draining of wetlands, and intensified or unsustainable use of land;

(d) Increased risk of erosion;

(e) Disturbance of wild species, disrupting normal behaviour and potentially affecting mortality and reproductive success;

(f) Alterations to habitats and ecosystems;

(g) Increased risk of fires;

(h) Unsustainable consumption of flora and fauna by tourists (e.g., through picking of plants; or purchase of souvenirs manufactured from wildlife, in particular such endangered species as corals and turtle shells; or through unregulated hunting, shooting and fishing);

(i) Increased risk of introduction of alien species;

(j) Intensive water demand from tourism;

(k) Extraction of groundwater;

(l) Deterioration in water quality (freshwater, coastal waters) and sewage pollution;

(m) Eutrophication of aquatic habitats;

(n) Introduction of pathogens;

(o) Generation, handling and disposal of sewage and waste-water;

(p) Chemical wastes, toxic substances and pollutants;

(q) Solid waste (garbage or rubbish);

(r) Contamination of land, freshwater and seawater resources;

(s) Pollution and production of greenhouse gases, resulting from travel by air, road, rail, or sea, at local, national and global levels;

(t) Noise.

42. Socio-economic and cultural impacts related to tourism may include:

(a) Influx of people and social degradation (e.g., local prostitution, drug abuse, etc.);

(b) Impacts on children and youth;

(c) Vulnerability to the changes in the flow of tourist arrivals which may result in sudden loss of income and jobs in times of downturn;

(d) Impacts on indigenous and local communities and cultural values;

(e) Impacts on health and the integrity of local cultural systems;

(f) Intergenerational conflicts and changed gender relationships;

(g) Erosion of traditional practices and lifestyles;

(h) Loss of access by indigenous and local communities to their land and resources as well as sacred sites, which are integral to the maintenance of traditional knowledge systems and traditional lifestyles.

43. The potential benefits of tourism may include:

(a) Revenue creation for the maintenance of natural resources of the area;

(b) Contributions to economic and social development, for example:

(i) Funding the development of infrastructure and services;
(ii) Providing jobs;
(iii) Providing funds for development or maintenance of sustainable practices;
(iv) Providing alternative and supplementary ways for communities to receive revenue from biological diversity;
(v) Generating incomes;
(vi) Education and empowerment;
(vii) An entry product that can have direct benefits for developing other related products at the site and regionally;
(viii) Tourist satisfaction and experience gained at tourist destination.

6. IMPACT MANAGEMENT AND MITIGATION

44. Impact management is essential to avoid or minimize any potential damage to biodiversity conservation and sustainable use that tourism development or activities might cause. Proposals for tourism development or activities may incorporate proposals for impact management, but these may not necessarily be judged sufficient to deal with potential impacts on biodiversity. Therefore all stakeholders, and especially Governments that exercise overall control over tourism development and activities, will need to consider the various impact management approaches that may be necessary in any given situation. In particular, Governments should be aware that the tourism industry could provide a direct impetus for conservation of vulnerable ecosystems by supporting sustainable tourism activities that have a direct commercial interest in maintaining the vulnerable ecosystem in a good condition.

45. Tourism should be planned and managed using the internationally accepted planning methodologies (such as the Recreation Opportunity Spectrum and the Limits of Acceptable Change). In vulnerable ecosystems, based on these methodologies and relevant background information, tourism should be restricted and where necessary prevented.

46. Impact management can include, *inter alia*, measures for the siting of tourism development and activities, including establishing appropriate activities in different designated zones, differentiation between the impacts of different types of tourism, and measures to control tourist flows in and around tourist destinations and key sites, to promote appropriate behaviour by tourists so as to minimize their impacts, and to establish limits to numbers of visitors and their impacts within Limits of Acceptable Change at any site.

47. Impact management in relation to transboundary ecosystems and migratory species requires regional cooperation.

48. There is a need to identify those who will be responsible for implementing impact management and the resources that will be required for impact management.

49. Impact management for tourism development and activities can include the adoption and effective implementation of policies, good practices and lessons learned that cover, *inter alia*:

(a) Controlling impacts of major tourist flows including excursions, cruise ships, etc., which can cause serious effects on destinations even though they are visited for only short periods;

(b) Reducing impacts of activities outside tourism areas on adjacent and other ecosystems of importance for tourism (e.g., pollution from nearby farming activities or extractive industries may affect areas of tourism development);

(c) Responsible use of natural resources (e.g., land, soil, energy, water);

(d) Reducing, minimizing and preventing pollution and waste (e.g., solid and liquid waste, emissions to air, transport);

(e) Promoting the design of facilities that are more eco-efficient, which adopt the cleaner production approach, and use environmentally sound technologies, in particular to reduce emissions of carbon dioxide and other greenhouse gases and ozone-depleting substances, as set out in international agreements;

(f) Conserving flora, fauna and ecosystems;

(g) Preventing the introduction of alien species as a result of the construction, landscaping and operating of tourism activities, including for example from shipping associated with tourism;

(h) Conserving landscapes, cultural and natural heritage;

(i) Respecting the integrity of local cultures and avoiding negative effects on social structures, involving, and cooperating with, indigenous and local communities, including measures to ensure respect for sacred sites and customary users of these sites, and to prevent negative impacts on them and on lands and waters traditionally occupied or used by them, as well as on their subsistence resources;

(j) Using local products and skills, and providing local employment;

(k) Promoting appropriate behaviour by tourists so as to minimize their adverse impacts, and to promote positive effects through education, interpretation, extension, and other means of awareness-raising;

(l) Alignment of marketing strategies and messages with the principles of sustainable tourism;

(m) Contingency plans for handling accidents, emergencies or bankruptcies that may occur during construction and use of facilities and which may threaten the environment and the conservation and sustainable use of biodiversity;

(n) Environmental and cultural sustainability audits and review of existing tourism activities and developments and of the effectiveness with which impact management is being applied to existing tourism activities and developments;

(o) Mitigation measures for existing impacts, and appropriate funding to support them. Such measures should include development and implementation of compensation measures in cases when tourism has resulted in negative environmental, cultural, and socio-economic effects, taking into consideration the range of redress and compensation measures.

50. Governments, in cooperation with biodiversity managers, those communities that would be affected by the proposals, and other stakeholders, would normally assess the need for impact management in addition to any management measures included in the proposals under consideration. All stakeholders should understand the importance of such impact management.

51. The tourism industry can assist in promoting corporate policies on sustainable tourism and biodiversity, with defined goals, monitoring and reporting their progress publicly on a regular basis.

7. DECISION-MAKING

52. Decisions will be made concerning approval or otherwise of, *inter alia*:

(a) National strategies and plans for tourism and biodiversity;

(b) Proposals for tourism development and activities at particular locations in relation to biodiversity, which are to be submitted through the notification process;

(c) Adequacy of impact management measures in relation to anticipated impacts from tourism development and activities;

(d) Adequacy and frequency of monitoring and reporting.

53. Such decisions will ultimately be taken by Governments (or specific authorities designated by Governments). It is recognized, however, that effective consultation with and participation of the communities and groups affected, including specific input from biodiversity managers, and from indigenous and local communities as well as the private sector in a broad sense, is an important foundation of the decision-making process and critical to sustainable development. Decision makers should consider using multi-stakeholder processes as a tool for the decision-making process.

54. The decision-making process should be transparent, accountable, and apply the precautionary approach. Legal mechanisms should be put in place for notification and approval of tourism development proposals and for ensuring implementation of the conditions of approval of development proposals.

55. For proposals for tourism development and activities at particular locations, the proposers will normally be required to provide the information set out in the notification process. This should apply equally to public-sector development and

infrastructure projects, as well as to private-sector development. Impact assessment should be a component of any decision-making process.

56. Measures should be taken to ensure full and timely disclosure of project information concerning tourism development proposals. Consistent with Article 8(j), decision-making should include meaningful consultation with indigenous and local communities affected by projects in order to ensure, *inter alia*, respect for the customs and traditional knowledge, innovations and practices of indigenous and local communities, and adequate funding and technical support for effective participation. Where the national legal regime requires prior informed consent of indigenous and local communities with respect to decisions identified in paragraph 52, such prior informed consent must be obtained.

57. Decisions should include a review of the adequacy of information available, that could cover, *inter alia*, baseline information, impact assessment, and information on the proposed tourism development or activity, its nature and size, the type(s) of tourism involved, and information on human settlements and communities that may be affected.

58. In cases where there is not sufficient contextual/baseline information available at the time, or where the overall vision, goals and objectives for tourism and biodiversity have not been developed sufficiently to make a decision, decisions may be deferred pending sufficient information being obtained, and/or completion of overall plans/goals.

59. In making a decision, conditions may be attached to any approvals that may be granted, including conditions regarding management of tourism in relation to avoidance or minimization of adverse impacts on biodiversity, and for appropriate decommissioning of tourism activities should the development cease. Decision makers may also, as appropriate, request further information from a proposer; defer a decision pending further baseline research by other agencies; or refuse a proposal.

8. IMPLEMENTATION

60. Implementation follows a decision to approve a particular proposal, strategy or plan. Unless otherwise stated, the developer and/or operator will be responsible for complying with the conditions for granting the approval; and, as part of this process, they can also be required to notify the designated government authority of any failures to comply with conditions attached to an approval, including conditions for decommissioning, and/or of any changes in circumstances, including unforeseen environmental conditions and/or biodiversity issues (e.g., detection of rare or endangered species not recorded in the original proposal and impact assessment).

61. Any revisions or changes to an approved project, including additions and/or variations of activities, must be approved by the designated authorities before construction.

62. Implementation plans should recognize that indigenous and local communities and other relevant stakeholders may require assistance as actors in implementation, and should ensure that sufficient resources are available for implementation and for effective participation.

63. Local stakeholders should be given an ongoing opportunity to express their wishes and concerns to those managing tourism facilities and activities. As part of this process, clear and adequate information regarding implementation should be provided for review by the stakeholders, in forms that are accessible and comprehensible to them.

64. Availability of information on policies, programmes, projects, and their implementation, including information on existing and future guidelines, should be ensured and exchange of information fostered, for example, through the clearing-house mechanism of the Convention on Biological Diversity.

9. MONITORING AND REPORTING

65. It is necessary to establish a monitoring and control system for the management of tourism activities and biological diversity. Long-term monitoring and assessment are necessary in relation to the impacts of tourism on biodiversity, and will need to take into account the timescale for ecosystem changes to become evident. Some effects may develop quickly, while others may take place more slowly. Long-term monitoring and assessment provide a means for detecting adverse effects that may arise from tourism activities and development in relation to biodiversity, so that action can be taken to control and mitigate such effects.

66. Monitoring and surveillance in relation to management of tourism and biodiversity includes, *inter alia*, the following main areas:

(a) Implementation of approved tourism developments or activities, and compliance with any conditions attached when approval was granted, and taking appropriate actions in cases of non-compliance;

(b) Impacts of tourism activities on biodiversity and ecosystems, taking appropriate preventative actions as necessary;

(c) Impacts of tourism on the surrounding population, especially indigenous and local communities;

(d) General tourism activities and trends, including tour operations, tourism facilities, and tourist flows in originating and receiving countries, including progress towards sustainable tourism;

(e) Clearly defined objectives, actions and targets for conservation or mitigation of threats to biodiversity, maintenance or restoration of ecosystems and for tourism;

(f) Compliance with, and enforcement as necessary, of conditions attached to any approval. Communities and other interested stakeholders may also monitor and report their findings to the designated government authorities.

67. Developers and operators of tourism facilities and activities should be required to report periodically to designated authorities and to the public on compliance with conditions set out in approvals, and on the condition of biodiversity and the environment in relation to the tourism facilities and activities for which they are responsible.

68. Prior to the commencement of any new tourism development or activities, an inclusive monitoring and reporting system should be put in place, with indicators to track how tourism actions are mitigating threats to biodiversity, along with agreed upon quantifiable standards indicating thresholds of acceptable change. These should be developed in conjunction with all key stakeholders including indigenous and local communities.

69. Indicators to cover aspects of management of biodiversity and sustainable tourism, including socio-economic and cultural aspects, should be identified and monitored at global, national, and local levels, and should include, but not be limited to, the following:

(a) Conservation of biodiversity;

(b) Generation of income and employment from tourism (long-term and short-term);

(c) Proportion of tourism income retained in the local community;

(d) Effectiveness of multi-stakeholder processes for management of biodiversity and sustainable tourism;

(e) Effectiveness of impact management;

(f) Contribution of tourism to the well-being of the local population;

(g) Visitor impacts and visitor satisfaction.

70. Monitoring results depend largely on the appropriate set of data to be collected. Guidelines on how to collect data in a way that can be used to evaluate change over time should be developed. Monitoring could follow a standard process and format, and be based on a framework including parameters on social, economic, environmental and cultural impact.

71. Monitoring and surveillance in relation to biodiversity impacts should include activities undertaken to ensure respect for endangered species under relevant international agreements, prevention of the introduction of alien species as a result of tourism activities, compliance with national rules concerning access to genetic resources, and prevention of illegal and unauthorized removal of genetic resources.

72. In relation to indigenous and local communities, monitoring and evaluation should include development and use of appropriate tools to monitor and evaluate tourism impacts on the economy of indigenous and local communities, particularly their food and health security, traditional knowledge, practices and customary livelihoods. Use of indicators and early warning systems should be developed as appropriate, taking into account traditional knowledge, innovation and practices of indigenous and local communities, and guidelines developed under the Convention on Biological Diversity relating to traditional knowledge. Measures should also be taken to ensure that indigenous and local communities involved in, or affected by tourism, have the opportunity to be involved effectively in monitoring and evaluation.

73. Monitoring of general environmental and biodiversity conditions and trends, as well as tourism trends and impacts, can be undertaken by Governments, including designated biodiversity managers. Management measures may need to

be adjusted, as appropriate, where adverse impacts on biodiversity and ecosystems are detected. The need for and nature of such adjustments will be based on the results of monitoring, and it is important for these to be determined in dialogue with all relevant stakeholders, including the developers and/or operators of tourism facilities and activities, communities affected by those facilities and activities, and other interested stakeholders. The monitoring process needs to be multi-stakeholder and transparent.

10. ADAPTIVE MANAGEMENT

74. The ecosystem approach requires adaptive management to deal with the complex and dynamic nature of ecosystems and the absence of complete knowledge or understanding of their functioning. Ecosystem processes are often non-linear, and the outcome of such processes often shows time-lags. The result is discontinuities, leading to surprise and uncertainty. Management must be adaptive in order to be able to respond to such uncertainties and contain elements of "learning-by-doing" or research feedback. Measures may need to be taken even when some cause-and-effect relationships are not yet fully established scientifically.[210]

75. Ecosystem processes and functions are complex and variable. Their level of uncertainty is increased by the interaction with social constructs, which need to be better understood. Therefore, ecosystem management must involve a learning process, which helps to adapt methodologies and practices to the ways in which these systems are being managed and monitored. Adaptive management should also take the precautionary approach fully into account.

76. Implementation programmes should be designed to adjust to the unexpected, rather than to act on the basis of a belief in certainties.

77. Ecosystem management needs to recognize the diversity of social and cultural factors affecting natural-resource use and sustainability.

78. Similarly, there is a need for flexibility in policy-making and implementation. Long-term, inflexible decisions are likely to be inadequate or even destructive. Ecosystem management should be envisaged as a long-term experiment that builds on its results as it progresses. This "learning-by-doing" will also serve as an important source of information to gain knowledge of how best to monitor the results of management and evaluate whether established goals are being attained. In this respect, it would be desirable to establish or strengthen capacities of Parties for monitoring. In addition, adaptive management learning portfolios should be developed between different sites so that comparison can be made and lessons learned.

79. Implementing adaptive management in relation to tourism and biodiversity will require the active cooperation of all stakeholders in tourism, and especially those in the private sector, with biodiversity managers. Impacts on biodiversity at a particular location may require rapid curtailment of visits by tourists to prevent further damage, and to allow for recovery, and in the longer-term, may necessitate an

210 Monitoring at World Heritage Sites should be designed to also incorporate the World Heritage criteria upon which the site was inscribed. The monitoring system should be designed to contribute to the World Heritage periodic reporting structure, aimed at gathering information on the state of conservation of the site.

overall reduction in tourist flows. It may be possible for tourists to be redirected to less sensitive areas in such cases. In all cases, maintenance of the balance between tourism and biodiversity will require close interaction between tourism managers and biodiversity managers, and appropriate frameworks for management and dialogue are likely to need to be established.

80. Governments, including designated biodiversity managers, in conjunction with all other stakeholders will therefore need to take actions, as appropriate, to address any problems encountered and to keep on track towards agreed goals. This may include changes and additions to conditions set in the original approval, and will require participation of and consultation with the developer and/or operator of the tourism facilities and activities concerned, and with local communities.

81. Adaptive management can also be undertaken by all those who have management control over any specific site, including local governments, indigenous and local communities, the private sector, non-governmental organizations and other organizations.

82. Where necessary, legal frameworks may need to be reviewed and amended to support adaptive management, taking into account experience gained.

C. Notification process and information requirements

83. Proposals for tourism development and activities at particular locations in relation to biodiversity are to be submitted through the notification process. As such, this process provides the link between proposers of tourism activities and development, and the management process steps outlined above. In particular, the notification process makes specific links to the steps in the management process for impact assessment and decision-making and should take into account local, regional and national impacts. Proposers of tourism projects, including government agencies, should provide full and timely advance notice to all stakeholders who may be affected, including indigenous and local communities, of proposed developments.

84. Information to be provided as part of the notification could include:

(a) Scale and types of tourism development or activities proposed, including a summary of the proposed project, why and by whom it is proposed, estimated outcomes and possible impacts, and a description of the stages of development and the various structures and stakeholders that may be involved at each stage;

(b) Analysis of market for proposed tourism development or activities, based on market conditions and trends;

(c) Geographical description including recreation opportunity zones, outlining tourist activities and infrastructure development, and location of the site of tourism development or activities, the identity and any special features of the surrounding environments and biodiversity;

(d) Nature and extent of human-resource requirements and plans for their procurement;

(e) Identification of various stakeholders involved in or potentially affected by the proposed project—including stakeholders in governmental, non-governmental,

and private sectors, and indigenous and local communities—along with details concerning their participation in and/or consultation on the proposed project during its design, planning, construction and operation;

(f) The perceived roles of local stakeholders in the proposed development;

(g) The various laws and regulations that may be applicable to the specific site, including overviews of existing laws at local, subnational and national levels, of existing uses and customs, of relevant regional and international conventions or agreements and their status, and cross-boundary agreements or memoranda or understanding and any proposed legislation;

(h) The proximity of the site to human settlements and communities, sites used by people from those settlements and communities as part of their livelihoods and traditional activities, and heritage, cultural or sacred sites;

(i) Any flora, fauna and ecosystems that could be affected by the tourism development or activities, including keystone, rare, endangered or endemic species;

(j) Ecological aspects of the site and its surroundings, including indication of any protected areas; specifications on the ecosystems, habitats, and species; quantitative and qualitative information on the loss of habitats and species (main reasons, trends), and indexing of species;

(k) Training and supervision of personnel carrying out the tourism development or activities;

(l) Likelihood of impacts beyond the immediate area of the tourism development or activities, including transboundary impacts and effects on migratory species;

(m) A description of current environmental and socio-economic conditions;

(n) Expected changes to environmental and socio-economic conditions as a result of the tourism development or activities;

(o) Proposed management measures to avoid or minimize adverse impacts from the tourism development or activities, including verification of their functioning;

(p) Proposed measures for mitigation, decommissioning and compensation in the event of problems arising with the tourism development or activities;

(q) Proposed measures to maximize the local benefits of the tourism development or activities on surrounding human settlements and communities, biodiversity and ecosystems, which may include, but are not limited to:

  (i) Using local products and skills;
  (ii) Employment;
  (iii) Restoration of biodiversity and ecosystems.

(r) Relevant information from any previous tourism development or activities in the region, and information on possible cumulative effects;

(s) Relevant information from any previous tourism development or activities by the proposer.

85. Categories of responses that Governments may wish to consider making in response to notification of proposals for, and requests for permission to undertake, tourism development, include, *inter alia*:

(a) Approval without conditions;

(b) Approval with conditions;

(c) Request for further information;

(d) Deferral pending further baseline research by other agencies;

(e) Refusal of the proposal.

D. EDUCATION, CAPACITY-BUILDING AND AWARENESS-RAISING

86. Education and awareness-raising campaigns need to be addressed to both the professional sectors and the general public and should inform them about the impacts of tourism on biological diversity, and good practices in this area. The private sector, and, especially, tour operators, could provide information more widely to their clients—the tourists—about tourism and biodiversity issues, and encourage them to conserve, and avoid adverse impact on, biodiversity and cultural heritage to respect national legislation of the visited country, as well as traditions of indigenous and local communities of that country, and to support actions in conformity with the present Guidelines.

87. Awareness campaigns explaining the link between cultural diversity and biological diversity will need to be tailored for various audiences, particularly stakeholders including consumers of tourism, developers and tourism operators.

88. Education and awareness-raising is required at all levels of government. This should include processes for increasing mutual understanding between relevant ministries, including joint and innovative approaches for dealing with tourism and environmental issues.

89. Awareness should also be increased within and outside Government that vulnerable ecosystems and habitats are often located within lands and waters occupied or used by indigenous and local communities.

90. The tourism sector as a whole, along with tourists should be encouraged to minimize any negative impacts and maximize positive impacts on biodiversity and local cultures associated with their consumption choices and behaviour, for example through voluntary initiatives.

91. It is also important to raise awareness within the academic sector responsible for training and research on issues regarding the interaction between biological diversity and sustainable tourism, of the role that they can play concerning public education, capacity-building and awareness-raising on these issues.

92. Capacity-building activities should aim to develop and strengthen the capacities of Governments and all stakeholders to facilitate the effective implementation of the present Guidelines, and may be necessary at local, national, regional and international levels.

93. Capacity-building activities can be identified through the adaptive management process and can include strengthening human resources and institutional capacities, the transfer of know-how, the development of appropriate facilities, and training in relation to biological diversity and sustainable tourism issues, and in impact assessment and impact management techniques.

94. Such activities should include ensuring that local communities are equipped with the necessary decision-making abilities, skills and knowledge in advance of future tourist in-flows, as well as with relevant capacity and training regarding tourism services and environmental protection.

95. Capacity-building activities should include, but not be limited to:

Capacity-building and training to assist all stakeholders, including Governments, and indigenous and local communities, in accessing, analysing and interpreting baseline information, undertaking impact assessments and evaluations, impact management, decision-making, monitoring and adaptive management;

(a) Development or strengthening of mechanisms for impact assessment with the participation of all stakeholders, including for the approval of the approach, content and scope of impact assessment;

(b) Establishment of multi-stakeholder processes involving government departments, tourism sector, non-governmental organizations, indigenous and local communities and other stakeholders;

(c) Training of tourism professionals in conservation and biodiversity issues.

96. Information exchange and collaboration regarding sustainable tourism implementation through networking and partnerships between all stakeholders affected by, or involved in tourism, including the private sector, should be encouraged.

DECISION VII/15 | Biodiversity and Climate Change

The Conference of the Parties

1. *Welcomes* the report of the Ad Hoc Technical Expert Group on Biological Diversity and Climate Change (UNEP/CBD/SBSTTA/9/11 and UNEP/CBD/SBSTTA/9/INF/12) as scientific advice provided in response to paragraphs 11 and 18 of decision V/4, as a basis for future work;

2. *Invites* Parties, other Governments, international organizations and other bodies to make use of the report on climate change and biodiversity prepared by the Ad Hoc Technical Expert Group on Biological Diversity and Climate Change in order to promote synergies at the national level between the United Nations Framework Convention on Climate Change and its Kyoto Protocol and the Convention on Biological Diversity, when implementing climate-change activities and their relation to the conservation and sustainable use of biodiversity;

3. *Invites* the national focal points for the Convention on Biological Diversity to bring the report to the attention of their counterpart focal points for the United

Nations Framework Convention on Climate Change, and for other relevant agreements, in order to promote synergy at national level;

4. *Notes with appreciation* that the Subsidiary Body on Scientific and Technical Advice of the United Nations Framework Convention on Climate Change (UNFCCC) has welcomed the report of the Ad Hoc Technical Expert Group and has encouraged Parties to the UNFCCC to make use of it for their national purposes as a relevant source of useful information for their national purposes;

5. *Notes* that the Conference of the Parties to the Ramsar Convention on Wetlands at its eighth meeting adopted resolution VIII/3 on climate change and wetlands, which, *inter alia*, called on relevant countries to take action to minimize the degradation as well as promote the restoration of those peatlands and other wetland types that are significant carbon stores or have the ability to sequester carbon and *supports* the request by the Parties to the Ramsar Convention on Wetlands to the Intergovernmental Panel on Climate Change to prepare a technical paper on the relationship between wetlands and climate change;

6. *Welcomes* the proposed assessment on peatlands biodiversity and climate change being undertaken by Wetlands International and the Global Environment Center with the support of UNEP-GEF, the Government of Canada, the Netherlands and others and *encourages* the involvement of parties in this assessment and in preparations for the consideration of its findings by the SBSTTA prior to the ninth meeting of the Conference of the Parties;

7. *Notes also* that there are opportunities to implement climate change mitigation and adaptation activities in ways that are mutually beneficial and synergistic, and that contribute simultaneously to the United Nations Framework Convention on Climate Change and its Kyoto Protocol, the Convention on Biological Diversity, the United Nations Convention to Combat Desertification, Vienna Convention for the Protection of the Ozone Layer and its Montreal Protocol on Substances that Deplete the Ozone Layer, the Ramsar Convention on Wetlands, and other international agreements, all within broader national development objectives;

8. *Further notes* that the ecosystem approach provides a framework for the integrated management of land, water and living resources. Its application could facilitate the formulation of climate change mitigation and adaptation projects that also contribute to biodiversity conservation and sustainable use at the national level;

9. *Invites* Parties, other Governments, international organizations and other bodies to facilitate building capacity related to accessing information and tools, and for enhancing coordination at national level to ensure that climate change mitigation and adaptation projects deliver environmental and social benefits and are consistent with national priorities;

10. Calls for where national circumstances allow case-studies on interlinkages between biodiversity and climate change following a common format developed by the joint liaison group;

11. *Invites* Parties, Governments, funding agencies, research bodies and other organizations to address the gaps identified in the Report in order to help to optimize biodiversity conservation and sustainable use within climate change adaptation pro-

jects, as well as mitigation projects addressing the adverse effects of human activities over the long term at the national, regional, and global levels;

12. *Encourages* Parties to take measures to manage ecosystems so as to maintain their resilience extreme climate events and to help mitigate and adapt to climate change;

13. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice, with the support of the Executive Secretary, to ensure that the results of the report on climate change and biodiversity prepared by the Ad Hoc Technical Expert Group are incorporated into the ongoing work of the Convention on Biological Diversity, whenever appropriate, when the respective programmes of work are due for review according to the Multi Year Programme of Work of the Conference of the Parties (decision VII/31) and in particular, in the programmes of work on forest biodiversity, marine and coastal biodiversity, mountain biodiversity, inland water biodiversity, biodiversity of dry and sub-humid lands, agricultural biodiversity, indicators, impact assessment, and incentive measures, without implying obligations on Parties additional to those under the Convention on Biological Diversity;

14. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice, as the next stage of its work on the interlinkages between biodiversity and climate change to develop, for the consideration of the Conference of the Parties, advice or guidance for promoting synergy among activities to address climate change at the national, regional and international level where appropriate, including activities to combat desertification and land degradation, and activities for the conservation and sustainable use of biodiversity;

15. *Invites* the conferences of the parties to the United Nations Framework Convention on Climate Change and the United Nations Convention to Combat Desertification to collaborate with the Convention on Biological Diversity, through the joint liaison group as appropriate, in the development of advice or guidance to Parties in implementing activities that are mutually supportive of the objectives of the three conventions at the local, sub-national, and national levels; and to involve biodiversity experts in relevant activities of the United Nations Framework Convention on Climate Change, including methodological issues;

16. *Invites* the Intergovernmental Panel on Climate Change, *inter alia* through its Fourth Assessment Report, to continue its work on the relationship between climate change and biodiversity including the detection and attribution to climate change of observed biodiversity losses, taking into account the target adopted by decision VI/26 of the Conference of the Parties to achieve by 2010 a significant reduction of the current rate of biodiversity loss at the global, regional and national levels;

17. *Further invites* the Intergovernmental Panel on Climate Change and the Millennium Ecosystem Assessment to collaborate with the Subsidiary Body on Scientific, Technical and Technological Advice on the use of scenarios addressing biodiversity changes in relation to climate change;

18. *Invites* sources of funding to provide financial support to developing country Parties, in particular the least developed and small island developing States among them, and countries with economies in transition, where appropriate, for:

(a) Country-driven activities, including pilot projects, aimed at projects related to ecosystem conservation, restoration of degraded lands and marine environments and overall ecosystem integrity that take into account impacts of climate change;

(b) Assistance in capacity-building with the aim of increasing the effectiveness in addressing environmental issues through their commitments under the Convention on Biological Diversity, the United Nations Framework Convention on Climate Change, and the United Nations Convention to Combat Desertification, *inter alia* by applying the ecosystem approach;

(c) Assistance in developing synergy-oriented programmes to conserve and sustainably manage all ecosystems, such as forests, wetlands and marine environments that also contribute to poverty eradication;

19. *Notes* that the report of the Ad Hoc Technical Expert Group has been transmitted to the Secretariat of the United Nations Framework Convention on Climate Change and through the Secretariat to its bodies, and *requests* the Executive Secretary to transmit the report of the Ad Hoc Technical Expert Group also to the secretariats of the Convention to Combat Desertification, the Ramsar Convention, the Vienna Convention for the Protection of the Ozone Layer and its Montreal Protocol, the Intergovernmental Panel on Climate Change, the Millennium Ecosystem Assessment, the Convention on Migratory Species, the United Nations Development Programme, the Global Environment Facility, and the United Nations Forum on Forests, the World Heritage Convention and the Man and the Biosphere programme of UNESCO, as well as relevant organizations and bodies including, *inter alia*, other members of the Collaborative Partnership on Forests, IUCN, and the World Wide Fund for Nature;

20. Further *requests* the Executive Secretary, in preparation for the next stage of the work on climate change and biodiversity by the Subsidiary Body on Scientific, Technical and Technological Advice, gather in collaboration with, the Intergovernmental Panel on Climate Change, and other relevant organizations, within their given mandates, relevant material for promoting synergy between climate-change mitigation and adaptation activities and the conservation and sustainable use of biodiversity, drawing upon:

(a) Case-studies, contributed by Parties and others, illustrating the potential of biodiversity both to mitigate and adapt to global climate change, and lessons from these experiences, including lessons learned from extreme climate events;

(b) Existing relevant tools, approaches and processes for designing projects, and evaluating their economic, environmental and social implications, related to mitigating or adapting to climate change within the broader context of sustainable development both at the national and regional level.

DECISION VII/16 | Article 8(j) and related provisions

A. Ad Hoc Open-ended Inter-Sessional Working Group on Article 8(j) and Related Provisions

The Conference of the Parties

Decides that one meeting of the Ad Hoc Open-ended Inter-Sessional Working Group on Article 8(j) and Related Provisions, financed from the core (BY) budget, be organized prior to the eighth meeting of the Conference of the Parties in order to ensure further advancement of the implementation of the work programme on Article 8(j) and related provisions.

B. Progress report on the integration of the relevant tasks of the programme of work on Article 8(j) into the thematic areas of the Convention

The Conference of the Parties

1. *Notes* the progress made in the integration of the relevant tasks of the programme of work in the thematic programmes of the Convention;

2. *Requests* the Executive Secretary to prepare a progress report on the integration of the relevant tasks of the programme of work on Article 8(j) into each of the thematic areas for the consideration of the Ad Hoc Working Group on Article 8(j) and Related Provisions at its fourth meeting.

C. Review of progress in the implementation of the priority tasks of the programme of work on Article 8(j) and related provisions

The Conference of the Parties

1. *Notes* the progress made in the implementation of the priority tasks of the programme of work on Article 8(j) and related provisions;

2. *Urges* Parties, where they have not already done so, to include information in their national reports on the status and trends in relation to knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity and on progress made in the implementation of the priority tasks of the programme of work at the international, national, subnational and local levels;

3. *Requests* the Executive Secretary to prepare a report on progress on the implementation of the programme of work on Article 8(j) and related provisions based on information submitted in national reports, and other relevant information, for the next meeting of the Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions.

D. Genetic use restriction technologies

The Conference of the Parties,

Recalling decisions V/5, paragraph 23, and VI/5, paragraph 21, of the Conference of the Parties;

Noting the report of the Ad Hoc Technical Expert Group on Genetic Use Restriction Technologies (UNEP/CBD/WG8J/3/INF/2),

Noting also the potential socio-economic impacts of genetic use restriction technologies on small holder farmers and indigenous and local communities,

Noting further recommendation IX/2 of the Subsidiary Body on Scientific, Technical and Technological Advice adopted at its ninth meeting,

Aware of the need, expressed by a number of Parties and representatives of indigenous and local communities, to address this issue as a matter of urgency and priority,

1. *Invites* Parties and Governments, in collaboration with relevant organizations, to urgently create and develop, in accordance with identified needs and priorities, capacity-building programmes including the promotion of information and awareness campaigns, to involve and enable smallholder farmers, indigenous and local communities, and other relevant stakeholders to effectively participate in decision-making processes related to genetic use restriction technologies;

2. *Urges* the Ad Hoc Open-ended Inter-Sessional Working Group on Article 8(j) and Related Provisions of the Convention, to consider the potential socio-economic impacts of genetic use restriction technologies on indigenous and local communities, at its next meeting, on the basis of the report of the Ad Hoc Technical Expert Group on Genetic Use Restriction Technologies, the outcome of the deliberations of the tenth meeting of the Subsidiary Body on Scientific Technical and Technological Advice on this issue, and the study undertaken by the Food and Agriculture Organization of the United Nations, pursuant to decision V/5, on potential impacts of genetic use restriction technologies on agricultural biodiversity and agricultural production systems;

3. *Invites* Parties and indigenous and local communities to review the recommendations of the Ad Hoc Technical Expert Group on Genetic Use Restriction Technologies, as they relate to Article 8(j) and related provisions of the Convention, and provide comments thereon to the Executive Secretary, for consideration at the fourth meeting of the Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions of the Convention. The Parties as well as the indigenous communities may consult with other stakeholders for this purpose;

4. *Requests* the Executive Secretary to compile information provided by Parties and indigenous and local communities pursuant to paragraph 3 above and submit the compilation to the Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions of the Convention at its fourth meeting.

E. Composite report on the status and trends regarding the knowledge, innovations and practices of indigenous and local communities relevant to the conservation and sustainable use of biodiversity

The Conference of the Parties,

Mindful that any information-gathering exercise pertaining to knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity should be conducted with the prior informed consent of the holders of such knowledge, innovations and practices,

Taking note of the report of the Ad Hoc Technical Expert Group on Biodiversity and Climate Change, which stresses the special impact of climate change on Arctic biodiversity and indigenous and local communities depending on such biodiversity,

Recalling that, by decision VI/10, the Conference of the Parties decided to adopt the outline of the composite report on the status and trends regarding the knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity, and to request the Executive Secretary to undertake the first phase of the composite report based on elements 1 and 2 of the outline,

Having considered the report on the first phase of the composite report on the status and trends of knowledge, innovations and practices, of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity,

Recalling that phase I of the composite report is intended to provide an accurate and comprehensive assessment of the state of retention of traditional knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity and identify and assess measures and initiatives to protect and promote the use of traditional knowledge, innovations and practices,

Recognizing the conceptual and methodological challenges and financial and time constraints faced in preparing the composite report as foreseen in decision VI/10,

Acknowledging that further activities are necessary in phase one of the preparation of the composite report in order to address gaps and deficiencies,

Also acknowledging the desirability of ongoing information-gathering and sharing of knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity, particularly for the purpose of judging the collective success at reversing the decline of such knowledge, innovations and practices,

Emphasizing that any further activity needed under the first phase of the composite report should not prevent immediate initiation of activities under a second phase of the composite report, based upon sections 3 to 7 of the outline of the composite report (decision VI/10, annex I),

PHASE ONE

1. *Takes note* with appreciation of the information prepared for the third meeting of the Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions of the Convention on Biological Diversity (UNEP/CBD/WG8J/3/INF/1);

2. *Decides* to undertake further activities to complete phase one of the composite report by the next meeting of the Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions,

3. *Urges* Parties, Governments, relevant organizations, indigenous and local communities and all relevant stakeholders to provide information, through the clearing-house mechanism of the Convention and other feasible means/media, to the Executive Secretary to support the completion of phase one of the composite report,

4. *Requests* the Executive Secretary to continue work on phase one of the composite report in order to produce a revised version of it, in consultation with and with input from Parties, Governments, relevant organizations, all relevant stakeholders as appropriate, and from indigenous and local communities through the national focal points in consultation with and after approval of indigenous and local communities, taking into account the following elements, *inter alia*:

(a) Organization of regional workshops;

(c) Gathering at national level and inclusion in phase I of the report of additional information in particular on:

  (i) Assessment, particularly by indigenous and local communities, of the success of measures and initiatives to support the retention and use of knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity, including the advantages and limitations of registers as a measure to protect traditional knowledge, innovations and practices, as well as approaches used for the implementation of registers, and of incentives and disincentives for the retention and use of traditional knowledge, innovations and practices relevant to the conservation and sustainable use of biological diversity;
  (ii) Examples of measures to protect traditional knowledge, innovations and practices;
  (iii) Recent field studies undertaken with the full involvement of indigenous and local communities which demonstrate the state of knowledge, innovations and practices;

(c) Preparation of a regional report focusing on the Arctic region;

(d) Action on decision VI/10, annex I, paragraph 28(b), to create an advisory group/steering committee in which indigenous and local communities will be represented to assist in the completion of the report and undertake a peer review of the revised version, in consultation with indigenous peoples and local community organizations that have participated in the work on the Convention.

PHASE TWO

5. *Requests* the Executive Secretary, through the national focal points in consultation with and after approval of indigenous and local communities and in consultation with and with input from Parties, Governments, relevant organizations, indigenous and local communities and all relevant stakeholders as appropriate, to immediately start work on a second phase of the composite report, laying emphasis on sections 4 and 5 of the outline of the composite report, foreseeing respectively the identification of national processes that may threaten the maintenance, preservation and application of traditional knowledge, innovations and practices and the identification of processes at the local community level that may threaten the maintenance, preservation and application of traditional knowledge, innovations and practices (decision VI/10, annex I);

6. *Encourages* Parties, Governments and competent organizations to support the efforts of indigenous and local communities to undertake field studies to determine the status, trends and threats related to the knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity, with the full involvement and approval of these communities. In undertaking these studies, the general principles of the programme of work on Article 8(j) and related provisions should be respected and followed, as should paragraph 28(d) of annex I to decision VI/10, which states that codes of ethics/guidelines which entail permission and/or consent of indigenous and local communities to enter the communities and conduct the research, will be respected and followed;

Financial support

7. *Urges* Parties, Governments and relevant organizations to provide financial assistance for the completion of phase one and activities under phase two of the preparation of the composite report, in particular in order to support the full involvement and participation of indigenous and local communities in this work;

Development of a plan of action

8. *Requests* the Executive Secretary, through the national focal points in consultation with and after approval of indigenous and local communities, to further develop the draft elements for an action plan contained in the annex to the present recommendation, in particular with a view to identifying actors and timeframes, taking fully into account ongoing work under the Convention and relevant international organizations. The action plan would aim to:

(a) Facilitate synergy between existing initiatives aimed at halting the loss of and encouraging the retention and use of knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity;

(b) Provide further practical guidance, respectful of indigenous and local communities' perspectives, for the implementation of the programme of work on the implementation of Article 8(j) and related provisions as it relates to the retention of knowledge, innovations and practices of indigenous and local com-

munities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity.

9. *Invites* Parties, Governments and relevant organizations to take the elements identified in the annex into consideration when deciding upon activities to protect traditional knowledge, innovations and practices.

ANNEX
ELEMENTS OF A PLAN OF ACTION FOR THE RETENTION OF TRADITIONAL KNOWLEDGE, INNOVATIONS AND PRACTICES OF INDIGENOUS AND LOCAL COMMUNITIES EMBODYING TRADITIONAL LIFESTYLES RELEVANT FOR THE CONSERVATION AND SUSTAINABLE USE OF BIOLOGICAL DIVERSITY

A. Improved monitoring and reporting process

1. National reports on Article 8(j) should be compiled by Parties in consultation with indigenous and local communities, based on a questionnaire to be produced by the Secretariat.

2. Reporting periods should be agreed upon and reviews of the status and trends of traditional knowledge, innovations and practices should be pursued on a regular basis.

3. Mobilization of resources to undertake regular review should be promoted.

4. Mechanisms should be established to encourage representatives of indigenous groups and local communities to present information under the Convention on Biological Diversity, including capacity building and incentive measures.

5. Mechanisms should be developed to ensure input from overseas territories and autonomous or semi-autonomous regions.[211]

6. The thematic focal point on Article 8(j) under the clearing-house mechanism should be utilized to catalogue and share best.

7. A survey of current activities of international organizations relevant to Article 8(j) should be undertaken with view to developing synergy.

B. Indicators

8. Indicators on the state of retention of traditional knowledge, innovations and practices should be established with the active involvement of indigenous and local communities, in consultation with relevant organizations, in connection with the ongoing work on indicators under the Convention.

9. Indicators to assess the success or failure of measures to promote or preserve traditional knowledge, innovations and practices should be established, with the active involvement of indigenous and local communities, in connection with the ongoing work on indicators under the Convention.

211 The provisions contained in this decision relating to territories under sovereignty disputes recognized by the United Nations shall only be implemented with the consent of all parties involved in the dispute.

10. Information on legislative measures to protect traditional knowledge, innovations and practices as drawn from regional and national reports, should be kept up to date.

C. Research ethics

11. Examples of codes of ethics and conduct governing research as used by such bodies as research institutions, business and indigenous and local communities, should be gathered with a view to assisting in future possible development of codes of ethics or conduct, and to guide further research on the retention and use of traditional knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity.

12. Parties, Governments, international organizations, research institutions and business should respect and promote existing codes of ethics or conduct governing research, and Parties, Governments and relevant organizations should facilitate the development of additional codes by indigenous and local communities where none exist.

D. Research on and implementation of mechanisms and measures to address the underlying causes of the decline of traditional knowledge, innovations and practices

13. Research should be undertaken on existing and new threats to the retention and use of traditional knowledge, innovations and practices.

14. Mechanisms to promote cooperation in order to address the cause of decline should be identified in cooperation with the Permanent Forum on Indigenous Issues of the United Nations and other relevant initiatives and organizations.

15. Parties should be encouraged, in accordance with national domestic law and international obligations, to recognize land tenure of indigenous and local communities, as recognized rights and access to land are fundamental to the retention of traditional knowledge, innovations and practices.

16. Subject to national legislation and international obligations, Parties should be encouraged to pursue the fair and equitable resolution of land claims as an essential element of efforts to facilitate the retention and use of traditional knowledge, innovations and practices.

17. Indigenous and local communities should, where relevant, be actively involved in the management of protected areas.

18. The rights of indigenous and local communities should given due respect when establishing new protected areas.

19. Parties should establish measures to ensure respect for the rights of unprotected or voluntarily isolated communities.

20. Restrictions on use of and access to sacred sites or otherwise culturally significant sites should be incorporated into appropriate local or national legislation, in consultation with and with full involvement of indigenous and local communities.

21. Legislation intended to protect, promote the use of traditional knowledge, innovations and practices should be consistent with the needs and views of indigenous and local communities, comprehensive and enforceable.

22. Parties should be encouraged to work with indigenous and local communities to develop measures and mechanisms to mitigate the consequences of actions arising from perverse incentives leading to the decline of knowledge, innovations and practices embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity.

23. Parties should share their experiences with incentive measures as well as other mechanisms and measures to support the retention and use of knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant to the conservation and sustainable use of biological diversity.

24. Mobilization of financial and technical resources should be promoted to support the design and implementation of mechanisms and measures to support retention of knowledge, innovations and practices embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity.

E. Capacity-building, education and training

25. Parties, Governments and relevant organizations should be encouraged to facilitate strengthening existing indigenous organizational structures and organizations representing local communities.

26. Specific capacity-building activities should be targeted at indigenous women and women in rural or otherwise marginal communities, and at traditional knowledge, innovations and practices.

27. Where appropriate, traditional knowledge, innovations and practices should be integrated into formal, local, subnational or national systems of education, which are directed towards local or indigenous communities.

28. Education and training should be offered to indigenous and local communities with special attention to the future role of young people so as to enable sustainable development, while being compatible with their traditions.

29. Parties, Governments and relevant stakeholders should be encouraged to learn about knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity and to incorporate it in decision-making processes.

F. Akwé: Kon[212] Voluntary Guidelines for the Conduct of Cultural, Environmental and Social Impact Assessment regarding Developments Proposed to Take Place on, or which are Likely to Impact on, Sacred Sites and on Lands and Waters Traditionally Occupied or Used by Indigenous and Local Communities

The Conference of the Parties,

Recalling that, in decision VI/10, the Conference of the Parties requested the Ad Hoc Open-Ended Inter-sessional Working Group on Article 8(j) and Related Provisions to carry out further work on guidelines for the conduct of cultural, environmental and social impact assessment regarding developments proposed to take place on, or which are likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities, and that such work should complement and be in conjunction with the guidelines for incorporating biodiversity-related issues into environmental assessment legislation and/or processes and in strategic environmental assessment endorsed by the Conference of the Parties in decision VI/7 A,

Recognizing that the long-term negative impacts of many developments proposed to take place on, or which are likely to impact on, sacred sites and lands and waters traditionally occupied or used by indigenous and local communities, and in particular the loss of these communities' traditional knowledge, innovations and practices,[213] continue to be a source of great concern,

Further recognizing that adequate impact assessment procedures and methodologies play a key role in providing information on the cultural, environmental and social impacts of proposed developments,

Recognizing also that developments should not include incentives and mitigation measures that adversely affect biodiversity and the livelihoods of other communities, and that they should be implemented in a manner that is consistent with international law and with other international obligations,

Recognizing also the importance of giving appropriate recognition to species considered to be sacred,

Bearing in mind that cultural, social and environmental impact assessment processes should enable assessment of the alternative of not proceeding with the proposed development, and that the wishes of indigenous and local communities to live in isolation should be respected,

Emphasizing that the conduct of impact assessments within an integrated process will increase the effectiveness of the involvement of indigenous and local communities,

212 Pronounced {agway-goo}. A holistic Mohawk term meaning "everything in creation" provided by the Kahnawake community located near Montreal, where the guidelines were negotiated.

213 Throughout the recommendation the expression "traditional knowledge, innovations and practices" shall be understood to mean the knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity, as contained in Article 8(j) of the Convention on Biological Diversity.

Emphasizing also that the effective participation, involvement and approval of indigenous and local communities will require close cooperation among these communities, as well as between all relevant actors, and the design of appropriate mechanisms,

1. *Endorses* the Akwé: Kon Voluntary Guidelines for the Conduct of Cultural, Environmental and Social Impact Assessments regarding Developments Proposed to Take Place on, or which are likely to Impact on, Sacred Sites and on Lands and Waters Traditionally Occupied or Used by Indigenous and Local Communities, as contained in the annex to the present decision;

2. *Encourages* Parties and Governments to initiate a legal and institutional review of matters related to cultural, environmental and social impact assessment, with a view to exploring options for incorporation of these guidelines into national legislation, policies, and procedures, bearing in mind that nothing in these guidelines should adversely affect biodiversity and the livelihoods of other communities, and that they should be implemented in a manner that is consistent with international law and with other international obligations;

3. *Requests* Parties and Governments to use these guidelines, as appropriate, in conjunction with the guidelines for incorporating biodiversity-related issues into environmental impact assessment legislation and/or process and in strategic environmental assessment endorsed by the Conference of the Parties at its sixth meeting bearing in mind that nothing in these guidelines should adversely affect biodiversity and the livelihoods of other communities, and that they should be implemented in a manner that is consistent with international law and with other international obligations;

4. *Requests* the Executive Secretary to publish these guidelines as a booklet in the official languages of the United Nations, and *further invites* Parties and Governments, in collaboration with indigenous and local communities, to also make the guidelines available in local languages in relevant circumstances;

5. *Also requests* Parties and Governments to conduct public education and awareness campaigns and develop strategies to ensure that relevant government departments and agencies, indigenous and local communities and their organizations, private sector developers, civil society organizations and potential stakeholders in developments, and the public at large, are made aware of the existence of these guidelines and the need for their application when developments are proposed to take place on sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities;

6. *Invites* intergovernmental organizations, Parties to intergovernmental agreements and civil society organizations active in development and biodiversity conservation, to take into consideration the guidelines for cultural, environmental and social impact assessment regarding developments proposed to take place on sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities;

7. *Requests* the Executive Secretary to continue to liaise with relevant international organizations, multilateral environmental agreements and processes on

impact assessment with a view to developing or enhancing synergies between, and ensuring coherence of, assessment methodologies and guidelines;

8. *Invites* international funding and development agencies that provide funding and other forms of assistance to Governments to undertake developments, within the framework of bilateral and multilateral cooperation efforts, or to assist in the formulation of development policies, as well as policies, plans and guidelines for strategic environmental assessment, to take into consideration the need to incorporate and implement the guidelines within such developments and policies, and plans, guidelines and policies for strategic environmental assessment, and to provide funds, as appropriate, for the prevention and mitigation of negative impacts and risk factors of proposed projects and policies, such as, for example, the implementation of waste-management policies;

9. *Encourages* Parties and Governments, regarding developments proposed to take place on, or which are likely to impact on, sacred sites and land and waters traditionally occupied or used by indigenous and local communities, to:

(a) Promote the participation of indigenous and local communities in any bodies established by Governments at national, subnational and local levels, and in consultation with indigenous and local communities, in the assessment of proposed developments in which such communities have an interest;

(b) Take appropriate steps to ensure full transparency of the assessment process, including, but not limited to, the allocation of a sufficient amount of time to conduct a complete assessment of proposed developments prior to their implementation;

(c) Facilitate the exchange of information among relevant national agencies, developers, indigenous and local communities and all stakeholders on matters of relevance to the conduct of impact assessments of proposed developments;

(d) Provide, the necessary capacity and funding to ensure these measures can be put into effect, taking into account the views of indigenous and local communities as to their needs;

10. *Calls upon* Parties and Governments to support, financially and otherwise, indigenous and local communities, where they have not already done so, in formulating their own community development and biodiversity conservation plans that will enable such communities to adopt a culturally appropriate strategic, integrated and phased approach to their development needs in line with community goals and objectives. These plans should include a strategic environmental assessment policy or plan to provide a systematic process with the participation of indigenous and/or local communities for integrating cultural, environmental, and social considerations in planning and decision-making;

11. *Also calls upon* the international community to provide the necessary means to Parties to assist in the formulation and development of strategic plans for the building or enhancement of the capacity of indigenous and local communities to conduct of cultural, environmental and social impact assessments, giving full recognition to community development and biodiversity conservation plans;

12. *Invites* indigenous and local communities to take note of the guidelines and to request their application in the case of developments proposed to take place on, or which are likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities;

13. *Calls upon* Parties for full transparency when developments are proposed to take place on, or which are likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities;

14. *Requests* Parties to include in their national reports information on practices, systems, mechanisms and experiences in the area of strategic environment assessment and cultural, environmental and social impact assessment and any measures adopted to formalize these guidelines in any policies, plans or programmes.

ANNEX
AKWÉ: KON VOLUNTARY GUIDELINES FOR THE CONDUCT OF CULTURAL, ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENTS REGARDING DEVELOPMENTS PROPOSED TO TAKE PLACE ON, OR WHICH ARE LIKELY TO IMPACT ON, SACRED SITES AND ON LANDS AND WATERS TRADITIONALLY OCCUPIED OR USED BY INDIGENOUS AND LOCAL COMMUNITIES

I. Purpose and Approach

1. The present Guidelines are voluntary and intended to serve as guidance for Parties and Governments, subject to their national legislation, in the development and implementation of their impact-assessment regimes. The guidelines should be taken into consideration whenever developments are proposed to take place on, or which are likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities.

2. The objective of these Guidelines is to provide general advice on the incorporation of cultural, environmental, including biodiversity-related, and social considerations of indigenous and local communities into new or existing impact-assessment procedures, noting that some existing procedures may take these concerns into consideration in different ways. The Guidelines should be applied in conjunction with the guidelines for incorporating biodiversity-related issues into environmental impact assessment legislation and/or process and in strategic environmental assessment endorsed by the Conference of the Parties in paragraph 1 of decision VI/7 A, and contained in the annex to that decision.

3. More specifically, the purpose of these Guidelines is to provide a collaborative framework within which Governments, indigenous and local communities, decision makers and managers of developments can:

(a) Support the full and effective participation and involvement of indigenous and local communities in screening, scoping and development planning exercises;

(b) Properly take into account the cultural, environmental and social concerns and interests of indigenous and local communities, especially of women who often bear a disproportionately large share of negative development impacts;

(c) Take into account the traditional knowledge, innovations and practices of indigenous and local communities as part of environmental, social and cultural impact-assessment processes, with due regard to the ownership of and the need for the protection and safeguarding of traditional knowledge, innovations and practices;

(d) Promote the use of appropriate technologies;

(e) Identify and implement appropriate measures to prevent or mitigate any negative impacts of proposed developments;

(f) Take into consideration the interrelationships among cultural, environmental and social elements.

4. The Guidelines recognize that developments vary enormously in nature, scale and complexity with respect to such aspects as their scope, size and duration; strategic and economic importance; and the nature of impacts. The Guidelines therefore should be adapted to suit the appropriate circumstances of each development. Individual countries may redefine the steps in the cultural, environmental and social impact assessment procedure to their needs and requirements, taking into account the needs and concerns of indigenous and local communities and their national legislative, administrative and policy framework, bearing in mind that nothing in these Guidelines should adversely affect biodiversity and the livelihoods of other communities, and that they should be implemented in a manner that is consistent with international law and with other international obligations.

5. Cultural, environmental and social impact assessment procedures should refer to other relevant domestic legislation, regulations, guidelines and international and multilateral environmental agreements and protocols that have been ratified by the Party and have come into force, bearing in mind that nothing in these Guidelines should adversely affect biodiversity and the livelihoods of other communities, and that they should be implemented in a manner that is consistent with international law and with other international obligations.

II. Use of Terms

6. For the purpose of the Guidelines:

(a) *Cultural impact assessment*—is a process of evaluating the likely impacts of a proposed development on the way of life of a particular group or community of people, with full involvement of this group or community of people and possibly undertaken by this group or community of people: a cultural impact assessment will generally address the impacts, both beneficial and adverse, of a proposed development that may affect, for example, the values, belief systems, customary laws, language(s), customs, economy, relationships with the local environment and particular species, social organization and traditions of the affected community;

(b) *Cultural heritage impact assessment*—is a process of evaluating the likely impacts, both beneficial and adverse, of a proposed development on the physical manifestations of a community's cultural heritage including sites,

structures, and remains of archaeological, architectural, historical, religious, spiritual, cultural, ecological or aesthetic value or significance;

(c) *Customary law*—law consisting of customs that are accepted as legal requirements or obligatory rules of conduct; practices and beliefs that are so vital and intrinsic a part of a social and economic system that they are treated as if they were laws;[214]

(d) *Environmental impact assessment*—is a process of evaluating the likely environmental impacts of, and proposing appropriate mitigation measures for, a proposed development, taking into account interrelated socio-economic, cultural and human health impacts, both beneficial and adverse;

(e) *Sacred site*—may refer to a site, object, structure, area or natural feature or area, held by national Governments or indigenous communities to be of particular importance in accordance with the customs of an indigenous or local community because of its religious and/or spiritual significance;

(f) *Social impact assessment*—is a process of evaluating the likely impacts, both beneficial and adverse, of a proposed development that may affect the rights, which have an economic, social, cultural, civic and political dimension, as well as the well-being, vitality and viability, of an affected community—that is, the quality of life of a community as measured in terms of various socio-economic indicators, such as income distribution, physical and social integrity and protection of individuals and communities, employment levels and opportunities, health and welfare, education, and availability and standards of housing and accommodation, infrastructure, services;

(g) *Strategic environmental assessment*—is a process of evaluating the likely environmental impacts of proposed policies, plans or programmes to ensure that they are fully included and addressed at an early stage of decision-making, together with economic, social and cultural considerations;[215]

(h) *Traditional knowledge*—refers to the traditional knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity.

III. Procedural Considerations

7. Noting that the actors involved in the assessment process may include the proponent of the development, one or more governmental agencies, indigenous and local communities, stakeholders, and technical experts conducting the assessment; noting further the desirability of integrating cultural, environmental, and social impacts within a single assessment process, and taking into account the fundamental components of an environmental impact assessment as described in the guidelines for incorporating biodiversity-related issues into environmental impact

214 See definition contained in *Black's Law Dictionary* (7th edition), 2000.

215 Term derived from the definition contained in paragraph 1(b) of the Guidelines for Incorporating Biodiversity-related Issues into Environmental Impact Assessment Legislation and/or Process and in Strategic Environmental Assessment, contained in the annex to decision VI/7 A.

assessment legislation and/or process and in strategic environmental assessment, an integrated assessment should involve the following stages:

(a) *Preparatory stage*:

(i) Screening;
(ii) Scoping;

(b) *Main stage*:

(i) Impact analysis and assessment;
(ii) Consideration of mitigation measures (including not proceeding with the development, finding alternatives which avoid the impacts, incorporating safeguards in the design of the development, or providing compensation—monetary and/or non-monetary—for adverse impacts);

(c) *Reporting and decision-making stage*:

(i) Reporting of the impact assessment study;
(ii) Review of the impact assessment study;
(iii) Decision-making; and
(iv) Devising management and monitoring plans, including roles and responsibilities, alternative proposals and mitigation requirements and conditions;

(d) *Monitoring and auditing stage*: Monitoring and environmental auditing.

8. As part of the above stages, the following steps may also be considered in carrying out an impact assessment for a development proposed to take place on, or which is likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities:

(a) Notification and public consultation of the proposed development by the proponent;

(b) Identification of indigenous and local communities and relevant stakeholders likely to be affected by the proposed development;

(c) Establishment of effective mechanisms for indigenous and local community participation, including for the participation of women, the youth, the elderly and other vulnerable groups, in the impact assessment processes;

(d) Establishment of an agreed process for recording the views and concerns of the members of the indigenous or local community whose interests are likely to be impacted by a proposed development;

(e) Establishment of a process whereby local and indigenous communities may have the option to accept or oppose a proposed development that may impact on their community;

(f) Identification and provision of sufficient human, financial, technical and legal resources for effective indigenous and local community participation in all phases of impact assessment procedures;

(g) Establishment of an environmental management or monitoring plan (EMP), including contingency plans regarding possible adverse cultural, environmental and social impacts resulting from a proposed development;

(h) Identification of actors responsible for liability, redress, insurance and compensation;

(i) Conclusion, as appropriate, of agreements, or action plans, on mutually agreed terms, between the proponent of the proposed development and the affected indigenous and local communities, for the implementation of measures to prevent or mitigate any negative impacts of the proposed development;

(j) Establishment of a review and appeals process.

9. While the focus of environmental, cultural and social impact assessments is necessarily different, it is assumed, however, that the steps or phases for carrying out all three kinds of assessment will be the same for the most part. However, in the case of small-scale locally-based and initiated development, it may be possible to omit some of these steps.

A. NOTIFICATION AND PUBLIC CONSULTATION OF PROPOSED DEVELOPMENT BY THE PROPONENT

10. The proponent of a development proposal or the responsible government authority should engage in a process of notification and public consultation of intention to carry out a development. Such notification should use all normal public means of notification (print, electronic and personal media, including newspapers, radio, television, mailings, village/town meetings, etc.), take into account the situation of remote or isolated and largely non-literate communities, and ensure that such notification and consultation take place in the language(s) of the communities and region that will be affected. Such notification should clearly identify the proponent, contain a brief summary of the proposal, the sites and communities likely to be affected, anticipated impacts (if any) on the conservation and sustainable use of biological diversity, as well as possible cultural and social impacts, arrangements for public consultation, contact details, key dates in the life of the project, including those regarding impact assessment procedures, and identify obligations under national and subnational laws as well subregional, regional and international agreements.

11. The development proposal and impact assessment should be made available to organizations representing affected indigenous and local communities and relevant stakeholders for the purposes of public scrutiny and consultation. It should include all details relevant to the proposal. Notification and public consultation of the proposed development should allow for sufficient time to allow the affected indigenous or local community to prepare its response. An opportunity to present its response should be allowed for full and fair consideration by the proponent.

B. IDENTIFICATION OF INDIGENOUS AND LOCAL COMMUNITIES AND STAKEHOLDERS LIKELY TO BE AFFECTED BY THE PROPOSED DEVELOPMENT

12. In any development proposed to take place on, or likely to have an impact on, sacred sites and lands and waters traditionally occupied or used by them, indigenous

and local communities should be invited to participate in and are to be accorded full respect at all stages of the assessment and development process, including planning and implementation;

13. A formal process to identify the indigenous and local community members, experts and organizations, and relevant stakeholders should be engaged, including local and open consultations. Once all parties have been identified, it is appropriate that a committee representative of the parties be formally established and its mandate defined to advise on the impact assessment processes, particularly in relation to screening and scoping phases, and for the establishment of any environmental management and monitoring plan, as well as cultural and social contingency plans. In establishing this committee, special consideration should be given to ensuring the adequate representation of indigenous and local communities.

C. ESTABLISHMENT OF MECHANISMS FOR INDIGENOUS AND LOCAL COMMUNITY PARTICIPATION

14. Affected indigenous and local communities should be invited to participate on any body appointed to advise on the screening and scoping phases or should be consulted on an impact assessment process for a development proposal, and should be involved in the establishment of the terms of reference for the conduct of the impact assessments, subject to national legislation. The screening and scoping phases should also take into account any community development plans and any mechanisms for strategic environmental assessment that have been formulated by an affected community.

15. In addition to representation on any body established to advise on the other impact assessment process phases, the full and effective participation and involvement of affected indigenous and local communities should contemplate using participatory models of community engagement during the conduct of the impact assessments, including in decision-making. The proponent should also provide regular feedback to the affected community throughout all stages of the impact assessment and development processes.

16. In order to facilitate the involvement and participation of the affected indigenous and local communities, local experts should be identified and their expertise recognized and engaged at the earliest opportunity.

D. ESTABLISHMENT OF AN AGREED PROCESS FOR RECORDING THE VIEWS AND CONCERNS OF THE MEMBERS OF THE INDIGENOUS OR LOCAL COMMUNITY WHOSE INTERESTS ARE LIKELY TO BE IMPACTED BY A PROPOSED DEVELOPMENT

17. The proponent and members of the affected indigenous or local community should establish a process by which community views and concerns can be properly recorded, as community members may not be in a position to attend public meetings because of, for example, remoteness of the community, or poor health. While written statements may be preferred, the views of the community members could also be recorded on video or audio tape, or any other appropriate way, subject to the consent of communities.

E. IDENTIFICATION AND PROVISION OF SUFFICIENT HUMAN, FINANCIAL, TECHNICAL AND LEGAL RESOURCES FOR EFFECTIVE INDIGENOUS AND LOCAL COMMUNITY PARTICIPATION IN ALL PHASES OF IMPACT ASSESSMENT PROCEDURES

18. Early identification by the State and affected indigenous and local communities and, as circumstances warrant, provision of necessary human, financial, technical and legal resources, particularly to those indigenous and local communities, to support indigenous and local expertise, will facilitate effective indigenous and local community participation in the impact assessment process. In general, the larger the proposed development, the greater and more widespread the potential impacts and therefore potentially greater are the requirements for support and capacity-building.

F. ESTABLISHMENT OF AN ENVIRONMENTAL MANAGEMENT OR MONITORING PLAN, INCLUDING CONTINGENCY PLANS REGARDING POSSIBLE ADVERSE CULTURAL, ENVIRONMENTAL AND SOCIAL IMPACTS RESULTING FROM A PROPOSED DEVELOPMENT

19. In order to maximize benefits and minimize adverse impacts, it will be necessary in most instances to establish an environmental management or monitoring plan to provide a framework within which the development can take place. Formulation of the environmental management or monitoring plan should be guided by an affected community's development plan and/or measures for strategic environmental assessment, where such plans exist, and should also include contingency plans for possible adverse cultural and social impacts.

G. IDENTIFICATION OF ACTORS RESPONSIBLE FOR LIABILITY, REDRESS, INSURANCE AND COMPENSATION

20. In order to maintain the health, wellbeing and security of affected indigenous and local communities and the ecosystems that sustain them, and, to the extent that it is possible, in order to prevent adverse cultural, environmental and social impacts of any proposed developments, actors that should bear the responsibility for liability, redress, insurance and compensation should be clearly identified.

H. CONCLUSION OF AGREEMENTS OR ACTION PLANS ON MUTUALLY AGREED TERMS BETWEEN THE PROPONENTS OF THE PROPOSED DEVELOPMENT AND THE AFFECTED INDIGENOUS OR LOCAL COMMUNITY

21. In order to protect the interests of affected indigenous and local communities, an agreement, could be negotiated between the community and the proponent of the development. The terms of such an agreement, subject to national legislation and regulations, could cover the procedural aspects of impact assessments, including the option of a no-action alternative, setting out the rights, duties and responsibilities of all parties, and also address measures to prevent or mitigate any negative impacts of the proposed development.

I. ESTABLISHMENT OF A REVIEW AND APPEAL PROCESS

22. Parties, if they have not already done so, should seek to ensure the full participation of affected indigenous and local communities, in accordance with national legislation, in the decision-making process for of any development proposal, including the review and appeal process, taking into account methods of mediation and dispute resolution, which may include customary methods.

IV. Integration of Cultural, Environmental and Social Impact Assessments as a Single Process

23. Bearing in mind the unique relationship between indigenous and local communities and the environment, the Guidelines allow for the consideration of the integration of cultural, environmental, social impact assessments as a single process. The conduct of impact assessments should meet the requirements of the Convention on Biological Diversity as defined in its Articles 14 and 8(j), and take into account the general principles guiding the programme of work on Article 8(j) and related provisions. The Guidelines should take into account work on integration of biodiversity issues into the environmental impact assessment and strategic impact assessment in accordance with Article 14 of the Convention, and give special attention to incorporating cultural and social considerations within any environmental impact assessment legislation or policies.

A. CULTURAL IMPACT ASSESSMENTS

24. Through the cultural impact assessment process, and particularly during the screening and scoping phases, the issues that are of particular cultural concern should be identified, such as cultural heritage, religions, beliefs and sacred teachings, customary practices, forms of social organization, systems of natural resource use, including patterns of land use, places of cultural significance, economic valuation of cultural resources, sacred sites, ceremonies, languages, customary law systems, and political structures, roles and customs. The possible impacts on all aspects of culture, including sacred sites, should therefore be taken into consideration while developing cultural impact assessments.

25. Cultural heritage impact assessment is concerned with the likely impacts of a proposed development on the physical manifestations of a community's cultural heritage and is frequently subject to national heritage laws. A cultural heritage impact assessment will need to take into account, as the circumstances warrant, international, national and local heritage values.

26. In the event that sites or objects of potential heritage significance are uncovered during earthworks associated with a development, then all activities in and around the area of discovery should cease until a proper archaeological or heritage assessment has been completed.

27. In determining the scope of a cultural impact assessment, the following should be considered:

(a) Possible impacts on continued customary use of biological resources;

(b) Possible impacts on the respect, preservation, protection and maintenance of traditional knowledge, innovations and practices;

(c) Protocols;

(d) Possible impacts on sacred sites and associated ritual or ceremonial activities;

(e) Respect for the need for cultural privacy; and

(f) Possible impacts on the exercise of customary laws.

1. Possible impacts on continued customary use of biological resources

28. The assessment should take the customary uses of biological resources that meet the requirements of the Convention, particularly in relation to Article 10(c), fully into consideration, as the diminution of the genetic diversity maintained and fostered by such customary use may lead to a loss of associated traditional knowledge, innovations and practices.

2. Possible impacts on the respect, preservation, protection and maintenance of traditional knowledge, innovations and practices

29. In the conduct of cultural impact assessments, due consideration should be given to the holders of traditional knowledge, innovations and practices and the knowledge itself. Customary laws governing ownership, access, control, use and dissemination of traditional knowledge, innovations and practices should be observed. Protocols with regard to indigenous and local communities should be followed with regard to the disclosure of secret and or sacred knowledge, including those that may involve public hearings and judicial processes in the courts. In the event of the disclosure of secret and or sacred knowledge, prior informed consent and proper protection measures should be ensured.

3. Protocols

30. As part of possible agreements or action plans to be concluded by the proponent of the development and the concerned communities, protocols could be established in order to facilitate the proper conduct of the development, and personnel associated with it, on sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities. Specific protocols may need to be established for particular kinds of development activity (for example, adventure tourism, mining) and may need to take into account the behaviour to be observed when visiting local communities, particular sites or when dealing with members of indigenous and local communities. Protocols should respect regulations already existing under relevant national, sub-national or community self-government legislation.

4. Possible impacts on sacred sites and associated ritual or ceremonial activities

31. When developments are proposed to take place on, or which are likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities, personnel associated with such developments should recognize that many sacred sites, and areas or places of other cultural significance may have important functions with respect to the conservation and sustainable use of bio-

logical diversity and, by extension, the maintenance of the natural resources upon which such communities rely for their well-being.

32. If it is necessary to assess the potential impact of a proposed development on a sacred site, the assessment process should also include the selection of an alternate site for development in consultation with the site custodians and the affected community as a whole. Where a sacred site is to be affected by a proposed development, and in cases where no law exists to protect the site, the concerned indigenous and local community may wish to develop protocols regarding the site in the context of the proposed development.

5. Respect for the need for cultural privacy

33. Proponents of development and personnel associated with the development should respect the cultural sensitivities and needs of indigenous and local communities for privacy, especially with regard to important rituals and ceremonies such as those associated with rites-of-passage and death, and also ensure their activities do not interfere with the daily routines and other activities of such communities.

6. Possible impacts on the exercise of customary laws

34. Development proposals should be assessed for possible impacts on the customary laws of an affected community. If a development requires the introduction of an outside work-force, or requires changes in local customary systems (e.g., regarding land tenure, distribution of resources and benefits) conflicts may result. It may therefore be necessary to codify certain parts of customary law, clarify matters of jurisdiction, and negotiate ways to minimize breaches of local laws.

B. ENVIRONMENTAL IMPACT ASSESSMENTS

35. In the conduct of the environmental component of an impact assessment regarding a development proposed to take place on, or which is likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities, the guidelines for incorporating biodiversity-related issues into environmental impact assessment legislation and/or process and in strategic environmental assessment, should be taken into account. National environmental impact assessment legislation and processes should respect existing inherent land and treaty rights as well as legally established rights of indigenous and local communities. As information gathering processes, environmental impact assessments can contribute to the protection of the rights of indigenous and local communities by recognizing the distinct activities, customs and beliefs of the affected indigenous and local communities.

36. The direct impacts of the development proposal on local biodiversity at the ecosystem, species and genetic levels should be assessed, and particularly in terms of those components of biological diversity that the affected indigenous or local community and its members rely upon for their livelihood, well-being, and other needs. Indirect impacts should be carefully assessed and monitored over the long term. The development proposal should be rigorously assessed with respect to the introduction of invasive species.

1. Baseline studies

37. In order to effectively undertake an environmental impact assessment for a proposed development, it is desirable to carry out a baseline study, in consultation with the affected indigenous and local communities, to ascertain those components of biological diversity of particular significance to the affected indigenous or local community. Detailed knowledge of biological resources (ecosystems, species and genetic diversity), including valuation of these resources, is essential to the protection of both biodiversity and cultural values. Such baseline study should include whether, for example, habitat types to be affected by the proposed development are represented elsewhere in existing conservation reserves (under national reserve systems), and whether particular crop species (and varieties) for food and agriculture are represented in *ex situ* collections. Baseline studies should collect information with respect to:

(a) Species inventories (including identification of particular species important to the affected indigenous or local community as food, medicine, fuel, fodder, construction, artefact production, clothing, and for religious and ceremonial purposes, etc);

(b) Identification of endangered species, species at risk, etc. (possibly referenced to the World Conservation Union (IUCN) Red Data Book, the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), and national inventories);

(c) Identification of particularly significant habitat (as breeding/spawning grounds, remnant native vegetation, wild-life refuge areas including buffer zones and corridors, habitats and routes for migratory species) and crucial breeding seasons for endangered and critical species;

(d) Identification of areas of particular economic significance (as hunting areas and trapping sites, fishing grounds, gathering areas, grazing lands, timber harvesting sites and other harvesting areas);

(e) Identification of particularly significant physical features and other natural factors which provide for biodiversity and ecosystems (e.g., watercourses, springs, lakes, mines/quarries that supply local needs); and

(f) Identification of sites of religious, spiritual, ceremonial and sacred significance (such as sacred groves and totemic sites).

38. Consistent with principle 11 of the ecosystem approach, endorsed by the Conference of the Parties in paragraph 1 of decision V/6, traditional knowledge, innovations and practices should be considered an important and integral component of baseline studies, particularly the traditional knowledge, innovations and practices of those who have a long association with the particular area for which the development is proposed. Traditional knowledge, innovations and practices can be cross-referenced by old photographs, newspaper articles, known historical events, archaeological records, anthropological reports, and other records contained in archival collections.

C. SOCIAL IMPACT ASSESSMENTS

39. In order to effectively undertake a social impact assessment with respect to an indigenous or local community that is or is likely to be affected by a proposed development, the screening and scoping phases should take into account gender and demographic factors, housing and accommodation, employment, infrastructure and services, income and asset distribution, traditional systems and means of production, as well as educational needs, technical skills and financial implications.

40. Proposed developments should be evaluated in relation to tangible benefits to such communities, such as non-hazardous job creation, viable revenue from the levying of appropriate fees from beneficiaries of such developments, access to markets and diversification of income opportunities. Evaluation of changes to traditional economies could involve economic valuation of negative social impacts, such as crime and sexually transmitted diseases.

41. Developments involving changes to traditional practices for food production, or involving the introduction of commercial cultivation and harvesting of a particular wild species, should have those changes and introductions assessed.

42. In social impact assessments, social development indicators consistent with the views of indigenous and local communities should be developed and should include gender, generational considerations, health, safety, food and livelihood security aspects and the possible effects on social cohesion and mobilization.

43. In determining the scope of a social impact assessment, the following should be considered:

(a) Baseline studies;

(b) Economic considerations;

(c) Possible impacts on traditional systems of land tenure and other uses of natural resources;

(d) Gender considerations;

(e) Generational considerations;

(f) Health and safety aspects;

(g) Effects on social cohesion;

(h) Traditional lifestyles; and

(i) The possible impact on access to biological resources for livelihoods.

1. Baseline studies

44. In the conduct of baseline studies, the following areas should, *inter alia,* be addressed:

(a) Demographic factors (number and age structure of population, ethnic grouping, population distribution and movement—including seasonal movements);

(b) Housing and human settlements, including involuntary resettlement, expulsion of indigenous peoples from lands and involuntary sedentarization of mobile peoples;

(c) Health status of the community (particular health problems/issues—availability of clean water—infectious and endemic diseases, nutritional deficiencies, life expectancy, use of traditional medicine, etc.;

(d) Levels of employment, areas of employment, skills (particularly traditional skills), education levels (including levels attained through informal and formal education processes), training, capacity-building requirements;

(e) Level of infrastructure and services (medical services, transport, waste disposal, water supply, social amenities (or lack of) for recreation, etc.);

(f) Level and distribution of income (including traditional systems of distribution of goods and services based on reciprocity, barter and exchange);

(g) Asset distribution (e.g., land tenure arrangements, natural resource rights, ownership of other assets in terms of who has rights to income and other benefits);

(h) Traditional systems of production (food, medicine, artefacts), including gender roles in such systems; and

(i) Views of indigenous and local communities regarding their future and ways to bring about future aspirations.

45. In particular, in relation to subsistence-based indigenous and local communities, the following additional social factors should also be taken into consideration, including impacts thereon:

(a) Traditional non-monetary systems of exchange such as hunting, barter and other forms of trade, including labour exchange;

(b) Related economic and social relations;

(c) Importance of gender roles and relations;

(d) Traditional responsibilities and concepts of equity and equality in society; and

(e) Traditional systems of sharing natural resources, including resources that have been hunted, collected or harvested.

2. Economic considerations

46. Proposed developments on sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities should ensure that tangible benefits accrue to such communities, such as payment for environmental services, job creation within safe and hazard-free working environments, viable revenue from the levying of appropriate fees, access to markets and diversification of income-generating (economic) opportunities for small and medium-sized businesses. In accordance with national legislation or relevant national regulations, indigenous and local communities should be involved in the financial auditing processes of the developments in which they participate to ensure that the resources invested are used effectively.

3. Possible impacts on traditional systems of land tenure and other uses of natural resources

47. Developments that particularly involve changes to traditional practices for food production, or involve the introduction of commercial cultivation and harvesting of a particular wild species (e.g., to supply market demands for particular herbs, spices, medicinal plants, fish, fur or leather) may lead to pressures to restructure traditional systems of land tenure or expropriate land, and to pressures on the sustainable use of biological diversity, in order to accommodate new scales of production. The ramifications of these kinds of changes can be far-reaching and need to be properly assessed, taking into account the value systems of indigenous and local communities. Likely impacts associated with the cultivation and/or commercial harvesting of wild species should also be assessed and addressed.

4. Gender considerations

48. In social impact assessments, there is a particular need to examine the potential impacts of a proposed development on women in the affected community with due regard to their role as providers of food and nurturers of family, community decision-makers and heads of households, as well as custodians of biodiversity and holders of particular elements of (gender-specific) traditional knowledge, innovations and practices.

5. Generational considerations

49. In any social impact assessment, the potential impact of a proposed development on all generations within a community should be examined. Of particular concern are the impacts that may potentially interfere with opportunities for elders to pass on their knowledge to youth, or which might render certain skills and traditional knowledge, innovations and practices redundant.

6. Health and safety aspects

50. In the impact assessment process, the health and safety aspects of the proposed development should be scrutinized. Safety aspects should include such risks as physical injury during construction, and health risks resulting from various forms of pollution, sexual exploitation, social disturbance, disruption to habitats of medicinal species, and use of chemicals, such as pesticides. Foreign workers should be screened for any infectious diseases for which local populations may have no immunity, or for which there is no evidence of infection within their communities.

7. Effects on social cohesion

51. The impact assessment process should take into consideration the possible effects that a proposed development might have on the affected community and its people as a whole by ensuring that particular individuals or groups are not unjustly advantaged or disadvantaged to the detriment of the community as a result of the development.

V. General Considerations

52. The following general considerations should also be taken into account when carrying out an impact assessment for a development proposed to take place on, or which is likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities:

(a) Prior informed consent of the affected indigenous and local communities;

(b) Gender considerations;

(c) Impact assessments and community development plans;

(d) Legal considerations;

(e) Ownership, protection and control of traditional knowledge, innovations and practices and technologies used in cultural, environmental and social impact assessment processes;

(f) Mitigation and threat-abatement measures;

(g) Need for transparency; and

(h) Establishment of review and dispute resolution procedures.

A. PRIOR INFORMED CONSENT OF THE AFFECTED INDIGENOUS AND LOCAL COMMUNITIES

53. Where the national legal regime requires prior informed consent of indigenous and local communities, the assessment process should consider whether such prior informed consent has been obtained. Prior informed consent corresponding to various phases of the impact assessment process should consider the rights, knowledge, innovations and practices of indigenous and local communities; the use of appropriate language and process; the allocation of sufficient time and the provision of accurate, factual and legally correct information. Modifications to the initial development proposal will require the additional prior informed consent of the affected indigenous and local communities.

B. GENDER CONSIDERATIONS

54. The vital role that women and youth play, in particular women and youth within indigenous and local communities, in the conservation and sustainable use of biological diversity and the need for the full and effective participation of women in policy-making and implementation for biological diversity conservation should be fully taken into consideration.

C. IMPACT ASSESSMENTS AND COMMUNITY DEVELOPMENT PLANS

55. Indigenous and local communities should be encouraged, and provided with the necessary support and capacity to formulate their own community development plans. Such plans should include and should develop mechanisms for strategic environmental assessment that are commensurate with the goals and objectives of the development plans and appropriate poverty eradication programmes as defined by the indigenous and local communities.

56. Any developments proposed to take place on, or which are likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities should maintain a balance between economic, social, cultural and environmental concerns, on the one hand, while, on the other hand, maximizing opportunities for the conservation and sustainable use of biological diversity, the access and equitable sharing of benefits and the recognition of traditional knowledge, innovations and practices in accordance with Article 8(j) of the Convention, and should seek to minimize risks to biological diversity. The cultural, environmental and social impact assessment processes should reflect this.

D. LEGAL CONSIDERATIONS

57. In any assessment procedure, subject to national legislation consistent with international obligations, Governments, their agencies and development proponents should take into account the rights of indigenous and local communities over lands and waters traditionally occupied or used by them and the associated biological diversity.

58. There is a need for clarification of legal responsibilities, particularly with regard to matters that may arise during the conduct of cultural, environmental and social impact assessments, including enforcement, liability and redress measures.

E. OWNERSHIP, PROTECTION AND CONTROL OF TRADITIONAL KNOWLEDGE, INNOVATIONS AND PRACTICES AND TECHNOLOGIES USED IN CULTURAL, ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT PROCESSES

59. Consistent with the ecosystem approach, proponents of development proposals should recognize the importance of understanding and applying the values and knowledge, where relevant, of use of biological diversity held by indigenous and local communities and their application for sustainable development.

60. In all circumstances related to the proposed development, the customary laws and intellectual property rights of the indigenous and local communities with respect to their traditional knowledge, innovations and practices, should be respected. Such knowledge should only be used with the prior informed consent of the owners of that traditional knowledge. In order to safeguard their rights, indigenous and local communities should establish, or be assisted to establish, protocols consistent with relevant national legislation for access to and use of traditional knowledge, innovations and practices in the cultural, environmental and social impact assessment processes. Assistance in establishing such protocols should be provided if so requested.

F. MITIGATION AND THREAT-ABATEMENT MEASURES

61. In the context of impact assessments, and particularly with respect to mitigation measures associated with the development, where there is a threat of significant reduction or loss of biodiversity, lack of full scientific certainty should not be used as a reason for postponing measures to avoid or minimize such a threat.

G. NEED FOR TRANSPARENCY

62. Transparency and public accountability should be maintained regarding the conduct of all phases of the cultural, environmental and social impact assessments, and in any decision-making processes, except in cases of national security and where confidentiality regarding the handling of secret/sacred traditional knowledge, innovations and practices is required. A clause on non-disclosure of information gathered through the impact assessment process of baseline studies related to traditional knowledge, innovations and practices should be ensured.

H. ESTABLISHMENT OF REVIEW AND DISPUTE RESOLUTION PROCEDURES

63. In order to manage any disputes that may arise in relation to a development proposal and in the ensuing impact assessment processes, dispute resolution means or mechanisms should be available or be established.

VI. Ways and Means

A. STRENGTHENING AND REBUILDING OF CAPACITY

64. Any activity aimed at the incorporation of cultural and social considerations, and the biodiversity-related considerations of indigenous and local communities, into national environmental impact assessment systems should be accompanied by appropriate strengthening and rebuilding of capacities. Expertise in traditional knowledge, innovations and practices is required within the agencies responsible for impact assessment. At the same time, indigenous and local community expertise is required in impact assessment methodologies, techniques and procedures. Environmental impact assessments should include in the assessment team experts, including indigenous experts, in the traditional knowledge, innovations and practices related to the relevant ecosystems.

65. Training workshops on cultural, social and biodiversity-related aspects of environmental impact/strategic assessment and on economic valuation of cultural social and biodiversity resources for both assessment practitioners and representatives of indigenous and local communities would facilitate the emergence of a cross-cultural understanding of the issues.

66. Governments should encourage and support indigenous and local communities, where they have not already done so, to formulate their own community-development plans that will enable such communities to adopt a more culturally appropriate strategic, integrated and phased approach to their development needs in line with community goals and objectives. These plans should include a strategic environment assessment policy or aim to provide a systematic process for integrating social, environmental and cultural considerations in planning and decision-making, for the application of impact assessments to development proposals.

B. LEGISLATIVE AUTHORITY

67. If cultural, environmental and social impact assessment processes relevant to indigenous and local communities are made an integral part of environmental

impact assessment and strategic environmental assessment procedures and incorporated into legislation, and the requirements for project/policy developers to find the most culturally, environmentally and socially sound, efficient options that avoid, reduce or mitigate adverse impacts are made explicit, this will prompt developers, at a very early stage, to use cultural, environmental and social impact assessment tools to improve the development process prior to the project application or consent stage or in some cases prior to screening procedures.

C. EXCHANGE OF INFORMATION

68. Web-based resources, such as the clearing-house mechanism of the Convention on Biological Diversity and other means of exchanging experiences and information, including traditional means of communication, may help to raise awareness about best available methods and useful sources of information and experience concerning both the conduct and integration of cultural, social and biodiversity-related concerns of indigenous and local communities in environmental impact assessment processes and in strategic environmental assessment, and should be developed and used for the provision and exchange of information on environmental impact assessment.

69. Communication between assessment practitioners and indigenous and local community members with experience in cultural, environmental and social impact assessment is in urgent need of improvement and should be enhanced through workshops, case-study assessments and through the sharing of experiences through, for example, the focal point on Article 8(j) and related provisions of the clearing-house mechanism of the Convention on Biological Diversity.

D. RESOURCES

70. Resources, including financial, technical and legal support, should be made available to indigenous and local communities and relevant national organizations to enable them to participate fully in all aspects of national impact assessments. This support may be provided by national Governments, where possible, or, in developing countries and countries with economies in transition, by appropriate donor agencies.

G. PARTICIPATORY MECHANISMS FOR INDIGENOUS AND LOCAL COMMUNITIES

The Conference of the Parties,

Recalling decisions VI/10 and VI/18 of the Conference of the Parties,

Recognizing the importance of the full and effective participation of indigenous and local communities in the Convention process and in decision-making processes and the implementation of the Convention at the national level,

Recognizing also the need to strengthen and develop mechanisms to further promote the full and effective participation of indigenous and local communities in the Convention process, particularly in matters related to the objectives of Article 8(j) and related provisions,

Recognizing further the vital role that women play in the conservation and sustainable use of biological diversity and affirming the need for the full participation of women at all levels of policy-making and implementation for biological diversity conservation, as recognized in the preamble of the Convention,

Noting the work of the Ad Hoc Technical Expert Group on Traditional Knowledge and the Clearing-House Mechanism at its meeting in Santa Cruz de la Sierra, Bolivia, from 24 to 26 February 2003,

Noting the need to ensure adequate financial support for the participation of indigenous and local communities in meetings organized under the Convention,

Noting further that a number of Parties have put in place measures to facilitate the involvement and participation of indigenous and local communities in decision-making processes and the implementation of the Convention at the national level,

Emphasizing the need to strengthen the capacity of indigenous and local communities, in particular at the local level, in order to ensure full and effective involvement and participation in Convention-related matters,

1. *Reiterates* its invitation, contained in paragraph 18 of decision V/16, to Parties and Governments to increase the participation of representatives of indigenous and local communities in official delegations to meetings held under the Convention and *urges* them to further enhance such participation;

2. *Requests* the Executive Secretary to compile information on the participation of indigenous and local communities in the Convention process, and in decision-making processes and the implementation of the Convention at the national level, making it available through the clearing-house mechanism;

3. *Requests* the Executive Secretary to incorporate practical measures to enhance the participation of indigenous and local communities, where appropriate, in the working groups of the Convention on Biological Diversity, Subsidiary Body on Scientific, Technical and Technological Advice and the Conference of the Parties, in accordance with the rules of procedure, where appropriate;

4. *Requests* the Executive Secretary, in consultation with the Bureau of the Conference of the Parties, with regard to meetings held under the Convention, to consider the spacing of such meetings, particularly with regard to those of the Ad Hoc Working Group on Article 8(j) and Related Provisions, *vis-à-vis* meetings of the Open-ended Ad Hoc Working Group on Access and Benefit-sharing and of the Conference of the Parties, in order to allow sufficient time and opportunity for indigenous and local community representatives to contribute to and analyse documents prepared for such meetings, and to secure financial support for attendance;

5. *Requests* the Executive Secretary to continue to promote synergies between international environmental instruments, in particular through the joint liaison group of the secretariats of the Convention on Biological Diversity, the United Nations Convention to Combat Desertification and the United Nations Framework Convention on Climate Change on issues of relevance to Article 8(j) and related provisions of the Convention;

6. *Invites* Parties and Governments, in consultation with indigenous and local communities, where they have not already done so, to:

(a) Promote the effective participation of indigenous and local communities in the development of national mechanisms for participation in decision-making and implementation;

(b) Establish national, subregional and/or regional indigenous and local community biodiversity advisory committees, taking into account gender equity at all levels;

(c) Enhance the capacity of national institutions, governmental and civil organizations and organizations of indigenous and local communities to take into account the requirements of Article 8(j) and related provisions and to facilitate its implementation; and

(d) Build sufficient capacity to ensure that the national biodiversity focal point, in accordance with domestic law, is able to make information available to indigenous and local communities with regard to the circulation of documents and outcomes of meetings held under the Convention, with particular emphasis on providing the documents in appropriate and accessible languages of indigenous and local communities;

(e) Enhance the capacity of indigenous and local communities to collaborate with national research organizations and universities in order to identify research and training needs in relation to the conservation and sustainable use of biological diversity;

7. *Mindful* of the particular constraints of developing countries, in particular small island developing States amongst them, *urges* Parties, Governments and international organizations, when providing financial or other support for *in situ* conservation, in accordance with Article 8(m) and Article 20, paragraphs 2 and 3, of the Convention, to pay particular attention to the establishment and implementation of participatory mechanisms;

8. *Encourages* Parties and Governments to assist indigenous and local community organizations in their regions to hold regional meetings to discuss the outcomes of the decisions of the Conference of the Parties and to prepare for meetings under the Convention, in particular the meetings of the Ad Hoc Open-ended Working Group on Article 8(j) and Related Provisions and the Ad Hoc Open-ended Working Group on Access and Benefit-sharing;

9. *Invites* Parties to include information regarding the level of participation of indigenous and local communities in their national reports, as well as the measures and approaches used to encourage the participation of indigenous and local communities;

10. *Decides* to establish a voluntary funding mechanism under the Convention to facilitate the participation of indigenous and local communities, giving special priority to those from developing countries and countries with economies in transition and small island developing States in meetings under the Convention, including meetings of the indigenous and local community liaison group and relevant meetings of ad hoc technical expert groups. The funding mechanism for the participation of indigenous and local communities established herein shall operate according to criteria to be developed by the Conference of the Parties in consul-

tation with indigenous and local communities and taking into account any United Nations practice in this field;

11. *Requests* the Executive Secretary to further develop the role of the thematic focal point on Article 8(j) and related provisions of the Convention under the clearing-house mechanism with a view to:

(a) Assisting national focal points, as appropriate and subject to available resources, to more effectively disseminate and make accessible Convention-related information to indigenous and local communities with particular emphasis on providing information in appropriate and accessible languages of indigenous and local communities;

(b) Assisting indigenous and local communities, as appropriate and subject to available resources, in the use of information and communication technologies through the organization of capacity-building and training workshops at the local, national, and subregional levels;

(c) Compiling information on existing networks, experts, tools, and resources relevant to meeting the needs of indigenous and local communities;

12. *Requests* the Executive Secretary, in consultation with indigenous and local communities, through the national focal points, to further assist in the development of communication networks and tools for use by indigenous and local communities, *inter alia*, by:

(a) Publishing information through the clearing-house mechanism toolkit on formats, protocols, and standards for use by indigenous and local communities and assist in the further development of communication networks;

(b) Publishing information through the clearing-house mechanism toolkit on electronic communication tools appropriate for use by indigenous and local communities;

(c) Making available through the thematic focal point electronic forums and other communication tools to promote the further development of communications networks by indigenous and local communities;

(d) Publishing information on network architecture and custodianship of data through the clearing-house mechanism toolkit to assist indigenous and local communities in the further development of communication networks by indigenous and local communities;

(e) Identifying other traditional, alternative and non-electronic communication tools to ensure full and effective participation in the communication network by indigenous and local communities.

H. DEVELOPMENT OF ELEMENTS OF *SUI GENERIS* SYSTEMS FOR THE PROTECTION OF TRADITIONAL KNOWLEDGE, INNOVATIONS AND PRACTICES

The Conference of the Parties,

Recalling decision VI/10 in which the Conference of the Parties recognized that the Convention on Biological Diversity is the primary international instrument with the

mandate to address issues regarding the respect, preservation and maintenance of knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity,

Recalling paragraph 34 of decision VI/10,

Recalling also paragraph 11 of decision V/26 A, by which the Conference of the Parties decided that the Ad Hoc Open-ended Working Group on Access and Benefit-sharing shall maintain communication and exchange of information with the Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions of the Convention,

Recognizing that the preservation and maintenance of knowledge, innovations and practices of indigenous communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity are linked to the continued stewardship by indigenous and local communities of biological resources on lands and waters traditionally occupied or used by them,

Also recognizing that indigenous and local communities have their own systems, as part of their customary laws, for preserving and maintaining traditional knowledge, innovations and practices as well as for the protection and transmission of traditional knowledge,

Recognizing the transboundary distribution of some biological and genetic resources and associated traditional knowledge,

Recognizing also the collective and inter-generational nature of traditional knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity,

Recognizing also the need to halt the misuse and misappropriation of knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity and related genetic resources through effective mechanisms that will protect the rights of indigenous and local communities,

Recognizing the importance of access and benefit-sharing arrangements in the conservation of genetic resources and the preservation and maintenance of knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity,

Noting that a mix of defensive and positive measures, taking into account both proprietary and non-proprietary aspects, may be necessary for the protection of traditional knowledge, innovations and practices relevant for the conservation and sustainable use of biological diversity,

Recognizing that a *sui generis* system for the protection of traditional knowledge at the international level may enable indigenous and local communities to effectively protect their knowledge against misuse and misappropriation and that such a system should be flexible and respect the interests and rights of indigenous and local communities,

Recognizing that while in some cases databases and registers may play a role in the protection of traditional knowledge, innovations and practices, such databases and registers are only one approach in the effective protection of traditional knowledge, innovations and practices and their establishment should be voluntary, not a requirement for protection, and established with the prior informed consent of indigenous and local communities, and *further recognizing*, if indigenous and local communities decide to use such databases and registers, the need for funding and capacity-building for indigenous and local communities regarding the establishment and maintenance of such databases and registers,

Emphasizing that any *sui generis* system for the protection of traditional knowledge, innovations and practices needs to be developed taking into consideration customary law and practices with the full and effective involvement and participation of concerned indigenous and local communities,

Recognizing that traditional knowledge, innovations and practices are sometimes accessed without the consent of indigenous and local communities and that these communities have a right to grant or refuse such access as well as to determine the level of such access, subject to Article 8(j),

Concerned that some traditional knowledge, innovations and practices have been accessed without the prior informed consent of indigenous and local communities and *recognizing* that necessary steps should be taken to ensure the respect of prior informed consent for any future use of traditional knowledge, subject to Article 8(j),

Aware of the need for further work by the Ad Hoc Open-ended Inter-Sessional Working Group on Article 8(j) and Related Provisions of the Convention, on a number of issues relating to the protection of knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity,

Recognizing the need for continued collaboration with other relevant organizations working on issues related to the protection of traditional knowledge, innovations and practices, such as the World Intellectual Property Organization (WIPO), the Permanent Forum on Indigenous Issues (PFII), the World Health Organization (WHO) and the Food and Agriculture Organization of the United Nations (FAO), the United Nations Educational, Scientific and Cultural Organization (UNESCO), the United Nations Conference on Trade and Development (UNCTAD) and the World Trade Organization (WTO) to ensure mutual supportiveness and avoid duplication of efforts,

1. *Requests* the Executive Secretary to continue gathering and analysing information on the issues set out in paragraphs 34(b)–(e) of decision VI/10 and disseminate this information through the clearing house mechanism;

2. *Invites* Parties, Governments, indigenous and local communities, and relevant international organizations to communicate to the Executive Secretary any relevant information on existing indigenous, local, national and regional *sui generis* systems for the protection of the knowledge, innovations and practices of indigenous communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity and any relevant information on innovative

policy, administrative and legislative measures that are supportive of customary law and practices;

3. *Requests* the Executive Secretary to compile information on issues identified in paragraph 2 above, and on the nature of customary laws and traditional protocols of indigenous and local communities relating to customary uses and the conservation and sustainable use of biological diversity, in cooperation with indigenous and local communities, for consideration by the Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions of the Convention;

4. *Requests* the Executive Secretary, based on submissions by Parties, Governments, indigenous and local communities and relevant international organizations, to develop, in cooperation with the ongoing work on the use of terms in the Ad Hoc Open-ended Working Group on Access and Benefit-Sharing and in consultation with Parties, indigenous and local communities and relevant international organizations, a glossary of terms relevant to Article 8(j) and related provisions for the consideration by the fourth meeting of the Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions of the Convention;

5. *Decides* on appropriate mechanisms for better cooperation between the Ad Hoc Open-ended Working Group on Access and Benefit-Sharing and the Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions of the Convention in order to ensure the participation and involvement of indigenous and local communities in the Ad Hoc Open-ended Working Group on Access and Benefit-Sharing;

6. *Requests* the Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions of the Convention, with the collaboration of relevant international organizations and bodies such as the United Nations Permanent Forum on Indigenous Issues to:

(a) Consider non-intellectual-property-based *sui generis* forms of protection of traditional knowledge, innovations and practices relevant for the conservation and sustainable use of biodiversity;

(b) Further develop, as a priority issue, elements for *sui generis* systems, listed in the annex to the present decision, for protection of knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity and ensure benefit-sharing arrangements for these communities when their traditional knowledge and associated genetic resources are accessed;

(c) Review the relevance and applicability of the Bonn Guidelines to the Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions of the Convention in accordance with decision VI/24 A of the Conference of the Parties;

(d) Review and, if appropriate, make recommendations regarding the international regime on access and benefit-sharing with a view to including *sui generis* systems and measures for the protection of knowledge, innovations, and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity;

(e) Assess the role of databases and registers in the protection of traditional knowledge, innovations and practices embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity;

(f) Explore, taking into account the work of the World Intellectual Property Organization and the United Nations Permanent Forum on Indigenous Issues, the potential of and conditions under which the use of existing as well as new forms of intellectual property rights can contribute to achieving the objectives of Article 8(j) and related provisions of the Convention;

7. *Invites* Parties and Governments to consider appropriate measures, with the full and effective participation of indigenous and local communities, to implement at local, national, subregional, regional and international levels *sui generis* systems and other new innovative mechanisms that ensure the protection of traditional knowledge, innovations and practices taking into consideration customary law and traditional practices;

8. *Requests* the Executive Secretary, with the cooperation of Parties, indigenous and local communities and relevant international organizations, to collect information on the role of databases and registers in the protection of traditional knowledge, innovations and practices relevant for the conservation and sustainable use of biological diversity;

9. *Invites* Parties, Governments and international organizations to strengthen the capacity of indigenous and local communities to protect, use, preserve, maintain and promote their traditional knowledge, innovations and practices relevant for the conservation and sustainable use of biological diversity;

10. *Invites* both Parties and indigenous and local communities to share national experiences amongst themselves on local and national approaches, as well as international approaches, for the protection of traditional knowledge and to consider the harmonization of approaches at the regional level;

11. *Invites* the World Intellectual Property Organization to make available to the Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions of the Convention, the results of its work on issues relevant to the implementation of Article 8(j) and related provisions of the Convention, in particular in relation to the protection of traditional knowledge and its recognition as prior art.

ANNEX
SOME POTENTIAL ELEMENTS TO BE CONSIDERED IN THE DEVELOPMENT OF *SUI GENERIS* SYSTEMS FOR THE PROTECTION OF TRADITIONAL KNOWLEDGE, INNOVATIONS AND PRACTICES OF INDIGENOUS AND LOCAL COMMUNITIES

1. Statement of purpose, objectives and scope.

2. Clarity with regard to ownership of traditional knowledge associated with biological and genetic resources.

3. Set of relevant definitions.

4. Recognition of elements of customary law relevant to the conservation and sustainable use of biological diversity with respect to: (i) customary rights in indigenous/traditional/local knowledge; (ii) customary rights regarding biological resources; and (iii) customary procedures governing access to and consent to use traditional knowledge, biological and genetic resources.

5. A process and set of requirements governing prior informed consent, mutually agreed terms and equitable sharing of benefits with respect to traditional knowledge, innovations and practices associated with genetic resources and relevant for the conservation and sustainable use of biological diversity.

6. Rights of traditional knowledge holders and conditions for the grant of rights.

7. The rights conferred.

8. A system for the registration of indigenous/local knowledge/Systems for the protection and preservation of indigenous/local knowledge.

9. The competent authority to manage relevant procedural/administrative matters with regard to the protection of traditional knowledge and benefit-sharing arrangements.

10. Provisions regarding enforcement and remedies.

11. Relationship to other laws, including international law.

12. Extra-territorial protections.

I. Recommendations of the Permanent Forum on Indigenous Issues to the Convention on Biological Diversity

The Conference of the Parties,

Stressing the need for a better understanding among United Nations agencies on issues pertaining to indigenous and local communities and their traditional knowledge,

Noting recommendations 1, 8 and 9 of the Permanent Forum on Indigenous Issues contained in the report of the second session of the Forum, which are addressed to the Convention on Biological Diversity (UNEP/CBD/WG8J/3/8),

1. *Welcomes* the increasing collaboration between the Convention process and the Permanent Forum on Indigenous Issues on matters pertaining to indigenous and local communities and their knowledge, innovations and practices relevant for the conservation and sustainable use of biological diversity;

2. *Requests* the Executive Secretary to contribute as appropriate to the preparation of the report of the Secretary General to the Forum on Indigenous Issues on the implementation of chapter 26 of Agenda 21 and other relevant chapters, such as chapters 36 and 15;

3. *Requests* the Executive Secretary to transmit to the Permanent Forum on Indigenous Issues at its third session the Akwé: Kon Voluntary Guidelines for the Conduct of Cultural, Environmental and Social Impact Assessments regarding

Developments Proposed to Take Place on or which are Likely to Impact on, Sacred Sites and on Lands and Waters Traditionally Occupied or Used by Indigenous and Local Communities;

4. *Further requests* the Executive Secretary to consult and coordinate with the Secretariat of the Forum and to collaborate with United Nations agencies and relevant international organizations with a view to organizing a workshop on cultural, environmental and social impact assessments based on the Akwé: Kon Voluntary Guidelines and aimed at the further strengthening of the understanding of the link between environment and cultural diversity, with the participation of representatives of indigenous and local communities, and *urges* Parties and Governments to provide financial resources in support of the organization of the workshop;

5. *Requests* the Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions to develop elements of an ethical code of conduct to ensure respect for the cultural and intellectual heritage of indigenous and local communities relevant for the conservation and sustainable use of biological diversity, taking into account task 16 of the programme of work on Article 8(j) and related provisions.

DECISION VII/17 | Liability and redress (Article 14, paragraph 2)

The Conference of the Parties,

Recalling its decision VI/11,

Taking note of the preparations by the Executive Secretary for the meeting of the group of legal and technical experts on liability and redress in the context of paragraph 2 of Article 14 of the Convention on Biological Diversity,

1. *Renews* its request to the Executive Secretary contained in its decision VI/11, paragraph 1, to convene a group of legal and technical experts to discharge the mandate specified in that decision;

2. *Requests* the Executive Secretary to update the documentation prepared pursuant to decision VI/11, paragraph 2, and to make it available prior to convening the group of legal and technical experts;

3. *Urges* Parties and Governments to make the necessary voluntary financial contributions to facilitate the convening of the group of legal and technical experts.

DECISION VII/18 | Incentive Measures (Article 11)

The Conference of the Parties,

Recognizing the need to remove policies or practices that create perverse incentives that lead to the degradation and loss of biological diversity, or to mitigate these perverse incentives, as a crucial element in national and global strategies to halt the degradation and loss of biodiversity,

Stressing that these incentives and mitigation measures should not adversely affect biodiversity and livelihoods of other communities, and should be applied in a manner consistent with international law,

Noting that the Addis Ababa Principles and Guidelines for the Sustainable Use of Biodiversity also call for the removal or mitigation of policies, laws and regulations that generate perverse incentives,

Underlining the need for further policy guidance on this issue, in particular with regard to the application of ways and means to remove or mitigate perverse incentives,

Recognizing that new policies should also be examined with a view to identifying, and avoiding, potential perverse incentives,

Recalling the programme of work on incentive measures established in decision V/15 of the Conference of the Parties and the recognition by the Conference of the Parties at its sixth meeting that further work needs to be undertaken on the role of positive incentives and their performance as well as on perverse incentives and ways and means for their removal or mitigation, as reflected in decision VI/15,

Recalling further its request to the Executive Secretary, in paragraph 7 of decision VI/15, to elaborate, in collaboration with relevant organizations, proposals for the application of ways and means to remove or mitigate perverse incentives, for consideration by the Subsidiary Body on Scientific, Technical and Technological Advice, at a meeting prior to the seventh meeting of the Conference of the Parties,

Acknowledging that the proposals for the application of ways and means to remove or mitigate perverse incentives as elaborated by the second workshop on incentive measures, held in Montréal from 3 to 5 June 2003, contain valuable and useful elements that provide a general framework to address the removal or mitigation of perverse incentives in different economic sectors and ecosystems, but need further refinement and consideration before adoption by the Conference of the Parties,

Recognizing that the development and application of practical methods of assessing trends in the economic and social value of biodiversity and of demonstrating the economic and ecological consequences of biodiversity loss are essential elements in meeting the 2010 target,

Recognizing the important work undertaken by the Organisation for Economic Co-operation and Development and the Millennium Ecosystem Assessment regarding the economic aspects of biodiversity and the assessment of biodiversity values,

Proposals for the application of ways and means to remove or mitigate perverse incentives

1. *Takes note with appreciation* of the work of the second workshop on incentive measures, held in Montréal from 3 to 5 June 2003, and of the Subsidiary Body on Scientific, Technical and Technological Advice, in elaborating the proposals for the application of ways and means to remove or mitigate perverse incentives, annexed to the present decision;

2. *Encourages* Parties and governments, as appropriate, to use the proposals as voluntary interim guidance to Parties for the application of ways and means to remove or mitigate policies and practices that generate perverse incentives, and to extend their efforts to an examination of new policies with a view to identifying, and avoiding, potential perverse incentives, bearing in mind that perverse incentives include those that negatively affect biodiversity in other countries;

3. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice at its tenth meeting, as a matter of priority, to further refine and consider, with a view to recommending adoption by the Conference of the Parties, the proposals for the application of ways and means to remove or mitigate perverse incentives, giving adequate time for a substantive and conclusive review of the proposals;

4. *Encourages* Parties and Governments to use, on a voluntary basis, these proposals as further interim guidance in implementing the Addis Ababa Principles and Guidelines for the Sustainable Use of Biodiversity and, in particular, principles 2 and 3, which address incentive measures;

5. *Invites* competent international organizations and agencies to provide technical and financial support to the efforts of Parties and Governments to apply these proposals with a view to removing or mitigating perverse incentives;

6. *Invites* Parties, Governments and relevant organizations to submit any information on the removal or mitigation of perverse incentives, including case-studies and best-practices on the application of ways and means as well as any experiences with the application of the proposals, to the Executive Secretary; and *requests* the Executive Secretary to provide a report thereon to the tenth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice, to assist in the further consideration of the proposals,

7. *Decides* that the progress made by Parties in removing or mitigating perverse incentives should be included in their national reports prepared in accordance with Article 26 of the Convention as appropriate;

Further implementation of the programme of work on incentive measures

8. *Invites* Parties, Governments and international organizations to submit case-studies, best practices and other information on the use of non-monetary positive incentive measures for the conservation and sustainable use of biodiversity as an initial step in the ongoing examination of incentive measures, including traditional laws and practices which generate positive incentives, and on the application of methodologies for the assessment of values of biodiversity and its functions, as well as other tools for prioritization in decision-making, to the Executive Secretary;

9. *Requests* the Executive Secretary to make this information available through the clearing-house mechanism and other means, if appropriate, and to prepare a synthesis report for consideration by the Subsidiary Body on Scientific, Technical and Technological Advice at a meeting prior to the eighth meeting of the Conference of the Parties;

10. *Urges* Parties, Governments and relevant funding agencies to target and prioritize funding to support the preparation and compilation of case-studies and best practices contemplated in paragraph 8;

11. *Requests* the Executive Secretary to prepare, in cooperation with the Organisation for Economic Co-operation and Development and other relevant international organizations, an analysis of existing and new instruments that provide positive incentives, including traditional laws and practices which generate positive incentives, their interaction with other policy measures and their effectiveness, including their requirements for successful application, possible limitations and shortcomings, and to develop proposals on the application of such positive incentive measures and their integration into relevant policies, programmes or strategies, for consideration by the Subsidiary Body for Scientific, Technical and Technological Advice at a meeting prior to the eighth meeting of the Conference of the Parties;

12. *Requests* the Executive Secretary to explore, in cooperation with the Millennium Ecosystem Assessment, the Organisation for Economic Co-operation and Development and relevant international organizations, existing methodologies for valuation of biodiversity and biodiversity resources and functions, as well as other tools for prioritization in decision-making, by preparing a compilation of existing valuation tools that provides an overview of the discussion on their methodological status, if appropriate, as well as an assessment of their applicability in terms of effectiveness and capacity preconditions, and to prepare proposals for the application of such tools. These proposals should include the identification of options to strengthen international collaborative partnerships for assessing biodiversity values, especially for the refinement and advancement of valuation tools, and shall be submitted to the Subsidiary Body on Scientific, Technical and Technological Advice for its consideration at a meeting prior to the eighth meeting of the Conference of the Parties.

ANNEX
[PROPOSALS FOR THE APPLICATION OF WAYS AND MEANS TO REMOVE OR MITIGATE PERVERSE INCENTIVES

A. General considerations

1. For the purpose of these indicative guidelines, the term *policy* shall refer to a system of strategies, plans and programmes that spell out, *inter alia*, operational targets, and a related set of legal, administrative and/or economic tools that are implemented by national, sub-national and local governments to attain a set of underlying objectives. The term *practice* shall refer to any activity undertaken by individuals, communities, companies and organizations that is based on customary law, social norms or cultural traditions.

2. A *perverse incentive* emanates from policies or practices that encourage, either directly or indirectly, resource uses leading to the degradation and loss of biological diversity. The removal of such policies or practices or the mitigation of their perverse effects is therefore an important element in promoting the conservation and sustainable use of biological diversity.

3. Three phases are suggested in the process of removing such policies or practices or in mitigating their perverse effects on biological diversity, all of which should be implemented with stakeholder participation:

(a) The identification of policies or practices that generate perverse incentives and their impacts;

(b) The design and implementation of appropriate reforms;

(c) The monitoring, enforcement and evaluation of these reforms.

4. The following sections provide indicative guidance, corresponding to these three phases on the application of ways and means to remove policies or practices generating perverse incentives.

B. Identification of policies or practices that generate perverse incentives

1. PRINCIPLES FOR IDENTIFYING POLICIES AND PRACTICES THAT GENERATE PERVERSE INCENTIVES

5. *Review of policies and practices*. Not every single policy measure and, in particular, not every incentive measure, leads to adverse effects for biodiversity. A thorough study, critical review and evaluation of policies and practices potentially contributing to biodiversity loss, including the assessment of their impact on biodiversity as well as their effectiveness and efficiency, is therefore essential to identify properly and comprehensively any specific policies or practices and their interaction that are responsible for such decline. Indicator systems are an important means to inform such an analysis. Parties and governments should engage in the further development of such systems.

6. *Interaction between policies and practices, and with other root causes*. The study should take fully into account that the loss of biodiversity may be caused by a complex interaction of several root factors. Consequently, the identification of perverse incentives resulting from specific policies and practices is often difficult, as their extent may crucially depend on the design and degree of implementation and enforcement of other policies, and on other socio-economic root causes. The removal or mitigation of such policies and practices, although necessary, may not be sufficient to halt the loss of biodiversity if other macro-economic and sectoral policies and key socio-economic reasons remain unchanged.

7. *Identification of perverse practices*. Special analytical care is needed if practices are to be held accountable for any adverse impacts on biological diversity. Such practices are difficult to change as they are rooted in cultural traditions or customary law, which may have wider social values. Furthermore, perverse incentives may be often be explained by an economically rational response to ill-adapted policies. The analysis should determine whether the promotion of cultural adaptation is appropriate or whether the reform of policies, or a combination of both, provides better opportunities for an effective policy intervention.

8. *Scope of perverse incentives*. In some instances, policies and practices may generate perverse incentives only under specific local conditions and socio-economic circumstances, while they may prove to be neutral or even favourable for biolog-

ical diversity under other conditions and circumstances. The study should therefore seek to identify and quantify, whenever feasible and appropriate, the *scope* and *extent* to which such policies and practices adversely affect biodiversity, as this information is important for prioritization and for choosing the appropriate policy response.

9. *Differentiation of policy objectives, operational targets, and tools.* Policies that induce unsustainable behaviour are often designed to attain legitimate objectives. Biodiversity decline usually comes as an un-anticipated side-effect of such policies. In particular, subsidies have often been introduced for good and sound purposes. However, the operational targets of the policy and the tools that are used to attain these targets are not always appropriate to meet the proclaimed objectives. Furthermore, the policy objectives, even while initially good and sound, may no longer be valid. Once a specific policy is identified in generating perverse incentives, further analytical work should therefore differentiate the underlying objectives, operational targets and the specific policy tools used, in order to identify the appropriate entry point for policy reform.

10. *Identification of all relevant costs and benefits and their distribution.* The identification of all relevant costs and benefits from removing or mitigating policies or practices that generate perverse incentive as well as their distribution within society and the economy is key for a well-informed policy choice. Hence, the assessment should not only include the direct, tangible costs and benefits, but also the intangible costs and benefits for society as a whole. The use of appropriate valuation tools should be considered if feasible. Furthermore, when assessing the merits of mitigation policies, the following cost components should also be taken into consideration: compliance costs, monitoring and enforcement costs, administrative costs and costs of change management.

11. *Identification of obstacles for policy reform.* The following elements should also be identified, as they are crucial for the design of implementable policy responses:

(a) Relevant obstacles for the removal of policies and practices generating perverse incentives, such as distributional issues, property rights, entrenched interests, cultural traditions, international considerations;

(b) Relevant obstacles for the implementation of policies that mitigate such perverse incentives, such as international obligations, lack of funds or lack of administrative and/or institutional capacity.

12. *Periodic policy evaluations*. The lack of evaluation of policy efficacy and efficiency contributes to the persistence of policies that create perverse incentives and do not assist in achieving what may still be legitimate policy objectives. Periodic quantitative policy evaluation, which includes biodiversity impacts, is desirable for various reasons: it provides criteria for the selection of the most desirable policy reform interventions, it assists in the identification of relevant stakeholders (winners and losers), creates political and evidentiary support for change of ineffective and perverse incentives, gives an indication of policy alternatives and provides an indication of the cost of removal of the perverse incentives. The establishment of periodic quantitative evaluation of the effectiveness of policy instruments and an

assessment of any perverse incentives created by them would enable the development of win-win policy reforms. International organizations are highly requested to cooperate in this effort.

13. *Prioritization*. The analysis should enable prioritization of subsequent reforms to remove or mitigate perverse incentives, that is, it should enable to spell out which reforms to take up first, and which ones to take up later. Such a prioritization exercise should be based on a set of criteria, including the feasibility and ease of policy reform, the importance and extent of biodiversity degradation, and socio-economic concerns.

2. WAYS AND MEANS TO IDENTIFY POLICIES AND PRACTICES THAT GENERATE PERVERSE INCENTIVES

14. *Strategic environmental assessment*. Elements of strategic environmental assessment (SEA) procedures could be used, if appropriate, as a means to identify policies and practices that generate perverse incentives. In this regard, the Guidelines for Incorporating Biodiversity-related Issues into Environmental Impact Assessment Legislation and/or Processes and in Strategic Environmental Assessment (decision VI/7, annex) could be taken into consideration. While mainly used for *proposed* policies, SEA procedures provide useful guidance on how to design and conduct research to identify perverse incentives for biodiversity conservation and sustainable use that emanate from *existing* policies. In particular, the following steps emerge as possible means of assessing policies and practices with regard to potential perverse incentives:

(a) Screening to determine which policies or practices require full or partial study with regard to possible perverse incentives;

(b) Scoping to identify which potential impacts on biological diversity are relevant to address, and to derive terms of reference for the actual study;

(c) The actual study to identify the perverse incentives for biodiversity conservation and sustainable use emanating from policies and practices, taking into account those impacts that result from the interaction of different policies and practices;

(d) The identification of possible action to remove or mitigate perverse incentives;

(e) The identification of possible reform obstacles;

(f) Pursuant to the design and implementation of reform policies, monitoring and evaluating the implementation of such reform policies, to ensure that unpredicted outcomes and failed mitigation measures are identified and addressed in a timely fashion.

15. *Stakeholder involvement*. The involvement of all stakeholders is an important element in identifying policies or practices that generate perverse incentives. The direct benefits of policies often go to well organized societal actors, while the costs of these policies, e.g., the loss of ecosystem services due to biodiversity decline, are borne by the wider public or by diffuse and/or powerless groups. Such groups, however, may be able to forward additional important information and to point to possible shortcomings in the conclusions of the assessment. It should therefore

be ensured, through appropriate mechanisms of levelling the playing field for all stakeholders, that all groups are fully involved throughout the process. A balanced representation of stakeholders in the consultation will contribute to identifying properly and comprehensively both the benefits of individual policies and their possible shortcomings.

16. *Transparency.* Perverse incentives are often difficult to detect, because the negative impacts on biodiversity are usually an indirect by-product of policies aiming at other goals, and because they may result from an intricate interaction between different policies or practices. Ensuring that the process of assessing policies and practices is conducted in a transparent manner will contribute to ensure that all relevant stakeholders are well-informed about the process and its outcomes. This is an important pre-condition for effective stakeholder involvement.

17. *Capacity-building.* In developing countries and countries with economies in transition, lack of institutional and administrative capacity to design and conduct appropriate assessment studies is often a serious impediment to identifying policies and practices that generate perverse incentives. Capacity-building, supported by relevant national, regional and international organizations, is therefore an important prerequisite in successfully removing or mitigating policies and practices that generate perverse incentives. Funding should be ensured for capacity-building.

C. Design and implementation of appropriate reforms

1. GUIDELINES FOR THE CHOICE OF REFORMS

18. *Possible political action.* The following is an indicative list of possible political action once specific policies and practices are identified as generating perverse incentives for the conservation and sustainable use of biological diversity, bearing in mind that, in some instances, several such activities need to be undertaken simultaneously, and also recalling that reforms of other macro-economic and sectoral policies may often be necessary to capture the full benefits of removing or mitigating perverse incentives and to halt the loss of biodiversity:

(a) Removal of the policy or practice;

(b) Removal of the policy and its replacement with another policy that attains the same objectives, but without or with fewer perverse impacts on biological diversity (re-instrumentation);

(c) In those cases where a policy or practice has overall negative impacts but some positive impacts, removal of that policy or practice and introduction of an additional policy that seeks to maintain the positive impacts;

(d) Removal or the policy or practice, combined with measures to overcome obstacles for policy reform;

(e) Introduction of policies that mitigate the perverse impacts on biodiversity of policies or practices, possibly including policies that address relevant obstacles.

19. The following paragraphs provide an indicative list of conditions for the selection of political action further to the identification of policies or practices that gen-

erate perverse incentives. Some conditions make reference to costs and/or benefits. It is important to note that the policy choice should be based not only on the direct, tangible costs and benefits, but also on an assessment of the intangible costs and benefits, including, for instance, benefits emanating from ecosystems services. Furthermore, the assessment should also include components such as compliance costs, monitoring and enforcement costs, administrative costs and the costs of change management, if appropriate. Maximizing the net social benefit, taking into account distributional objectives and effects at national and global levels, is the criterion for the choice of reform policies.

20. *Removal of policies that generate perverse incentives*. The removal of policies that generate perverse incentives could be considered when the following conditions are met:

(a) The analysis may reveal that a policy generating perverse incentives was introduced under circumstances that no longer prevail. As a consequence, the policy objectives may no longer be valid. For instance, the objective of providing support to companies whose sector undergoes a period of economic crisis would no longer be valid after the recovery or the successful restructuring of this sector;

(b) In other cases, the policy objective may still be valid. The analysis may show, however, that perverse incentives would be generated under any policy to attain this objective, that is, under any operational target and policy tool chosen. In such cases, the removal of the policy should be considered if the costs for society of effective mitigation policies would be higher than the net societal benefits foregone when the policy is removed.

21. *Removal of perverse practices*. The removal of practices that generate perverse incentives should be considered if a careful analysis of their interplay with formal policies reveals that such practices are indeed the appropriate target for reform policies. Such practices are difficult and costly to remove, because of the very fact that they are rooted in cultural traditions or customary law. Their removal should be considered if the cost of promoting cultural adaptation, through for instance appropriate awareness-raising and education programmes, is lower than the cost of effective mitigation policies. Furthermore, it has to be recalled that perverse incentives, apparently caused by specific practices, may often be explained by an economically rational response to ill-adapted policies. In those cases, the reform of these policies may often provide better opportunities for an effective policy intervention.

22. *Re-instrumentation*. In many cases, the underlying policy objective may still be valid and legitimate, and the perverse incentives emanating from the policy could be substantially lowered or avoided if other operational targets and tools would be used. In such instances, the removal of the policy and its replacement by a policy with fewer or no perverse impacts should be considered. Special care should be paid to identifying and implementing those operational targets and related tools that generate the least or no adverse impact on biological diversity.

23. *Removal and introduction of policies that maintain any positive impacts*. In some cases, policies and practices may generate perverse incentives under specific local conditions and socio-economic circumstances, while they may even be

favourable for biological diversity under other conditions and circumstances. In these cases, the removal of these policies and practices should still be envisaged if the overall effect on biological diversity is mainly negative. Additional, well-targeted policies could be introduced to maintain the positive impacts.

24. *Removal and overcoming of obstacles*. Substantial obstacles may sometimes hinder the removal of policies and practices. Additional policies to overcome such obstacles could be introduced if the associated costs are lower than the costs of effective mitigation. The choice of the appropriate policy would clearly depend on the relevant obstacle identified:

(a) *Distributional concerns*. In some cases, the removal of policies or practices may have adverse distributional consequences. The impact of reforms on food security and poverty should be of particular concern. A step-by-step approach to the reforms could be considered. Additional well-targeted income policies could also be implemented to compensate these adverse effects;

(b) *Legal issues*. In some cases, the removal of policies may impinge on the property rights of some stakeholders. Compensation of associated losses might be required;

(c) *Entrenched interests*. In most cases, some groups or individuals will lose as a result of the removal of policies or practices. Such groups or individuals will resist such reform. Additional policy measures may be warranted to overcome their resistance. Such measures may include awareness-raising and education programmes as well as measures to increase transparency for the wider public with regard to the adverse impact of policies and practices, thereby shifting the burden of proof to those groups opposing political reform. Compensatory policies for such stakeholders should only be considered as a last resort;

(d) *Lack of capacity.* In developing countries and countries with economies in transition, lack of institutional and administrative capacity is often a serious impediment to removing or mitigating perverse incentives. Capacity-building will be needed in these cases;

(e) *Cultural traditions*. The removal of practices generating perverse incentives is particularly difficult if they are deeply rooted in cultural beliefs, customs and traditions. Awareness-raising and education programmes can be appropriate means to overcome such obstacles;

(f) *International competitiveness*. Unilateral removal of policies that generate perverse incentives may create a risk that domestic industries lose competitiveness. Such risks become more important in a globalized world of increased international trade and capital flows. When evidence for such cases is compelling, international cooperation to remove such policies in a coordinated, synchronized way may be warranted;

(g) *Global benefits of removing perverse incentives*. In many cases, the benefits arising from a removal of policies that generate perverse incentives for the conservation and sustainable use of biodiversity are of a global nature, while the costs of removing such policies accrue at the national level. In such cases, international cooperation, including the extension of the activities of interna-

tional financial compensatory mechanisms such as the Global Environment Facility (GEF), is warranted to cover the possible incremental national costs of generating global benefits.

25. *Mitigation*. If the removal of policies or practices is not feasible or too costly, the mitigation of their perverse effects on biodiversity, through appropriate means, may be warranted. More specifically, the introduction of such mitigation policies should be considered if:

(a) The cost for society of removing policies and practices, including forgone benefits, would be higher than the cost of effective mitigation policies;

(b) The cost for society of replacing the policy by a policy serving the same objective with less of no perverse impacts would be higher than the cost of effective mitigation policies;

(c) The cost for society of overcoming obstacles to the removal of policies and practices are higher than the cost of effective mitigation policies.

2. WAYS AND MEANS TO REMOVE OR MITIGATE PERVERSE INCENTIVES

(a) Important tools for removal and mitigation

26. *National guidelines*. Guidelines that are adopted by competent national authorities will be an important indirect means to effectively remove or mitigate perverse incentives. Guidelines that are well adapted to national needs and circumstances may serve to structure and inform the national process of identifying as well as removing or mitigating policies and practices that generate perverse incentives. If made publicly available, they may serve as a benchmark against which the general public can gauge the effectiveness of the reform process.

27. *Stakeholder involvement*. The removal of policies or practices that generate perverse incentives is often opposed by influential groups or individuals that profit from these policies or practices. Even when it is not the stated objective of a policy to support such groups or individuals, its removal may be at risk because of their influence. In contrast, the costs of these policies, e.g., the loss of ecosystem services due to biodiversity decline, are borne by the wider public or by diffuse and/or powerless groups. The empowerment and involvement of such groups during the design and implementation phase, through appropriate mechanisms of levelling the playing field for all stakeholders, is therefore another important means to ensure that appropriate policy responses are implemented.

28. *Awareness-raising and education programmes*. The very fact that practices that generate perverse incentives are rooted in customary law, social norms or cultural traditions implies that considerable obstacles exist to their removal, obstacles that are beyond the immediate reach of formal policy-making. The more indirect approach of awareness-raising and education may therefore be a particularly important means in removing such practices. However, awareness-raising and education programmes will also be an important element in successfully removing policies or introducing mitigation policies, to overcome the resistance of powerful groups opposing their removal.

29. *Transparency.* Creating transparency with regard to the intermediate and final outcomes of the assessment study, that is, with regard the objectives, costs, and possible negative impacts of policies and practices will contribute to clarifying the implicit choices and priorities and will expose irresponsible policies and practices to the wider public. Transparency will therefore be an important element of a successful programme to raise awareness of these issues. As a consequence, it will also increase the political costs of irresponsible policies and generate political rewards for appropriate action.

30. *Capacity-building.* In developing countries and countries with economies in transition, lack of institutional and administrative capacity is often a serious impediment to removing or mitigating perverse incentives. While some policies that generate perverse incentives can, in principle, be easily removed, the removal of practices or the implementation of successful mitigation policies may require substantial institutional and administrative capacity. Capacity-building, supported by relevant national, regional and international organizations, is therefore a key precondition in successfully removing or mitigating policies and practices that generate perverse incentives for the conservation and sustainable use of biological diversity. Funding should be ensured for capacity-building.

31. *International cooperation.* International cooperation is a very important element in removing or mitigating perverse incentives as set out in paragraph 24 (f) and (g) above.

(b) Ways and means for removal

32. *Re-instrumentation.* In the case of legitimate and valid policy objectives, re-instrumentation, that is, the application of operational targets and related tools that attain the same objective with less or no adverse impacts on biological diversity, may often be a particularly effective way of removing policies that generate perverse incentives for the conservation and sustainable use of biodiversity.

33. *Compensatory policies.* The introduction of additional measures could be considered to compensate stakeholders that are negatively affected by the removal of policies that generate perverse incentives. Provided that funding is ensured, the use of compensatory policies could be considered in following cases:

(a) If the removal of policies will have an adverse effect on distributional objectives, a step-by-step approach to removing such policies could be taken, and additional, well targeted income policies could be implemented;

(b) If the removal of policies negatively affects the property rights of some stakeholders, the compensation of associated losses could also be envisaged;

(c) If the conditions spelled out under (a) and (b) above do not prevail, compensatory policies should only be used as a last resort.

(c) Ways and means for mitigation

34. *Regulation.* In some instances, the introduction of additional regulation may be an effective means to mitigate the perverse impacts on biodiversity, provided that a number of preconditions are met. Such preconditions include:

(a) The existence of well defined, comprehensive and measurable performance indicators;

(b) Manageable monitoring and enforcement costs;

(c) Regulations that can be designed in a comprehensive way so as to avoid adaptive behaviour of target groups, leading to secondary adverse effects on biological diversity.

35. *Overcoming obstacles to mitigation through regulation*. It should be borne in mind that the very obstacles that prevent the removal of policies may also impede the effective mitigation of their perverse effects. For instance, the incentive of target groups not to comply with the regulation may be especially high if the policy generating the perverse incentive remains in place unchanged. Therefore, awareness-raising, transparency and stakeholder involvement are important elements of effective regulatory policies to mitigate perverse incentives.

36. *Positive incentive measures*. The introduction of additional positive incentive measures is another possible means to mitigate the perverse impacts of some policies and practices. In addition to the preconditions enumerated in paragraph 34, a number of other caveats should be taken into consideration when using positive incentive measures:

(a) If policies having perverse impacts on biodiversity remain unchanged, the cost of using positive incentives for mitigating these impacts will be especially high, which, in turn, will impair the efficiency of using this instrument. Prior to using positive incentives, such policies should therefore be removed to the extent possible, through the means enumerated above;

(b) As explained in paragraph 23, policies and practices that generate perverse incentives in most circumstances may have a favourable impact on biological diversity in others. In such cases, the use of positive incentive measures could be considered to mitigate the negative effect of removing these policies and practices;

(c) The careful design of the incentive measure, including the proper specification of eligibility conditions, is especially important in the case of positive incentive measures to avoid the generation of secondary adverse effects on biological diversity;

(d) In some cases, the strategic behaviour of rational recipients will impede the long-term effectiveness of positive incentive measures. In such cases, their use should be restricted to a transitional period of time through appropriate legal means such as sunset legislation;

(e) Lack of funds may limit the use of positive incentive measures;

(f) The use of positive incentive measures may have both negative and positive distributional consequences. These consequences need to be taken into consideration when using positive incentive measures.

37. *Negative incentive measures*. The use of negative incentive measures could also be considered to mitigate the perverse impacts of some policies and practices. In addition to the preconditions enumerated in paragraph 34 above, political resis-

tance will often be especially severe if negative incentive measures are to be introduced. Therefore, awareness-raising, transparency and stakeholder involvement are key elements of a successful introduction of negative incentive measures to mitigate perverse incentives.

38. *Guidance on the use of incentive measures.* Further guidance with regard to the design and implementation of incentive measures in given in the proposals for the design and implementation of incentive measures, endorsed by the Conference of the Parties to the Convention on Biological Diversity at its sixth meeting (decision VI/15, annex I).

D. Monitoring, enforcement and evaluation of reforms

39. *Stakeholder involvement*. Even after the design and implementation of reforms, relevant stakeholders should be involved in evaluation to ensure their feedback on unanticipated side-effects, failed mitigation measures and other shortcomings, and to ensure that such shortcomings are addressed in a timely fashion.

40. *Indicators and information systems*. It should be considered to introduce appropriate information systems in order to facilitate the process of monitoring and enforcing reforms. Furthermore, the development and application of sound indicators is a crucial precondition to the useful evaluation of reform policies.

41. *Success criteria for evaluation.* The evaluation of reforms should be based on a set of sound success criteria.

42. *Transparency.* Further dissemination of information can play a key role in building and maintaining public support for the reforms, and can thereby contribute to lower monitoring and enforcement costs for public authorities. Again, transparency may be a crucial precondition to ensuring effective stakeholder involvement in evaluating reforms.

43. *Capacity-building*. The ultimate success of the chosen reform is contingent upon successful monitoring, enforcement and evaluation of its impact, including unanticipated side-effects, failed mitigation measures and other shortcomings. It therefore depends on sufficient institutional and administrative capacity. Funding should be available for capacity-building.]

DECISION VII/19 | Access and benefit-sharing as related to genetic resources (Article 15)

A. Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of Benefits Arising out of their Utilization

The Conference of the Parties,

Recalling the evolutionary character of the Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of Benefits Arising out of their Utilization and the need to keep their implementation under review,

Recognizing that the Guidelines are making a useful contribution to the development of national regimes and contractual arrangements for access and benefit-sharing and to the implementation of the objectives of the Convention,

Recognizing further that some developing countries have encountered some constraints due to inadequate capacity to fully utilize the guidelines in the formulation of their national legislation of access and benefit sharing and related arrangements,

1. *Notes* the progress already accomplished and the need for further experience in the implementation of the Guidelines;

2. *Invites* Parties, Governments, indigenous and local communities and all relevant stakeholders to continue to promote the wide implementation of the voluntary Bonn Guidelines;

3. *Encourages* Parties, Governments, indigenous and local communities and all relevant stakeholders to further submit information on relevant experience and lessons learned, including successes and constraints, in the implementation of the Guidelines;

4. *Requests* the Executive Secretary to make this information available through appropriate means, including the clearing-house mechanism of the Convention.

B. Use of terms, definitions and/or glossary, as appropriate

The Conference of the Parties,

Recalling the voluntary nature of the Bonn Guidelines,

Noting that the terms as defined in Article 2 of the Convention shall apply to the Bonn Guidelines on Access and Benefit Sharing in accordance with paragraph 8 of the Bonn Guidelines,

Noting further that a number of other relevant terms not defined in the Convention may need to be examined,

Bearing in mind the difficulties faced by some developing countries with respect to information technology and related infrastructure,

1. *Invites* Parties, Governments, relevant organizations, indigenous and local communities, and all relevant stakeholders, according to a format provided by the Secretariat, to submit to the Executive Secretary:

(a) Information on existing national definitions or other relevant definitions of the following terms: access to genetic resources, benefit sharing, commercialization, derivatives, provider, user, stakeholder, *ex situ* collection, and voluntary nature (as contained in annex II of document UNEP/CBD/COP/6/INF/4);

(b) Views on whether additional terms need to be considered, such as arbitrary restrictions;

2. *Requests* access and benefit-sharing national focal points within Governments to facilitate the process of gathering and submitting relevant information to the Secretariat, taking into account the need to consult widely, including with indigenous and local communities;

3. *Requests* the Executive Secretary to gather and compile the information referred to above and distribute this information through available means, including through the clearing-house mechanism of the Convention;

4. *Requests* the Executive Secretary to submit this compilation to the next meeting of the Ad Hoc Open-ended Working Group on Access and Benefit-sharing for its consideration and *requests* the Working Group to further examine the issue of use of terms not defined in the Convention including the possible establishment of an expert group to determine the need for definitions or a glossary, and to report back to the Conference of the Parties.

C. Other approaches, as set out in decision VI/24 B

The Conference of the Parties,

Recognizing that a package of measures may be necessary to address the different needs of Parties, Governments, relevant organizations, indigenous and local communities and all relevant stakeholders in the implementation of access and benefit-sharing arrangements,

Acknowledging that existing other approaches could be considered to complement the Bonn Guidelines and are useful tools in assisting implementation of access and benefit-sharing provisions of the Convention,

Stressing the need to further examine other approaches set out in decision VI/24 B, and additional approaches such as interregional and bilateral arrangements as well as an international certificate of legal provenance/origin/source, in particular the operational functionality and cost effectiveness of such an international certificate,

1. *Invites* Parties, Governments, relevant organizations, indigenous and local communities and all relevant stakeholders, to submit to the Secretariat their views and relevant information on additional approaches as well as regional, national and local experiences on existing approaches, including on codes of ethics;

2. *Requests* the Executive Secretary to further compile information on existing complementary measures and approaches, and experiences with their implementation, and to disseminate such information to Parties, Governments, relevant organizations, indigenous and local communities and all relevant stakeholders through, *inter alia*, the clearing-house mechanisms of the Convention;

3. *Requests* the Open-ended Working Group on Access and Benefit-sharing to further consider the issue of additional approaches, in a cost effective way at an appropriate time, and, to this end, r*equests* the Executive Secretary to prepare a report on the basis of the submissions received.

D. International regime on access to genetic resources and benefit-sharing

The Conference of the Parties,

Reaffirming that the fair and equitable sharing of the benefits arising out of the utilization of genetic resources is one of the objectives of the Convention on Biological Diversity, in accordance with Article 1 of the Convention,

Reaffirming the sovereign rights of States over their natural resources and that the authority to determine access to genetic resources rests with the national Governments and is subject to national legislation, in accordance with Article 3 and Article 15, paragraph 1, of the Convention,

Reaffirming the commitment of Parties in Article 15, paragraph 2 of the Convention to "endeavour to create conditions to facilitate access to genetic resources for environmentally sound uses by other Contracting Parties and not to impose restrictions that run counter to the objectives of this Convention,"

Recalling paragraph 44(o) of the Plan of Implementation of the World Summit on Sustainable Development, which calls for action to "negotiate within the framework of the Convention on Biological Diversity, bearing in mind the Bonn Guidelines, an international regime to promote and safeguard the fair and equitable sharing of benefits arising out of the utilization of genetic resources,"

Further recalling resolution 57/260 of 20 December 2002, adopted by the United Nations General Assembly at its fifty-seventh session, inviting the Conference of the Parties to take appropriate steps with regard to the commitment made at the World Summit on Sustainable Development "to negotiate within the framework of the Convention on Biological Diversity, bearing in mind the Bonn Guidelines, an international regime to promote and safeguard the fair and equitable sharing of benefits arising out of the utilization of genetic resources,"

Recalling the recommendation of the Inter-Sessional Meeting on the Multi-Year Programme of Work of the Conference of the Parties up to 2010 inviting the Ad Hoc Open-ended Working Group on Access and Benefit-sharing "to consider the process, nature, scope, elements and modalities of an international regime on access to genetic resources and benefit-sharing and to provide advice to the Conference of the Parties at its seventh meeting on this issue,"

Noting the Bonn Guidelines on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization, adopted at the sixth meeting of the Conference of the Parties, "as a useful first step of an evolutionary process in the implementation of relevant provisions of the Convention related to access to genetic resources and benefit-sharing,"

Recalling also paragraph 44(n) of the Plan of Implementation of the World Summit on Sustainable Development which calls for action to promote the wide implementation of and continued work on the Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of Benefits arising out of their Utilization, as an input to assist the Parties when developing and drafting legislative, administrative or policy measures on access and benefit-sharing as well as con-

tract and other arrangements under mutually agreed terms for access and benefit-sharing,"

Recalling further the Millennium Development Goals and the potential role of access and benefit-sharing in poverty eradication and environmental sustainability,

Taking into account Articles 8(j), 15, 16, 17, 18, 19, paragraphs 1 and 2, 20, 21 and 22 of the Convention on Biological Diversity,

Reaffirming the commitment by Parties, subject to national legislation, to respect, preserve and maintain knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for 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 their utilization,

Noting the work being carried out under the framework of the Convention by the Working Group on Article 8(j) and Related Provisions of the Convention,

Recognizing that the Convention is the key instrument for the conservation, sustainable use and fair and equitable sharing of benefits arising out of the utilization of genetic resources and bearing in mind the work related to access to genetic resources and benefit-sharing carried out in other relevant international intergovernmental organizations,

Recognizing also the important contribution of the FAO International Treaty for Plant Genetic Resources for Food and Agriculture that was negotiated in harmony with the Convention on Biological Diversity,

Recognizing that Parties that are countries of origin of genetic resources may be both users and providers and that Parties that have acquired these genetic resources in accordance with the Convention on Biological Diversity may also be both users and providers,

Recalling that the Bonn Guidelines indicate that Parties and stakeholders may be both users and providers, noting that these terms may still need to be examined and clarified,

Recognizing that the regime should be practicable, transparent, and efficient and avoid arbitrary treatment, consistent with the provisions of the Convention,

Recalling that the international regime should recognize and shall respect the rights of indigenous and local communities,

Noting that there is a need for further analysis of existing national, regional and international legal instruments and regimes relating to access and benefit-sharing and experience gained in their implementation, including gaps and their consequences,

Noting that the Ad Hoc Open-ended Working Group on Access and Benefit-sharing has identified possible components of an international regime, without prejudging the outcome,

1. *Decides* to mandate the Ad Hoc Open-ended Working Group on Access and Benefit-sharing with the collaboration of the Ad Hoc Open ended Inter-sessional Working Group on Article 8(j) and Related Provisions, ensuring the participation of indigenous and local communities, non-governmental organizations, industry and scientific and academic institutions, as well as intergovernmental organizations, to elaborate and negotiate an international regime on access to genetic resources and benefit-sharing with the aim of adopting an instrument\instruments to effectively implement the provisions in Article 15 and Article 8(j) of the Convention and the three objectives of the Convention;

2. *Recommends* that the Ad Hoc Open-ended Working Group on Access and Benefit-sharing should operate in accordance with the terms of reference contained in the annex to this decision;

3. *Request* the Executive Secretary to make the necessary arrangements for the Ad Hoc Open-ended Working Group on Access and Benefit-sharing to be convened twice before the eighth meeting of the Conference of the Parties with one meeting from the core budget back to back with the Ad Hoc Open-ended Inter-Sessional Working Group on Article 8(j) and Related Provisions and the other from voluntary contributions;

4 *Requests* the Ad Hoc Open-ended Working Group on ABS to report on progress to the Conference of the Parties at its eighth meeting;

5 *Invites* the United Nations Environment Programme, the Food and Agriculture Organization of the United Nations, the World Trade Organization, the World Intellectual Property Organization, the International Union for the Protection of New Varieties of Plants, to cooperate with the Ad Hoc Open-ended Working Group on Access and Benefit-sharing in elaborating the international regime;

6. *Encourages* Parties, Governments, international organizations and all relevant stakeholders to provide the ways and means to allow for sufficient preparation and to facilitate effective participation of indigenous and local communities in the process of the negotiation and elaboration of an international regime;

7. *Recommends* the promotion of the participation of all relevant stakeholders, including non-governmental organizations and the private sector, and indigenous and local communities;

8. *Invites* Parties, Governments, international organisations, indigenous and local communities and all relevant stakeholders, to submit to the Executive Secretary their views, information and analysis on the elements of the international regime as soon as possible;

9. *Requests* the Executive Secretary to compile the submissions received and to make them available through the clearing-house mechanism and other means for the Ad Hoc Open-ended Working Group on Access and Benefit-sharing.

ANNEX
TERMS OF REFERENCE FOR THE AD HOC OPEN-ENDED WORKING GROUP ON ACCESS AND BENEFIT-SHARING

(a) *Process*:

(i) To elaborate and negotiate the nature, scope and elements of an international regime on access and benefit-sharing within the framework of the Convention on Biological Diversity, as contained in paragraphs (b), (c) and (d) below, drawing on *inter alia* an analysis of existing legal and other instruments at national, regional and international levels relating to access and benefit-sharing, including: access contracts; experiences with their implementation; compliance and enforcement mechanisms; and any other options;

(ii) As part of the work, the Ad Hoc Open-ended Working Group on Access and Benefit-sharing will examine whether and to what extent possible elements as contained in paragraph (d) below are part of these instruments and determine how to address the gaps.

(b) *Nature:* The international regime could be composed of one or more instruments within a set of principles, norms, rules and decision-making procedures, legally-binding and/or non-binding.

(c) *Scope*:

(i) Access to genetic resources and promotion and safeguarding of fair and equitable sharing of the benefits arising out of the utilization of genetic resources in accordance with relevant provisions of the Convention on Biological Diversity;

(ii) Traditional knowledge, innovations and practices in accordance with Article 8(j).

(d) *Elements*: The following elements shall be considered by the Ad Hoc Open-ended Working Group on Access and Benefit-sharing for inclusion in the international regime, *inter alia*:

(i) Measures to promote and encourage collaborative scientific research, as well as research for commercial purposes and commercialization, consistent with Articles 8(j), 10, 15, paragraph 6, paragraph 7 and Articles 16, 18 and 19 of the Convention;

(ii) Measures to ensure the fair and equitable sharing of benefits from the results of research and development and the benefits arising from the commercial and other utilization of genetic resources in accordance with Articles 15.7, 16, 19.1, 19.2. of the Convention;

(iii) Measures for benefit-sharing including, *inter alia*, monetary and non-monetary benefits, and effective technology transfer and cooperation so as to support the generation of social, economic and environmental benefits;

(iv) Measures to promote facilitated access to genetic resources for environmentally sound uses according to Article 15.2 of the Convention on Biological Diversity;

(v) Measures to promote and safeguard the fair and equitable sharing of benefits arising out of the utilization of genetic resources;
(vi) Measures to ensure the sharing of benefits arising from the commercial and other utilization of genetic resources and their derivatives and products, in the context of mutually agreed terms;
(vii) Measures to promote access and benefit-sharing arrangements that contribute to the achievement of the Millennium Development Goals, in particular on poverty eradication and environmental sustainability;
(viii) Measures to facilitate the functioning of the regime at the local, national, subregional, regional and international levels, bearing in mind the transboundary nature of the distribution of some *in situ* genetic resources and associated traditional knowledge;
(ix) Measures to ensure compliance with national legislations on access and benefit-sharing, prior informed consent and mutually agreed terms, consistent with the Convention on Biological Diversity;
(x) Measures to ensure compliance with prior informed consent of indigenous and local communities holding traditional knowledge associated with genetic resources, in accordance with Article 8(j);
(xi) Measures to ensure compliance with the mutually agreed terms on which genetic resources were granted and to prevent the unauthorized access and use of genetic resources consistent with the Convention on Biological Diversity;
(xii) Addressing the issue of derivatives;
(xiii) Internationally recognized certificate of origin/source/legal provenance of genetic resources and associated traditional knowledge;
(xiv) Disclosure of origin/source/legal provenance of genetic resources and associated traditional knowledge in applications for intellectual property rights;
(xv) Recognition and protection of the rights of indigenous and local communities over their traditional knowledge associated to genetic resources subject to the national legislation of the countries where these communities are located;
(xvi) Customary law and traditional cultural practices of indigenous and local communities;
(xvii) Capacity-building measures based on country needs;
(xviii) Code of ethics/Code of conduct/Models of prior informed consent or other instruments in order to ensure fair and equitable sharing of benefits with indigenous and local communities;
(xix) Means to support the implementation of the international regime within the framework of the Convention;
(xx) Monitoring, compliance and enforcement;
(xxi) Dispute settlement, and/or arbitration, if and when necessary;
(xxii) Institutional issues to support the implementation of the international regime within the framework of the Convention;
(xxiii) Relevant elements of existing instruments and processes, including:
• Convention on Biological Diversity;

- Bonn Guidelines on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization;
- The International Treaty on Plant Genetic Resources for Food and Agriculture of the Food and Agriculture Organization of the United Nations;
- The Commission on Genetic Resources for Food and Agriculture of the Food and Agriculture Organization of the United Nations;
- Current national legislative, administrative and policy measures implementing Article 15 of the Convention on Biological Diversity;
- The United Nations Permanent Forum on Indigenous Issues;
- Outcomes of Working Group on Article 8(j);
- The Agreement on Trade-related Aspects of Intellectual Property Rights and other World Trade Organization agreements;
- World Intellectual Property Organization conventions and treaties;
- International Convention for the Protection of New Varieties of Plants;
- Regional agreements;
- Codes of conduct and other approaches developed by specific user groups or for specific genetic resources, including model contractual agreements;
- African Model Law on the Rights of Communities, Farmers, Breeders, and on Access to Biological Resources;
- Decision 391 of the Andean Community;
- Decision 486 of the Andean Community;
- United Nations Convention on the Law of the Sea;
- Agenda 21;
- Rio Declaration;
- CITES;
- Antarctic Treaty;
- The Universal Declaration of Human Rights;
- The International Covenant on Civil and Political Rights;
- The International Covenant on Economic, Social and Cultural Rights.

E. Measures, including consideration of their feasibility, practicality and costs, to support compliance with prior informed consent of the Contracting Party providing genetic resources and mutually agreed terms on which access was granted in Contracting Parties with users of such resources under their jurisdiction

The Conference of the Parties,

Recalling paragraph 8 of its decision VI/24 A,

Recalling also Article 8(j), Article 15, paragraphs 1, 3 and 7, Article 16, paragraph 3, and Article 19, paragraphs 1 and 2, of the Convention,

Recalling further paragraph 16(d) of the Bonn Guidelines on Access to Genetic Resources and Equitable Sharing of Benefits Arising out of their Utilization, which identifies a number of measures that could be taken by Contracting Parties with users of genetic resources under their jurisdiction, to support compliance with prior informed consent of the Contracting Party providing such resources and with mutually agreed terms on which access was granted,

Noting that a number of Governments have taken initiatives at the national and regional levels to establish measures to support compliance with prior informed consent of the Contracting Parties providing such resources, including countries of origin, in accordance with Article 2 and Article 15, paragraph 3, of the Convention, and of the indigenous and local communities providing associated traditional knowledge, and with mutually agreed terms on which access was granted,

Noting further the ongoing activities and processes in relevant international forums such as the World Intellectual Property Organization, the TRIPs Council of the World Trade Organization, and the Commission on Plant Genetic Resources for Food and Agriculture of the Food and Agriculture Organization of the United Nations acting as the Interim Committee for the International Treaty on Plant and Genetic Resources for Food and Agriculture, regarding measures to support compliance with prior informed consent,

Aware that further work is required on a number of issues, including analysis of: (i) specific measures to support compliance, in accordance with the sovereign rights of the country of origin of genetic resources, with the prior informed consent of the Contracting Parties providing such resources, including countries of origin, in accordance with Article 2 and Article 15, paragraph 3, of the Convention, and of the indigenous and local communities providing associated traditional knowledge; (ii) compliance measures existing in national laws; (iii) the extent and level of unauthorized access and misappropriation of genetic resources and traditional knowledge; and (iv) availability of remedies in user countries relating to non-compliance,

Recognizing that a number of critical issues, such as an international certificate of origin/source/legal provenance, and disclosure of origin of genetic resources and associated traditional knowledge, need to be addressed to support compliance with national legislation of countries of origin and prior informed consent of the Contracting Parties providing such resources, including countries of origin, in accordance with Article 2 and Article 15, paragraph 3, of the Convention, and of the indigenous and local communities providing associated traditional knowledge, and with mutually agreed terms on which access was granted,

Recognizing further the need to ensure transparency in the international exchange of genetic resources and associated traditional knowledge,

Recalling paragraph 35 of decision VI/20 in which the Conference of the Parties recognized the leading role of the Convention on Biological Diversity in international biological diversity issues,

Noting with appreciation the Technical Study on Disclosure Requirements Concerning Genetic Resources and Traditional Knowledge prepared by World Intellectual Property Organization at the request of the Conference of the Parties in

decision VI/24 C and considering the contents of the Technical Study to be helpful in the consideration of intellectual property-related aspects of user measures,

1. *Takes note* of ongoing initiatives at national, regional and international levels regarding measures to support compliance with national legislation, including prior informed consent of the Contracting Parties providing such resources, including countries of origin, in accordance with Article 2 and Article 15, paragraph 3, of the Convention, and of the indigenous and local communities providing associated traditional knowledge, and with mutually agreed terms on which access was granted;

2. *Invites* Parties and Governments to continue taking appropriate and practical measures to support compliance with prior informed consent of the Contracting Parties providing such resources, including countries of origin, in accordance with Article 2 and Article 15, paragraph 3, of the Convention, and of the indigenous and local communities providing associated traditional knowledge, and with mutually agreed terms on which access was granted. Such measures may include:

(a) Exchange of information between users and providers regarding legislative, administrative and policy measures existing in their jurisdiction relating to access and benefit-sharing;

(b) Incentive measures, as referred to in paragraph 51 of the Bonn Guidelines, to encourage users to comply with national legislation, including prior informed consent and mutually agreed terms, such as publicly sponsored research grants and voluntary certification schemes;

(c) Development of model/standard contractual agreements for different user groups and different genetic resources;

(d) Aspects related to the import and export of genetic resources, including regulations when feasible and as appropriate;

(e) Easy access to justice in cases of violation of legal provisions in provider and user countries;

(f) Administrative and judicial remedies, including penalties and compensation as provided by national laws;

(g) Monitoring.

3. *Invites* Parties to recognize that traditional knowledge, whether written or oral, may constitute prior art;

4. *Invites* Parties to establish national mechanisms to ensure compliance, when required by domestic law, with the obtaining of prior informed consent of indigenous and local communities regarding access to genetic resources and associated traditional knowledge;

5. *Invites* Parties to put in place mechanisms to ensure fair and equitable benefit-sharing at the national level with relevant stakeholders and indigenous and local communities;

6. *Requests* the Ad Hoc Open-ended Working Group on Access and Benefit-Sharing to address issues related to an international certificate of origin/source/legal prove-

nance, taking into account multilateral approaches to access to genetic resources and benefit-sharing, including issues such as feasibility, practicality and costs;

7. *Requests* the Ad Hoc Open-ended Working Group on Access and Benefit-Sharing to identify issues related to the disclosure of origin of genetic resources and associated traditional knowledge in applications for intellectual property rights, including those raised by a proposed international certificate of origin/source/legal provenance, and transmit the results of this examination to the World Intellectual Property Organization and other relevant forums;

8. *Invites* the World Intellectual Property Organization to examine, and where appropriate address, taking into account the need to ensure that this work is supportive of and does not run counter to the objectives of the Convention on Biological Diversity, issues regarding the interrelation of access to genetic resources and disclosure requirements in intellectual property rights applications, including, *inter alia*:

(a) Options for model provisions on proposed disclosure requirements;

(b) Practical options for intellectual property rights application procedures with regard to the triggers of disclosure requirements;

(c) Options for incentive measures for applicants;

(d) Identification of the implications for the functioning of disclosure requirements in various World Intellectual Property Organization-administered treaties;

(e) Intellectual property-related issues raised by proposed international certificate of origin/source/legal provenance;

and regularly provide reports to the Convention on Biological Diversity on its work, in particular on actions or steps proposed to address the above issues, in order for the Convention on Biological Diversity to provide additional information to the World Intellectual Property Organization for its consideration in the spirit of mutual supportiveness;

9. *Invites* the United Nations Conference on Trade and Development and other relevant international organisations to examine the issues in, and related to, the matters specified in paragraphs 7 and 8 in a manner supportive of the objectives of the Convention on Biological Diversity and prepare a report for submission to the on-going process of the work of the Convention on Biological Diversity on access and benefit sharing;

10. *Requests* the Executive Secretary to gather information, with the assistance of Parties, Governments and relevant international organizations, and undertake further analysis relating to:

(a) Specific measures to support and ensure compliance with national legislation, prior informed consent of the Contracting Parties providing such resources, including countries of origin, in accordance with Article 2 and Article 15, paragraph 3, of the Convention, and of the indigenous and local communities providing associated traditional knowledge, and with mutually agreed terms on which access was granted;

(b) Existing measures to support compliance with national, regional, and international legal instruments;

(c) The extent and level of unauthorized access and misappropriation of genetic resources and associated traditional knowledge;

(d) Access and benefit-sharing arrangements existing in specific sectors;

(e) Administrative and judicial remedies available in countries with users under their jurisdiction and in international agreements regarding non-compliance with the prior informed consent requirements and mutually agreed terms;

(f) Existing practices and trends with regard to commercial and other utilization of genetic resources and the generation of benefits;

(g) Measures that preserve and promote legal certainty for users over the terms and conditions of access and use;

and prepare a compilation of the information received and make this compilation available for the consideration of the Ad Hoc Open-ended Working Group on Access and Benefit-sharing at its third meeting;

11. *Requests* the Ad Hoc Open-ended Working Group on Access and Benefit-sharing to analyse the compilation prepared by the Executive Secretary in accordance with the preceding paragraph, and recommend to the Conference of the Parties at its eighth meeting further measures to support and ensure compliance with prior informed consent of the Contracting Parties providing such resources, including countries of origin, in accordance with Article 2 and Article 15, paragraph 3, of the Convention, and of the indigenous and local communities providing associated traditional knowledge, and with mutually agreed terms on which access was granted.

F. Needs for capacity-building identified by countries to implement the Bonn Guidelines

The Conference of the Parties,

Recalling decision VI/24 A, paragraph 8, in which the Conference of the Parties requested, the Ad Hoc Open-ended Working Group on Access and Benefit-Sharing to advise the Conference of the Parties on needs for capacity-building identified by countries to implement the Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of Benefits Arising out of their Utilization,

Mindful that capacity-building activities related to access and benefit-sharing are a crucial element in achieving the fair and equitable sharing of the benefits arising out of the utilization of genetic resources, as well as the other two objectives of the Convention and the target to significantly reduce the rate of biodiversity loss by 2010,

Having considered the Action Plan on Capacity-building for Access to Genetic Resources and Benefit-sharing developed by the Open-ended Expert Workshop on Capacity-building for Access to Genetic Resources and Benefit-sharing further to decision VI/24 B, paragraph 1,

Having considered the work done during the ninth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice, held in Montréal from

10 to 14 November 2003, in preparing a programme of work on technology transfer and cooperation for consideration by the Conference of the Parties at its seventh meeting,

Recognizing that the Action Plan represents an important framework for the identification of capacity needs, priority areas requiring capacity-building, sources of funding and implementation of the identified needs and priorities,

Underlining that capacity-building should be a flexible, demand- and country-driven process requiring international and regional cooperation, as appropriate, involving indigenous and local communities as well as all relevant stakeholders,

Underlining also that the implementation of an international regime on access and benefit sharing and of national legislation on access and benefit-sharing could require additional activities to build capacity,

Taking note with appreciation of the report of the Open-ended Expert Workshop on Capacity-building for Access to Genetic Resources and Benefit-sharing and its work;

1. *Adopts* the Action Plan on Capacity-building for Access to Genetic Resources and Benefit-sharing annexed to this decision;

2. *Invites* Parties and Governments and relevant organizations to use the Action Plan when designing and implementing national, regional and subregional plans and strategies to build capacities for access and benefit-sharing of genetic resources and related traditional knowledge;

3. *Urges* Parties and relevant organizations to provide financial and technical assistance to support developing countries, in particular, least developed countries, small island developing States, as well as countries with economies in transition, in implementing the Action Plan and the resulting national, regional and subregional plans and strategies;

4. *Encourages* Parties and Governments to provide for the full and effective involvement and participation of indigenous and local communities and all relevant stakeholders in the development and implementation of national capacity-building plans and strategies;

5. *Requests* Parties and Governments to make information available through the clearing-house mechanism and to include information in national reports regarding their implementation of capacity-building measures on access to genetic resources and related traditional knowledge, and benefit-sharing;

6. *Requests* the Executive Secretary to facilitate, including through the clearing-house mechanism, the sharing of relevant information among donor Parties and organizations to assist coordination, reduce duplication and identify gaps relevant to the implementation of the Action Plan.

ANNEX
ACTION PLAN ON CAPACITY-BUILDING FOR ACCESS TO GENETIC RESOURCES AND BENEFIT-SHARING

A. Objective of the Action Plan

1. The objective of the Action Plan is to facilitate and support the development and strengthening of capacities of individuals, institutions and communities for the effective implementation of the provisions of the Convention relating to access to genetic resources and benefit-sharing, and in particular the Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of Benefits Arising Out of their Utilization, taking into account their voluntary nature. The implementation of the Action Plan at the local, national, subregional, regional and international levels should involve indigenous and local communities and all relevant stakeholders.

2. Capacity-building for access and benefit-sharing constitutes an integral part of efforts to build the capacities of Parties to manage and develop their genetic resources and should contribute to the conservation and sustainable use of biological diversity.

3. To achieve the objective, the Action Plan will provide a framework for identifying country, indigenous and local community and all relevant stakeholder needs, priorities, mechanisms of implementation and sources of funding.

B. Key areas requiring capacity-building

4. Key areas that require capacity-building initiatives should be considered in a flexible and transparent manner, based on a country-driven approach. This approach will take into account the different situations, needs, capabilities and stages of development of each country, as well as the different types of genetic resources and their respective characteristics, and will promote synergies between different initiatives related to capacity-building.

5. Capacities should be strengthened at the systemic, institutional and individual levels in the following key areas:

(a) Institutional capacity-building:

  (i) Policy, legislative and regulatory frameworks;
  (ii) Administrative framework;
  (iii) Funding and resource management;
  (iv) Mechanisms for follow-up, monitoring and assessment;

(b) Assessment, inventory and monitoring of genetic resources, and traditional knowledge including taxonomic capacity, *inter alia*, within the context of the Global Taxonomy Initiative, and of *in situ* and *ex situ* conservation activities;

(c) The capacity of indigenous and local communities to assess, inventory and monitor genetic resources and related traditional knowledge, with their approval and consent, using the Global Taxonomy Initiative and other relevant initiatives;

(d) Bioprospecting, screening, DNA sequencing, characterization, product development and marketing;

(e) Environmental, cultural, social and economic valuation of genetic resources, and associated traditional knowledge, innovations and practices, and market information, including sector-relevant production and marketing strategies;

(f) Development by Contracting Parties with users of genetic resources under their jurisdiction of appropriate legal, administrative, or policy measures, as appropriate, to support compliance with prior informed consent of the Contracting Party providing such genetic resources and mutually agreed terms on which access was granted;

(g) Inventory and case-studies of existing policy and legislative measures, and the development of appropriate policies and legislation;

(h) Development of legislative, administrative and policy mechanisms for the protection of genetic resources and related traditional knowledge including, *inter alia*, the development of *sui generis* systems, the promotion of existing forms of protection of intellectual property rights and the support for community-based approaches of indigenous and local communities;

(i) Development of national, regional, subregional and international information systems, and national, regional, subregional and international information management and exchange, linked with the clearing-house mechanism of the Convention;

(j) Development and strengthening of the capacities of indigenous and local communities for participation in decision-making, policy formulation and implementation and for conservation, management and product development with regard to genetic resources and to enable them to benefit from the use of their traditional knowledge and practices related to genetic resources;

(k) Public education and awareness focusing on indigenous and local communities and all relevant stakeholders at local, national and regional levels;

(l) Human-resources development at all levels, including: legal drafting skills for development of access to genetic resources and benefit-sharing measures; contract-negotiation skills for indigenous and local communities and other relevant stakeholders; modalities for benefit-sharing; dispute resolution mechanisms;

(m) Development of awareness with respect to conventions, norms and policies relating to intellectual property rights and trade and their interrelationship with genetic resources and traditional knowledge;

(n) Strengthening inter-institutional linkages and processes with a view to ensuring more effective coordination;

(o) Evaluation of how the access activity may impact on conservation and sustainable use of biodiversity, to determine the relative costs and benefits of granting access;

(p) Clarification and/or recognition, as appropriate, of established rights and claims of indigenous and local communities over genetic resources and related traditional knowledge, innovations and practices, subject to collecting for scientific

or potential commercial purposes and subject to national legal and policy frameworks;

(q) Mechanisms to provide information to potential users, regulators and the public, international and national, on their obligations regarding access to genetic resources.

C. Mechanisms for the implementation of capacity-building in key areas

6. The following processes, measures and mechanisms could be used for the implementation of capacity-building activities for access to genetic resources and benefit-sharing; noting that measures directed towards the capacity-building needs of users and of providers should be mutually supportive.

7. *Actions at multiple levels:*

Awareness-raising for the issues at stake and identification of capacity needs at the local, national, subregional, and regional levels, taking into account, as appropriate, the work of the Global Environment Facility on national capacity self-assessment;

(b) Prioritization at the local, national, and regional levels of the key areas, drawing upon a range of existing expertise in academic, industrial and government sectors and indigenous and local communities;

(c) Identification of existing and planned capacity-building initiatives, including capacity-building gaps, at the local, national, subregional, regional and international levels, both public and private, and their coverage, including by*:*

(i) National sources;
(ii) Bilateral sources;
(iii) Regional sources;
(iv) Multilateral agencies;
(v) Other international sources;
(vi) Indigenous and local communities;
(vii) Private sector, non-governmental organizations and other stakeholders;

(d) Developing and enhancing synergies and coordination of capacity-building initiatives;

(e) Establishment of indicators for monitoring capacity-building implementation;

(f) Funding through the Global Environment Facility and other donors;

(g) The participation of the private sector, academic institutions, relevant institutions and organizations of indigenous and local communities, and non-governmental organizations, as providers of capacity-building in specific areas, for example through collaborative research, transfer of technology and funding;

(h) Training workshops, train the trainers, exchange programmes and study trips;

(i) Full and effective involvement and participation of relevant stakeholders and indigenous and local communities, taking into account the tasks defined

within the programme of work on the implementation of Article 8(j) and related provisions of the Convention;

(j) Development of audiovisual, multi-media and educational material.

8. *Actions at the national level:*

(a) Designation of national focal points and establishment of competent national authorities;

(b) Development of appropriate national access and benefit-sharing strategies, policies, legislation and regulatory frameworks;

(c) Integration of capacity-building for access to genetic resources and benefit-sharing within the framework of national biodiversity strategies and other related initiatives and strategies;

(d) Approaches for action, including timelines for the operation of capacity-building for access to genetic resources and benefit-sharing, as provided for in the appendix to this Action Plan;

(e) Scientific and technical areas, including research production and technology transfer relevant to access to and use of genetic resources and benefit-sharing;

(f) Development of instruments and tools, including indicators to monitor and assess the implementation of capacity-building for access to genetic resources and benefit-sharing at all stages, and the effectiveness of policy and legislative measures.

9. *Actions at the regional and subregional levels and at the international levels:*

(a) Regional and subregional collaborative arrangements;

(b) Assessment of resource requirements and development of a funding strategy;

(c) Scientific and technical cooperation and partnerships among Parties, and between Parties and relevant multilateral agencies and other organizations through, *inter alia*, the clearing-house mechanism of the Convention, and other relevant networks, including those of relevant indigenous and local communities and relevant stakeholders;

(d) Information exchange, through the clearing-house mechanism of the Convention, the use of the Internet, databases, CD-ROMs, hard copies and workshops;

(e) Identification and dissemination of case-studies and best practices;

(f) Coordination between multilateral and bilateral donors and other organizations;

(g) Development of model agreements and codes of conduct for specific uses, users and sectors, where possible making use of work done in other forums;

(h) The Global Taxonomy Initiative;

(i) The roster of experts on access to genetic resources and benefit-sharing established under the Convention.

D. Coordination

10. In view of the multiplicity of actors undertaking capacity-building initiatives for access to genetic resources and benefit-sharing, mutual information- sharing and coordination at all levels should be promoted to encourage synergies and to identify existing gaps in coverage. At the international level, coordination is required with other relevant international regimes, in particular with capacity-building programmes under the International Treaty on Plant Genetic Resources for Food and Agriculture, and with the World Intellectual Property Organization to ensure synergies and complementarities.

11. While recognizing the country-driven nature of the Action Plan, regional and subregional approaches should be encouraged and facilitated to implement the Action Plan, noting in particular the special needs of small island developing States (SIDS). Such facilitation could include appropriate advice to the Global Environment Facility (GEF), including promotion of regional coordination among implementing agencies of capacity-building activities supported by GEF, the submission of relevant case-studies and the broader use of the clearing-house mechanism as a means, assisted by the Executive Secretary, of identifying opportunities for regional and subregional collaboration.

12. Parties, Governments and relevant international organizations should be encouraged to provide information to the Secretariat on steps taken, including by donors, towards the implementation of capacity-building measures, to be made available through the clearing-house mechanism of the Convention.

13. Parties may consider including in their national reports, websites and any other form of reporting, information on the implementation of capacity-building measures on access to genetic resources and benefit-sharing.

14. Coordination between the Ad Hoc Open-ended Inter-sessional Working Group on Access and Benefit sharing and the Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions of the Convention on Biological Diversity in the continuing development of their programmes of work with respect to capacity-building for indigenous and local communities should be encouraged.

Appendix
Possible approaches for action

Recognizing that the status of policy development related to access and benefit-sharing differs among countries, the approaches for action necessary to implement the Action Plan on access and benefit-sharing are to be decided by countries according to their national needs and priorities,

Cognizant of the urgent need to build capacities in developing countries, in particular the least developed and small island developing States among them, as well as countries with economies in transition,

Building on the identified elements in the Action Plan and without prejudice to the timeframes indicated therein,

As a tool to assist countries to establish national priorities and to facilitate regional and subregional activities the following approaches for action, based on experience and past practice, are proposed for consideration.

POSSIBLE APPROACHES FOR IMPLEMENTATION OF ACTIVITIES IDENTIFIED IN THE ACTION PLAN

A. National level

1. Inventory of genetic resources and traditional knowledge and evaluation of their potential markets, as well as assessment of existing measures and practices relating to access and benefit-sharing.

2. Assessment of the effectiveness and adequacy of existing capacity.

3. Development of national access and benefit-sharing strategy or policy (determination of ownership or rights to provide resources, including rights of indigenous and local communities; traditional knowledge; private sector partnership; prior informed consent; implementation; conflict resolution).

4. Enhancing awareness and participation of indigenous and local communities and all relevant stakeholders.

5. Development of timelines, including short- and long-term requirements for internal and external funding.

6. Development and/or strengthening of institutional, administrative, financial and technical capacities, including designation of national focal points and competent authorities and development of national legislative measures.

7. Mechanism for handling access and benefit-sharing requests, including decision-making, as well as public information and participation.

8. Mechanisms for monitoring and compliance for access and benefit-sharing arrangements.

9. Appropriate information mechanisms.

B. Subregional and regional levels

1. Assessment of national, bilateral and multilateral funding.

2. Mechanisms for regional and subregional coordination and harmonization of access and benefit-sharing strategies, policies, and legislative measures, where appropriate. This may also include regional and subregional Websites, databases, collaborative arrangements, advisory mechanisms, and centres of excellence and training.

C. International level

1. Effective functioning of the clearing-house mechanism, including the establishment of a database on capacity-building activities.

2. Enhancing the effectiveness and adequacy and coordination of financial resources to be provided by multilateral and bilateral donors and other donors to

developing countries, in particular the least developed and small island developing States among them, as well as countries with economies in transition.

3. Development and effective use of the roster of experts.

4. Enhancing synergies and coordination with capacity-building initiatives carried out by the Food and Agriculture Organization of the United Nations (FAO), the World Intellectual Property Organization (WIPO) and other relevant organizations.

5. Strengthening South-South cooperation.

6. Regular review and provision of further guidance by the Conference of the Parties to the Convention.

DECISION VII/20 | Further guidance to the financial mechanism

The Conference of the Parties,

Recalling the relevant provisions of the Convention on Biological Diversity and its decisions I/2, II/6, III/5, III/8, IV/11, IV/13, V/12, V/13, VI/16 and VI/17,

Taking note of the report of the Global Environment Facility (UNEP/CBD/COP/7/9), as well as the compilation of past guidance to the financial mechanism (UNEP/CBD/COP/7/INF/1),

Urges the Council of the Global Environment Facility to ensure participation by all Council members in its meetings,

1. *Decides* that the report from the Council of the Global Environment Facility to the Conference of the Parties should be made available three months prior to an ordinary meeting of the Conference of the Parties as well as with updates as appropriate, and in accordance with rules 28 and 54 of the Rules of Procedure for meetings of the Conference of the Parties, the Executive Secretary should make it available in all six United Nations languages;

2. *Decides* to provide the following additional guidance to the Global Environment Facility in the provision of financial resources, in accordance with Article 20 and Article 21, paragraph 1 of the Convention and in conformity with decisions I/2, II/6, III/5, IV/13, V/13 and VI/17 of the Conference of the Parties. In this regard, the Global Environment Facility shall provide financial resources to developing country Parties, taking into account the special needs of the least developed countries and the small island developing States amongst them, for country-driven activities and programmes, consistent with national priorities and objectives and in accordance with the mandate of the Global Environment Facility, recognizing that economic and social development and poverty eradication are the first and overriding priorities of developing countries, and taking fully into consideration all relevant decisions from the Conference of the Parties;

Marine and coastal biological diversity

3. *Invites* the Global Environment Facility, other funding institutions, and development agencies to provide financial support for the implementation of the elaborated programme of work on marine and coastal biodiversity;

Monitoring and indicators

4. *Recognizes* that the development and use of indicators, particularly in the development phase, requires a financial and technical commitment from Parties, and therefore *requests* the financial mechanism and *encourages* bilateral and multilateral funding agencies to assist developing countries, in particular the least developed and small island developing States among them, and countries with economies in transition through the provision of financial assistance and training, as required and as appropriate, to develop and implement effective biodiversity indicators;

Ecosystem approach

5. *Invites* the Global Environment Facility, in accordance with its mandate, and other funding institutions and development agencies to provide financial support for the implementation of the ecosystem approach, in accordance with decision VII/11;

Biological diversity and climate change

6. *Requests* the financial mechanism, in accordance with its mandate, and *invites* other sources to provide financial support to developing country Parties, in particular the least developed and small island developing States among them, and countries with economies in transition, where appropriate, for:

(a) Country-driven activities, including pilot projects, aimed at projects related to ecosystem conservation, restoration of degraded lands and marine environments and overall ecosystem integrity that take into account impacts of climate change;

(b) Assistance in capacity-building with the aim of increasing the effectiveness in addressing environmental issues through their commitments under the Convention on Biological Diversity, the United Nations Framework Convention on Climate Change, and the United Nations Convention to Combat Desertification, *inter alia*, by applying the ecosystem approach;

(c) Assistance in developing synergy-oriented programmes to conserve and sustainably manage all ecosystems, such as forests, wetlands and marine environments, that also contribute to poverty eradication;

Global Taxonomy Initiative

7. *Invites* Parties, other Governments, regional and international organizations to take full account of the importance of taxonomic capacities in achieving the goals of the Convention, to support taxonomic activities to attain the 2010 target, and to provide all necessary support to national, and where appropriate regional taxonomic centres of research and expertise; and *urges* the Parties, other Governments and the Global Environment Facility, in accordance with its mandate, and other relevant funding organizations to provide adequate and timely support to developing countries to assist in the implementation of the Global Taxonomy Initiative, and for integrating taxonomic capacity-building activities into thematic and cross-cutting programmes, including supporting activities and projects, such as, where appropriate, stand-alone capacity-building projects;

Sustainable use

8. *Invites* Parties and Governments, in collaboration with the Global Environment Facility and other relevant organizations, including the private sector, to develop and transfer technologies and provide financial support to assist in the implementation of the Addis Ababa Principles and Guidelines at the national level to ensure that the use of biological diversity is sustainable;

Invasive alien species

9. *Invites* the Global Environment Facility, in accordance with its mandate, other funding institutions and development agencies to provide financial support to developing countries, in particular the least develop countries and small island developing States among them, and countries with economies in transition, to assist in the improved prevention, rapid response and management measures to address threats of alien invasive species;

Protected areas

10. *Requests* the Global Environment Facility, respecting national targets and priorities, to support the implementation of the programme of work, and in particular to:

(a) In collaboration with other donors, encourage increased support to address the long-term financial sustainability of protected areas, including through different mechanisms and instruments, to help achieve the target of securing, by 2008, sufficient resources to meet the costs to effectively implement and manage national and regional systems of protected areas;

(b) Further develop its portfolio on protected areas towards comprehensive, representative and effectively managed protected area systems addressing system wide needs; and

(c) Support country driven early action by continuing to streamline its procedures and the provision of fast disbursing resources through expedited means;

Strategic Plan

11. *Invites* the Global Environment Facility, in accordance with its mandate, to provide adequate and timely support to developing country Parties, in particular the least developed countries and small island developing States among them, and Parties with economies in transition, as appropriate for the implementation of activities to achieve and monitor progress towards the goals and targets identified in the framework for evaluation of progress towards implemention of the Strategic Plan of the Convention, in accordance with decision VII/30;

Technology transfer and cooperation

12. Decides that based on needs and priorities identified by developing country Parties and countries with economies in transition, the Global Environment Facility, in accordance with its mandate and in collaboration with other interested funding agencies, shall, as appropriate, provide adequate and timely financial support for the implementation of the programme of work on technology transfer and technological and scientific cooperation, consistent with Articles 16 to 20 of the Convention, and in particular for:

(a) Building policy, legal, judicial and administrative capacity;

(b) Facilitating access to relevant proprietary technologies;

(c) Providing other financial and non-financial incentives for the diffusion of relevant technologies;

(d) Building capacities of, and empowering, indigenous and local communities and all relevant stakeholders with respect to access to and use of relevant technologies;

(e) Improving the capacity of national research institutions in developing countries and countries with economies in transition for the development of technologies, as well as for adaptation, diffusion and the further development of imported technologies consistent with their transfer agreement and international law including through fellowships and international exchange programmes;

(f) Supporting the development and operation of regional or international initiatives to assist technology transfer and cooperation as well as scientific and technical cooperation, including those initiatives designed to facilitate South-South cooperation and South-South joint development of new technologies and also such cooperation among countries with economies in transition;

Millennium Development Goals

13. *Urges* Parties, Governments, international financial institutions, donors, and relevant intergovernmental organizations, as a contribution towards the Millennium Development Goals, to implement development activities in ways that are consistent with, and do not compromise, the achievement of the objectives of the Convention on Biological Diversity and the 2010 target, including by improving environmental policies in relevant development agencies and sectors such as

through integrating concerns relating to biodiversity and the Millennium Development Goals more directly into environmental impact assessments, strategic environmental assessments and other such tools, including at the national level through the national strategies for sustainable development and the poverty reduction strategies and programmes, and *invites* the Global Environment Facility to support capacity-building activities in developing countries for this purpose;

National reporting

14. *Encourages* Parties, Governments, relevant bilateral, regional and multilateral organizations, and the Global Environment Facility to collaborate to strengthen the various capacities of Parties, particularly developing country Parties and countries with economies in transition, to prepare their future national and thematic reports;

15. *Further encourages* Parties, Governments, relevant bilateral, regional and multilateral organizations, and the Global Environment Facility, to analyse the progress of Parties, particularly developing country Parties and countries with economies in transition, in implementing the Convention, in relation to those areas identified as a priority by those countries, in order to *inter alia* assist them in the preparation of their future national reports;

16. *Requests* the Global Environment Facility to explore ways to expedite and simplify its procedures for allocating funds to the eligible countries to prepare their national reports to fulfil their reporting obligations under the Convention;

17. *Invites* the Global Environment Facility to provide the necessary financial support to facilitate the preparation of the third national reports by the Parties;

Education and public awareness

18. *Invites* the Global Environment Facility, in accordance with its mandate, and other donor organizations to provide funding to developing countries, particularly the least developed and small island developing States among them, and countries with economies in transition for the implementation of their national communication, education and public-awareness programmes and activities;

Access to genetic resources and fair and equitable sharing of benefits

19. *Reiterates* its guidance to the Global Environment Facility, as the institutional structure operating the financial mechanism of the Convention, to provide financial resources for country-driven projects based on national priorities that assist with the implementation of the Action Plan in support of the implementation of the Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of Benefits Arising out of their Utilization, and further requests the Global Environment Facility, in accordance with its mandate, to support capacity-building regarding the transfer of technologies which enables providers to fully appreciate and actively participate in benefit-sharing arrangements at the stage of granting access permits;

Biosafety

Welcoming the biosafety capacity-building initiatives of the Global Environment Facility and its implementing agencies,

Recognizing the need to ensure that guidance to the financial mechanism will support in a balanced manner the objectives of the Convention and its Protocol,

Stressing the need for mutual information, coordinated action and regular monitoring in order to avoid duplication and to identify gaps and possible synergies because of the multitude of different actors undertaking various capacity-building initiatives, and for an active role the Executive Secretary should play in promoting this process,

Confirming that the arrangements between the Conference of the Parties and the Council of the Global Environment Facility provided for in the Memorandum of Understanding adopted by the Conference of the Parties at its third meeting will apply, *mutatis mutandis,* for purposes of the Cartagena Protocol,

20. *Decides* to provide the following guidance to the Global Environment Facility to be implemented in a timely manner;

21. *Decides also* upon the following eligibility criteria for funding by the Global Environment Facility:

(a) All developing countries, in particular the least developed and small island developing States among them, and countries with economies in transition, including countries amongst these that are centres of origin and centres of genetic diversity, which are Parties to the Protocol, are eligible for funding by the Global Environment Facility in accordance with its mandate;

(b) All developing countries, in particular the least developed and small island developing States among them, and countries with economies in transition, including countries amongst these that are centres of origin and centres of genetic diversity, which are Parties to the Convention and provide a clear political commitment towards becoming Parties to the Protocol, shall also be eligible for funding by the Global Environment Facility for the development of national biosafety frameworks and the development of national biosafety clearing-houses and other necessary institutional capabilities to enable a non-Party to become a Party. Evidence of such political commitment shall take the form of a written assurance to the Executive Secretary that the country intends to become a Party to the Protocol on completion of the activities to be funded;

22. *Stresses* that the provision of financial resources by the Global Environment Facility shall be for country-driven activities and programmes consistent with their national priorities and objectives;

23. *Invites* developed country Parties, Governments, the Global Environment Facility, other donor agencies and relevant organizations to provide financial support and other assistance to developing country Parties, in particular the least developed and the small island developing States among them, and Parties with economies in transition, including countries amongst these that are centres of ori-

gin and centres of genetic diversity, to develop and implement capacity-building activities, including organization of national, regional and inter-regional capacity building workshops and preparatory meetings;

24. *Invites* the Global Environment Facility to extend support for demonstration projects on implementation of the national biosafety frameworks to other eligible countries;

25. *Urges* the Global Environment Facility to ensure a rapid implementation of its initial strategy for assisting countries to prepare for the ratification and implementation of the Protocol, and to support capacity-building for the establishment of national components of the Biosafety Clearing-House in a flexible manner, and to provide additional support for the development and/or strengthening of existing national and regional centres for training; regulatory institutions; risk assessment and risk management; infrastructure for the detection, testing, identification and long-term monitoring of living modified organisms; legal advice; decision-making; handling of socio-economic considerations; awareness-raising and technology transfer for biosafety;

26. *Notes* that the role of the Global Environment Facility, in accordance with its mandate, in the Action Plan for Building Capacities for the Effective Implementation of the Protocol, adopted by the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety at its first meeting, includes:

(a) Providing funding and other assistance to build necessary legislative and administrative frameworks, and for training in risk assessment and risk management;

(b) Deciding on further areas for financial support for capacity-building in accordance with the identified priority needs of developing countries and countries with economies in transition, responses to the questionnaires, the outcomes of inter-sessional workshops, and its previous pilot project on biosafety;

(c) Implementing the GEF Strategy to Assist Countries to Ratify and Implement the Cartagena Protocol on Biosafety;

(d) Facilitating the provision of technical support; and

(e) Facilitating the use of existing and developing regional networks.

DECISION VII/21 | Additional financial resources

The Conference of the Parties,

Recalling the commitments made by all Parties in Articles 20 and 21 of the Convention on Biological Diversity,

Recalling also paragraph 44 of the Plan of Implementation of the World Summit on Sustainable Development,

Welcoming the substantial third replenishment of the Global Environment Facility Trust Fund,

Concerned with funding gaps, at all levels, that remain in addressing the needs for achieving the three-fold objectives of the Convention in a balanced manner,

Affirming that poverty eradication, sustainable development and the achievement of the three objectives of the Convention are closely inter-linked,

1. *Urges* Parties and Governments, international and regional financial institutions and development agencies, as well as other donors, to take timely actions to ensure the effective implementation of the programme of work as well as the Strategic Plan of the Convention and associated targets;

2. *Stresses* the importance of implementing paragraph 7 of decision VI/16 in which Parties and Governments are invited to share their experience on developing and implementing financial measures for supporting national biodiversity strategies and action plans, and *encourages* the Executive Secretary to compile and disseminate such information as available;

3. *Urges* Parties to fully implement the Monterrey Consensus on financing for development and conclude successfully the Doha Development Negotiation Round process;

4. *Notes with appreciation* the publication "Aid activities targeting the objectives of the Rio Conventions 1998–2000" released by the Development Assistance Committee of the Organization for Economic Co-operation and Development, and *invites* the Organization for Economic Co-operation and Development to provide information on financial flow statistics relating to the objectives of the Convention to the Conference of the Parties at its eighth meeting;

5. *Invites* Parties and Governments, funding institutions and development agencies, as well as other donors, which have not done so, to make their funded biodiversity-related projects publicly available on their respective websites and to notify the Executive Secretary of the list of such projects;

6. *Requests* the Executive Secretary to continue the efforts to compile and disseminate biodiversity-related funding information, in order to monitor funding status, identify gaps in funding activities and develop options;

7. *Invites* Parties and Governments to enhance the integration of biological diversity into their sectoral development and assistance programmes;

8. *Invites* Parties and Governments to develop and encourage biodiversity-related partnership arrangements with and among funding institutions and other stakeholders, including with banking and business sectors, in order to promote, *inter alia*, the development and implementation of initiatives such as the Global Initiative on Banking, Business and Biodiversity, in support of the achievement of the objectives of the Convention and agreed global targets;

9. *Encourages* Parties and Governments, international and regional financial institutions and development agencies, as well as other donors, to further explore opportunities to utilize various initiatives including debt-relief instruments to promote conservation and sustainable use of biodiversity.

DECISION VII/22 | Arrangements for the third review of the effectiveness of the financial mechanism

The Conference of the Parties,

Recalling Article 21 of the Convention on Biological Diversity and decisions III/8 and VI/17,

Aware of the preparation of the third Overall Performance Study of the Global Environment Facility to be completed by June 2005, and the need to ensure synergies between the Study and the third review of the financial mechanism,

1. *Decides* to adopt the annex to the present decision, containing the objectives, methodology and criteria as well as procedures for the third review of the effectiveness of the financial mechanism to be conducted in time for the eighth meeting of the Conference of the Parties;

2. *Decides also* that this third review should be conducted by an independent evaluator and under the authority of the Conference of the Parties and take fully into account reports of the Global Environment Facility with respect to operations of the financial mechanism;

3. *Decides further* that, based on the results of the review, the Conference of the Parties shall take appropriate action to improve the effectiveness of the mechanism if necessary.

ANNEX
GUIDELINES FOR THE THIRD REVIEW OF THE EFFECTIVENESS OF THE FINANCIAL MECHANISM

A. Objectives

1. In accordance with Article 21, paragraph 3, the Conference of the Parties will review the effectiveness of the mechanism, including the criteria and guidelines referred to in Article 21, paragraph 2, with a view to taking appropriate action to improve the effectiveness of the mechanism if necessary. For this purpose, effectiveness will include:

(a) The effectiveness of the financial mechanism in providing and delivering financial resources, as well as in overseeing, monitoring and evaluating the activities financed by its resources;

(b) The conformity of the activities of the Global Environment Facility (GEF), as the institutional structure operating the financial mechanism, with the guidance of the Conference of the Parties;

(c) The efficiency and effectiveness of the process of providing guidance to the financial mechanism to promote the implementation of the Convention and the achievement of its three objectives;

(d) The efficiency, effectiveness and sustainability of the GEF-funded activities on the implementation of the Convention and in the achievement of its three objectives, taking into account the guidance provided by the Conference of the Parties.

B. Methodology

2. The review will cover all the activities of the financial mechanism for the period from July 2001 to June 2005.

3. The review shall draw upon, *inter alia*, the following sources of information:

(a) Information provided by both developed and developing countries and Parties regarding the financial mechanism, including national reports with respect to the financial mechanism;

(b) Reports prepared by the Global Environment Facility, including its reports to the Conference of the Parties;

(c) Reports of the independent GEF Monitoring and Evaluation Unit that relate to GEF biodiversity activities within the framework of the financial mechanism;

(d) The Third Overall Performance Study of the Global Environment Facility;

(e) Information provided by other relevant stakeholders.

C. Criteria

4. The effectiveness of the financial mechanism shall be assessed taking into account, *inter alia*:

(a) The steps and actions taken by the financial mechanism in response to the actions requested by the Conference of the Parties at its fourth meeting to improve the effectiveness of the financial mechanism, as set out in the annex to its decision IV/11 as well as in decision VI/17;

(b) The actions taken by the financial mechanism in response to the guidance of the Conference of the Parties, as contained in decisions I/2, II/6, III/5, IV/13, V/13 and VI/17;

(c) Any other significant issue raised by the Parties.

D. Procedures

5. Under the authority and with the support of the Conference of the Parties, the Executive Secretary shall contract an experienced independent evaluator to undertake the review, in accordance with the above objectives, methodology and criteria.

6. The evaluator shall design a questionnaire using the criteria adopted in the present guidelines, to be sent to the Parties and other stakeholders as soon as practicable after the seventh meeting of the Conference of the Parties, and prepare a compilation and synthesis of the information received.

7. The evaluator will undertake such desk studies, interviews, field visits and collaboration with the GEF Monitoring and Evaluation Unit, as may be required, for the preparation of the review, subject to the availability of resources.

8. The draft compilation and synthesis, and the recommendations of the evaluator, will be made available to GEF for its review and comments. Such comments shall be included in the documentation and identified by source.

9. Based on the synthesis report and recommendations of the independent evaluator, the Executive Secretary shall prepare, in consultation with the GEF, a draft decision on the third review of the financial mechanism, including specific suggestions for action to improve the effectiveness of the mechanism if necessary, for consideration of the eighth meeting of the Conference of the Parties.

10. The Executive Secretary shall submit all the relevant documents to Parties at least three months prior to the eighth meeting of the Conference of the Parties.

DECISION VII/23 | Scientific and technical cooperation and the clearing-house mechanism (Article 18, paragraph 3)

A. The clearing-house mechanism

The Conference of the Parties,

Taking note of the note by the Executive Secretary on the activities of the clearing-house mechanism during the inter-sessional period (UNEP/CBD/COP/7/17/Add.1),

Noting with satisfaction the concrete steps taken towards making the clearing-house mechanism an effective tool for promoting technical and scientific cooperation among Parties,

1. *Decides* to extend the mandate of the informal advisory committee, as constituted and coordinated by the Executive Secretary, and as defined by its operational guidelines;

2. *Also decides* to review the continuation and mandate of the informal advisory committee at the ninth meeting of the Conference of the Parties;

3. *Calls upon* Parties to:

(a) Use the clearing-house mechanism toolkit to establish clearing-house mechanism national focal points and websites, if they have not done so already;

(b) Contribute resources for the translation and maintenance in the six official languages of the United Nations of the content of the website of the Secretariat for the Convention and of the clearing-house mechanism toolkit;

(c) Use the controlled vocabulary for the Convention on Biological Diversity to facilitate interoperability of information among national clearing-house mechanisms;

4. *Invites* developed country Parties to assist developing countries Parties, through the clearing-house mechanism, in their efforts to implement and use new information technologies, including the establishment of websites;

5. *Invites* Parties to develop regional clearing-house mechanisms to further promote and facilitate technical and scientific cooperation and the exchange of information on technology transfer at the regional and national levels;

6. *Requests* the Executive Secretary to use the clearing-house mechanism, in collaboration with the informal advisory committee, to continue to strengthen collaboration with international partners and organizations for review at the eighth meeting of the Conference of the Parties and to report on that collaboration, including an elaboration of the relative roles of the clearing-house mechanism and information facilities dealing in particular with taxonomic databases including, IABIN (Inter-American Biodiversity Information Network) hubs, BioNet LOOPs (Locally Owned and Operated Partnerships), NatureServe CDCs (Centres for Data Conservation), nodes of the Global Biodiversity Information Facility and Species 2000 and the Integrated Taxonomic Information System's Catalogue of Life;

7. *Also requests* the Executive Secretary to:

(a) Update the strategic plan of the clearing-house mechanism to 2009, in collaboration with the informal advisory committee, for consideration by the eighth meeting of the Conference of the Parties;

(b) Convene, subject to the availability of financial resources, regional workshops as a catalysing mechanism to allow for the interaction of international thematic focal points with the national focal points to further enhance the scientific and technical cooperation goal of the clearing-house mechanism and to build capacities at the national level with regard to use of and access to new information technologies;

(c) Update the clearing-house mechanism toolkit to be used as a meta-toolkit, linking the different existing toolkits with a view to optimize their resources and assist users to choose the most appropriate technology;

(d) Examine ways to develop regional portals to visualize and exchange national and regional cartographic information (geographic information systems and remote-sensing) from all thematic areas (including maps, satellite images and datasets);

(e) Advise on ways the clearing-house mechanism can assist to make relevant information interoperable among the three Rio conventions for review at the eighth meeting of the Conference of the Parties;

(f) Develop an Internet-based web portal on island biological diversity to integrate, into the existing clearing-house mechanism, information on relevant programmes or initiatives such as the *Small Island Developing States Network* (SIDsnet), the Coastal Regions and Small Islands—UNESCO, the Small Islands Voice and the small island developing states activities programme of the United Nations Environment Programme;

(g) Further enhance the sections on the Convention's website related to the programme areas and cross-cutting issues, by applying the lessons learned from the development of the Biosafety Clearing-House, especially its use of

common formats, protocols and standards, to increase interoperability of data and information;

8. Calls on the Informal Advisory Committee to assess the results of the independent review of the clearing-house mechanism of the Convention on Biological Diversity (UNEP/CBD/COP/7/INF/12) and assist the Executive Secretary on measures and actions to be undertaken to strengthen the clearing-house mechanism's role in promoting technical and scientific cooperation, including its role in facilitating the transfer of technology and know-how and capacity-building to support implementation of the Convention at the national level.

B. Operational procedures for the informal advisory committee of the clearing-house mechanism

The Conference of the Parties,

Decides to adopt the operational procedures for the informal advisory committee of the clearing-house mechanism established by its decision III/4, paragraph 10, as annexed to the present decision.

ANNEX
OPERATIONAL PROCEDURES FOR THE INFORMAL ADVISORY COMMITTEE

A. Objectives

1. The informal advisory committee shall, in providing guidance to the Executive Secretary, have the following objectives:

(a) Provide advice on matters relating to the clearing house-mechanism, and in particular, on how to improve the effectiveness of the clearing house-mechanism as a mechanism to promote scientific and technical cooperation and exchange information on the transfer of publicly available expertise, technology and scientific cooperation;

(b) Facilitate the development and implementation of guidance from the Conference of the Parties concerning the clearing house-mechanism and the Strategic Plan of the clearing-house mechanism (UNEP/CBD/COP/5/INF/3);

(c) Facilitate and encourage cooperation with other relevant international and regional scientific and technical cooperation and technology transfer initiatives;

(d) Advise on means to facilitate the implementation of the clearing-house mechanism at the national level;

(e) Enhance the scientific and technical cooperation benefits of all Convention activities.

B. Operational procedures

2. The Executive Secretary, in constituting and coordinating the informal advisory committee, shall seek to ensure regional balance and relevant expertise and

knowledge, including of relevant international and regional scientific and technical cooperation initiatives, and non-governmental organizations.

C. Membership

3. The members of the informal advisory committee shall be selected by the Executive Secretary. In selecting members, he shall seek to ensure a balance of expertise and regional and biogeographical balance.

4. Informal advisory committee members shall be selected for their expertise and understanding of the clearing-house mechanism and the Convention, taking into account the need for expertise including: scientific and technical cooperation; capacity-building; information exchange and sharing; and facilitating partnership with other organizations and initiatives.

5. Informal advisory committee members shall be selected for two years. The term is renewable by the Executive Secretary.

6. The Executive Secretary should ensure that changes in membership do not affect the continuity of the work.

7. Proxies may be agreed to by the Executive Secretary.

D. Chair

8. The Chair of the informal advisory committee shall be selected by the Executive Secretary, after consultation with the members, and serve for at least two years.

E. Meetings

9. Meetings shall be convened by the Executive Secretary and held back-to-back with the SBSTTA and meetings of the Conference of the Parties. Additional meetings, electronic or in person, may be convened by the Executive Secretary as required to ensure the timely handling of issues.

10. The draft agenda for each meeting shall, if possible, be made available two months prior and otherwise at least one month prior to each meeting, and be posted on the Convention on Biological Diversity web site and notified to the informal advisory committee and clearing house-mechanism national focal points by fax and/or e-mail, and/or post.

11. Minutes of each meeting, and related information documents, shall be posted on the website of the Convention on Biological Diversity as soon as practical following their review by the Executive Secretary. This information will also be made available to the informal advisory committee and clearing-house mechanism national focal points by fax or e-mail or post.

DECISION VII/24 | Education and public awareness (article 13)

The Conference of the Parties,

Taking note of the report of the meeting of the Consultative Working Group of Experts on Communication, Education and Public Awareness (UNEP/CBD/COP/7/17/INF/10) and, in particular, the matrix in the report, which summarizes suggestions and proposals to enhance the implementation of the Global Initiative on Communication, Education and Public Awareness, including, *inter alia,* key elements required to develop an operational strategy to guide the implementation of the three programme elements in a coherent and consistent manner (including prioritization, clarification of intended audience, activities, means and resources to undertake the identified activities, institutional arrangements, results to be generated, as well as the reporting mechanisms on implementation and impacts of outputs).

Noting further that communication, education and public awareness are essential elements for the successful and effective implementation of the programmes of work of the Convention on Biological Diversity and also for facilitating the process of mainstreaming biodiversity into national sectoral policies and programmes,

1. *Welcomes* the efforts of the Executive Secretary and progress achieved in the implementation of the Global Initiative on Communication, Education and Public Awareness, taking into consideration the limited financial resources available for these efforts;

2. *Welcomes* the report of the fourth meeting of the Consultative Working Group of Experts on Biological Diversity Education and Public Awareness and the proposals contained therein for further implementation of communication, education and public awareness which are attached as an annex to the report of the meeting;

3. *Invites* Parties to take into consideration the need to communicate the various elements of the 2010 biodiversity target and to establish appropriate linkages to the Decade on Education for Sustainable Development in the implementation of their respective national CEPA programmes and activities;

4. *Requests* the Executive Secretary to:

   (i) Allocate a specific post to facilitate the implementation and further development of Article 13 on education and public awareness;

   (ii) Convene an informal advisory committee on communication, education and public awareness, which would meet at the next meeting of the SBSTTA to further develop the CEPA work programme for in-depth consideration by the Conference of the Parties at its eighth meeting. This informal advisory committee would meet at subsequent meetings of the SBSTTA and the Conference of the Parties, as is the current practice for the informal advisory committee for the clearing-house mechanism;

   (iii) Invite Parties to assist the Executive Secretary in the implementation of this action through voluntary contributions to secure the implementation of the work programme;

(b) Continue the collaborative efforts with the CEPA programmes of other relevant organizations including the Rio Conventions to enhance coordination and maximize synergies;

(c) Report to the Conference of the Parties at its eighth meeting on progress in the implementation of the identified priority activities in the CEPA programme of work;

5. *Invites* donor organizations to make available the required financial support for the implementation of the identified priority activities in the CEPA programme of work;

6. *Invites* donor organizations to provide funding to developing countries, particularly the least developed and small island developing States among them, and countries with economies in transition for the implementation of their national CEPA programmes and activities;

7. *Requests* Parties to contribute and make available financial support towards the cost of the production of the second edition of the Global Biodiversity Outlook report for release in May 2005;

8. *Requests* the Executive Secretary, subject to availability of funding, to publish the third edition of the Handbook on the Convention on Biological Diversity, including the decisions of the Conference of the Parties up to its seventh meeting, in the United Nations languages.

DECISION VII/25 | National reporting

A. National reporting

The Conference of the Parties

1. *Takes note* of the analysis of the information contained in the second national reports as contained in the relevant documents prepared by the Executive Secretary for the consideration of the seventh meeting of the Conference of the Parties (UNEP/CBD/COP/7/17/Add.3 and UNEP/CBD/COP/7/INF/2);

2. *Expresses concern* over the delay in the submission of national reports by some Parties, and *takes note of* the difficulty that this delay may pose to the assessment of the implementation of the Convention in the absence of an adequate number of national reports;

3. *Requests* Parties to facilitate the preparation of the third and future national reports and endeavour to submit national reports in time;

4. *Encourages* Parties, Governments, relevant bilateral, regional and multilateral organizations to collaborate to strengthen the various capacities of Parties, particularly developing country Parties and countries with economies in transition, to prepare their future national and thematic reports;

5. *Further encourages* Parties, Governments, relevant bilateral, regional and multilateral organizations, to analyse the progress of Parties, particularly developing

country Parties and countries with economies in transition, in implementing the Convention, in relation to those areas identified as a priority by those countries, in order to *inter alia* assist them in the preparation of their future national reports;

6. *Requests* Parties to submit as much information and data as available to improve the adequacy of information for the evaluation of the implementation of the Convention, the Strategic Plan of the Convention and the progress towards the 2010 target, particularly focusing on:

(a) Status and trends of biodiversity and its various components;

(b) Impacts of national actions on the achievement of the objectives of the Convention, the goals and objectives identified in the Strategic Plan of the Convention and the 2010 target;

(c) Implementation of priority actions in national biodiversity strategies and action plans; and

(d) Constraints or impediments encountered in the implementation of the Convention;

7. *Requests* the Subsidiary Body for Scientific, Technical and Technological Advice and other bodies established under the Convention to take into account, where appropriate, the conclusions drawn from the analysis of the second national reports when addressing relevant programmes of work, cross-cutting and other issues under the Convention.

B. Guidelines for the third national report

The Conference of the Parties

1. *Endorses* the format for the third national report, as contained in the annex to the note by the Executive Secretary on guidelines for the third national report (UNEP/CBD/COP/7/17/Add.2), as amended, with respect to the questionnaire on forest biological diversity, by annexes I and II of the note by the Executive Secretary on proposals for the review of the expanded programme of work on forest biological diversity (UNEP/CBD/COP/7/17/Add.7);

2. *Requests* the Executive Secretary to further develop this format to incorporate the views expressed by Parties and further questions arising from the decisions of its seventh meeting and to make the revised format available to Parties no later than July 2004;

3. *Further requests* the Executive Secretary to revise the existing national reporting formats to make them more concise and better targeted to reduce the reporting burden placed on Parties, and to better contribute to the assessment of progress towards achieving the mission of the Strategic Plan and the 2010 target, and the identification of obstacles to implementation. The revision of the reporting formats should address the matters in decision VI/25, paragraph 3, and:

(a) The need to include reporting on all the four goals of the Strategic Plan;

(b) The need to allow Parties to incorporate the results of indicators (where available) to enable Parties to provide a more comprehensive assessment of progress;

(c) The need to include available factual data on the outcomes and impacts of measures taken to achieve the objectives of the Convention (including status and trends of biodiversity);

4. *Invites* Parties to promote wide stakeholder involvement, as well as that of indigenous and local communities, in the preparation of national reports, or in related processes that will inform national-report preparation, to ensure a more accurate and comprehensive reflection of the views and priorities of national stakeholders;

5. *Invites* developed country Parties to continue to provide support in the form of technical capacity development and financial resources to developing country Parties, Parties with economies in transition and small island developing States, as appropriate, to facilitate these Parties to meet their reporting obligations;

6. *Encourages* the Executive Secretary to continue to participate in the ongoing efforts to harmonize and streamline the national reporting processes of the Convention with those of other biodiversity-related conventions and processes with a view to reduce reporting burdens on Parties and increase synergies among biodiversity-related conventions, without impeding progress on improvements to the national reporting process to meet the needs of Parties to the Convention, and to strengthen the inter-sessional efforts to promote the submission of national reports;

7. *Decides* to further reduce the reporting burden on Parties by, wherever possible, using other means to gather information to allow evaluation of implementation of the Convention and the Strategic Plan;

8. *Requests* Parties to submit their third national reports:

(a) By 15 May 2005;

(b) In an official language of the United Nations;

(c) In both hard copy and electronic format;

9. *Further requests* the Executive Secretary to prepare an analysis of the information contained in the third national reports for consideration by the Conference of the Parties at its eighth meeting, and make it available through the clearing-house mechanism.

DECISION VII/26 | Cooperation with other conventions and international organizations and initiatives

The Conference of the Parties,

Recognizing that enhanced international cooperation and improved coordination at national level will be important in efforts to meet the 2010 target,

Noting Strategic Goal 1 of the Strategic Plan adopted by decision VI/26; that the Convention is fulfilling its leadership role in international biodiversity issues, and in particular subsidiary goals 1.2; that the Convention is promoting cooperation between all relevant international instruments and processes to enhance policy

coherence, and 1.3; that other institutional processes are actively supporting the implementation of the Convention, in a manner consistent with their respective frameworks,

Noting the report by the secretariat on cooperation with other organizations, initiatives and conventions (UNEP/CBD/COP/7/19), which contains concrete examples of actions that demonstrate cooperation between international conventions and with implementing organizations,

Welcoming the support of the United Nations General Assembly (UNGA Resolution A/58/112) for the ongoing work of the liaison group of the secretariats and officers of the relevant subsidiary bodies of the UNFCCC, the UNCCD and the CBD, which, *inter alia*, encourages continuing cooperation in order to promote complementarities among the secretariats while respecting their independent legal status,

Recognizing the leading role of UNEP in environmental issues,

Recognizing the role of the Joint Liaison Group in supporting cooperation between the Rio conventions, and the role of the Collaborative Partnership on Forests in enhancing cooperation and coordination on Forest issues, where the Secretariat of the Convention on Biological Diversity is the focal agency on forest biodiversity and traditional forest related knowledge,

1. *Urges* further enhanced cooperation between the Convention on Biological Diversity and all relevant international conventions, organizations and bodies, strengthening and building on existing cooperative arrangements to enhance synergies and reduce inefficiencies in a manner consistent with their respective mandates, governance arrangements and agreed programs, within existing resources;

2. *Requests* in this context, the Executive Secretary, to invite the secretariats of the other four biodiversity conventions (CITES, Ramsar, CMS and World Heritage Convention) to form a liaison group to enhance coherence and cooperation in their implementation, and to report on progress made to the eighth meeting of the Conference of the Parties;

3. *Requests* the Executive Secretary, drawing on the experience gained in the exercise mentioned above, and in close collaboration with relevant conventions, organizations and bodies, to examine options for a flexible framework between all relevant actors, such as a global partnership on biodiversity, in order to enhance implementation through improved cooperation, and to report to the Conference of the Parties at its eighth meeting on possible ways forward;

4. *Requests* the Executive Secretary to renew his applications for observer status in relevant bodies of the World Trade Organization, in particular, in the Council on Trade-related Aspects of Intellectual Property Rights (TRIPs Council);

5. *Requests* the Executive Secretary to inform the Ad Hoc Open-ended Working Group on Review of Implementation of the Convention, on ongoing work to establish ways of enhancing cooperation between the major biodiversity-related organizations and secretariats;

6. *Requests* all Parties and other Governments to support this initiative at the national level and in relevant forums.

DECISION VII/27 | Mountain biological diversity

The Conference of the Parties

1. *Adopts* the programme of work[216] on mountain biological diversity, annexed to the present decision, as a set of actions addressing characteristics and problems that are specific to mountain ecosystems;

2. *Underlining* the sovereign rights and responsibilities of countries over their mountains and mountain biodiversity, *notes* that Parties should implement the programme of work on mountain biological diversity in the context of their national and subnational priorities and needs. Inclusion of an activity in the work programme does not mean relevance of that activity to all Parties;

3. *Invites* Parties to identify priority actions among the actions recommended in the programme of work depending on the particular national or local conditions and *urges* Parties to incorporate them into their national biodiversity strategies and action plans, as well as national programmes and activities on the implementation of regional mountain conventions and initiatives, and implement them taking into account the ecosystem approach so as to contribute to the significant reduction of the rate of mountain biological diversity loss by 2010 and as a contribution to poverty reduction and to the benefit of indigenous and local communities dependent on mountains;

4. *Encourages* Parties, other Governments and organizations to ensure cross-referencing to, and coherence with, the other thematic and cross-cutting programmes of work, including technology transfer, while implementing this programme of work;

5. *Invites* Parties to adopt outcome-oriented targets for mountain biodiversity, taking into account the Strategic Plan of the Convention, the Global Strategy for Plant Conservation, the Plan of Implementation of the World Summit on Sustainable Development, the Millennium Development Goals and in conjunction with actions 2.1.5 and 3.2.2 of this programme of work;

6. *Agrees* that, in undertaking the implementation of the programme of work, Parties, other Governments, international organizations, civil society organizations and others should take into account the knowledge, innovations and practices of indigenous and local communities and ensure their participation in conservation and sustainable use of mountain biological diversity, in accordance with Article 8(j) and related provisions of the Convention;

7. *Recognizes* the need for resources, human, technological and financial capacity, to implement effectively the activities in the programme of work, and thus *encourages* governments and other interested entities to form partnerships to address these needs and *urges* bilateral and multilateral organizations and processes to provide financial assistance, training and support, where applicable, to developing country Parties, in particular the least developed countries and small island developing States among them, and Parties with economies in transition to assist in the effective implementation of the programme of work;

216 Implementation of this programme of work should not promote incentives that negatively affect the biodiversity of other countries.

8. *Invites* Parties, other Governments, and relevant organizations to report on implementation of this decision and those parts of the programme of work, which are identified as priorities under national and local conditions pursuant to paragraphs 3 and 5 through, *inter alia*, their reports submitted to the Conference of the Parties;

9. *Requests* Parties that have not yet done so to submit their thematic reports;

10. *Requests* the Executive Secretary to:

(a) Develop, in collaboration with Parties and relevant organizations, proposals on a small number of global outcome-oriented targets, timeframes in relation to the 2010 target, ways and means for implementation, and indicators at the regional, national and local levels for consideration at a meeting of the Subsidiary Body on Scientific, Technical and Technological Advice prior to the eighth meeting of the Conference of the Parties;

(b) Compile information received from Parties, other Governments and relevant organizations and bodies, on the implementation of the programme of work, and analyse progress made towards the achievement of a significant reduction in the rate of mountain biodiversity loss by 2010;

(c) Assist the Parties in implementing the programme of work through, *inter alia,* the supporting activities defined in the programme of work, and the development, in collaboration with relevant organizations, of proposals for global and, where appropriate, regional targets or expected measurable outputs with timeframes and main actors; and

(d) Regularly gather information on the characteristics and problems that are specific to mountain biological diversity listed in paragraph 8 of the programme of work;

(e) In collaboration with relevant conventions and organizations, collect, review, evaluate and share, through the Clearing-house Mechanism and other means, existing information about the role of mountain ecosystems in producing and maintaining freshwater resources, and about the consequences of climate change and desertification on mountain biological diversity;

(f) With the assistance of the Global Taxonomy Initiative Co-ordination Mechanism to develop and incorporate activities and targets appropriate to mountain ecosystems within the GTI programme of work for consideration at SBSTTA 11, taking into account the COP 7 decision on targets.

11. *Further requests* the Executive Secretary to strengthen collaboration with other organizations, institutions and conventions, as a way to streamline many of the activities contained in the programme of work; promote synergies and avoid unnecessary duplications;

12. *Notes* that the notes by the Executive Secretary on status and trends of, and threats to, mountain biological diversity (UNEP/CBD/SBSTTA/8/5), and on measures taken for the conservation and sustainable use of mountain biological diversity (UNEP/CBD/SBSTTA/8/6), can be a basis for the identification of priorities for early action, and *recognizes* that the relative importance of threats, and

their underlying causes will vary by region and country, and, accordingly, *requests* the Executive Secretary to update this information as part of the reviews of the implementation of the thematic programmes of work in collaboration with Parties and relevant organizations, in particular the Global Mountain Biodiversity Assessment among others, and making use of all available information;

13. *Emphasizes* the importance of mountain biodiversity for livelihoods, and therefore *requests* the Executive Secretary to compile and disseminate information linking mountain biodiversity to sustainable development and poverty alleviation, and examples of successful collaboration between mountain dwellers and communities living in areas adjacent to mountains in form of incentives for mountain dwellers (as a way to illustrate the "upland-lowland contract");

14. *Recognizing* the value of traditional and sustainable land use practices of indigenous and local communities in preserving mountain biodiversity, *requests* the Executive Secretary to collect and disseminate relevant information contributed by these communities through the clearing-house mechanism and other means;

15. *Reminds* Parties of Article 20 of the Convention and *invites* the developed country Parties to further enhance the provision of additional financial resources and transfer of technology to enable developing country Parties and Parties with economies in transition to implement the programme of work on mountain biological diversity.

ANNEX
PROGRAMME OF WORK ON MOUNTAIN BIODIVERSITY

A. Introduction

1. Mountain areas cover almost one quarter of the Earth's land surface and host about 12 per cent of its human inhabitants. Additionally, mountains provide vital natural resources for lowland peoples. Mountains are both a unique environment in their own right, and one that incorporates many of the existing thematic programmes under the Convention. For example, forests, inland waters, dry and sub-humid lands and agricultural programme elements can all be found in mountain biological diversity. The present programme of work on mountain biological diversity features goals and activities that are specific to mountain biological diversity, although the existing programmes of work on forests, inland waters, agricultural, and dry and sub-humid land biological diversity also apply to mountain ecosystems. As a result, the goals and activities contained in the existing programmes of work of each of these thematic areas should also be applied and implemented, whenever appropriate, for their respective areas in mountain ecosystems.

2. Mountain biological diversity is of high importance for a number of ecological functions. The integrity of soils is the prime focus for ecosystem services and human needs. Mountains have often been referred to as "natural water towers" because they contain the headwaters of rivers that are also vital for maintaining human life in densely populated areas downstream. Natural and semi-natural vegetation cover on mountains helps to stabilize headwaters, preventing flooding, and

maintaining steady year-round flows by facilitating the seepage of rainwater into underwater aquifers. Mountain biodiversity contributes to human well-being well beyond its immediate vicinity and is essential to the management of water flows over entire river basins.

3. Soil retention and slope stability are closely connected with the extent of above-ground and below-ground vegetation, both essential to ecosystem resilience after disturbance. The high plant functional diversity of mountain ecosystems may also add to their resiliency and, should extreme disturbances occur, often provides effective barriers to high-energy events such as rock falls and avalanches. It also may reduce extensive damage levels at lower elevations. Although it has been to date impossible to provide a thorough definition of mountains with both universal application and acceptance, there are a number of characteristics that are unique to mountain ecosystems. These are referred to in the note by the Executive Secretary on the status and trends of, and threats to, mountain biodiversity prepared for the eighth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA), (UNEP/CBD/SBSTTA/8/5).

4. Information and input from international forums may also be taken into account, particular, chapter 13 of Agenda 21, which relates to sustainable mountain development, and the World Summit on Sustainable Development, which also considered mountain ecosystems. Paragraph 42 of the Plan of Implementation of the World Summit, states that:

> "Mountain ecosystems support particular livelihoods, and include significant watershed resources, biological diversity and unique flora and fauna. Many are particularly fragile and vulnerable to the adverse effects of climate change and need specific protection."

5. The Plan of Implementation proposed a number of specific actions to be undertaken in regard to mountains. The 2002 International Year of the Mountains also provides valuable input. In addition, a number of international agreements and bodies, institutions, and programme initiatives may be considered such as the Convention on Wetlands, (Ramsar, Iran, 1971), the United Nations Convention to Combat Desertification (UNCCD), the United Nations Framework Convention on Climate Change (UNFCCC), the Food and Agriculture Organization of the United Nations (FAO), the United Nations Educational, Scientific and Cultural Organization (UNESCO), the International Centre for Integrated Mountain Development (ICIMOD), the International Centre for Agricultural Research in the Dry Areas (ICARDA), the International Partnership for Sustainable Development in Mountain Regions, the International Human Dimensions Programme on Global Environmental Change (IHDP), the Centre for Mountain Studies, the Consorcio para el Desarrollo de la Ecoregion Andina (CONDESAN), the Mountain Research Initiative (MRI), the Global Mountain Biodiversity Assessment (GMBA) of DIVERSITAS, the International Union of Forest Research Organizations (IUFRO), the Alpine Convention, the Carpathian Framework Convention and the United Nations Environment Programme—World Conservation Monitoring Centre (UNEP-WCMC).

B. Overall purpose and scope of the programme of work

6. The overall purpose of the programme of work is the significant reduction of mountain biological diversity loss by 2010 at global, regional and national levels, through the implementation of the three main objectives of the Convention on Biological Diversity.

7. The implementation of the programme of work aims at making a significant contribution to poverty alleviation in mountain ecosystems and in lowlands dependent on the goods and services of mountain ecosystems and thereby contribute to the objectives of the Strategic Plan of the Convention on Biological Diversity, the Plan of Implementation of the World Summit on Sustainable Development, and the Millennium Development Goals.

8. The programme of work focuses on addressing characteristics and problems that are specific to mountain biological diversity. These include:

(a) The particularly high concentration of biological diversity hotspots in mountain regions, including high ecosystem diversity, high species richness, high number of endemic and endangered species, and high genetic diversity of crop, livestock, and their wild relatives;

(b) Cultural diversity, and the particularly key role of indigenous and local communities in the conservation and management of mountain biological diversity;

(c) The fragility of mountain ecosystems and species and their vulnerability to human and natural disturbances, in particular to land-use change and global climate change (such as the retreat of glaciers and increased areas of desertification);

(d) The upland-lowland interactions that characterize mountain ecosystems, with special emphasis to the relevance of upland ecosystems for the management of food, water and soil resources.

9. The programme of work also seeks to avoid duplication with existing thematic work programmes and other existing initiatives of the Convention on Biological Diversity. Parties are encouraged to apply, where appropriate, the objectives and activities from these thematic work programmes to the conservation of mountain biological diversity, the sustainable use of mountain biological diversity, and the equitable sharing of benefits arising from the utilization of genetic resources.

10. The programme of work is intended to assist Parties in establishing national programmes of work with targeted goals, objectives, and actions, with specific actors, timeframes, inputs, and expected measurable outputs. Parties may select from, adapt, and/or add to, the goals, objectives and actions suggested in the current programme of work according to particular national and local conditions, and their level of development. Implementation of this programme of work should take into account the ecosystem approach of the Convention on Biological Diversity. In determining national programmes of work, Parties are encouraged to pay due regard to the socio-economic, cultural and environmental costs and benefits of various options. In addition, Parties are encouraged to consider the use of appropriate technologies, sources of finance, and technical cooperation, and to ensure, through appropriate actions, the means to meet the particular challenges and demands of their mountain ecosystems.

C. Programme elements, goals and actions

PROGRAMME ELEMENT 1: DIRECT ACTIONS FOR CONSERVATION, SUSTAINABLE USE AND BENEFIT-SHARING

GOAL 1.1: To prevent and mitigate the negative impacts of key threats to mountain biological diversity

Actions

1.1.1. Reduce the impacts of adverse land-use practices and changes in urban, forest, inland waters and agricultural areas in mountain ecosystems, including the buffer zones of protected areas using, as appropriate, planning or management mechanisms, such as ecological/economic/ecoregional planning/bioregional/hazardous-areas zoning, so as to ensure the maintenance of biodiversity, in particular ecosystem integrity.

1.1.2. Develop mechanisms and implement measures to reduce human-induced slope instability, adverse effects of natural geological hazards, and to maintain and/or enhance soil stability and ecosystem integrity by way of a diverse and natural vegetation cover that will also promote soil biodiversity function.

1.1.3. Prevent or mitigate the negative impacts of economic development, infrastructure projects and other human-induced disturbances on mountain biological diversity at all levels, where applicable, taking into consideration the results of environmental and social impact assessment, paying particular attention to cumulative impacts.

1.1.4. Develop strategies specific to mountains ecosystems to prevent the introduction of invasive alien species and, when they have been introduced, control and eradicate their negative impacts on mountain biological diversity.

1.1.5. Monitor and exchange information on the impacts of global climate change on mountain biological diversity, and identify and implement ways and means to reduce the negative impacts.

1.1.6. Implement measures to reduce and prevent key pressures in mountain ecosystems such as deforestation, fragmentation, unsustainable harvesting, inappropriate reforestation or afforestation, human-induced forest fires, overgrazing, inappropriate mining practices and urban expansion resulting in land degradation, degradation of inland water ecosystems, disruption of water flow, and consequent losses of biological diversity (see also decision VI/22).

1.1.7. Identify factors responsible for and possible measures to prevent the retreat of glaciers in some mountain systems and implement measures to minimize the impact of this process on biodiversity.

1.1.8. Identify local and long-range pollution (air, water and soil), which threaten mountain biodiversity at all levels and take appropriate measures to prevent and mitigate the impacts.

Supporting activities of the Executive Secretary

1.1.9. Compile, in collaboration with relevant bodies and organizations, and disseminate through the clearing-house mechanism and other means:

(a) Information on degraded mountain ecosystems as well as key threats to mountain biodiversity and their ecological and socio-economic impacts;

(b) Case-studies, lessons learned and best-practice guidance on ways to prevent and mitigate the negative impacts of key threats to mountain biodiversity;

(c) Information on impact of climate change and desertification on the carrying capacity of mountain ecosystems and traditional uses.

GOAL 1.2: To protect, recover, and restore mountain biological diversity

Actions

1.2.1. Develop and implement programmes to restore degraded mountain ecosystems and protect natural dynamic processes and maintain biological diversity in order to enhance the capacity of mountain ecosystems to resist and adapt to climate change, or recover from its negative impacts including, *inter alia,* by establishing corridors and taking appropriate measures to maintain ecological functions of natural corridors, where appropriate, to enable vertical migration of species, ensuring minimal viable population sizes to enable genetic adaptation to changing environmental conditions. These programmes should include socio-economic considerations, especially in relation to indigenous and local communities.

1.2.2. Initiate specific activities to facilitate maintenance, protection and conservation of existing levels of endemic species, with a focus on narrowly-distributed taxa.

1.2.3. Identify and protect unique, fragile mountain ecosystems, other biological diversity hotspots and their associated species, especially threatened species, giving priority consideration to measures aimed at strict *in situ* protection and/or developing *ex situ* mechanisms whenever feasible.

1.2.4. Develop strategies for land-use and water-resource planning at landscape level using the ecosystem approach, taking into account elements of ecological connectivity and traditional uses of indigenous and local communities, and to prevent and mitigate losses of mountain biological diversity due to fragmentation and land-use conversion.

1.2.5. Establish and strengthen adequate, effective national, regional and international networks of mountain-protected areas, in accordance with decisions of the Conference of the Parties on protected areas, while respecting the rights and full participation of indigenous and local communities.

1.2.6. Promote, as appropriate, the role of sustainable agriculture and pastoralism, using sustainable traditional practices that can maintain biological diversity in mountain ecosystems.

1.2.7. Identify suitable practices for enhancing ecosystem sustainability with particular emphasis on degraded slopes.

1.2.8. Address issues related to conflict between humans and other species, especially with regard to coexistence with predators.

1.2.9. Review protected area systems within mountain regions and, as appropriate, take measures to ensure that these are developed and maintained to be comprehensive, adequate and representative, in line with decision VII/28 of the Conference of Parties on programme of work on protected areas.

1.2.10. Develop and implement measures to rehabilitate freshwater networks for migratory species, taking into account the physical barriers.

1.2.11. Establish restoration areas where mountain biological diversity has been degraded significantly and where restoration is needed to complement and buffer the protected-area network.

Supporting action of the Executive Secretary

1.2.12. Collaborate with relevant organizations and bodies to compile and disseminate information on:

(a) Components of biodiversity important for conservation, in particular, on mountain endemic species, hotspots and their associated species and threatened species;

(b) Best practices for their conservation, sustainable use and benefit-sharing.

1.2.13. Compile and disseminate case-studies on methods and economic aspects of restoration of degraded mountain ecosystems and recovery of mountain endangered species.

GOAL 1.3: To promote the sustainable use of mountain biological resources

Actions

1.3.1. Promote sustainable land-use and water resource management practices in relation to human livelihood needs (agriculture, pastoralism, animal husbandry, forestry, aquaculture, inland water fisheries, etc.) in mountain ecosystems, taking into account the Convention principles for sustainable use and the ecosystem approach.

1.3.2. Promote sustainable land-use practices, techniques and technologies, including those of indigenous and local communities and community-based management systems, for the conservation and sustainable use (including pastoralism, hunting and fishing) of wild flora and fauna and agro-biodiversity in mountain ecosystems, including biological pest control.

1.3.3. Support activities of indigenous and local communities involved in the use of traditional mountain-related knowledge, in particular concerning sustainable management of biodiversity, soil, water resources and slope.

1.3.4. Promote partnerships between all stakeholders, including indigenous and local communities, involved in the sustainable use of mountain biological resources (see also goal 2.3).

1.3.5. Develop criteria in the framework of the Convention Guidelines on Biodiversity and Tourism Development in accordance with the ecological conditions of mountains ecosystems and promote the use of these guidelines.

1.3.6. Through appropriate environmental planning, reduce the negative impacts of tourism and outdoor activities on mountain ecosystems, as well as the development of associated human settlements and facilities.

1.3.7. Strengthen local capacity for sustainable tourism management, in order to ensure that benefits derived from tourism activities are shared by indigenous and local communities, while preserving natural and cultural heritage values.

1.3.8. Promote the sustainable use of economically valuable wild plants and animals, as an income-generating activity for the local inhabitants.

1.3.9. Promote integrated watershed management practices at all levels for maintaining ecosystem integrity, soil stability on slopes, upstream-downstream inter-connections and protection against natural hazards.

GOAL 1.4: To promote access to, and sharing of benefits arising from the utilization of genetic resources related to mountain biological diversity in accordance with national legislation where it exists

Actions

1.4.1. Strengthen the capacity of indigenous and local communities to engage in equitable benefit-sharing arrangements, taking into account the Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of the Benefits Arising out of their Utilization, bearing in mind their voluntary character and that they do not purport to replace national legislation.

1.4.2. Develop methods to assess and conserve genetic resources of high economic value for promoting fair and equitable sharing of benefits, respecting national legislation on access to genetic resources.

1.4.3. Promote actions that are beneficial for conservation through generating employment and/or income particularly for marginal communities.

GOAL 1.5: To maintain genetic diversity in mountain ecosystems in particular through the preservation and maintenance of traditional knowledge and practices

Actions

1.5.1. Assess and develop strategies aimed at minimizing the threat of genetic erosion on domesticated biodiversity (crops, animals) and wild relatives, paying particular attention to the centres of origin of the genetic resources.

1.5.2. Implement provisions contained in Article 8(j) on traditional knowledge and related provisions of the Convention on Biological Diversity, taking into consideration the needs of developing countries.

1.5.3. Develop, validate and implement sustainable use practices for plants, animals and microorganisms at the genetic, species, population, community and ecosystem levels.

1.5.4. Respect, preserve and maintain indigenous knowledge, practices, processes and technologies to ensure conservation, sustainable use of biodiversity and sharing of benefits.

PROGRAMME ELEMENT 2: MEANS OF IMPLEMENTATION FOR CONSERVATION, SUSTAINABLE USE AND BENEFIT-SHARING

GOAL 2.1: To enhance the legal, policy, institutional, and economic framework

Actions

2.1.1. Identify and address perverse incentives and/or policies that may impede the implementation of the Convention on Biological Diversity in mountain ecosystems, taking into account the decisions of the Conference of the Parties on incentive measures.

2.1.2. Develop and introduce appropriate incentives, market and compensation mechanisms, in accordance with national and international law where appropriate, specific for the maintenance of mountain ecosystems and the goods and services delivered by the mountain ecosystems.

2.1.3. Promote the diversification of income-generating activities in support of conservation and sustainable use of mountain biological diversity and poverty reduction, including methods to share economic wealth, i.e., within mountain regions through regional development plans and between regions through "upland-lowland contracts."[217]

2.1.4. Improve the science/policy linkages by undertaking national and subnational scientific assessments of the causes of biodiversity loss, including making policy recommendations, in order to reduce the rate of loss of mountain biological diversity by 2010.

2.1.5. Develop performance indicators and report on the integration of conservation and sustainable use of mountain biological diversity into institutional programmes, including sectoral policies, legal and economic frameworks.

2.1.6. Strengthen legal and institutional capacity to implement the work programme on mountain biological diversity, especially through national focal points, institutes and other relevant stakeholder groups and mechanisms allowing for the coordination of sectorial authorities in implementing those activities within their areas of responsibility.

2.1.7. Develop and implement legal and policy strategies for land-use planning at the landscape or river basin level, where appropriate, taking into account elements of ecological integrity and connectivity, while emphasizing upstream-downstream relations and the prevention of losses of mountain biological diversity due to fragmentation and land-use conversion.

217 The concept was described by Professor Christian Körner, Professor of Botany at the University of Basel and Chairman of the Global Mountain Biodiversity Assessment in his keynote presentation at the eighth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice in March 2003 as follows: The upland-lowland contract concept establishes joint responsibilities between lowlanders and uplanders. Under this concept, uplanders would, for example, be responsible for taking care of the fragile upland mountain landscape to reduce potential impacts on lowlanders. In return, lowlanders may be able to provide uplanders with the products of lowland cultivated areas (food and other resources).

2.1.8. Support proactive planning and adaptive measures to reduce the vulnerability to both natural and human-induced hazards adversely impacting on mountain biological diversity, cultural landscapes and local communities.

2.1.9. Encourage the implementation of environmental and social impact assessments at sectoral, programme and project levels. Promote sustainable development and the eradication of poverty and prevent the negative impacts of economic development on mountain biological diversity including cumulative impacts. Also take into account specificities of indigenous and local communities depending upon mountain ecosystems, by observing section F of decision VII/16 of the Conference of the Parties on the Akwé: Kon voluntary guidelines for the conduct of cultural, environmental and social impact assessment regarding developments proposed to take place on, or which are likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities.

2.1.10. Integrate aspects of mountain biological diversity into plans, policies and programmes related to mountain areas.

Supporting activities of the Executive Secretary

2.1.11. Collate and disseminate, e.g., through the clearing-house mechanism and other appropriate means, case-studies of best practice of international and national efforts to enhance the legal, policy, institutional and economic frameworks to conserve and sustainably use mountain biodiversity.

2.1.12. Promote synergy in the implementation of international and regional conventions including, where relevant, the Ramsar Convention, UNFCCC, CBD, WHC, CITES and the United Nations Convention to Combat desertification.

GOAL 2.2: To respect, preserve, and maintain knowledge, practices and innovations of indigenous and local communities in mountain regions

Actions

2.2.1. Promote the implementation of activities aimed at maintaining existing levels of agrobiodiversity paying particular attention to centres of origin and the goods and services they provide both for meeting local demands and to ensure sources of food security.

2.2.2. Respect, understand and support the traditions and sustainable practices of the indigenous and local communities in mountain regions in ways which accommodate their needs, participation, knowledge and practices for conservation and sustainable use of mountain biodiversity (taking into account Article 8(j) of the Convention and related decisions from the Conference of the Parties and programmes of work).

2.2.3. Promote networking, collaborative action and participation of indigenous and local communities in decision-making processes, paying particular attention to the empowerment of women, in order to maintain mountain biodiversity and its sustainable use.

2.2.4. Encourage decentralization and enhance access to information for the full participation and involvement of indigenous and local communities in decisions

that affect them in relation to mountain ecosystems.

2.2.5. Promote the implementation of activities aimed at the improvement of mountain livelihoods, poverty reduction and the maintenance of cultural identity, in order to achieve sustainable use of mountain biological diversity.

2.2.6. Develop capacity-building measures and information-sharing to facilitate the involvement of indigenous and local communities, with their prior informed consent, in the management, conservation, and sustainable use of mountain biological diversity.

GOAL 2.3: To establish regional and transboundary collaboration and the establishment of cooperative agreements

Actions

2.3.1. Promote integrated transboundary cooperation, strategies for sustainable activities on mountain ranges through mutually agreed-upon arrangements by countries concerned. Cooperative arrangements should cover specific thematic issues such as landscape, soil, wetland, watershed, rangeland, mining, protected areas and wildlife management, agriculture, pastoralism, forestry, transportation, energy and tourism.

2.3.2. Promote and strengthen regional and transboundary cooperation for research, adaptive management, fair and appropriate allocation of water to ecosystems, and exchange of expertise to improve the conservation and management of mountain biodiversity (e.g., Global Mountain Biodiversity Assessment (GMBA) and International Centre for Integrated Mountain Development (ICIMOD)).

2.3.3. Promote the appreciation and conservation of mountain biological diversity as a means of reducing human conflict, i.e., through peace parks.

2.3.4. Strengthen collaboration and synergies between the work programmes of the Convention on Biological Diversity and other global conventions and agreements on climate change, desertification, transboundary pollution, invasive alien species, wetlands and endangered species, with a special focus on mountain systems and their biological diversity, including through joint programmes of work. Also strengthen collaboration with the International Partnership for Sustainable Development in Mountain Regions and regional conventions on mountains.

2.3.5. Encourage the development of new methodologies and new mechanisms, such as the upland-lowland contract that sustain mountain biological diversity and the provision of goods and services.

PROGRAMME ELEMENT 3: SUPPORTING ACTIONS FOR CONSERVATION, SUSTAINABLE USE AND BENEFIT-SHARING

GOAL 3.1: To develop work on identification, monitoring and assessment of mountain biological diversity

Actions

3.1.1. Promote the monitoring of susceptible areas subject to climate change.

3.1.2. Conduct mountain surveys in priority areas, for conservation and sustainable use of mountain biological diversity. These surveys should consider inventories at genetic, species and ecosystem levels.

3.1.3. Apply, whenever appropriate, the programmes of work of the global initiatives such as the Global Taxonomy Initiative, Millennium Ecosystem Assessment and the Global Invasive Species Programme.

3.1.4. Support the work of the Global Mountain Biodiversity Assessment.

3.1.5. Use national biodiversity strategies and action plans and other national reports to the Convention, for monitoring and assessment of mountain biodiversity.

Supporting activity of the Executive Secretary

3.1.6. Promote collaboration among the secretariats and national focal points of United Nations Framework Convention on Climate Change, United Nations Convention to Combat Desertification and other relevant organizations to develop adaptive strategies for mountain ecosystems and for the monitoring of changes due to the impact of global processes, where appropriate.

GOAL 3.2: To improve knowledge on and methods for the assessment and monitoring of the status and trends of mountain biological diversity based on available information.

Actions

3.2.1. Develop key abiotic, biotic and socio-economic indicators of status and change of mountain ecosystems.

3.2.2. Develop and select international, regional and national criteria and, where appropriate, quantifiable indicators for mountain biological diversity, taking into account the work of the Convention on monitoring and indicators and the knowledge held by indigenous and local communities, together with other experience of sustainable mountain management.

3.2.3. Develop methodologies for assigning value to the ecological services provided by land management systems in order to develop economic-incentive mechanisms for compensating the poor and vulnerable mountain communities.

3.2.4. Assess and address the changing status of both local and long-range pollution and global climate change issues with special relevance to mountain ecosystems.

3.2.5. Assess and address fragmentation and impacts on biodiversity, by changing land-use management practices, e.g., land abandonment, mining.

3.2.6. Assess and address the positive and the negative impacts of tourism and outdoor activities in mountain ecosystems.

3.2.7. Assess and address natural dynamic processes in mountain ecosystems and the need to preserve areas for natural dynamic processes.

3.2.8. Develop monitoring systems based on key national and subnational indicators of changes in mountain ecosystem structure and function taking into

account existing monitoring expert knowledge and systems as well as relevant work and processes on indicators.

GOAL 3.3: To improve the infrastructure for data and information management for accurate assessment and monitoring of mountain biological diversity and develop associated databases

Actions

3.3.1. Enhance and improve the technical capacity at a national level to monitor mountain biological diversity, benefiting from the opportunities offered by the clearing-house mechanism of the Convention on Biological Diversity, including the development of associated databases as required at the global scale to facilitate exchange.

3.3.2. Promote open access as Parties consider appropriate, to existing information on biodiversity and related databases and sharing through the clearing-house mechanism of the Convention on Biological Diversity and other appropriate means.

3.3.3. Encourage mapping and inventory of biodiversity and of land-use changes, using analogue and digital databases (remote-sensing, geographic information system) for scientific purposes and for supporting decision-making.

Supporting activity of the Executive Secretary

3.3.4. Enhance the capacity of the clearing-house mechanism to facilitate the implementation of goal 3.3.

GOAL 3.4: To improve research, technical and scientific cooperation, and other forms of capacity-building related to mountain biological diversity

Actions

3.4.1. Conduct long-term research on species adaptability to changing environmental conditions under climatic or human-induced global change, in relation to mountain biological diversity.

3.4.2. Conduct key research on the role and importance of mountain biological diversity and ecosystem functioning, considering ecosystem components, structure, function, processes and services.

3.4.3. Develop and support research to assess the role of soil biological diversity and the diversity of protective vegetation cover for the stability and safety of mountain areas and watershed protection, e.g., avoidance of human-induced erosion, landslides and avalanches.

3.4.4. Initiate mechanisms and develop collaborative research/scientific programmes of mutual interest among countries with mountains, especially those having common problems and comparable socio-cultural conditions.

3.4.5. Foster exchange of experiences and knowledge of sustainable development and ecosystem vulnerability among countries with mountains, taking into account the vulnerability of social-cultural systems and communities.

3.4.6. Conduct interdisciplinary, key research programmes on mountain biological diversity, and its relationship to ecosystem structure and functions, including communities-based management, with special reference to transitional zones linking upland-lowland ecosystems such as ecotones, hotspots, buffer areas and corridors.

3.4.7. Develop capacity and enhance opportunities for community-based research and monitoring to conserve mountain biodiversity and provide greater benefits to mountain communities.

3.4.8. Develop scientific and technical coordination mechanisms at national level for identification of research priorities and for optimising the efficient utilization of research results.

Supporting activity of the Executive Secretary

3.4.9. Explore and quantify the benefits of a diverse, intact vegetation cover in catchments for water quantity and quality, hydroelectric yield and geological and hydrological hazard prevention and control.

GOAL 3.5: To increase public education, participation and awareness in relation to mountain biological diversity

Actions

3.5.1. Promote educational and capacity-building systems tailored to the specific conditions of mountain ecosystems, such as workshops, courses, study tours, community exchanges, communications from the Convention on Biological Diversity, education and publications efforts, in line with the Global Initiative on Communication, Education and Public Awareness (decision VI/19 of the Conference of the Parties).

3.5.2. Increase awareness of the actual and potential contribution of knowledge, practices and innovations of indigenous and local communities to conserve and sustainably use mountain biological diversity, i.e., biodiversity documentation, inventories by community and other appropriate levels.

3.5.3. Encourage the implementation of sustainable tourism activities aimed at increasing awareness, respect and knowledge for mountain biological diversity, including knowledge of the local, natural and cultural landscapes.

3.5.4. Increase dissemination of knowledge on upland-lowland interactions and on components of interdependence.

3.5.5. Further promote the education of women and their role in the conservation and dissemination of traditional knowledge.

3.5.6. Enhance awareness among policy makers and planners on the importance and contribution of mountain ecosystems in poverty eradication programmes;

3.5.7. Increase broad-based awareness of the values of mountain biological diversity through, *inter alia*, national and local public awareness campaign.

GOAL 3.6: To promote the development, validation, and transfer of appropriate technologies for mountain ecosystems, including indigenous technologies in accordance with Article 8(j) of the Convention on Biological Diversity and related provisions

Action

3.6.1. Implement the programme of work on technology transfer giving particular attention to matters relating to the conservation and sustainable use of mountain biodiversity.

Supporting activities of the Executive Secretary

3.6.2. Document and disseminate, through the Clearing-house Mechanism and other means, best practices and appropriate technologies and innovative approaches to managing biodiversity.

3.6.3. In collaboration with relevant organizations, provide Parties with access to appropriate and latest technologies and innovations relating to mountain biodiversity with the approval and involvement of indigenous and local communities as appropriate.

DECISION VII/28 | Protected areas (Articles 8(a)–(e))

The Conference of the Parties

1. *Confirms* that efforts to establish and maintain systems of protected areas and areas where special measures need to be taken to conserve biological diversity in line with Article 8 on *in situ* conservation and other relevant articles of the Convention, are essential for achieving, in implementing the ecosystem approach, the three objectives of the Convention and thus contributing to achieving the 2010 target contained in the Strategic Plan of the Convention and in the Plan of Implementation of the World Summit on Sustainable Development, and to achieve sustainable development and the attainment of the Millennium Development Goals;

2. *Welcomes* the joint NGO statement and joint NGO commitment on protected areas made at the seventh meeting of the Conference of the Parties by international non-governmental organizations[218] to support the implementation of a strong programme of work on protected areas under the CBD and looks forward to receiving information on the progress made with respect to their pledge;

3. *Also welcomes* the outputs of the Vth IUCN World Parks Congress, in particular the message from the Congress to the Convention on Biological Diversity, and its contribution to the programme of work on protected areas;

4. *Recalls* the need to provide to developing countries, in particular the least developed and small island developing States among them, and countries with

218 BirdLife International, Conservation International, Flora and Fauna International, The Nature Conservancy, Wildlife Conservation Society, WWF, and World Resources Institute.

economies in transition adequate funding to support the implementation of this programme of work in accordance with Article 20 of the Convention;

5. *Recognizes* that Parties should implement the programme of work on protected areas, in the context of their nationally determined priorities, capacities and needs. Activities implemented domestically by Parties will be prioritized based on country and regionally specific needs, national determination, legislation, circumstances and priorities concerning protected areas issues, and their national protected areas and biodiversity strategies. Inclusion of an activity does not mean relevance of that activity to all Parties;

6. *Emphasizes* that the targets included in the programme of work on protected areas provide a framework within which national and/or regional targets may be developed and activities prioritized according to national priorities and capacities and, taking into account differences in protected areas and protected area systems among countries;

7. *Invites* Parties and Governments to develop national and/or regional targets, and, as appropriate, to incorporate them into relevant plans, programmes and initiatives, including national biodiversity strategies and action plans;

8. *Emphasizes* the need for capacity-building, in developing countries, particularly in the least developed and the small island developing States amongst them, and countries with economies in transition, in order to enable them to implement the programme of work;

9. *Urges* Parties, other Governments, and funding organizations to mobilize as a matter of urgency through different mechanisms adequate and timely financial resources for the implementation of the programme of work by developing countries, particularly in the least developed and the small island developing States amongst them, countries with economies in transition, in accordance with Article 20 of the Convention, with special emphasis on those elements of the programme of work requiring early action;

10. *Calls* Parties to estimate the cost to implement the necessary activities to meet the targets of the programme of work, review the effectiveness in using existing financial resources and identify the unmet costs and report back to COP 8;

11. *Calls* on Parties and development agencies to integrate within their development strategies (such as country assistance strategies, poverty reduction strategies and national development strategies) protected area objectives and reflect the contributions of protected areas to sustainable development, as a means to achieve the Millennium Development Goals, in particular Goal 7 on environmental sustainability;

12. *Underlines* the importance of conservation of biological diversity not only within but also outside protected areas by promoting sustainable use of natural resources in order to achieve a significant reduction of the rate of biodiversity loss by 2010 and therefore also calls for increased efforts to integrate biodiversity conservation and restoration aspects into sectoral policies and programmes;

13. *Invites* Parties to consider options, in the context of implementing the programme of work, such as ecological networks[219], ecological corridors[220], buffer zones and other related approaches in order to follow up the WSSD Plan of Implementation and the conclusions of Inter-Sessional Meeting on the Multi-Year Programme of Work of the Conference of the Parties up to 2010;

Status and trends of, and threats to, protected areas

14. *Welcomes* the work carried out by the SBSTTA on documents on status and trends of, and threats to, protected areas prepared by the Executive Secretary (UNEP/CBD/SBSTTA/9/5);

15. *Agrees* that the indicative list of categories set out in Annex I of the Convention should guide the selection of protected areas and areas where special measures need to be taken to conserve biological diversity;

16. *Recognizes* that, while the number and extent of protected areas has been increasing in the past decades, so that around 11 per cent of the world's land surface is currently in protected status, existing systems of protected areas are neither representative of the world's ecosystems, nor do they adequately address conservation of critical habitat types, biomes and threatened species, and, with marine areas particularly under-represented actions need to be taken to fill these gaps;

17. *Recognizes* that the inadequacy of knowledge and awareness of the threat to, and the role and value, of biodiversity, insufficient financial sustainability and support, poor governance, ineffective management and insufficient participation, pose fundamental barriers to achieving the protected areas objectives of the Convention on Biological Diversity and stresses the need for Parties to adequately address these issues;

Overall objective

18. *Adopts* the programme of work on protected areas annexed to the present decision with the objective of the establishment and maintenance by 2010 for terrestrial and by 2012 for marine areas of comprehensive, effectively managed, and ecologically representative national and regional systems of protected areas that collectively, *inter alia* through a global network[221] contribute to achieving the three objectives of the Convention and the 2010 target to significantly reduce the current rate of biodiversity loss;

19. *Urges* Parties to achieve fully the goals and targets of the work programme while recognizing that Parties should implement the activities of the programme of

219 In the context of this programme of work, a generic term used in some countries and regions, as appropriate, to encompass the application of the ecosystem approach that integrates protected areas into the broader land- and/or seascapes for effective conservation of biodiversity and sustainable use.

220 Ecological corridors may not be applicable to all Parties.

221 A global network provides for the connections between Parties, with the collaboration of others, for the exchange of ideas and experiences, scientific and technical cooperation, capacity building and cooperative action that mutually support national and regional systems of protected areas which collectively contribute to the achievement of the programme of work. This network has no authority or mandate over national or regional systems.

work on protected areas, as annexed to the present decision, in the context of their nationally determined priorities, capacities and needs;

Programme of work

20. *Affirms* that aspects related to marine and coastal protected areas in decision VII/5 on marine and coastal biological diversity, be considered an integral part of the Convention's work on protected areas;

21. *Urges* concerned Parties, individually and collectively, to take further steps in curbing the illegal exploitation and trade of resources, particularly from existing protected areas and from areas of ecological importance for biodiversity conservation;

22. *Recalls* the obligations of Parties towards indigenous and local communities in accordance with Article 8(j) and related provisions and *notes* that the establishment, management and monitoring of protected areas should take place with the full and effective participation of, and full respect for the rights of, indigenous and local communities consistent with national law and applicable international obligations;

23. *Urges* Parties to elaborate outcome-oriented targets for the extent, representativeness and effectiveness of their national systems of protected areas, taking into account the Strategic Plan of the Convention the Global Strategy for Plant Conservation, the Plan of Implementation of the World Summit on Sustainable Development and the Millennium Development Goals, as well as any targets adopted by the Conference of the Parties to facilitate monitoring of the progress towards achievement of the 2010 target;

24. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice to provide scientific and technical advice on the implementation of the programme of work. This work should draw *inter alia* upon the input of Parties and other Governments, the work of relevant United Nations organizations and conventions, the work of the IUCN—World Commission on Protected Areas, the outcomes of the Fifth IUCN World Congress on Protected Areas, and the work of relevant indigenous and local communities, and non-governmental organizations;

25. *Decides* to establish an ad hoc open-ended working group on protected areas to support and review implementation of the programme of work and report to the Conference of the Parties;

26. *Requests* the Executive Secretary to make arrangements to hold at least one meeting of the ad hoc open-ended working group on protected areas before COP 8 subject to the availability of the necessary voluntary contributions

27. *Invites* Parties, other Governments and relevant organizations to organize regional technical workshops to advance implementation of and assess the progress in implementation of the programme of work;

28. *Decides* to assess at each meeting of the Conference of the Parties until 2010, progress in the implementation of the programme of work, and to determine the need for more effective measures and additional financial and technical support; to reach the 2010 target;

29. *Suggests* the following tasks need to be undertaken by the ad hoc open-ended working group:

(a) To explore options for cooperation for the establishment of marine protected areas in marine areas beyond the limits of national jurisdiction, consistent with international law, including the United Nations Convention on the Law of the Sea, and based on scientific information;

(b) To explore options for mobilizing as a matter of urgency through different mechanisms adequate and timely financial resources for the implementation of the programme of work by developing countries, particularly in the least developed and the small island developing States amongst them, countries with economies in transition, in accordance with Article 20 of the Convention, with special emphasis on those elements of the programme of work requiring early action;

(c) To contribute to the further development of "tool kits" for the identification, designation, management, monitoring and evaluation of national and regional systems of protected areas, including ecological networks, ecological corridors, buffer zones, with special regard to indigenous and local communities and stakeholder involvement and benefit sharing mechanisms;

(d) To consider reports from the Parties, academia, and scientific organizations, civil society and others on progress in the implementation of the programme of work on protected areas, compiled by the Executive Secretary;

(e) To recommend to COP ways and means to improve implementation of the programme of work on protected areas;

30. *Urges* Parties and *invites* other Governments, and relevant organizations to report to the Executive Secretary on implementation of this decision and the programme of work prior to each meeting of the Conference of the Parties until 2010;

31. *Recognizes* the value of a single international classification system for protected areas and the benefit of providing information that is comparable across countries and regions and therefore *welcomes* the ongoing efforts of the IUCN World Commission on Protected Areas to refine the IUCN system of categories and *encourages* Parties, other Governments and relevant organizations to assign protected-area management categories to their protected areas, providing information consistent with the refined IUCN categories for reporting purposes;

32. *Invites* the United Nations Environment Programme—World Conservation Monitoring Centre working with international organizations to further develop the World Database on Protected Areas in order to assist the monitoring of progress towards the overall objective of this decision, and urges Parties, other Governments and relevant organizations to provide up-to-date information for the Database;

Suggested supporting activities of the Executive Secretary

33. *Requests* the Executive Secretary to update information on status and trends of, and threats to, protected areas as part of the reviews of the implementation of

the thematic programmes of work, in collaboration with Parties and relevant organizations, in particular the IUCN-WCPA;

34. *Requests* the Executive Secretary to strengthen collaboration with other organizations, institutions and conventions with a view to supporting implementation of the activities contained in the programme of work, promoting synergies and avoiding unnecessary duplications, and to establish a liaison group of relevant organizations including the World Heritage Convention, the Ramsar Convention on Wetlands, the Man and Biosphere programme of the United Nations Educational, Scientific and Cultural Organization, UN Convention on the Law of the Sea, relevant regional conventions and other organizations to facilitate this objective;

35. *Further requests* the Executive Secretary to:

(a) Compile information received from Parties, other Governments and relevant organizations and bodies on the implementation of the programme of work, and transmit this information to the ad hoc open-ended working group;

(b) Establish in collaboration with the IUCN World Commission on Protected Areas a roster of experts to help respond to requests by Parties for assistance in implementing the programme of work on protected areas and to draw on experts from this roster, at the request of countries, to assist in the implementation of the programme of work;

(c) Undertake the suggested supporting activities included in the programme of work.

ANNEX
PROGRAMME OF WORK ON PROTECTED AREAS

I. Introduction

1. *In situ* conservation, sustainable use of biological diversity and the fair and equitable sharing of benefits arising from the use of genetic resources are dependent upon properly maintaining sufficient natural habitat. Protected areas, together with conservation, sustainable use and restoration initiatives in the wider land-and seascape are essential components in national and global biodiversity conservation strategies. They provide a range of goods and ecological services while preserving natural and cultural heritage. They can contribute to poverty alleviation by providing employment opportunities and livelihoods to people living in and around them. In addition, they also provide opportunities for research including for adaptive measures to cope with climate change, environmental education, recreation and tourism. As a result, most countries have developed a system of protected areas. The protected-area network now covers about 11 per cent of Earth's land surface. Less than 1 per cent of the Earth's marine area is covered. The central role of protected areas in implementing the objectives of the Convention has been repeatedly emphasized in decisions of the Conference of Parties. They form a vital element of the various thematic programmes of work, namely, marine and coastal biological diversity, inland water ecosystems biological diversity, dry and sub-humid lands biological diversity, forest biological diversity and mountain biological diversity.

2. Given their many benefits, protected areas are important instruments for meeting the Convention's targets of significantly reducing the rate of biodiversity loss by 2010. However, according to the best available data on the status and trends on protected areas (see UNEP/CBD/SBSTTA/9/5), the current global systems of protected areas are not sufficiently large, sufficiently well-planned, nor sufficiently well-managed to maximize their contribution to biodiversity conservation. Therefore, there is an urgent need to take action to improve the coverage, representativeness and management of protected areas nationally, regionally and globally.

3. The Convention on Biological Diversity works with many partner organizations, conventions and initiatives in facilitating conservation and sustainable use through protected areas. These include the IUCN World Commission on Protected Areas (WCPA); the UNEP World Conservation Monitoring Centre (UNEP-WCMC); the International Maritime Organization (IMO); the World Resources Institute (WRI); The Nature Conservancy (TNC); the World Wide Fund for Nature (WWF); the UNESCO Man and Biosphere programme (MAB); the UNESCO World Heritage Convention; the Convention on Wetlands of International Importance especially as Waterfowl Habitat (Ramsar Convention); the Convention on the Conservation of Migratory Species of Wild Animals and the associated agreements; the Convention on Trade in Endangered Species of Wild Fauna and Flora (CITES); (EU) the United Nations Forum on Forests (UNFF); the Global Environment Facility (GEF), International Convention for Regulation of Whaling (ICRW); Food and Agriculture Organization of the United Nations (FAO); UN Convention on the Law of the Sea (UNCLOS); indigenous organizations, other stakeholders and industry; and various regional agreements and programmes.

4. The present programme of work on protected areas features goals and activities that are specific to protected areas. Some elements of existing programmes of work on forests, inland waters, dry and sub-humid lands, coastal and marine and mountain biological diversity as well as the Global Strategy for Plant Conservation and the Global Taxonomy Initiative also apply to protected areas. The goals and activities contained in these existing programmes of work should also be applied and implemented, as and whenever appropriate for their respective protected areas. Other relevant guidelines developed under cross-cutting issues of the CBD should also be taken into account when implementing the programme of work.

5. The World Summit on Sustainable Development, in its Plan of Implementation, has stated that the achievement of the 2010 target requires new and additional financial and technical resources for developing countries, and that the progress in establishment and maintenance of a comprehensive, effectively managed, and ecologically representative global system of protected areas is of crucial importance for achieving the 2010 target. The WSSD also called for provision of financial and technical support for activities in this field, recognizing that funding for this purpose generally should consist of a mixture of national and international resources and include the whole range of possible funding instruments such as public funding, debt for nature swaps, private funding, remuneration from services provided by protected areas, and taxes and fees at the national level for the use of ecological services.

II. Overall purpose and scope of the programme of work

6. The overall purpose of the programme of work on protected areas is to support the establishment and maintenance by 2010 for terrestrial and by 2012 for marine areas of comprehensive, effectively managed, and ecologically representative national and regional systems of protected areas that collectively, *inter alia* through a global network[222] contribute to achieving the three objectives of the Convention and the 2010 target to significantly reduce the current rate of biodiversity loss at the global, regional, national and sub-national levels and contribute to poverty reduction and the pursuit of sustainable development, thereby supporting the objectives of the Strategic Plan of the Convention, the World Summit on Sustainable Development Plan of Implementation and the Millennium Development Goals.

7. The programme of work consists of four interlinked elements intended to be mutually reinforcing and cross-cutting in their implementation. It was developed bearing in mind the need to avoid unnecessary duplication with existing thematic work programmes and other ongoing initiatives of the Convention on Biological Diversity, and to promote synergy and coordination with relevant programmes of various international organizations. Parties are encouraged to apply where appropriate the objectives and activities from these thematic work programmes and the work on cross-cutting issues.

8. The Convention's work on protected areas takes into account the ecosystem approach. The ecosystem approach is the primary framework for action under the Convention, and its application will help reach a balance between the three objectives of the Convention. Multiple-use protected areas applied in an ecosystem approach context can, for example, help meet specific goals relating to conservation, sustainable use and the fair and equitable sharing of benefits arising from the use of genetic resources. The ecosystem approach provides a framework within which the relationship of protected areas to the wider landscape and seascape can be understood, and the goods and services flowing from protected areas can be valued. In addition, the establishment and management of protected area systems in the context of the ecosystem approach should not simply be considered in national terms, but where the relevant ecosystem extends beyond national boundaries, in ecosystem or bioregional terms as well. This presents a strong argument for and adds complexity to the establishment of transboundary protected areas and protected areas in marine areas beyond the limits of national jurisdiction. Any work under this programme on marine and coastal protected areas should be consistent with decision VII/5 on Marine and Coastal biodiversity.

9. The programme of work is intended to assist Parties in establishing national programmes of work with targeted goals, actions, specific actors, time frame, inputs and expected measurable outputs. Parties may select from, adapt, and/or add to the activities suggested in the current programme of work according to particular national and local conditions and their level of development. Implementation of

222 A global network provides for the connections between Parties, with the collaboration of others, for the exchange of ideas and experiences, scientific and technical cooperation, capacity building and cooperative action that mutually support national and regional systems of protected areas which collectively contribute to the achievement of the programme of work. This network has no authority or mandate over national or regional systems.

this programme of work should take into account the ecosystem approach of the Convention on Biological Diversity. In implementing the programme of work, Parties are encouraged to pay due regard to the social, economic and environmental costs and benefits of various options. In addition, Parties are encouraged to consider the use of appropriate technologies, source of finance and technical cooperation, and to ensure, through appropriate actions, the means to meet the particular challenges and demands of their protected areas.

10. The implementation of the programme of work will contribute to achieving the three objectives of the Convention.

PROGRAMME ELEMENT 1: DIRECT ACTIONS FOR PLANNING, SELECTING, ESTABLISHING, STRENGTHENING, AND MANAGING, PROTECTED AREA SYSTEMS AND SITES

GOAL 1.1: To establish and strengthen national and regional systems of protected areas integrated into a global network as a contribution to globally agreed goals

TARGET: By 2010, terrestrially[223] and 2012 in the marine area, a global network of comprehensive, representative and effectively managed national and regional protected area system is established as a contribution to (i) the goal of the Strategic Plan of the Convention and the World Summit on Sustainable Development of achieving a significant reduction in the rate of biodiversity loss by 2010; (ii) the Millennium Development Goals—particularly goal 7 on ensuring environmental sustainability; and (iii) the Global Strategy for Plant Conservation.

Suggested activities of the Parties

1.1.1. By 2006, establish suitable time-bound and measurable national and regional level protected area targets and indicators.

1.1.2. As a matter of urgency, by 2006, take action to establish or expand protected areas in any large, intact or relatively unfragmented or highly irreplaceable natural areas, or areas under high threat, as well as areas securing the most threatened species in the context of national priorities,[224] and taking into consideration the conservation needs of migratory species.

1.1.3. As a matter of urgency, by 2006 terrestrially and by 2008 in the marine environment, take action to address the under-representation of marine and inland water ecosystems in existing national and regional systems of protected areas, taking into account marine ecosystems beyond areas of national jurisdiction in accordance with applicable international law, and transboundary inland water ecosystems.

1.1.4. By 2006, conduct, with the full and effective participation of indigenous and local communities and relevant stakeholders, national-level reviews of existing and potential forms of conservation, and their suitability for achieving biodiversity conservation goals, including innovative types of governance for protected areas that need to be recognized and promoted through legal, policy, financial institutional and community mechanisms, such as protected areas run by government

223 Terrestrial includes inland water ecosystems.
224 Parties may wish to use IUCN Red List of Threatened Species criteria, Version 3.1.

agencies at various levels, co-managed protected areas, private protected areas, indigenous and local community conserved areas.

1.1.5. By 2006 complete protected area system gap analyses at national and regional levels based on the requirements for representative systems of protected areas that adequately conserve terrestrial, marine and inland water biodiversity and ecosystems. National plans should also be developed to provide interim measures to protect highly threatened or highly valued areas wherever this is necessary. Gap analyses should take into account Annex I of the Convention on Biological Diversity and other relevant criteria such as irreplaceability of target biodiversity components, minimum effective size and viability requirements, species migration requirements, integrity, ecological processes and ecosystem services.

1.1.6. By 2009, designate the protected areas as identified through the national or regional gap analysis (including precise maps) and complete by 2010 terrestrially and 2012 in the marine environments the establishment of comprehensive and ecologically representative national and regional systems of protected areas.

1.1.7. Encourage the establishment of protected areas that benefit indigenous and local communities, including by respecting, preserving, and maintaining their traditional knowledge in accordance with article 8(j) and related provisions.

Suggested supporting activities of the Executive Secretary

1.1.8. Identify options for quantitative and qualitative protected areas targets and indicators that should be used at the global level that could contribute to the 2010 target and the Millennium Development Goals.

1.1.9. Invite relevant international and regional organizations to offer their assistance to the Parties in conducting national-level gap analyses.

1.1.10. Compile and disseminate through the clearing-house mechanism and other relevant media relevant approaches, frameworks and tools for system planning and promote and facilitate the exchange of experiences and lessons learned in applying and adapting them to different ecological and social settings.

GOAL 1.2: To integrate protected areas into broader land- and seascapes and sectors so as to maintain ecological structure and function

TARGET: By 2015, all protected areas and protected area systems are integrated into the wider land- and seascape, and relevant sectors, by applying the ecosystem approach and taking into account ecological connectivity[225] and the concept, where appropriate, of ecological networks.

Suggested activities of the Parties

1.2.1. Evaluate by 2006 national and sub-national experiences and lessons learned on specific efforts to integrate protected areas into broader land- and seascapes and sectoral plans and strategies such as poverty reduction strategies.

225 The concept of connectivity may not be applicable to all Parties.

1.2.2. Identify and implement, by 2008, practical steps for improving the integration of protected areas into broader land- and seascapes, including policy, legal, planning and other measures.

1.2.3. Integrate regional, national and sub-national systems of protected areas into broader land- and seascape, *inter alia* by establishing and managing ecological networks, ecological corridors[226] and/or buffer zones, where appropriate, to maintain ecological processes and also taking into account the needs of migratory species.

1.2.4. Develop tools of ecological connectivity, such as ecological corridors, linking together protected areas where necessary or beneficial as determined by national priorities for the conservation of biodiversity.

1.2.5. Rehabilitate and restore habitats and degraded ecosystems, as appropriate, as a contribution to building ecological networks, ecological corridors and/or buffer zones.

Suggested supporting activities of the Executive Secretary

1.2.6. Encourage the organization of regional and sub-regional workshops for the exchange of experiences on integration of biodiversity and protected areas into relevant sectoral and spatial plans.

1.2.7. Compile and disseminate, using the CHM and other media, case-studies of best practices and other reports regarding the application of the ecosystem approach in relation to protected areas at the international, regional, national and sub-national levels.

GOAL 1.3: To establish and strengthen regional networks, transboundary protected areas (TBPAs) and collaboration between neighbouring protected areas across national boundaries

TARGET: Establish and strengthen by 2010/2012[227] transboundary protected areas, other forms of collaboration between neighbouring protected areas across national boundaries and regional networks, to enhance the conservation and sustainable use of biological diversity, implementing the ecosystem approach, and improving international cooperation.

Suggested activities of the Parties

1.3.1. Collaborate with other parties and relevant partners to establish effective regional networks of protected areas, particularly in areas identified as common conservation priorities (e.g., barrier reef systems, large scale river basins, mountain systems, large remaining forest areas and critical habitat for endangered species), and establish multi-country coordination mechanisms as appropriate to support the establishment and effective long term management of such networks.

1.3.2. Collaborate with other Parties and relevant partners through the United Nations Informal Consultative Process on the Law of the Sea (UNICPOLOS) to establish and manage protected areas in marine areas beyond the limits of national

226 Ecological corridors may not be applicable to all Parties.

227 References to marine protected area networks to be consistent with the target in the WSSD plan of implementation.

jurisdiction, in accordance with international law, including the UN Convention on the Law of the Sea, and based on scientific information.

1.3.3. Establish, where appropriate, new TBPAs with adjacent Parties and countries and strengthen effective collaborative management of existing TBPAs.

1.3.4. Promote collaboration between protected areas across national boundaries.

Suggested supporting activities of the Executive Secretary

1.3.5. Collaborate and consult with relevant organizations and bodies for developing guidelines for establishing transboundary protected areas and collaborative management approaches, as appropriate, for dissemination to Parties.

1.3.6. Compile and disseminate information on regional networks of protected areas and transboundary protected areas, including, as far as possible, their geographical distribution, their historical background, their role and the partners involved.

1.3.7. Review the potential for regional cooperation under the Convention on Migratory Species with a view to linking of protected area networks across international boundaries and potentially beyond national jurisdiction through the establishment of migratory corridors for key species.

GOAL 1.4: To substantially improve site-based protected area planning and management

TARGET: All protected areas to have effective management in existence by 2012, using participatory and science-based site planning processes that incorporate clear biodiversity objectives, targets, management strategies and monitoring programmes, drawing upon existing methodologies and a long-term management plan with active stakeholder involvement.

Suggested activities of the Parties

1.4.1. Create a highly participatory process, involving indigenous and local communities and relevant stakeholders, as part of site-based planning in accordance with the ecosystem approach, and use relevant ecological and socio-economic data required to develop effective planning processes.

1.4.2. Identify appropriate measurable biodiversity conservation targets for sites, drawing on criteria laid out in Annex I to the Convention on Biological Diversity and other relevant criteria.

1.4.3. Include in the site-planning process an analysis of opportunities for the protected area to contribute to conservation and sustainable use of biodiversity at local and regional scales as well as an analysis of threats and means of addressing them.

1.4.4. As appropriate, but no later than 2010, develop or update management plans for protected areas, built on the above process, to better achieve the three objectives of the Convention.

1.4.5. Integrate climate change adaptation measures in protected area planning, management strategies, and in the design of protected area systems.

1.4.6. Ensure that protected areas are effectively managed or supervised through staff that are well-trained and skilled, properly and appropriately equipped, and supported, to carry out their fundamental role in the management and conservation of protected areas.

Suggested supporting activities of the Executive Secretary

1.4.7. Compile and disseminate through the clearing-house mechanism current relevant approaches, frameworks and tools for site planning and promote and facilitate the exchange of experiences and lessons learned in applying and adapting them in different ecological and social settings.

1.4.8. Disseminate information on successful management models of protected areas which serve to further the three objective of the Convention and may also contribute to poverty reduction and the pursuit of sustainable development.

GOAL 1.5: To prevent and mitigate the negative impacts of key threats to protected areas

TARGET: By 2008, effective mechanisms for identifying and preventing, and/or mitigating the negative impacts of key threats to protected areas are in place.

Suggested activities of the Parties

1.5.1. Apply, as appropriate, timely environmental impact assessments to any plan or project with the potential to have effects on protected areas, and ensure timely information flow among all concerned parties to that end, taking into account decision VI/7 A of the Conference of the Parties on guidelines for incorporating biodiversity-related issues into environmental impact assessment legislation and/or processes and in strategic environmental assessments.

1.5.2. Develop by 2010 national approaches to liability and redress measures, incorporating the polluter pays principle or other appropriate mechanisms in relation to damages to protected areas.

1.5.3. Establish and implement measures for the rehabilitation and restoration of the ecological integrity of protected areas.

1.5.4. Take measures to control risks associated with invasive alien species in protected areas.

1.5.5. Assess key threats to protected areas and develop and implement strategies to prevent and/or mitigate such threats.

1.5.6. Develop policies, improve governance, and ensure enforcement of urgent measures that can halt the illegal exploitation of resources from protected areas, and strengthen international and regional cooperation to eliminate illegal trade in such resources taking into account sustainable customary resource use of indigenous and local communities in accordance with article 10(c) of the Convention.

Suggested supporting activities of the Executive Secretary

1.5.7. Address issues specific to protected areas, in the guidelines for incorporating biodiversity considerations in environmental impact assessment and strategic environmental assessment, procedures and regulations.

1.5.8. Collaborate with the International Association for Impact Assessment and other relevant organizations on further development and refinement of the impact assessment guidelines particularly to incorporate all stages of environmental impact assessment processes in protected areas taking into account the ecosystem approach.

1.5.9. Compile and disseminate through the clearing-house mechanism and other means case studies, best practices and lessons learned in mitigating the negative impacts of key threats and facilitate the exchange of experiences.

PROGRAMME ELEMENT 2: GOVERNANCE, PARTICIPATION, EQUITY AND BENEFIT SHARING

GOAL 2.1: To promote equity and benefit-sharing

TARGET: Establish by 2008 mechanisms for the equitable sharing of both costs and benefits arising from the establishment and management of protected areas.

Suggested activities of the Parties

2.1.1. Assess the economic and socio-cultural costs, benefits and impacts arising from the establishment and maintenance of protected areas, particularly for indigenous and local communities, and adjust policies to avoid and mitigate negative impacts, and where appropriate compensate costs and equitably share benefits in accordance with the national legislation.

2.1.2. Recognize and promote a broad set of protected area governance types related to their potential for achieving biodiversity conservation goals in accordance with the Convention, which may include areas conserved by indigenous and local communities and private nature reserves. The promotion of these areas should be by legal and/or policy, financial and community mechanisms.

2.1.3. Establish policies and institutional mechanisms with full participation of indigenous and local communities, to facilitate the legal recognition and effective management of indigenous and local community conserved areas in a manner consistent with the goals of conserving both biodiversity and the knowledge, innovations and practices of indigenous and local communities.

2.1.4. Use social and economic benefits generated by protected areas for poverty reduction, consistent with protected-area management objectives.

2.1.5. Engage indigenous and local communities and relevant stakeholders in participatory planning and governance, recalling the principles of the ecosystem approach.

2.1.6. Establish or strengthen national policies to deal with access to genetic resources within protected areas and fair and equitable sharing of benefits arising from their utilization, drawing upon the Bonn Guidelines on Access to Genetic

Resources and Fair and Equitable Sharing of the Benefits Arising out of their Utilization as appropriate.

GOAL 2.2: To enhance and secure involvement of indigenous and local communities and relevant stakeholders

TARGET: Full and effective participation by 2008, of indigenous and local communities, in full respect of their rights and recognition of their responsibilities, consistent with national law and applicable international obligations, and the participation of relevant stakeholders, in the management of existing, and the establishment and management of new, protected areas.

Suggested activities of the Parties

2.2.1. Carry out participatory national reviews of the status, needs and context-specific mechanisms for involving stakeholders, ensuring gender and social equity, in protected areas policy and management, at the level of national policy, protected area systems and individual sites.

2.2.2. Implement specific plans and initiatives to effectively involve indigenous and local communities, with respect for their rights consistent with national legislation and applicable international obligations, and stakeholders at all levels of protected areas planning, establishment, governance and management, with particular emphasis on identifying and removing barriers preventing adequate participation.

2.2.3. Support participatory assessment exercises among stakeholders to identify and harness the wealth of knowledge, skills, resources and institutions of importance for conservation that are available in society.

2.2.4. Promote an enabling environment (legislation, policies, capacities, and resources) for the involvement of indigenous and local communities and relevant stakeholders[228] in decision making, and the development of their capacities and opportunities to establish and manage protected areas, including community-conserved and private protected areas.

2.2.5. Ensure that any resettlement of indigenous communities as a consequence of the establishment or management of protected areas will only take place with their prior informed consent that may be given according to national legislation and applicable international obligations.

Suggested supporting activities of the Executive Secretary

2.2.6. Make available to Parties case-studies, advice on best practices and other sources of information on stakeholder participation in protected areas.

2.2.7. Promote, through the CHM, technical publications and other means, the international sharing of experience on effective mechanisms for stakeholder involvement and governance types in conservation in particular with regard to co-managed protected areas, indigenous and local community conserved areas and private protected areas.

228 In this context nomadic communities and pastoralists are given special reference.

PROGRAMME ELEMENT 3: ENABLING ACTIVITIES

GOAL 3.1: To provide an enabling policy, institutional and socio-economic environment for protected areas

TARGET: By 2008 review and revise policies as appropriate, including use of social and economic valuation and incentives, to provide a supportive enabling environment for more effective establishment and management of protected areas and protected areas systems.

Suggested activities of the Parties

3.1.1. By 2006, identify legislative and institutional gaps and barriers that impede the effective establishment and management of protected areas, and by 2009, effectively address these gaps and barriers.

3.1.2. Conduct national-level assessments of the contributions of protected areas, considering as appropriate environmental services, to the country's economy and culture, and to the achievement of the Millennium Development Goals at the national level; and integrate the use of economic valuation and natural resource accounting tools into national planning processes in order to identify the hidden and non-hidden economic benefits provided by protected areas and who appropriates these benefits.

3.1.3. Harmonize sectoral policies and laws to ensure that they support the conservation and effective management of the protected area system.

3.1.4. Consider governance principles, such as the rule of law, decentralization, participatory decision-making mechanisms for accountability and equitable dispute resolution institutions and procedures.

3.1.5. Identify and remove perverse incentives and inconsistencies in sectoral policies that increase pressure on protected areas, or take action to mitigate their perverse effects. Whenever feasible, redirect these to positive incentives for conservation.

3.1.6. Identify and establish positive incentives that support the integrity and maintenance of protected areas and the involvement of indigenous and local communities and stakeholders in conservation.

3.1.7. Adopt legal frameworks to national, regional and sub-national protected areas systems of countries where appropriate.

3.1.8. Develop national incentive mechanisms and institutions and legislative frameworks to support the establishment of the full range of protected areas that achieve biodiversity conservation objectives including on private lands and private reserves where appropriate.

3.1.9. Identify and foster economic opportunities and markets at local, national and international levels for goods and services produced by protected areas and/or reliant on the ecosystem services that protected areas provide, consistent with protected area objectives and promote the equitable sharing of the benefits.

3.1.10. Develop necessary mechanisms for institutions with responsibilities for conservation of biological diversity at the regional, national and local level to achieve institutional and financial sustainability.

3.1.11. Cooperate with neighbouring countries to establish an enabling environment for transboundary protected areas and for neighbouring protected areas across national boundaries and other similar approaches including regional networks.

Suggested supporting activities of the Executive Secretary

3.1.12. In collaboration with key partners such as OECD, IUCN, WWF and the secretariats of other conventions compile information on relevant guidance, resource kits and other information on incentive measures including those relating to the development of incentive options.

3.1.13. Compile and disseminate, through the CHM and other media, case-studies on best practices on the use of incentive measures for the management of protected areas.

3.1.14. Compile and disseminate through the CHM and other media best practices on ways and means to integrate the use of incentive measures into protected area management plans, programmes and policies including opportunities for the removal or mitigation of perverse incentives.

GOAL 3.2: To build capacity for the planning, establishment and management of protected areas

TARGET: By 2010, comprehensive capacity building programmes and initiatives are implemented to develop knowledge and skills at individual, community and institutional levels, and raise professional standards.

Suggested activities of the Parties

3.2.1. By 2006 complete national protected-area capacity needs assessments, and establish capacity-building programmes on the basis of these assessments including the creation of curricula, resources and programs for the sustained delivery of protected areas management training.

3.2.2. Establish effective mechanisms to document existing knowledge and experiences on protected area management, including traditional knowledge in accordance with Article 8(j) and Related Provisions, and identify knowledge and skills gaps.

3.2.3. Exchange lessons learnt, information and capacity-building experiences among countries and relevant organizations, through the Clearing-house Mechanisms and other means.

3.2.4. Strengthen the capacities of institutions to establish cross-sectoral collaboration for protected area management at the regional, national and local levels.

3.2.5. Improve the capacity of protected areas institutions to develop sustainable financing through fiscal incentives, environmental services, and other instruments.

Suggested supporting activities of the Executive Secretary

3.2.6. Cooperate with IUCN and other relevant organizations to compile and disseminate available information.

3.2.7. Cooperate with initiatives such as the Protected Areas Learning Network (PALNet-IUCN) and explore lessons learned from those experiences, in collaboration with relevant organizations.

GOAL 3.3: To develop, apply and transfer appropriate technologies for protected areas

TARGET: By 2010 the development, validation, and transfer of appropriate technologies and innovative approaches for the effective management of protected areas is substantially improved, taking into account decisions of the Conference of the Parties on technology transfer and cooperation.

Suggested activities of the Parties

3.3.1. Document and make available to the Executive Secretary appropriate technologies for conservation and sustainable use of biological diversity of protected areas and management of protected areas.

3.3.2. Assess needs for relevant technologies for protected area management involving indigenous and local communities and stakeholders such as the research institutions, non-governmental organizations and the private sector.

3.3.3. Encourage development and use of appropriate technology, including technologies of indigenous and local communities with their participation, approval and involvement in accordance with Article 8(j) and Related Provisions, for habitat rehabilitation and restoration, resource mapping, biological inventory, and rapid assessment of biodiversity, monitoring, *in situ* and *ex situ* conservation, sustainable use, etc.

3.3.4. Promote an enabling environment for the transfer of technology in accordance with decision VII/29 of the Conference of Parties on technology transfer and cooperation to improve protected area management.

3.3.5. Increase technology transfer and cooperation to improve protected area management.

Suggested supporting activities of the Executive Secretary

3.3.6. Compile and disseminate information provided by Parties and relevant international organizations on appropriate technologies and approaches for efficient management of protected areas and conservation and sustainable use of biological diversity of protected areas.

GOAL 3.4: To ensure financial sustainability of protected areas and national and regional systems of protected areas

TARGET: By 2008, sufficient financial, technical and other resources to meet the costs to effectively implement and manage national and regional systems of protected areas are secured, including both from national and international sources, particularly to support the needs of developing countries and countries with economies in transition and small island developing States.

Suggested activities of the Parties

3.4.1. Conduct a national-level study by 2005 of the effectiveness in using existing financial resources and of financial needs related to the national system of protected areas and identify options for meeting these needs through a mixture of national and international resources and taking into account the whole range of possible funding instruments, such as public funding, debt for nature swaps, elimination of perverse incentives and subsidies, private funding, taxes and fees for ecological services.

3.4.2. By 2008, establish and begin to implement country-level sustainable financing plans that support national systems of protected areas, including necessary regulatory, legislative, policy, institutional and other measures.

3.4.3. Support and further develop international funding programmes to support implementation of national and regional systems of protected areas in developing countries and countries with economies in transition and small island developing States.

3.4.4. Collaborate with other countries to develop and implement sustainable financing programmes for national and regional systems of protected areas.

3.4.5. Provide regular information on protected areas financing to relevant institutions and mechanisms, including through future national reports under the Convention on Biological Diversity, and to the World Database on Protected Areas.

3.4.6. Encourage integration of protected areas needs into national and, where applicable, regional development and financing strategies and development cooperation programmes.

Suggested supporting activities of the Executive Secretary

3.4.7. Convene as soon as possible, but not later than 2005, a meeting of the donor agencies and other relevant organizations to discuss options for mobilizing new and additional funding to developing countries and countries with economies in transition and small island developing States for implementation of the programme of work.

3.4.8. Compile and disseminate case-studies and best practices concerning protected area financing through the clearing-house mechanism and other media.

3.4.9. Review and disseminate by 2006 studies on the value of ecosystem services provided by protected areas.

GOAL 3.5: To strengthen communication, education and public awareness

TARGET: By 2008 public awareness, understanding and appreciation of the importance and benefits of protected areas is significantly increased.

Suggested activities of the Parties

3.5.1. Establish or strengthen strategies and programmes of education and public awareness on the importance of protected areas in terms of their role in biodiversity conservation and sustainable socio-economic development, in close collaboration

with the Communication, Education and Public Awareness Initiative (CEPA) under the Convention on Biological Diversity and targeted towards all stakeholders.

3.5.2. Identify core themes for education, awareness and communication programmes relevant to protected areas, including *inter alia* their contribution to economy and culture to achieve specific end results such as compliance by resource users and other stakeholders or an increased understanding of science-based knowledge by indigenous and local communities and policy makers and an increased understanding of the needs, priorities and value of indigenous and local communities' knowledge, innovations and practices by Governments, non-governmental organizations and other relevant stakeholders.

3.5.3. Strengthen, and where necessary, establish information mechanisms directed at target groups such as the private sector, policy makers, development institutions, community-based organizations, the youth, the media, and the general public.

3.5.4. Develop mechanisms for constructive dialogue and exchange of information and experiences among protected-area managers, and between protected area managers and indigenous and local communities and their organizations and other environment educators and actors.

3.5.5. Incorporate the subject of protected areas as an integral component of the school curricula as well as in informal education.

3.5.6. Establish mechanism and evaluate the impacts of communication, education and public awareness programmes on biodiversity conservation to ensure that they improve public awareness, change behaviour and support the achievement of protected area objectives.

Suggested supporting activities of the Executive Secretary

3.5.7. Collaborate with IUCN and other relevant organizations to collect and disseminate educational tools and materials for adaptation and use in the promotion of protected areas as an important means of achieving the conservation and sustainable use of biodiversity.

3.5.8. Establish, in collaboration with the IUCN and other relevant partners, an initiative to engage the global news and entertainment industry (television, film, popular music, Internet, etc.) in a global campaign to raise awareness of the consequences of biological diversity loss and the important role of protected areas in biodiversity conservation.

PROGRAMME ELEMENT 4: STANDARDS, ASSESSMENT, AND MONITORING

GOAL 4.1: To develop and adopt minimum standards and best practices for national and regional protected area systems

TARGET: By 2008, standards, criteria, and best practices for planning, selecting, establishing, managing and governance of national and regional systems of protected areas are developed and adopted.

Suggested activities of the Parties

4.1.1. Collaborate with other Parties and relevant organizations, particularly IUCN, on the development, testing, review and promotion of voluntary protected areas standards and best practices on planning and management, governance and participation.

4.1.2. Develop and implement an efficient, long-term monitoring system of the outcomes being achieved through protected area systems in relation to the goals and targets of this work programme.

4.1.3. Draw upon monitoring results to adapt and improve protected area management based on the ecosystem approach.

Suggested supporting activities of the Executive Secretary

4.1.4 In collaboration with the key partners and based upon the best practices promote available guidance for parties minimum standards for planning, selecting, establishing, managing and governance of protected area sites and systems.

4.1.5 Compile information on best practices and case-studies on effective management of protected areas and disseminate it through clearing-house mechanism and facilitate exchange of information.

GOAL 4.2: To evaluate and improve the effectiveness of protected areas management

TARGET: By 2010, frameworks for monitoring, evaluating and reporting protected areas management effectiveness at sites, national and regional systems, and transboundary protected area levels adopted and implemented by Parties.

Suggested activities of the Parties

4.2.1. Develop and adopt, by 2006, appropriate methods, standards, criteria and indicators for evaluating the effectiveness of protected area management and governance, and set up a related database, taking into account the IUCN-WCPA framework for evaluating management effectiveness, and other relevant methodologies, which should be adapted to local conditions.

4.2.2. Implement management effectiveness evaluations of at least 30 percent of each Party's protected areas by 2010 and of national protected area systems and, as appropriate, ecological networks.

4.2.3. Include information resulting from evaluation of protected areas management effectiveness in national reports under the Convention on Biological Diversity.

4.2.4. Implement key recommendations arising from site- and system-level management effectiveness evaluations, as an integral part of adaptive management strategies.

Suggested supporting activities of the Executive Secretary

4.2.5. Compile and disseminate information on management effectiveness through the clearing-house mechanism and develop a database of experts in evaluation of

protected area management effectiveness and consider the possibility of organizing an international workshop on appropriate methods, criteria and indicators for evaluating the effectiveness of protected area management.

4.2.6. In cooperation with IUCN-WCPA and other relevant organizations, compile and disseminate information on best practices in protected area design, establishment and management.

GOAL 4.3: To assess and monitor protected area status and trends

TARGET: By 2010, national and regional systems are established to enable effective monitoring of protected-area coverage, status and trends at national, regional and global scales, and to assist in evaluating progress in meeting global biodiversity targets.

Suggested activities of the Parties

4.3.1. Implement national and regional programmes to monitor and assess the status and trends of biodiversity within protected area systems and sites.

4.3.2. Measure progress towards achieving protected area targets based on periodic monitoring and report on progress towards these targets in future national reports under the Convention on Biological Diversity as well as in a thematic report at COP 9.

4.3.3. Improve and update national and regional databases on protected areas and consolidate the World Database on Protected Areas as key support mechanisms in the assessment and monitoring of protected area status and trends.

4.3.4. Participate in the World Database on Protected Areas maintained by UNEP-WCMC, and the United Nations List of Protected Areas and the State of the World's Protected Areas assessment process.

4.3.5. Encourage the establishment and establishment use of new technologies including geographic information system and remote sensing tools for monitoring protected areas.

Suggested supporting activities of the Executive Secretary

4.3.6. Develop and consolidate working partnerships with appropriate organizations and institutions that have developed and maintained monitoring systems and databases on protected areas, in particular with the UNEP-WCMC and the IUCN World Commission on Protected Areas.

4.3.7. Explore establishment of a harmonized system and time schedule for reporting on sites designated under the Convention on Wetlands, the World Heritage Convention, and UNESCO MAB programme, and other regional systems, as appropriate, taking into account the ongoing work of UNEP-WCMC on harmonization of reporting and the IUCN protected area management category system for reporting purpose.

4.3.8. Prepare an updated format for the thematic report on protected areas covering, *inter alia,* integration of protected areas and national systems of protected

areas into relevant sectors and spatial planning taking into account decision VII/25 on national reporting.

GOAL 4.4: To ensure that scientific knowledge contributes to the establishment and effectiveness of protected areas and protected area systems

TARGET: Scientific knowledge relevant to protected areas is further developed as a contribution to their establishment, effectiveness, and management.

Suggested activities of the Parties

4.4.1. Improve research, scientific and technical cooperation related to protected areas at national, regional and international levels.

4.4.2. Promote interdisciplinary research, to improve understanding of the ecological social and economic aspects of protected areas, including methods and techniques for valuation of goods and services from protected areas

4.4.3. Encourage studies to improve the knowledge of the distribution, status and trends of biological diversity.

4.4.4. Encourage collaborative research between scientists and indigenous and local communities in accordance with Article 8(j) in connection with the establishment and the effective management of protected areas

4.4.5. Promote the dissemination of scientific information from and on protected areas including through the clearing-house mechanism.

4.4.6. Promote the dissemination of, and facilitate access to, scientific and technical information, in particular publications on protected areas, with special attention to the needs of developing countries and countries with economies in transition, in particular least developed countries and small island developing States.

4.4.7. Develop and strengthen working partnerships with appropriate organizations and institutions which undertake research studies leading to an improved understanding of biodiversity in protected areas.

APPENDIX
INDICATIVE LIST OF PARTNERS AND OTHER COLLABORATORS

Partners

Convention on Conservation of Migratory Species
Food and Agriculture Organization
Global Environment Facility
Intergovernmental Oceanic Commission of the United Nations Educational, Scientific and Cultural Organization
International Coral Reef Initiative
International Maritime Organization
International Association for Impact Assessment

IUCN—The World Conservation Union and its World Commission on Protected Areas, Commission on Ecosystem Management, and Species Survival Commission
International Whaling Commission
Man and Biosphere Programme of the United Nations Educational, Scientific and Cultural Organization
Ramsar Convention
United Nations Framework Convention on Climate Change
United Nations Convention on the Law of the Sea
United Nations Convention to Combat Desertification
United Nations Development Programme
UNEP—World Conservation Monitoring Centre
United Nations Forum on Forests
World Heritage Centre of the United Nations Educational, Scientific and Cultural Organization
World Bank

Other Collaborators

BirdLife International
Conservation International
Fauna and Flora International
The Nature Conservancy
Wildlife Conservation Society
World Resources Institute
WWF
Indigenous and local communities
Private sector
Other relevant national, regional and international non-governmental organizations and other organizations

DECISION VII/29 | Transfer of technology and technology cooperation (Articles 16 to 19)

The Conference of the Parties,

Noting that technology transfer and cooperation are essential elements for the implementation of the three objectives of the Convention,

Recalling the provisions of Articles 16 to 19 of the Convention,

Recalling principle 9 of the Rio Declaration on Environment and Development which states that States should cooperate to strengthen endogenous capacity-building for sustainable development by improving scientific understanding through exchanges of scientific and technological knowledge, and by enhancing the devel-

opment, adaptation, diffusion and transfer of technologies, including new and innovative technologies,

Also recalling paragraphs 105 and 106 of the Plan of Implementation of the World Summit on Sustainable Development (WSSD), which call upon States to promote, facilitate and finance, as appropriate, access to and the development, transfer and diffusion of environmentally sound technologies and corresponding know-how, in particular to developing countries and countries with economies in transition on favourable terms, including on concessional and preferential terms, as mutually agreed,

Recognizing the vital role of indigenous and local communities, in particular the role of women, and the value of traditional knowledge related to the conservation and sustainable use of biological diversity,

Recalling paragraph 44(h) of the Plan of Implementation of the World Summit, which calls upon States to provide financial and technical support to developing countries, including capacity-building, in order to enhance indigenous and community-based biodiversity conservation efforts,

Recognizing the value of initiatives such as the Cooperative Initiative on Alien Species on Islands in providing a focused clearing-house for facilitating scientific and technical cooperation,

Reiterating that work on technology transfer under the Convention shall be conducted in an integrated manner that is consistent with the thematic and cross-cutting programmes of work, in line with decision III/16 endorsing the SBSTTA recommendation II/3,

Noting with appreciation the role of the Norway/United Nations Conference on Technology Transfer and Capacity-building, held in Norway from 23 to 27 June 2003, in the development of the programme of work on technology transfer and scientific and technological cooperation, as requested in decision VI/30,

Mindful that the activities under its programme of work on technology transfer and technological and scientific cooperation shall be part of a comprehensive implementation support strategy for the Convention on Biological Diversity consistent with the multi-year programme of work and the Strategic Plan of the Convention, and should draw upon experiences from other international conventions and processes such as the UNFCCC or the Intergovernmental Strategic Plan on Technology Support and Capacity Building under preparation by UNEP,

1. *Adopts* the programme of work on technology transfer and cooperation as contained in the annex to the present decision;

2. *Decides* that implementation of the programme of work should be undertaken in close coordination with relevant activities under thematic programmes of work and programmes of work of other cross-cutting issues, in order to prevent duplication of work and maximize synergy;

3. *Invites* Parties and relevant international organizations, and *requests* the Executive Secretary, to carry out the activities under their respective responsibilities as

spelled out in the programme of work up to the eighth meeting of the Conference of the Parties, as a first phase in the implementation of the programme of work;

4. *Invites* the United Nations Environment Programme, upon approval by the Governing Council, to take into account the need for technology transfer and technology cooperation and capacity-building under the Convention when preparing and implementing the Intergovernmental Strategic Plan on Technology Support and Capacity-Building, in order to ensure synergy and support in the implementation of the programme of work on technology transfer and cooperation, and to work with UNDP as the leader on capacity building in the United Nations;

5. *Invites* Parties, in accordance to their identified needs and priorities and taking into account the information gaps identified in the synthesis report of information contained in national reports on technology transfer and cooperation (UNEP/CBD/COP/7/INF/9), to convene national, subregional and regional workshops to exchange information and experiences on, and to enhance capacity for, successful cooperation, transfer, diffusion and adaptation of environmentally sound technologies;

6. *Requests* the Executive Secretary to convene the informal advisory committee of the clearing-house mechanism, further to decision V/14, to assist the Executive Secretary, including through electronic consultation and long distance communication, to:

(a) Provide advice on the development of proposals on the possible role of the clearing-house mechanism as a central mechanism for exchange of information on technologies, as a core element in its role to facilitate scientific and technical cooperation, and for facilitating technology transfer and cooperation and to promote and facilitate technical and scientific cooperation relevant for the conservation and sustainable use of biodiversity, and for technologies that make use of genetic resources and do not cause significant damage to the environment;

(b) Develop guidance for implementation by national clearing-house mechanism nodes for common or similar frameworks for identifying the availability of relevant technologies to enhance international cooperation and to facilitate the interoperability with relevant existing systems of national and international information exchange, including technology and patent databases;

(c) Assist in the implementation of proposals for enhancing the clearing-house mechanism as a central mechanism for exchange of information on technologies, as a core element in its role to promote and facilitate scientific and technical cooperation, and for facilitating and promoting technology transfer and cooperation and for the promotion of technical and scientific cooperation as adopted by the Conference of the Parties;

7. *Requests* the Executive Secretary to establish an expert group on technology transfer and scientific and technical cooperation, balanced regionally as well as in respect to expertise, which shall assist the Executive Secretary, through electronic consultations and long-distance communications as well as through meetings in conjunction with the informal advisory committee of the clearing-house mechanism, in the:

(a) Preparation of proposals on options to apply institutional, administrative, legislative and policy measures and mechanisms, including best practices, as well as to overcome barriers, to facilitate access to and adaptation of technologies on the public domain and to proprietary technologies by developing countries and countries with economies in transition; and in particular, on measures and mechanisms that:

(i) Foster an enabling environment in developing and developed countries for cooperation as well as the transfer, adaptation and diffusion of relevant technologies;

(ii) Provide, in accordance with existing international obligations, incentives to private-sector actors as well as public research institutions in developed country Parties, to encourage cooperation and transfer of technologies to developing countries, through, e.g., technology transfer programmes or joint-ventures;

(iii) Promote and advance priority access for Parties to the results and benefits arising from technologies based upon genetic resources provided by those Parties, in accordance with Article19, paragraph 2 of the Convention, and to promote the effective participation in related technological research by those Parties;

(iv) Promote innovative approaches and means of technology transfer and cooperation such as Type 2 partnerships,[229] in accordance with the outcome of the World Summit on Sustainable Development, or transfers among actors, involving in particular the private sector and civil society organizations;

(b) Exploration of possibilities and mechanisms of cooperation with processes in other Conventions and international organizations, such as the UNFCCC Expert Group on Technology Transfer (EGTT);

8. *Requests* Parties, governments and relevant organizations to develop means to provide access to translation services for scientific and technical information, including by identifying sources of free translation and/or by finding funding for translation;

9. *Invites* Parties, governments, the private sector and relevant civil society organizations to develop innovative approaches and means of technology transfer and cooperation such as Type 2 partnerships in accordance with the outcome of the World Summit on Sustainable Development (WSSD);

10. *Urges* Parties, governments and relevant organizations to identify further areas in which international or regional cooperative initiatives—such as the proposed cooperative initiative on marine alien species—would support implementation of the Convention;

229 "Type 2" partnerships/initiatives for sustainable development are non-negotiated and complementary to the commitments by Governments in the Johannesburg Declaration on Sustainable Development and the Plan of Implementation of the World Summit on Sustainable Development. They shall contribute to translating those political commitments into actions of a voluntary, self-organizing nature, thus enabling all stakeholders to make a concrete contribution to the Plan of Implementation.

11. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice and the Ad Hoc Open-ended Working Group on Access and Benefit-sharing to identify, during the development or review of work programmes, methods to increase the contribution of organizations, communities, academia and the private sector to the development and dissemination of scientific knowledge and the diffusion of technology needed for the implementation of those work programmes;

12. Agrees that the Conference of the Parties at its eighth meeting will, under the agenda item "refining mechanisms to support implementation", review the results of the work referred to the previous paragraph, and will identify generic approaches for broadening the practical scientific and technical support for the implementation of the Convention;

13. *Urges* Parties, Governments and relevant international and regional organizations to provide financial and technical support and training, as appropriate, in order to assist in the implementation of the programme of work;

14. *Urges* Parties, Governments, relevant international and regional organizations and the private sector to remove any unnecessary impediments to funding of multi-country initiatives for technology transfer and for scientific and technical cooperation;

15. *Requests* the Executive Secretary to consult with multilateral financial institutions, regional banks and other relevant funding bodies to consider ways and means of involving them in the work of the Convention and in the efforts of Parties in its implementation, and in particular to identify mechanisms for financial support of capacity development, technology transfer and scientific, technical and technological cooperation.

ANNEX
PROGRAMME OF WORK ON TECHNOLOGY TRANSFER AND TECHNOLOGICAL AND SCIENTIFIC COOPERATION

1. The purpose of this programme of work is to develop meaningful and effective action to enhance the implementation of Articles 16 to 19 as well as related provisions of the Convention by promoting and facilitating the transfer of and access to technologies from developed to developing countries, including the least developed among them and small island developing States, as well as to countries with economies in transition, as well as among developing countries and other Parties, necessary to ensure implementation of the three objectives of the Convention, and in support of the target to achieve a significant reduction of the current rate of biodiversity loss at the global, regional and national level by 2010. Implementation of this programme of work shall also contribute to the attainment of the Millennium Development Goals to ensure environmental sustainability and to eradicate extreme poverty and hunger by 2015, and shall fully take into account specific national circumstances and constraints such as remoteness or vulnerability.

2. The successful transfer of technology and technology cooperation requires a country-driven, flexible and integrated approach at international, regional as well as national and sectoral levels, based on partnership and cooperation among

inter alia the private sector, Governments, indigenous and local communities, bilateral and multilateral institutions, funding institutions, non-governmental organizations and academic and research institutions, to enhance activities on technology assessments, on information systems, on creating enabling environments and on capacity-building.

3. Implementation of the activities spelt out in this programme of work, and the indicated timelines, shall not delay the immediate transfer of technologies, in accordance with Articles 16 to 19 of the Convention, in those cases where technology needs and opportunities for the transfer of environmentally sound technologies are already identified and the enabling environment supports their successful transfer, diffusion and adaptation.

4. In implementing this programme of work, the various actors enumerated above are invited to take into account the following strategic considerations:

(a) In the light of largely varying socio-economic and cultural conditions among countries, technology transfer, and in particular the assessment of technology needs and of the related needs for the building or enhancement of capacity, is necessarily a country-driven and flexible process;

(b) Implementation of the programme of work should promote and facilitate the transfer of technology and cooperation among all countries, with special emphasis among developed and developing countries as well as countries with economies in transition consistent with Articles 16 to 19 of the Convention;

(c) The participation, approval and involvement of indigenous and local communities and all relevant stakeholders is key for the successful transfer and diffusion of technology for conservation and sustainable use of biological diversity;

(d) Mechanisms for ensuring that technology transfer and cooperation fully respect the rights of indigenous and local communities need to be taken into account in the implementation of the programme of work;

(e) Consideration should be given to identifying and facilitating the use of local solutions to local issues, as the most innovative solutions are often developed locally, but remain unknown to a wider community of potential users;

(f) The strengthening of national, regional and international information systems including through the development and use of common formats, standards and protocols, providing, *inter alia*, access to information on existing technologies for the purposes of the Convention, and the improvement of the Convention clearing-house mechanism as a central gateway to such information systems, are crucial for the implementation of Articles 16 to 19 of the Convention;

(g) The development of innovative partnerships, involving governmental agencies, public and private research institutions, the private sector, and national and local stakeholders, is a tool that facilitates enabling environments that are conducive to the successful cooperation and transfer of technologies;

(h) In light of the numerous ongoing activities on technology transfer and technology cooperation under existing programmes and initiatives, particular

attention should be given to the establishment of synergies with such programmes and initiatives, in order to avoid the duplication of work;

(i) Building or enhancing human and institutional capacity at all levels, in particular in developing countries, least developed countries and small island developing States, as well as in countries with economies in transition, is of paramount importance to implement the present programme of work.

PROGRAMME ELEMENT 1: TECHNOLOGY ASSESSMENTS

Technology assessment is a set of country-driven activities which involve relevant stakeholders in a consultative process to identify and determine the needs of Parties in response to national priorities and policies, particularly developing countries, least developed countries and small island developing States, as well as countries with economies in transition, with regard to the cooperation and transfer of technology for conservation and sustainable use of biodiversity, or technology that makes use of genetic resources and do not cause significant damage to the environment, and with regard to building or enhancement of scientific, legal and administrative capacity, and training. Furthermore, assessments should also identify, as appropriate, the potential benefits, costs and risks of such technologies, with a view to ensuring that transferred technologies are economically viable, socially acceptable and environmentally friendly. Any international cooperation in this field should be on mutually agreed terms.

OBJECTIVE: Technology needs, the potential benefits costs and risks of such technologies, and the related capacity-building needs of Parties are identified in response to national priorities and policies.

OPERATIONAL TARGET 1.1: *Technology needs assessments are conducted as appropriate, with the participation of stakeholders, in accordance with the activities foreseen in the thematic and cross-cutting work programmes under the Convention and in line with national priorities as set out, inter alia, in the national biodiversity strategy and action plan.*

Activities

1.1.1. Preparation, in accordance with the activities foreseen in the thematic and cross-cutting work programmes under the Convention and in line with national priorities, of technology assessments addressing:

(a) Technology needs, opportunities and barriers in relevant sectors;

(b) Related needs in the building of capacity.

OPERATIONAL TARGET 1.2: *Impact and risk assessments are conducted, as appropriate, with the participation of stakeholders and, if needed and requested, with international cooperation.*

Activities

1.2.1. Preparation, as appropriate, of transparent impact assessments and risk analysis of the potential benefits, risks and associated costs with the introduction of technologies, including new technologies, whose risks and benefits are not yet determined.

1.2.2. Dissemination of assessments and related experiences at national and international levels.

Main actors: Parties to the Convention on Biological Diversity, in collaboration with relevant national and international stakeholders and with support from GEF and from relevant international funding organizations, as appropriate

Timeline for Implementation: Ongoing.

OPERATIONAL TARGET 1.3: *Information on methodologies for the assessment of technology needs are widely available to Parties through the clearing house mechanism and other means as appropriate.*

Activities

1.3.1. Collect information on technology needs assessment methodologies, analyse their applicability and adaptation needs for technologies that are relevant to the conservation and sustainable use of biodiversity or make use of genetic resources and do not cause significant damage to the environment, and disseminate this information through the clearing-house mechanism or other means, as appropriate.

Main actor: the Secretariat of the Convention on Biological Diversity, in collaboration with relevant organizations and with input by Parties and Governments.

Timeline for Implementation: the eighth meeting of the Conference of the Parties.

PROGRAMME ELEMENT 2: INFORMATION SYSTEMS

The development or strengthening of national, regional and international systems for the gathering and dissemination of relevant information on technology transfer and cooperation and technical and scientific cooperation, including the establishment of effective networks of electronic databases of relevant technology, has been recognized as a tool that facilitates the transfer of technology for the conservation and sustainable use of biodiversity and of technology that makes use of genetic resources and do not cause significant damage to the environment, as well as a tool that promotes and facilitates scientific and technical cooperation. Activities under this programme element should build on existing initiatives and programmes with a view to maximizing synergy and avoiding the duplication of work, and should ensure accessibility of such systems for indigenous and local communities and all relevant stakeholders. At the international level, these systems, using the clearing-house mechanism, would provide, *inter alia*, information on the availability of relevant technologies, including their technical parameters, economic and social aspects, data on patents (owners and date of expiration), models of con-

tracts and associated legislation; the identified technology needs of Parties, as well as case-studies and best-practices on measures and mechanisms to create enabling environments for technology transfer and technology cooperation.

OBJECTIVE: National, regional and international information systems for technology transfer and cooperation provide comprehensive information of relevance to foster technology transfer and technology cooperation.

OPERATIONAL TARGET 2.1: *The clearing-house mechanism is a central mechanism for the exchange of information on and facilitation of technology transfer and technical and scientific cooperation relevant for the Convention on Biological Diversity, providing access to information on national technology needs, available relevant proprietary technologies and technologies in the public domain, including access to databases of existing technologies, and information on best-practices to create enabling environments for technology transfer and technology cooperation.*

Activities

2.1.1. Develop provisional Web pages and print media that provide access to information on relevant initiatives and databases for the transfer of technology and for technology cooperation.

Main actor: The Secretariat of the Convention on Biological Diversity in collaboration with relevant organizations and initiatives.

Timeline for Implementation: Post seventh meeting of the Conference of the Parties.

2.1.2. Development of proposals to enhance the clearing-house mechanism, including its national nodes, particularly those in developing countries, as a key mechanism for exchange of information on technologies and as a core element in its role to promote and facilitate scientific and technical cooperation, for facilitating and promoting technology transfer and cooperation and for the promotion of technical and scientific cooperation relevant for the conservation and sustainable use of biodiversity or make use of genetic resources and do not cause significant damage to the environment.

2.1.3. Development of advice and guidance on the use of new information exchange formats, protocols and standards to enable interoperability among relevant existing systems of national and international information exchange, including technology and patent databases.

Main actor: The Secretariat of the Convention on Biological Diversity in collaboration with Parties, the informal advisory committee of the clearing house mechanism and relevant organizations and initiatives, with support from relevant international funding organizations as appropriate.

Timeline for Implementation: The eighth meeting of the Conference of the Parties

2.1.4. Implementation of proposals for enhancing the clearing-house mechanism as a central mechanism for exchange of information on technologies, as a core element in its role to promote and facilitate scientific and technical cooperation, for facilitating and promoting technology transfer and for the promotion of technical and scientific cooperation as adopted by the Conference of the Parties, in full synergy with similar initiatives and mechanisms of other Conventions and international organizations.

Main actor: The Secretariat of the Convention on Biological Diversity in collaboration with the informal advisory committee of the clearing-house mechanism, Parties and relevant organizations and initiatives with support from relevant international funding organizations, as appropriate. This arrangement may be reviewed after a reasonable trial period.

Timeline for Implementation: The ninth meeting of the Conference of the Parties, then ongoing.

OPERATIONAL TARGET 2.2: *Opportunities to establish or strengthen national information systems for technology transfer and technology cooperation are identified, with consultation of and input from indigenous and local communities and all relevant stakeholders.*

Activities

2.2.1. Compilation and synthesis of information on national and regional information systems for technology transfer and cooperation, including the identification of best-practices and of needs for further improvements, in particular in regard to the accessibility of such systems for indigenous and local communities and all relevant stakeholders as well as information on capacity and human resources available and needed.

Main actor: The Secretariat of the Convention on Biological Diversity, with input from Parties and in cooperation with relevant organizations as appropriate, and with support from relevant international funding organizations as appropriate.

Timeline for Implementation: The eighth meeting of the Conference of the Parties, then ongoing.

2.2.2. Develop or strengthen national information systems of technology transfer and technology cooperation.

Main actors: Parties In cooperation with the Secretariat and relevant organizations as appropriate, and with support from GEF and from relevant international funding organizations as appropriate.

Timeline for Implementation: The eighth meeting of the Conference of the Parties.

OPERATIONAL TARGET 2.3: *National information systems for technology transfer and technology cooperation, especially those functioning through national clearing-house mechanisms, are established or*

strengthened, are effectively linked to international information systems and contribute effectively to technology transfer, diffusion and adaptation and to the exchange of technologies, including South-South technology transfer.

Activities

2.3.1. Development or improvement of national systems of information exchange on technology transfer and technology cooperation, in consultation with indigenous and local communities and all relevant stakeholders, with a view to fostering dialogue between technology holders and prospective users through, inter alia, the application of ways and means to ensure:

(a) Effective linkages with existing national, regional and international information systems;

(b) Accessibility and adaptability of such systems by indigenous and local communities and all relevant stakeholders;

(c) Information on local needs for adaptation, and related capacity, to be effectively channelled into national systems.

Main actors: Parties to the Convention on Biological Diversity, in consultation with indigenous and local communities and all relevant national stakeholders, with support by relevant organizations and well as with support from GEF and from relevant international funding organizations as appropriate.

Timeline for Implementation: The ninth meeting of the Conference of the Parties.

OPERATIONAL TARGET 2.4: *Promote the development of regional and international information systems to facilitate technology transfer and technological cooperation.*

Activities

2.4.1. Initiate and conduct consultations among relevant organizations, indigenous and local communities and all relevant stakeholders with a view to identifying options to further regional and international cooperation in the development or improvement of information systems on technology transfer and technology cooperation.

Main actors: Relevant organizations, indigenous and local communities and all relevant stakeholders with support by national, regional and international donors, and by national Governments with support from relevant international funding organizations as appropriate.

2.4.2. Compilation and synthesis of information on regional and international information systems, including best-practices and opportunities for further development and make this information available through the clearing-house mechanism and other means, as appropriate.

Main actor: the Secretariat of the Convention on Biological Diversity with input from Parties and in cooperation with relevant organizations, as appropriate,

with support from relevant international funding organizations, as appropriate.

Timeline for Implementation: The eighth meeting of the Conference of the Parties, then ongoing.

2.4.3. Identify and implement measures to develop or strengthen appropriate information systems of technology transfer and technology cooperation, including at the local level.

Main actor: Parties in cooperation with the Secretariat of the Convention, relevant organizations, as appropriate, and with support from GEF as well as from relevant international funding organizations, as appropriate.

Timeline for Implementation: Ongoing.

PROGRAMME ELEMENT 3: CREATING ENABLING ENVIRONMENTS

Creating enabling environments refers to activities of governments at national and international levels that aim to create an institutional, administrative, legislative and policy environment conducive to private and public sector technology transfer and to the adaptation of transferred technology, and that aim to remove technical, legislative and administrative barriers to technology transfer and technology adaptation, inconsistent with international law. Multi-faceted enabling environments in both developed and developing countries are a necessary tool to promote and facilitate the successful and sustainable transfer of technologies for the purpose of the Convention on Biological Diversity. Such government activities may, *inter alia*, focus on: national institutions for research and technology innovation; legal and institutional underpinnings of technology markets both at national and international levels; and legislative institutions that introduce codes and standards, reduce environmental risk and protect intellectual property rights.

OBJECTIVE: To identify and put in place institutional, administrative, legislative and policy frameworks conducive to private and public sector technology transfer and cooperation, taking also into account existing work of relevant international organizations and initiatives.

OPERATIONAL TARGET 3.1: *Development of guidance and advice for the application of options on measures and mechanisms to facilitate access to and transfer of technologies in the public domain and to proprietary technologies of relevance for the Convention on Biological Diversity, and to foster technology cooperation.*

Activities

3.1.1. Preparation of technical studies that further explore and analyse the role of intellectual property rights in technology transfer in the context of the Convention on Biological Diversity and identify potential options to increase synergy and overcome barriers to technology transfer and cooperation, consistent with paragraph 44 of the Johannesburg Plan of Implementation. The benefits as well as the costs of intellectual property rights should be fully taken into account.

Main actors: Secretariat of the Convention on Biological Diversity, WIPO, UNCTAD and other relevant organizations.

Timeline for Implementation: The eighth meeting of the Conference of the Parties.

3.1.2. Compilation and synthesis of information, including case studies, and preparation of guidance on institutional, administrative, legislative and policy frameworks that facilitate access to, adaptation and adaptation of technologies in the public domain and to proprietary technologies, especially by developing countries and countries with economies in transition, and, in particular, on measures and mechanisms that:

(a) Foster an enabling environment in developing and developed countries for cooperation as well as the transfer, adaptation and diffusion of relevant technologies in accordance with the needs and priorities identified by countries;

(b) present obstacles that impede transfers of relevant technologies from developed countries;

(c) Provide, in accordance with existing international obligations, incentives to private-sector actors as well as public research institutions in developed country Parties, to encourage cooperation and transfer of technologies to developing countries, through, e.g., technology transfer programmes or joint-ventures;

(d) Promote and advance priority access for Parties to the results and benefits arising from technologies based upon genetic resources provided by those Parties, in accordance with Article 19, paragraph 2 of the Convention, and to promote the effective participation in related technological research by those Parties;

(e) Promote innovative approaches and means of technology transfer and cooperation such as Type 2 partnerships, in accordance with the outcome of the World Summit on Sustainable Development, or transfers among actors, involving in particular the private sector and civil society organizations.

Main actor: the Secretariat of the Convention on Biological Diversity, assisted by the group of experts on technology transfer and cooperation and based on input from Parties and relevant international organizations.

Timeline for implementation: The eighth meeting of the Conference of the Parties, then ongoing.

OPERATIONAL TARGET 3.2: *Development and implementation of national institutional, administrative, legislative and policy frameworks to facilitate cooperation, as well as access to and adaptation of technologies in the public domain and to proprietary technologies of relevance for the Convention on Biological Diversity, and to foster technical and scientific cooperation, consistent with national priorities and existing international obligations.*

Main actors: National Governments in collaboration with indigenous and local communities and all relevant stakeholders, with support of relevant international

organizations as well as with support from GEF, from relevant international funding organizations and the Secretariat as appropriate.

Activities

PHASE I (PREPARATORY PHASE)

3.2.1. Identification of relevant stakeholders and sources on information.

3.2.2. Design and implement mechanisms for effective involvement and participation of indigenous and local communities and all relevant stakeholders.

3.2.3. As appropriate, review, in collaboration with indigenous and local communities and all relevant stakeholders, existing policies and programmes and identify possible impediments to the transfer of technology of relevance for the Convention on Biological Diversity, capacity-building needs and priority areas for policy action. The study should also identify the necessary steps, if any, to improve accordingly national biodiversity strategy and action plans, national research and technology strategies and other policy planning tools.

3.2.4. Identify and support community-based opportunities and initiatives for the development of sustainable livelihood technologies for local application and facilitate the pursuit of those opportunities at the local community level.

Timeline for implementation: The eighth meeting of the Conference of the Parties, with further reviews, as appropriate.

PHASE II

Consistent with relevant international obligations and national priorities, and in synergy with activities foreseen under the programme areas and cross-cutting issues of the Convention:

3.2.5. Implementation of institutional, administrative, legislative and policy measures and mechanisms to foster an enabling environment in developing countries and countries with economies in transition that would facilitate access to and adaptation of relevant technologies, and that would provide cooperation among developed and developing countries and countries with economies in transition.

3.2.6. Adoption of legal and regulatory frameworks where appropriate and provision of incentives to private-sector actors as well as public research institutions in developed country Parties, with a view to encourage the transfer of technologies to developing countries and countries with economies in transition.

3.2.7. Encourage and facilitate community-to-community sharing and transferring of knowledge and technologies through such means as community personnel exchanges, workshops and publications.

3.2.8. Promotion and advancement of priority access for Parties to the results and benefits arising from technologies based upon genetic resources provided by those Parties, in accordance with Article 19, paragraph 2, of the Convention, and to promote the effective participation in related technological research by those Parties.

3.2.9. Encouragement of scientific and technical research, including joint research programmes with associated jointly held patents or other protection of intellec-

tual property rights as well as other mechanisms to facilitate transfer of technologies that make use of genetic resources and do not cause significant damage to the environment.

3.2.10. Promotion of cooperation and technology transfer through innovative approaches such as Type 2 partnerships or transfers among actors, involving in particular the private sector and civil-society organizations.

3.2.11. Strengthening of national research institutions for the adaptation and further development of imported technologies, including through academic training, consistent with their transfer agreement and international law, as well as the development and use of environmentally sound technologies;

3.2.12. Dissemination of related experiences at national and international levels.

Timeline for implementation: The ninth meeting of the Conference of the Parties, then ongoing review as appropriate.

PROGRAMME ELEMENT 4: CAPACITY-BUILDING AND ENHANCEMENT

The building or enhancement of technical, scientific, institutional and administrative capacity is an issue of cross-cutting importance for the effective and timely conduct of technology assessments, for the building and strengthening of national or regional technology information systems and for the creation of enabling environments for technology transfer and cooperation. Activities under this programme element should build on existing initiatives and programmes, for instance, under other conventions and international agreements, with a view to maximize synergies and avoid the duplication of work. The long-term benefits arising from technology transfer should be understood as investments by relevant institutions and initiatives.

OBJECTIVE: Technical, scientific, institutional and administrative capacity is adequate for the effective cooperation, transfer, diffusion and adaptation of technology as well as technical and scientific cooperation.

OPERATIONAL TARGET 4.1: *Technical, scientific, institutional and administrative capacity is adequate for the effective and timely conduct of national technology assessments.*

Activities

4.1.1. Financial and technical support and training is provided by relevant international, regional and national organizations and initiatives as appropriate for the building or enhancement of capacity for the effective and timely conduct of national technology assessments;

Main actors: International, regional and national organizations and funds, as appropriate.

Timeline for implementation: Ongoing, starting at the seventh meeting of the Conference of the Parties.

OPERATIONAL TARGET 4.2: *Technical, scientific, institutional and administrative capacity is adequate for the development or strengthening and effective operation of national, regional and international information systems for technology transfer and technology cooperation of relevance for the Convention on Biological Diversity.*

Activities

4.2.1. Assessment of capacity-building needs and opportunities for the development or strengthening and effective operation of national information systems for technology transfer and technology cooperation, including risk analysis and impact assessment.

Main actors: Developing country Parties, including least developed countries and small island developing States, and Parties with economies in transition, in collaboration with indigenous and local communities and all relevant stakeholders and with support of relevant international organization as appropriate as well as with support from GEF and relevant international funding organizations.

Timeline for implementation: The eighth meeting of the Conference of the Parties.

4.2.2. Financial and technical support as well as training is provided to improve the capacity of national systems of information gathering and dissemination with regard to needs and opportunities for technology transfer, in particular with regard to capacity for the effective application and use of electronic information technologies, in full synergy with existing initiatives and programmes.

Main actors: GEF, international, regional and national organizations and funds as appropriate.

Timeline for implementation: Ongoing, starting at the eighth meeting of the Conference of the Parties.

OPERATIONAL TARGET 4.3: *Technical, scientific, institutional and administrative capacity is adequate for the review of national policies and programmes and the identification of barriers for the transfer of technology of relevance for the Convention on Biological Diversity, capacity-building needs and priority areas for policy action.*

Activities

4.3.1. Financial and technical support and training is provided by relevant international, regional and national organizations and initiatives as appropriate for the building or enhancement of capacity for the review of existing policies and programmes and the identification of possible impediments to cooperation and the transfer of technology of relevance for the Convention on Biological Diversity, of capacity-building needs and priority areas for policy action.

Main actors: Developing country Parties, including least developed countries and small island developing States, and Parties with economies in transition, in collaboration with indigenous and local communities and all relevant stakeholders and

with support of relevant international organizations, as appropriate, as well as with support from GEF and from relevant international funding organizations.

Timeline for implementation: The eighth meeting of the Conference of the Parties, then ongoing.

OPERATIONAL TARGET 4.4: *Technical, scientific, institutional and administrative capacity is adequate for the implementation of measures and mechanisms that create an environment conducive to private and public sector technology transfer and cooperation, and to the adaptation of transferred technology.*

Activities

4.4.1. Based on needs and priorities identified by countries, financial and technical support and training is provided by relevant international, regional and national organizations and initiatives as appropriate to foster enabling environments for technology transfer and cooperation, and in particular with regard to:

(a) Building policy, legal, judicial and administrative capacity;

(b) Facilitating access to relevant proprietary technologies, consistent with Article 16.2;

(c) Providing other financial and non-financial incentives for the diffusion of relevant technologies;

(d) Building capacities of, and empowering indigenous and local communities and all relevant stakeholders with respect to access to and use of relevant technologies, including strengthening of decision-making skills;

(e) Providing financial and technical support and training to improve the capacity of developing countries and countries with economies in transition national research institutions for the development of technologies as well as for adaptation, diffusion and the further development of imported technologies consistent with their transfer agreement and international law including through fellowships and international exchange programmes;

(f) Supporting the development and operation of regional or international initiatives to assist technology transfer and cooperation as well as scientific and technical cooperation, particularly those initiatives designed to facilitate South-South cooperation and South-South joint development of new technologies, as well as such cooperation among countries with economies in transition, and cooperation between the South and countries with economies in transition.

Main actors: GEF, international, regional and national organizations and funds, as appropriate.

Timeline for implementation: Ongoing, starting at the seventh meeting of the Conference of the Parties.

DECISION VII/30 | Strategic Plan: future evaluation of progress

The Conference of the Parties,

REVIEW AND EVALUATION

Recognizing the need to: (i) facilitate assessment of progress towards the 2010 target, and communication of this assessment; (ii) promote coherence among the various programmes of work of the Convention; and (iii) provide a flexible framework within which national and regional targets may be set, and indicators identified, where so desired by Parties; as well as (iv) the need for a mechanism to review implementation of the Convention,

Recalling the statement in the Johannesburg Plan of Implementation that a more efficient and coherent implementation of the three objectives of the Convention and the achievement by 2010 of a significant reduction in the current rate of loss of biological diversity will require the provision of new and additional financial and technical resources to developing countries,

1. *Decides* to develop a framework to enhance the evaluation of achievements and progress in the implementation of the Strategic Plan and, in particular, its mission, to achieve a significant reduction in the current rate of biodiversity loss at global, regional and national levels. The framework includes the following focal areas:

(a) Reducing the rate of loss of the components of biodiversity, including: (i) biomes, habitats and ecosystems; (ii) species and populations; and (iii) genetic diversity;

(b) Promoting sustainable use of biodiversity;

(c) Addressing the major threats to biodiversity, including those arising from invasive alien species, climate change, pollution, and habitat change;

(d) Maintaining ecosystem integrity, and the provision of goods and services provided by biodiversity in ecosystems, in support of human well-being;

(e) Protecting traditional knowledge, innovations and practices;

(f) Ensuring the fair and equitable sharing of benefits arising out of the use of genetic resources; and

(g) Mobilizing financial and technical resources, especially for developing countries, in particular least developed countries and small island developing States among them, and countries with economies in transition, for implementing the Convention and the Strategic Plan;

Goals and sub-targets will be established, and indicators identified, for each of the focal areas. The goals and sub-targets will complement the existing goals of the Strategic Plan;[230]

2. For the purposes of assessing progress towards the target to achieve by 2010, a significant reduction in the current rate of biodiversity loss, *defines* biodiversity loss as the long-term or permanent qualitative or quantitative reduction in components of biodiversity and their potential to provide goods and services, to be measured at global, regional and national levels;

INDICATORS FOR ASSESSING PROGRESS TOWARDS, AND COMMUNICATING THE 2010 TARGET AT THE GLOBAL LEVEL

3. In order to assess progress at the global level towards the 2010 target, and to communicate effectively trends in biodiversity related to the three objectives of the Convention, *agrees* that a limited number of trial indicators, for which data are available from existing sources, be developed and used in reporting, *inter alia*, through the Global Biodiversity Outlook. A balanced set of indicators should be identified or developed, according to the principles for choosing indicators identified by the Expert Group on Indicators and Monitoring (UNEP/CBD/SBSTTA/9/10) referred to in decision VII/8, on monitoring and indicators, to assess and communicate trends in the focal areas listed in paragraph 1. The global application of those indicators as well as the assessment of the progress towards the 2010 target should not be used to evaluate the level of implementation of the Convention in individual Parties or regions. As far as is feasible, the indicators should be identified or developed in such as way that:

(a) The same indicators may be used at the global, regional, national and local levels as tools for the implementation of the Convention and of national biodiversity strategies and action plans, where so desired by Parties;

(b) The indicators relate to one or more of the various Programmes of Work of the Convention;

(c) The indicators should take into consideration relevant Millennium Development Goals and indicators developed by other relevant international processes; and

(d) Existing data sets are used.

Full use should be made of the report of the London meeting (UNEP/CBD/SBSTTA/9/INF/9), and the notes by the Executive Secretary: on proposed biodiversity indicators relevant to the 2010 target (UNEP/CBD/SBSTTA/9/INF/26); on using existing processes as building blocks in reporting on the 2010 target (UNEP/

230 These are:
- Goal 1: The Convention is fulfilling its leadership role in international biodiversity issues.
- Goal 2: Parties have improved financial, human, scientific, technical, and technological capacity to implement the Convention.
- Goal 3: National biodiversity strategies and action plans and the integration of biodiversity concerns into relevant sectors serve as an effective framework for the implementation of the objectives of the Convention.
- Goal 4: There is a better understanding of the importance of biodiversity and of the Convention, and this has led to broader engagement across society in implementation.

CBD/SBSTTA/9/INF/27), on proposed global indicators (UNEP/CBD/COP/7/INF/33), and on monitoring and indicators (UNEP/CBD/SBSTTA/9/10);

4. *Agrees* that the indicators to be tested, identified or developed, are listed in annex I to the present decision. Indicators for immediate testing are listed in column B of annex I; indicators requiring further development are listed in column C of annex I;

5. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice at its tenth or eleventh meetings to evaluate information on the changes in trends and status of biodiversity, particularly the current rate of biodiversity loss at the global level *inter alia* by reviewing a draft of the Second Global Biodiversity Outlook;

6. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice at its tenth or eleventh meetings, with the assistance of an ad hoc technical expert group, subject to the availability of the necessary voluntary contributions to:

(a) Review the use of the indicators listed in annex I, column B, to the present decisions, *inter alia*, by reviewing a draft of the second Global Biodiversity Outlook;

(b) Identify or develop indicators listed in annex I, column C, to the present decision, ensuring that the full set of indicators is limited in number;

and report on the results to the Conference of the Parties at its eighth meeting;

7. *Requests* the Ad Hoc Open-ended Working Group on Access and Benefit-sharing and the Ad Hoc Open-ended Inter-sessional Working Group on Article 8(j) and Related Provisions of the Convention on Biological Diversity, respectively, to explore the need and possible options for indicators for access to genetic resources and in particular for the fair and equitable sharing of benefits arising from the utilization of genetic resources, and associated innovations, knowledge and practices of indigenous and local communities, and for the protection of innovations, knowledge and practices of indigenous and local communities, and to report the results to the Conference of the Parties at its eighth meeting;

8. *Requests* the Executive Secretary, with the assistance of the World Conservation Monitoring Centre of the United Nations Environment Programme and other relevant international organizations, to

(a) Prepare the second Global Biodiversity Outlook for publication prior to the eighth meeting of the Conference of the Parties following peer review and review by the Subsidiary Body on Scientific, Technical and Technological Advice at its tenth or eleventh meeting. The second Global Biodiversity Outlook should provide an assessment of progress towards the 2010 biodiversity target at the global level and communicate effectively trends in biodiversity related to the three objectives of the Convention, based on the focal areas listed in paragraph 1 of the present decision, and making use of the indicators listed in annex I below that are successfully developed and tested, information provided in the national reports, as well as information provided by international organizations;

(b) Prepare the necessary background documentation to assist the Subsidiary Body on Scientific, Technical and Technological Advice in the work outlined in paragraph 6 above;

9. *Invites* related conventions, assessment processes and relevant organizations to contribute reports and information that assist the monitoring of progress towards the 2010 targets;

10. *Invites* the World Conservation Monitoring Centre of the United Nations Environment Programme to support the Secretariat in facilitating the compilation of information necessary for reporting on achievement on the 2010 target.

GOALS AND SUB-TARGETS TO FACILITATE COHERENCE AMONG THE PROGRAMMES OF WORK, AND TO PROVIDE A FLEXIBLE FRAMEWORK FOR NATIONAL TARGETS

11. *Decides* to establish, goals and sub-targets for each of the focal areas identified in paragraph 1 above, as set out in annex II to the present decision, in order to clarify the 2010 global biodiversity target adopted by decision VI/26, help assess progress towards the target, and promote coherence among the programmes of work of the Convention. Such goals would complement the existing goals of the Strategic Plan;

12. *Requests* the Subsidiary Body on Scientific, Technical and Technological Advice at its tenth or eleventh meetings to:

(a) Review, and, as necessary, further refine the goals and sub-targets, ensuring that they are linked to relevant Millennium Development Goals, initiatives of the World Summit on Sustainable Development, and the goals articulated by other relevant international processes;

(b) Identify indicators for the sub-targets, where possible, by association with the indicators provided in annex I to the present decision;

(c) Refine proposals for the integration of outcome-oriented targets proposals for the integration of outcome-oriented targets into the programmes of work of inland water biodiversity and of marine and coastal biodiversity, according to the framework in annex II and using the approach set out in annex III to the present decision, identifying more precise targets, including, as appropriate, quantitative elements and decides that outcome oriented targets are a key priority for the Subsidiary Body on Scientific, Technical and Technological Advice;

(d) When the programmes of work of the Convention, are reviewed according to the multi-year programme of work of the Conference of the Parties develop recommendations for the integration of outcome-oriented targets into each of the thematic programmes of work, according to the framework in annex II and using the approach set out in annex III to the present decision, identifying more precise targets, including, as appropriate, quantitative elements;

13. *Requests* the Executive Secretary:

(a) To prepare proposals for the integration of goals and targets into the programmes of work when these programmes are due for review according to the

multi-year programme of work of the Conference of the Parties, taking into account that these goals and targets should be viewed as flexible framework within which national and/or regional targets may be developed, according to national priorities and capacities; and

(b) To make full use of the clearing-house mechanism in promoting technical cooperation to achieve the 2010 targets and facilitating information exchange on progress made;

NATIONAL IMPLEMENTATION AND NATIONAL BIODIVERSITY STRATEGIES AND ACTION PLANS

14. *Emphasizes* that the goals and targets referred to in paragraph 12 above should be viewed as a flexible framework within which national and/or regional targets may be developed, according to national priorities and capacities, and taking into account differences in diversity between countries;

15. *Invites* Parties and Governments to develop national and/or regional goals and targets, and, as appropriate, to incorporate them into relevant plans, programmes and initiatives, including national biodiversity strategies and action plans;

16. Invites Parties and Governments to use existing national indicators or to establish national indicators using the tools (UNEP/CBD/SBSTTA/9/10) referred to in decision VII/8, on monitoring and indicators, and according to their national needs and priorities, to assess progress towards their national/and or regional targets;

17. *Emphasizes* the need for capacity-building, especially in developing countries, in particular the least developed countries and the small island developing States among them, and countries with economies in transition, in order to enable them to implement activities to achieve and monitor progress towards the goals and targets;

18. *Invites* Parties, Governments, international and funding organizations to provide adequate and timely support for the implementation of activities to achieve and monitor progress towards the goals and targets to developing country Parties, in particular the least developed countries and small island developing States among them, and Parties with economies in transition, as appropriate;

19. *Requests* the Executive Secretary to continue to explore ways to expand active support for developing country Parties in particular least developed countries and small island developing States among them, and Parties with economies in transition, where appropriate, in the development, revision and implementation of national biodiversity strategies and action plans. This process should include the commitment and resources of civil society in the development and implementation of national biodiversity strategies and action plans;

20. *Emphasizes* that national biodiversity strategies and action plans, as the primary mechanisms for the implementation of the Convention and the Strategic Plan, should be developed or reviewed with due regard to the relevant aspects of the four goals of the Strategic Plan, and the goals established by this decision, to enable greater contribution to the achievement of the 2010 target, consistent with national needs and priorities; and invites Parties to incorporate the goals, as appropriate, into the national biodiversity strategies and action plans when these are revised;

21. *Invites* developed country Parties continue to provide support to developing country Parties, in particular least developed countries and small island developing States among them, and Parties with economies in transition , as appropriate, to develop national-level indicators;

22. *Requests* the Executive Secretary to report to Conference of the Parties at its eighth meeting on the work required by decision V/20, paragraph 41, to allow further work to be undertaken to identify ways to support the review by Parties of national implementation.

REVIEW OF IMPLEMENTATION OF THE CONVENTION

23. *Recognizing the need* to establish a process, for evaluating, reporting and reviewing the Strategic Plan 2002-2010, d*ecides* to allocate adequate time in subsequent meetings of the Conference of the Parties and the Subsidiary Body on Scientific, Technical and Technological Advice, as well as ad hoc open-ended working groups, as appropriate, and *establishes* an Ad Hoc Open-ended Working Group on Review of Implementation of the Convention, subject to the availability of the necessary voluntary contributions, to consider progress in the implementation of the Convention and the Strategic Plan and achievements leading up to the 2010 target in line with the multi-year programme of work for the Conference of the Parties (decision VII/31), to review the impacts and effectiveness of existing processes under the Convention, such as meetings of the Conference of the Parties, the Subsidiary Body on Scientific, Technical and Technological Advice, national focal points and the Secretariat, as part of the overall process for improving the operations of the Convention and implementation of the Strategic Plan, and to consider ways and means of identifying and overcoming obstacles to the effective implementation of the Convention;

24. *Invites* Parties, other Governments and relevant organizations to submit views on these issues to the Executive Secretary, and requests the Executive Secretary to compile and make available these views for consideration by the Ad Hoc Open-ended Working Group on Review of Implementation of the Convention;

25. *Requests* the Executive Secretary to participate in processes arising from the twenty-second session of the Governing Council of the United Nations Environment Programme relating to consideration of the development and establishment of an intergovernmental strategic plan for implementation support, linked to the outcome of the international environmental governance process, to ensure that it will contribute to the implementation of the Convention;

26. *Decides* to address explicitly the need to provide focused support and improve existing support mechanisms where obstacles to implementation of national biodiversity strategies and action plans have been identified, particularly when considering the results of the evaluation of progress in achievement the goals and mission of the Strategic Plan as well as the goals and sub-targets established in this decision;

27. *Recognizing* in the development of better methods to evaluate progress in the implementation of the Convention that consideration could be given to making full use of the experiences of other multilateral environmental agreements, such as the United Nations Framework Convention on Climate Change, *requests* the Executive Secretary to initiate action as a follow-up to paragraph 41 of decision V/20.

ANNEX I
PROVISIONAL INDICATORS FOR ASSESSING PROGRESS TOWARDS THE 2010 BIODIVERSITY TARGET

FOCAL AREA	INDICATOR FOR IMMEDIATE TESTING	POSSIBLE INDICATORS FOR DEVELOPMENT BY SBSTTA OR WORKING GROUPS
Status and trends of the components of biological diversity	Trends in extent of selected biomes, ecosystems and habitats	
	Trends in abundance and distribution of selected species	
		Change in status of threatened species (Red List indicator under development)
		Trends in genetic diversity of domesticated animals, cultivated plants, and fish species of major socioeconomic importance
	Coverage of protected areas	
Sustainable use		Area of forest, agricultural and aquaculture ecosystems under sustainable management
		Proportion of products derived from sustainable sources
Threats to biodiversity	Nitrogen deposition	
		Numbers and cost of alien invasions
Ecosystem integrity and ecosystem goods and services	Marine trophic index	Application to freshwater and possibly other ecosystems
		Connectivity/fragmentation of ecosystems
		Incidence of human-induced ecosystem failure
		Health and well-being of people living in biodiversity-based-resource dependent communities
	Water quality in aquatic ecosystems	
		Biodiversity used in food and medicine
Status of traditional knowledge, innovations and Practices	Status and trends of linguistic diversity and numbers of speakers of indigenous languages	Further indicators to be identified by WG-8j
Status of access and benefit-sharing		Indicator to be identified by WG-ABS
Status of resource transfers	Official development assistance provided in support of the Convention (OECD-DAC-Statistics Committee)	
		Indicator for technology transfer

ANNEX II
PROVISIONAL FRAMEWORK FOR GOALS AND TARGETS

PROTECT THE COMPONENTS OF BIODIVERSITY

GOAL 1: Promote the conservation of the biological diversity of ecosystems, habitats and biomes

Target 1.1: At least 10% of each of the world's ecological regions effectively conserved.

Target 1.2: Areas of particular importance to biodiversity protected.

GOAL 2: Promote the conservation of species diversity

Target 2.1: Restore, maintain, or reduce the decline of populations of species of selected taxonomic groups.

Target 2.2: Status of threatened species improved.

GOAL 3: Promote the conservation of genetic diversity

Target 3.1: Genetic diversity of crops, livestock, and of harvested species of trees, fish and wildlife and other valuable species conserved, and associated indigenous and local knowledge maintained.

PROMOTE SUSTAINABLE USE

GOAL 4: Promote sustainable use and consumption.

Target 4.1: Biodiversity-based products derived from sources that are sustainably managed, and Production areas managed consistent with the conservation of biodiversity.

Target 4.2 Unsustainable consumption, of biological resources, or that impacts upon biodiversity, reduced.

Target 4.3: No species of wild flora or fauna endangered by international trade.

ADDRESS THREATS TO BIODIVERSITY

GOAL 5: Pressures from habitat loss, land use change and degradation, and unsustainable water use, reduced.

Target 5.1: Rate of loss and degradation of natural habitats decreased.

GOAL 6: Control threats from invasive alien species

Target 6.1: Pathways for major potential alien invasive species controlled.

Target 6. 2: Management plans in place for major alien species that threaten ecosystems, habitats or species.

GOAL 7: Address challenges to biodiversity from climate change, and pollution

Target 7.1: Maintain and enhance resilience of the components of biodiversity to adapt to climate change.

Target 7.2: Reduce pollution and its impacts on biodiversity.

MAINTAIN GOODS AND SERVICES FROM BIODIVERSITY TO SUPPORT HUMAN WELL-BEING

GOAL 8: Maintain capacity of ecosystems to deliver goods and services and support livelihoods

Target 8.1: Capacity of ecosystems to deliver goods and services maintained.

Target 8.2: biological resources that support sustainable livelihoods, local food security and health care, especially of poor people maintained.

PROTECT TRADITIONAL KNOWLEDGE, INNOVATIONS AND PRACTICES

GOAL 9: Maintain socio-cultural diversity of indigenous and local communities

Target 9.1: Protect traditional knowledge, innovations and practices.

Target 9.2: Protect the rights of indigenous and local communities over their traditional knowledge, innovations and practices, including their rights to benefit sharing.

ENSURE THE FAIR AND EQUITABLE SHARING OF BENEFITS ARISING OUT OF THE USE OF GENETIC RESOURCES

GOAL 10: Ensure the fair and equitable sharing of benefits arising out of the use of genetic resources

Target 10.1: All transfers of genetic resources are in line with the Convention on Biological Diversity, the International Treaty on Plant Genetic Resources for Food and Agriculture and other applicable agreements.

Target 10.2: Benefits arising from the commercial and other utilization of genetic resources shared with the countries providing such resources.

ENSURE PROVISION OF ADEQUATE RESOURCES

GOAL 11: Parties have improved financial, human, scientific, technical and technological capacity to implement the Convention[231]

Target 11.1: New and additional financial resources are transferred to developing country Parties, to allow for the effective implementation of their commitments under the Convention, in accordance with Article 20.

Target 11.2: Technology is transferred to developing country Parties, to allow for the effective implementation of their commitments under the Convention, in accordance with its Article 20, paragraph 4.

231 This is the existing goal 2 of the Strategic Plan of the Convention on Biological Diversity.

ANNEX III
GENERAL APPROACH FOR THE INTEGRATION OF TARGETS INTO THE PROGRAMMES OF WORK OF THE CONVENTION

The following steps would be carried out for each thematic programme of work, and for other programmes of work, as appropriate:

(a) *Vision, mission and outcome-oriented targets:*

(i) Identification of the overall vision (or long-term goal) to be ultimately achieved for the biome/issue covered by the programme of work, consistent with the Purpose of the Strategic Plan;

(ii) Identification of a 2010 outcome-oriented global target specific to the scope of the programme of work and consistent with the mission of the Strategic Plan;

(iii) Identification of a limited number of outcome-oriented targets related to the status and trends of biodiversity and its components, threats to biodiversity, and goods and services provided by biodiversity and ecosystems within the scope of the programme of work. Where appropriate, quantitative sub-targets should be established. The targets should be assigned to a number of goals according to the proposed headings in annex I above. Where possible the sub-targets of annex II above should be incorporated into the work programmes without modification to avoid unnecessary proliferation of targets. Where appropriate, identification of targets could draw upon the approach used to develop the Global Strategy for Plant Conservation. However, this process does not imply that all targets in annex I and the Global Strategy for Plant Conservation should be applied in every programme of work. Rather, targets may highlight broad strategic issues and/or particularly urgent priority issues, and each target should be associated with one or more indicators, which can draw upon existing data.

(b) *Relationship between the programme of work, its targets, and other processes:*

(i) Examination of how the programme of work contributes to particular Millennium Development Goals and associated targets;

(ii) A brief analysis of how the programme of work, and its targets, relates to the elements of the Plan of Implementation of the World Summit on Sustainable Development, categorizing such elements as follows:

• Elements to be integrated into the programme of work (these elements should be fully within the scope of the programme of work), specifying which of these represent outcome-oriented biodiversity related targets;

• Elements which complement the goals of the programme of work; and

• Elements representing goals to which the programme of work contributes;

(iii) A brief analysis of how the programme of work, and its targets, relates to the objectives, plans and targets of other multilateral environmental agreements and other relevant agreements, using the same categorization as in subparagraph (b) (ii) above.

(c) *Intermediate output- or process-oriented targets, milestones and deadlines for the activities of the programme of work*: Identification of a number of process- or output-oriented targets, milestones and deadlines, relating to the specific objectives, programme elements, and/or activities of the programme of work, according to the structure and needs of each programme of work.

DECISION VII/31 | Multi-year programme of work of the Conference of the Parties up to 2010

The Conference of the Parties

1. *Decides* that when undertaking in-depth reviews of the existing thematic areas and cross-cutting issues, items identified as priorities by the World Summit on Sustainable Development, should be considered in relation to the existing programmes of work;* including the use, as appropriate, of relevant indicators at the national, regional and global level;

2. *Also decides* that the Conference of the Parties identifies, for each upcoming meeting, appropriate ways to address, including within the Ministerial Segment, issues of overarching importance, particularly the relevant socio-economic issues identified by the World Summit on Sustainable Development;

3. *Further decides* that, at each of its meetings until 2010, the Conference of the Parties, possibly including its Ministerial Segment, should assess, as an explicit agenda item, the state of progress, including obstacles, in achieving the goals of the Strategic Plan and progress towards the achievement of the Convention's 2010 target and relevant Millennium Development Goals and that, when considering progress in achievement, it shall also review the effectiveness of the Convention processes in facilitating this achievement;

4. *Decides* that, to the extent feasible, a maximum of six items for in-depth review should be considered at any meeting of the Conference of the Parties and that cross-cutting issues are dealt with in coherent manner taking into account the different requirements and characteristics of the issues;

5. *Agrees* that:

(a) In its reviews of the programmes of work it will focus on:

(i) Assessing the implementation and effectiveness of the programme of work;

(ii) Updating the programme of work if necessary, by retiring or replacing activities and by making adjustments to reflect changes in the international context;

* The term "programme of work" includes work on thematic and cross-cutting issues.

(iii) Providing practical support for national and regional implementation.

(b) In agenda items on strategic issues, one or more priority themes will be selected for each meeting of the Conference of the Parties , taking into account the importance of that theme for enhancing the implementation of the Strategic Plan and National Biodiversity Strategies and Action Plans;

6. *Also decides* that some flexibility in the multi-year programme of work should be retained in order to accommodate urgent emerging issues;

7. *Adopts* the multi-year programme of work annexed to the present decision;

8. *Requests* the Executive Secretary to develop a preparatory process for the work of the Subsidiary Body on Scientific Technical and Technological Advice on island biodiversity which:

(a) Includes, *inter alia*, electronic forums, an Ad Hoc Technical Expert Group in mid-2004, and a liaison group held immediately after the Mauritius meeting in August/September 2004

(b) Allows input from the widest possible range of Parties, countries, and relevant organizations, stakeholders and indigenous and local communities, and particularly from small island developing States;

(c) Will provide technical advice for use by Parties on key issues facing island biodiversity managers as well as a draft programme of work and related draft recommendations;

(d) Will draw on the outcome of the international meeting of the small island developing States for the review of the Barbados Programme of Action, which will take place in Mauritius in August/September 2004.

ANNEX
PROPOSED MULTI-YEAR PROGRAMME OF WORK OF THE CONFERENCE OF THE PARTIES UNTIL 2010

	NEW ISSUES FOR IN-DEPTH CONSIDERATION	IN-DEPTH REVIEW OF ONGOING WORK UNDER THE THEMATIC AREAS AND CROSS-CUTTING ISSUES	STRATEGIC ISSUES FOR EVALUATING PROGRESS OR SUPPORTING IMPLEMENTATION*
COP 8	1. Island biodiversity	1. Dry and sub-humid lands biodiversity 2. Global Taxonomy Initiative 3. Access and benefit sharing 4. Education and public awareness 5. Article 8(j) and related provisions	1. Progress in implementation of the Strategic Plan and follow-up on progress towards the 2010 target and relevant Millennium Development Goals (global targets and related measures, such as monitoring and indicators and trends of biodiversity) 2. Refining mechanisms to support implementation (e.g. financial mechanism, clearing-house mechanism, technology transfer, capacity-building)
COP 9		1. Agricultural biodiversity 2. Global Strategy for Plant Conservation 3. Invasive alien species 4. Forest biodiversity 5. Incentives 6. Ecosystem approach	1. Progress in implementation of the Strategic Plan and follow-up on progress towards the 2010 target and relevant Millennium Development Goals (global targets and related measures, such as monitoring and indicators and trends of biodiversity) 2. Refining mechanisms to support implementation (e.g. financial mechanism, clearing-house mechanism, technology transfer, capacity-building)
COP 10		1. Inland waters biodiversity 2. Marine and coastal biodiversity 3. Sustainable use 4. Protected areas 5. Mountain biodiversity 6. Climate change	1. Progress in implementation of the Strategic Plan and follow-up on progress towards the 2010 target and relevant Millennium Development Goals (global targets and related measures, such as monitoring and indicators and trends of biodiversity) 2. Refining mechanisms to support implementation (e.g. financial mechanism, clearing-house mechanism, technology transfer, capacity-building)

* THE CONFERENCE OF THE PARTIES WILL CONSIDER SELECTED RELEVANT ITEMS AT EACH OF ITS MEETINGS.

ANNEX II
TERMS OF REFERENCE OF THE AD HOC TECHNICAL EXPERT GROUP ON ISLAND BIODIVERSITY

A. Mandate

Guided by the Strategic Plan, the Plan of Implementation of the World Summit on Sustainable Development and the Millennium Development Goals; and taking into account *inter alia* the Convention's 2010 target and related decisions, the ongoing programmes of work of the Convention on thematic and cross-cutting issues, work being carried out in the framework of the Barbados Programme of Action, and the specificities of islands as compared to main lands, the ad hoc technical expert group will:

(a) Draw on material provided by the Secretariat which reviews, *inter alia*, the outcomes of the regional and inter-regional preparatory meetings for the 10 year review of the Barbados Programme of Action, and the status and trends of, and major threats to, island biological diversity, and identifies those characteristics;

(b) Review how ongoing work on the different thematic areas and cross-cutting issues under the Convention on Biological Diversity and related work being carried out in the framework of other processes, in particular the Barbados Programme of Action, are contributing to the implementation of the three objectives of the Convention in island ecosystems; identify significant gaps and constraints, paying particular attention to mechanisms used to support implementation (e.g., financial mechanism, clearing-house mechanism, technology transfer, capacity-building);

(c) Develop proposals for a programme of work on on island biological diversity incorporating priority actions to enhance conservation of island biodiversity, sustainable use of its components and the fair and equitable sharing of benefits from the utilization of genetic resources from islands. In carrying out this work:

  (i) develop global outcome- and process-oriented targets and related indicators pertaining to the priority actions;
  (ii) identify relevant actors and partners for the implementation of the programme of work, synergies with other programmes and ways to draw on existing best practices;
  (iii) propose ways to link with the Secretary General's WEHAB ("water, energy, health, agriculture, and biodiversity") initiative, and support the achievement of the Millennium Development Goals and other relevant objectives identified by the World Summit on Sustainable Development.

B. Duration of work

The work of the Ad Hoc Technical Expert Group on Island Biological Diversity should be initiated immediately after approval of its terms of reference by the Conference of the Parties, and completed by August 2004. The report of the expert group will be forwarded for information to the international meeting of the

small island developing States for the review of the Barbados Programme of Action, which will take place in Mauritius in August 2004.

DECISION VII/32 | The programme of work of the Convention and the Millennium Development Goals

The Conference of the Parties,

Recognizing that world leaders at the Millennium Summit have established the Millennium Development Goals (MDGs) as the focus of global efforts to combat poverty, hunger, disease, illiteracy, environmental degradation and discrimination against women, and that the Millennium Development Goals agenda provides the framework for the entire United Nations system to work coherently toward these common ends,

Welcoming the Johannesburg Plan of Implementation of the World Summit on Sustainable Development and in particular its recognition of the critical and essential role played by biodiversity in sustainable development, poverty eradication, human well-being and the livelihood and cultural integrity of people,

Noting that achievement of the Millennium Development Goals, in particular goal 1 (Combating poverty and hunger), Goal 6 (Combating HIV/AIDS, malaria and other diseases), and goal 7 (Ensuring environmental sustainability) are dependent on the effective 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,

Recalling that the Convention on Biological Diversity is the key international instrument for the integration of biodiversity-related issues into the Millennium Development Agenda,

Concerned that if development activities are not undertaken in a manner consistent with the objectives of the Convention on Biological Diversity, they may at the same time further degrade biological diversity and undermine sustainability and hence limit achievement of the Millennium Development Goals,

Noting the linkage between biodiversity, food and nutrition and the need to enhance sustainable use of biodiversity to combat hunger and malnutrition, and thereby contribute to target 2 of goal 1 of the Millennium Development Goals (To halve between 1990 and 2015, the proportion of people who suffer from hunger),

1. *Urges* Parties, Governments, international financial institutions, donors, and relevant intergovernmental organizations, as a contribution towards the Millennium Development Goals, to implement development activities in ways that are consistent with, and do not compromise, the achievement of the objectives of the Convention on Biological Diversity and the 2010 target, including by improving environmental policies in relevant development agencies and sectors such as through integrating concerns relating to biodiversity and the Millennium Development Goals more directly into environmental impact assessments, strategic envi-

ronmental assessments and other such tools, including at the national level through the national strategies for sustainable and the poverty reduction strategies and programmes.

2. *Requests* the Executive Secretary:

(a) To work closely with the United Nations Development Programme, the United Nations Environment Programme, the United Nations Educational, Scientific and Cultural Organization, the Millennium Project of the Secretary-General of the United Nations and others to find ways to more effectively communicate the importance of biodiversity in achieving the Millennium Development Goals, and to identify and communicate the relationship between biodiversity and human development targets at all levels;

(b) To explore with the Secretary General of the United Nations, the opportunity to establish the 2010 target as an interim milestone in achieving the Millennium Development Goal 7 of ensuring environmental sustainability by 2015; and

(c) To work closely with the United Nations Development Programme, the United Nations Environment Programme, the Millennium Project of the Secretary General of the United Nations and others to find ways to use the 2010 targets and indicators to help achieve target 9 (to "reverse the loss of environmental resources") of Millennium Development Goal 7 (to "ensure environmental sustainability"), and the other relevant Millennium Development goals, in particular Goal 1 to halve poverty and hunger, and the health-related goals;

(d) To continue to work together with the United Nations Department of Economic and Social Affairs, the Food and Agriculture Organization of the United Nations and with other organizations, and to continue to represent the Convention at sessions of the Commission on Sustainable Development in order that biodiversity considerations are fully integrated into the work of the cycle of Commission at the twelfth session of the Commission;

3. *Invites* Parties to promote the integration of the relevant Millennium Development Goals into the implementation of the programmes of work of the Convention;

4. *Urges* Parties to report on their actions at the national level to link efforts to achieve relevant Millennium Development Goals and the objectives of the Convention on Biological Diversity in their next national report;

5. *Requests* the Executive Secretary, to take this into account when revising the format for national reports;

6. *Noting with appreciation* the ongoing initiatives of the Executive Secretary, *requests* the Executive Secretary to publish the full results of the study on "The programme of work of the Convention and the Millennium Development Goals," summarized in UNEP/CBD/COP/7/20/Add.1, and to promote further the importance of biodiversity to sustainable development, livelihoods, food security, poverty reduction and eradication in all relevant forums and using a variety of appropriate media including, *inter alia*, making full use of the clearing-house mechanism and formalizing relevant activities under the programme of work for implementation and outreach, including communication education and public awareness;

7. *Requests* the Executive Secretary, in collaboration with the Food and Agriculture Organization of the United Nations and the International Plant Genetic Resources Institute, and taking into account ongoing work, to undertake the necessary consultations and bring forward options for consideration by the Conference of the Parties at its eighth meeting for a cross-cutting initiative on biodiversity for food and nutrition within the existing programme of work on agricultural biodiversity of the Convention on Biological Diversity, and to work together with relevant organizations, in order to strengthen existing initiatives on food and nutrition, enhance synergies and fully integrate biodiversity concerns into their work, with a view to the achievement of target 2 of Millennium Development Goal 1 and other relevant Millennium Development Goals.

DECISION VII/33 | Operations of the Convention

The Conference of the Parties,

Recalling its decision VI/27 B on operations of the Convention,

Recalling also paragraph 1 of decision IV/17 by which the Conference of the Parties endorsed the administrative arrangements between the United Nations Environment Programme and the Secretariat of the Convention, contained in the annex to that decision,

Further recalling paragraph 5 of decision V/20 by which it made a number of changes to rule 21 of the rules of procedure regarding the election and terms of office of members of the Bureau of the Conference of the Parties,

Recalling also paragraph 6 of decision V/20 by which it decided to review the effectiveness of these changes, in light of experience, at its seventh meeting,

Noting that there has not been enough experience with the operation of the new arrangements to enable the Conference of the Parties to reach a firm conclusion with respect to the effectiveness of the changes to rule 21 of the rules of procedure,

1. *Decides* to retire the decisions and elements of decisions adopted at its third and fourth meetings listed in the annex to the present decision;

2. *Decides* to adopt a phased process of consolidation of its decisions, to be undertaken under the guidance of the Bureau, with a view to completing the process of consolidating all its decisions by the year 2010;

3. *Requests* the Executive Secretary to make proposals to the eighth meeting of the Conference of the Parties regarding the retirement of decisions and elements of decisions taken at its fifth and sixth meetings and to communicate such proposals to Parties, Governments and relevant international organizations at least sixth months prior to its eighth meeting;

4. *Requests* the Executive Secretary, under the guidance of the Bureau, to propose draft consolidated decisions in the areas of forest biological diversity; access to genetic resources and benefit-sharing; and guidance to the financial mechanism for

the consideration of the Conference of the Parties at its eighth meeting and to communicate the proposed draft consolidated decisions to Parties, Governments and relevant international organizations for their review and comments at least six months prior to its eighth meeting;

5. *Invites* Parties, Governments and relevant international organizations to submit to the Executive Secretary written comments on the proposals referred to in paragraphs 3 and 4 above, at least three months prior to its eighth meeting;

6. *Invites* the Executive Director of the United Nations Environment Programme and the Executive Secretary of the Convention on Biological Diversity to review and revise the administrative arrangements between the United Nations Environment Programme and the Secretariat of the Convention and report thereon to the Conference of the Parties at its eighth meeting;

7. *Decides* to review the effectiveness of the changes to rule 21 of the rules of procedure at its eighth meeting;

8. *Decides also* to review rule 4 of the rules of procedure relating to the periodicity of its ordinary meetings at its eighth meeting and, at that occasion, if needed, make the necessary adjustments in the multi-year programme of work of the Conference of the Parties up to 2010 regarding the periodicity of its meetings;

9. *Requests* the Executive Secretary to seek the views of Parties on options for a mechanism for setting priorities during the consideration of agenda items by the Conference of the Parties with a view to providing the budget group with clear guidance on how to address activities with financial implications, and report thereon to the Conference of the Parties at its eighth meeting;

10. *Emphasizes the importance* of convening regional preparatory meetings prior to meetings of the Conference of the Parties and *requests* the Executive Secretary to make the necessary arrangements for such regional meetings prior to the eighth meeting of the Conference of the Parties.

ANNEX
DECISIONS AND ELEMENTS OF DECISIONS ADOPTED BY THE CONFERENCE OF THE PARTIES AT ITS THIRD AND FOURTH MEETINGS TO BE RETIRED

DECISIONS OF THE THIRD MEETING OF THE CONFERENCE OF THE PARTIES:
Decision III/2
Decision III/3, paras. 1, 2 and 4 and 5
Decision III/4, paras. 1, 3, 5, 8, 10 and 14.
Decision III/5, para. 7
Decision III/6, paras. 2(b) and 6.
Decision III/7
Decision III/8, para. 2
Decision III/9, paras. 8 and 11
Decision III/11, paras. 1 to 12, 18, 23 and 24
Decision III/12

Decision III/13
Decision III/14, paras. 3, 6, 8 to 12
Decision III/15, paras. 1, 2 and 7
Decision III/16
Decision III/17, paras. 3 to 6
Decision III/18, paras. 1, 5, 7 and 8
Decision III/19
Decision III/20
Decision III/21, paras. 1, 4 to 7, 9 and 11
Decision III/22
Decision III/24, paras. 1 to 4
Decision III/25
Decision III/26
Decision III/27

DECISIONS OF THE FOURTH MEETING OF THE CONFERENCE OF THE PARTIES:
Decision IV/1 A, paras. 1, 2, 3 and 5
Decision IV/1 B, paras. 1 and 2
Decision IV/1 C, paras. 2, 5 and 6
Decision IV/1 D, paras. 1 and 3
Decision IV/2, paras. 7, 9(d), 10(a), 10(c), 10(f), 10(j) and 10(k)
Decision IV/3
Decision IV/4, para. 1, 4 to 5, 8, 10, and annex 1
Decision IV/5, para. I(1), I(2), II(1) to II(3) and annex
Decision IV/6, paras. 1, 2, 5, 7 to 13
Decision IV/7
Decision IV/8, paras. 1, 2, 3 and 6(d)
Decision IV/9, paras. 5, 6, 8 to 11, 14 and 16
Decision IV/10, Part A, paras. 1(b), 1(d), 1(e), 1(g), 5(a), (5(b), 5(c)
Decision IV/10, Part B, para. 6
Decision IV/10, Part C, paras. 2 to 4, 8 to 11
Decision IV/11, para. 3
Decision IV/12
Decision IV/14, paras 1 to 3
Decision IV/15, paras 1 to 3, 7 and 11 to 17
Decision IV/16, paras 1 to 4, 10, 16, 17, 19 to 21
Decision IV/17, paras 2 to 7, 10 to 15
Decision IV/18
Decision IV/19

DECISION VII/34 | Administration of the Convention and the budget for the programme of work for the biennium 2005–2006

The Conference of the Parties

1. *Welcomes* the annual contribution of US$ 1,000,000 from the host country Canada and the Province of Quebec to the operation of the Secretariat, of which $835,000 has been allocated per annum to offset contributions from the Parties to the Convention for the biennium 2005–2006;

2. *Approves* a core (BY) programme budget of US$ 10,497,800 for the year 2005 and of US$ 10,918,500 for the year 2006, for the purposes listed in the table 1 below;

3. *Adopts* the scale of assessments for the apportionment of expenses for 2005 and 2006 as contained in the table 5 below;

4. *Approves* a Secretariat staffing table for the programme budget contained in table 2 below, and requests that all staff positions be filled expeditiously;

5. *Notes* the recommendation of the Bureau of the sixth meeting of the Conference of the Parties to reappoint the current Executive Secretary. The Conference of the Parties *further invites* the President of the Conference of the Parties to consult with the Executive Director of the United Nations Environment Programme and liaise with the Office of the Secretary-General of the United Nations on future appointments;

6. *Decides* to set the working capital reserve[232] at a level of 5 per cent of the core budget (BY Trust Fund) expenditure, including programme support costs;

7. *Approves* a drawing of US$ 4 million from the unspent balances or contributions ("carry-over") from previous financial periods to cover part of the 2005–2006 budget;

8. *Authorizes* the Executive Secretary to transfer resources among the programmes between each of the main appropriation lines set out in the table 1 below up to an aggregate of 15 per cent of the total programme budget, provided that a further limitation of up to a maximum of 25 per cent of each such appropriation line shall apply. This authority to transfer shall not be applicable to transfers to/from the appropriation line "shared costs";

9. *Notes with appreciation* the work of the Executive Secretary to identify categories of costs in the budget documents prepared for the consideration of the seventh meeting of the Conference of the Parties and *requests* the Executive Secretary to further define their nature and scope;

10. *Calls upon* the Executive Secretary to present to the eighth Conference of the Parties the results of further work to develop a secretariat-wide modality and tracking system for differentiating the costs for the secretariat and other services, identified as "shared" in table 1 below, between those that are common to the Con-

232 The purpose of the working capital reserve shall be to ensure continuity of operations of the Convention's Secretariat in the event of a temporary shortfall of cash. Drawdowns from the working capital reserve shall be restored from contributions as soon as possible.

vention and its Cartagena Protocol, which are borne by Parties to the Convention, and those that are distinct to each instrument, and invites Parties to provide the Secretariat with their views in this regard, and further *invites* the Executive Secretary to share the outcomes of this work with Parties to the Cartagena Protocol;

11. *Directs* the Executive Secretary, in presenting the proposed budget for the biennium 2007-2008 to the eighth Conference of the Parties, to use the modality and tracking mechanism, developed in paragraph 9 above, to apportion the line identified as "shared" in table 1 below to either the common costs to be borne by the Parties to the Convention or to costs that are distinct to each instrument;

12. *Notes* the need for the development of safeguards for the use and or distribution of common resources for secretariat and other services between the Convention and its Cartagena Protocol and *calls* on the Executive Secretary to make proposals for such safeguards within the Convention budget for the consideration of the eighth Conference of the Parties;

13. *Notes with concern* that a number of Parties have not paid their contributions to the core budget (BY Trust Fund) for 2004 and prior years, which are due on 1 January of each year in accordance with paragraph 4 of the financial rules, and the late payment of contributions to the core budget by Parties during each calendar year of a biennium has contributed to the significant carry-over from one biennium to the next, and, in the event that there is no improvement in the payment of contributions by Parties, *invites* the Executive Secretary to submit proposals for promoting full and timely payment of contributions by Parties for consideration and review by the Conference of the Parties at its eighth meeting;

14. *Urges* Parties that have still not paid their contributions to the core budget (BY Trust Fund) to do so without delay, and requests the Executive Secretary to publish and regularly update information on the status of contributions of Parties to the Convention's trust funds (BY, BE, BZ);

15. *Decides* that, with regard to contributions, due from 1 January 2001 onwards, Parties whose contributions are in arrears for two (2) or more years will:

(a) Not be eligible to become a member of any bureau of the Conference of the Parties or its subsidiary bodies; and

(b) Not receive any hard copies of documents from the Secretariat;

Subparagraphs (a) and (b) above will only apply in the case of Parties that are not least developed countries or small island developing States;

16. *Authorizes* the Executive Secretary to enter into arrangements with any Party whose contributions are in arrears for two or more years to mutually agree on a "schedule of payments" for such a Party, to clear all outstanding arrears, within six years depending on the financial circumstance of the Party in arrears and pay future contributions by the due date, and report on the implementation of any such arrangement to the next meeting of the Bureau and to the Conference of the Parties;

17. *Decides* that a Party with an agreed arrangement in accordance with paragraph 16 above and that is fully respecting the provisions of that arrangement will not be subject to the provisions of paragraph 15 above;

18. *Authorizes* the Executive Secretary to enter into commitments up to the level of the approved budget, drawing on available cash resources, including unspent balances, contributions from previous financial periods and miscellaneous income;

19. *Decides* to fund, upon request, from the core budget (BY) the participation of members of the bureaux of the Conference of the Parties and the Subsidiary Body on Scientific Technical and Technological Advice at the inter-sessional meetings of the respective bureaux;

20. *Decides* that the trust funds (BY, BE, BZ) for the Convention shall be extended for the period of two years, beginning 1 January 2006 and ending 31 December 2007;

21. *Invites* all Parties to the Convention to note that contributions to the core budget (BY) are due on 1 January of the year in which these contributions have been budgeted for, and to pay them promptly, and *urges* Parties, in a position to do so, to pay by 1 October 2004 for the calendar year 2005 and by 1 October 2005 for the calendar year 2006 the contributions required to finance expenditures approved under paragraph 2 above, as offset by amounts in paragraphs 1 and 7, and, in this regard, *requests* that Parties be notified of the amount of their contributions by 1 August of the year preceding the year in which the contributions are due;

22. *Urges* all Parties and States not Parties to the Convention, as well as governmental, intergovernmental and non-governmental organizations and other sources, to contribute to the trust funds of the Convention and the Cartagena Protocol;

23. *Takes note* of the funding estimates for the:

(a) Special Voluntary Trust Fund (BE) for Additional Voluntary Contributions in Support of Approved Activities for the Biennium 2005-2006 specified by the Executive Secretary and included in table 3 below;

(b) Special Voluntary Trust Fund (BZ) for Facilitating Participation of Developing Country Parties, in particular the Least Developed and the Small Island Developing States amongst them, and other Parties with Economies in Transition, for the biennium 2005-2006, as specified by the Executive Secretary and included in table 4 below;

and *urges* Parties to make contributions to these funds;

24. *Endorses* the decisions of the Bureau of the sixth meeting of the Conference of the Parties authorizing the Executive Secretary to utilize savings, unspent balances from previous financial periods and miscellaneous income in the amount of US$ 2,436,000 from the BY Trust Fund, of which US$ 878,259 was spent, to fund inter-sessional activities, which were not envisaged and therefore for which no budgetary allocations were approved by the Conference of the Parties at its sixth meeting, including the participation of developing country Parties, in particular the least developed and small island developing States, and Parties with economies in transition, in the meetings of the Convention as well as to carry out activities approved by the Conference of the Parties and requests the Executive Secretary, in consultation with the Bureau, to continue to monitor the availability of voluntary contributions to the BE and BZ Trust Funds in the event of any shortfalls;

25. *Authorizes* the Executive Secretary to draw, in consultation with the bureau of the Conference of the Parties, on available cash resources, including unspent balances, contributions from previous financial periods and miscellaneous income within the approved core budget (BY Trust Fund) for the biennium 2005-2006, to cover any shortfalls in the special voluntary Trust Fund (BZ) for facilitating participation of developing country Parties, in particular the least developed and the small island developing States among them, and Parties with economies in transition, for the biennium 2005–2006, in priorities identified in the core budget (BY Trust Fund);

26. *Authorizes* the Executive Secretary to consult with the Bureau of the Conference of the Parties on any adjustments which may be necessary in the servicing of the programme of the work as foreseen in the core budget (BY Trust Fund) for the biennium 2005-2006, including the postponement of meetings, in the event that sufficient resources are not available to the Secretariat in a timely fashion from the approved budget (BY Trust Fund), including available cash resources, unspent balances, contributions from previous financial periods and miscellaneous income;

27. *Requests* the Executive Secretary, in accordance with rule 14 of the rules of procedure, to provide Parties with an indication of the administrative and financial implications of decisions to be referred by the Subsidiary Body on Scientific, Technical and Technological Advice; an ad hoc open-ended working group; or an ad hoc technical expert group for adoption by the Conference of the Parties, that may have administrative and budgetary implications that cannot be met from existing resources within the core budget (BY Trust Fund);

28. *Requests* the Executive Secretary to prepare and submit a budget, taking fully into account paragraphs 9, 10, 11 and 12 above, for the programme of work for the biennium 2007–2008 for the consideration of the Conference of the Parties at its eighth meeting, and to report on income and budget performance as well as any adjustments made to the Convention budget for the biennium 2005–2006;

29. *Welcomes* the development and continuation of the fellowship programme as a means of enabling developing country Parties and countries with economies in transition to send their nationals to the Secretariat for the purposes of enhancing their understanding of the Convention and for increasing awareness of biodiversity and related issues;

30. *Notes* that the Junior Professional Officer programme and the internship programme afford an opportunity for Parties to learn about and further develop an understanding of the thematic or cross-cutting issues covered under the Convention;

31. *Authorizes* the Executive Secretary, in an effort to improve the efficiency of the Secretariat and to attract highly qualified staff to the Secretariat, to enter into direct administrative and contractual arrangements with Parties, Governments and organizations, in response to offers of human resources and other support to the Secretariat, as may be necessary for the effective discharge of the functions of the Secretariat, while ensuring the efficient use of available competencies, resources and services, and taking into account United Nations rules and regulations. Special attention should be given to possibilities of creating synergies with relevant, existing work programmes or activities that are being implemented within the framework of other international organizations.

TABLE 1: BIENNIUM BUDGET OF THE TRUST FUND FOR THE CONVENTION ON BIOLOGICAL DIVERSITY 2005–2006

EXPENDITURES	2005 (THOUSANDS OF US$)	2006
I Programmes		
Executive direction and management	870.6	926.5
Scientific, technical and technological matters	1,873.2	1,910.1
Social, economic and legal matters	1,641.4	1,048.8
Implementation and outreach	886.8	946.1
Resource management and conference services	588.7	1,504.3
Shared costs	3,267.1	3,326.6
SUB-TOTAL (I)	**9,127.8**	**9,662.4**
II Programme support charge 13%	1,186.6	1,256.1
SUB-TOTAL (II)	**1,186.6**	**1,256.1**
III Working capital reserve (5%)	183.4	–
SUB-TOTAL (III)	**183.4**	–
GRAND TOTAL (I + II + III)	**10,497.8**	**10,918.5**
Less contribution from the host country	835.0	835.0
Less savings from previous years (surplus)	2,000.0	2,000.0
NET TOTAL (AMOUNT TO BE SHARED BY PARTIES)	**7,662.8**	**8,083.5**

PRIORITIES IDENTIFIED IN THE CORE BUDGET (US$ 3,306,720 INCLUDING 13% PROGRAMME SUPPORT COSTS AND 5% WORKING CAPITAL RESERVE)
- MEETINGS OF THE BUREAU OF THE CONFERENCE OF THE PARTIES
- MEETINGS OF THE BUREAU OF THE SUBSIDIARY BODY ON SCIENTIFIC, TECHNICAL AND TECHNOLOGICAL ADVICE
- MEETINGS OF THE SUBSIDIARY BODY ON SCIENTIFIC, TECHNICAL AND TECHNOLOGICAL ADVICE
- OPEN-ENDED AD HOC WORKING GROUP ON ARTICLE 8(J) AND RELATED PROVISIONS
- OPEN-ENDED AD HOC WORKING GROUP ON ACCESS AND BENEFIT-SHARING
- EIGHTH MEETING OF THE CONFERENCE OF THE PARTIES

TABLE 2: SECRETARIAT STAFFING REQUIREMENTS FOR THE CONVENTION FROM THE CORE BUDGET

DESCRIPTION	2005	2006
A. Professional category		
ASG	1	1
D-1	3	3
P-5	4	4
P-4	16	16
P-3	9	9
P-2	0	0
TOTAL PROFESSIONAL CATEGORY	**33**	**33**
B. Total General Service category	26	26
TOTAL (A + B)	**59**	**59**

TABLE 3: SPECIAL VOLUNTARY TRUST FUND (BE) FOR ADDITIONAL VOLUNTARY CONTRIBUTIONS IN SUPPORT OF APPROVED ACTIVITIES FOR THE BIENNIUM 2005–2006

DESCRIPTION	2005	2006
1. Meetings/workshops		
Executive Direction and Management		
Regional meetings for COP 8		$40,000
Scientific Technical and Technological Matters		
Ad Hoc Open-ended Working Group on Protected Areas[1,2]	$370,000	
2nd AHTEG on review on forest biological diversity[3]		$60,000
Regional synergy workshops with UNCCD and UNFCCC	$120,000	
Regional training courses jointly with UNCCD and UNFCCC to promote synergy at the national level		$120,000
AHTEG on implementation of integrated marine and coastal areas management	$60,000	
AHTEG on invasive alien species[4]		$60,000
AHTEG on indicators—further evaluation of progress	$60,000	
Development of a preparatory process on island biodiversity for SBSTTA[5]	$100,000	
Social, Economic and Legal Matters		
Ad Hoc Open-ended Working Group on Access and Benefit-sharing [6,7]		$370,000
Four regional technical expert workshops on ecosystem services assessment, financial costs and benefits associated with conservation of biodiversity, and sustainable use of biological resources	$160,000	
Organization of regional workshops on the composite report on the status and trends of indigenous knowledge	$160,000	
Steering committee with indigenous and local communities to assist in the completion of the report	$40,000	
Capacity-building and training workshops at the local, national, and subregional levels	$160,000	$160,000
Workshop on cultural, environmental and social impact assessments based on the Akwé: Kon Voluntary Guidelines	$80,000	
Meeting of Legal and Technical Experts on Liability and Redress		$80,000
Implementation and Outreach		
Ad Hoc Open-ended Working Group on Review of Implementation of the Convention[8]		$250,000

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DESCRIPTION	2005	2006
Regional workshops on scientific and technical cooperation	$200,000	$ 200,000
Workshops for the development of national level CEPA skills	$300,000	
Informal advisory committee on CEPA		$60,000
2. Staff		
Agricultural biodiversity Programme Officer (FAO)	$146,500	$150,900
CEPA Programme Officer	$133,300	$137,300
GIS specialist and database manager	$133,300	$137,300
3. Consultants		
Complete phase I of the composite report on the status and trends regarding the knowledge, innovations and practices of indigenous and local communities relevant to the conservation and sustainable use of biological diversity	$30,000	
Second phase of the composite report		$40,000
Preparation of technical studies on role of intellectual property rights	$10,000	
Development of web pages/print media that provide access to information on relevant initiatives and databases for technology transfer	$5,000	
User's manual on biodiversity and tourism		$20,000
Third review of the financial mechanism	$150,000	
Update the strategic plan of the clearing-house mechanism to 2009	$25,000	
Examine ways to develop regional portals to visualize and exchange national and regional cartographic information from all thematic areas	$50,000	
Advice on how the clearing-house mechanism can make relevant information interoperable among the three Rio conventions	$6,000	
Clearing-house mechanism—translation and maintenance of the Convention Website	$100,000	$25,000
4. Publications		
Publication of composite report guidelines as a booklet in the official languages of the United Nations	$ 10,000	
Second edition of the Global Biodiversity Outlook		$300,000
Development of a peer-reviewed web-based "sourcebook" for the ecosystem approach, accessible through the clearing-house mechanism; and production of hard copies and CD-ROM	$ 40,000	

DESCRIPTION	2005	2006
CEPA exchange mechanisms—publications		$40,000
User's manual on biodiversity and tourism		$10,000
Regional report on the Arctic region		$10,000
5. Equipment		
Enhanced capacity of the clearing-house mechanism to improve the infrastructure for data and information management for accurate and monitoring of mountain biological diversity	$70,000	
CEPA electronic portal		$100,000
SUB-TOTAL I	**$2,753,100**	**$2,336,500**
II. Programme support costs (13%)	$357,903	$303,745
SUB-TOTAL II	**$357,903**	**$303,745**
III. Working capital reserve (5%)	$155,550	$132,012
SUB-TOTAL III	**$155,550**	**$132,012**
TOTAL COST (I + II + III)	**$3,266,553**	**$2,772,257**

1 FUNDING PLEDGED BY ITALY.
2 GUATEMALA PLEDGED FUNDING FOR AN ADDITIONAL MEETING ON PROTECTED AREAS, BACK TO BACK WITH A MEETING OF SBSTTA.
3 FUNDING PLEDGED BY GERMANY.
4 FUNDING PLEDGED BY NEW ZEALAND.
5 SPAIN PLEDGED TO FUND A MEETING ON ISLAND BIODIVERSITY IN 2004.
6 FUNDING PLEDGED BY SPAIN.
7 FUNDING PLEDGED BY THAILAND FOR AN ADDITIONAL MEETING OF THE AD HOC WORKING GROUP ON ACCESS AND BENEFIT-SHARING.
8 FUNDING PLEDGED BY CANADA.

TABLE 4: SPECIAL VOLUNTARY TRUST FUND (BZ) FOR FACILITATING PARTICIPATION OF PARTIES IN THE CONVENTION PROCESS FOR THE BIENNIUM 2005–2006

DESCRIPTION	2005 (US$)	2006
I. Meetings		
Eighth meeting of the Conference of the Parties	0	750,000
Regional meetings in preparation for the Conference of the Parties (4) (COP 8)	0	200,000
Subsidiary Body on Scientific, Technical and Technological Advice	540,000	540,000
Open-ended Ad Hoc Working Group on the Strategic Plan and 2010 targets	0	540,000
Ad-Hoc Open-ended Working Group meeting on Article 8(j)	540,000	0
Open-ended Ad Hoc Working Group on Access and Benefit-sharing	540,000	540,000
Open-ended Ad Hoc Working Group on Protected Areas	540,000	300,000
Support to indigenous and local communities	100,000	100,000
SUB-TOTAL I	**2,260,000**	**2,970,000**
II. Programme support costs (13%)	**293,800**	**386,100**
TOTAL COST (I + II)	**2,553,800**	**3,356,100**

TABLE 5: CONTRIBUTIONS TO THE TRUST FUND FOR THE CONVENTION ON BIOLOGICAL DIVERSITY FOR THE BIENNIUM 2005–2006

PARTY	UN SCALE OF ASSESSMENTS 2004 %	SCALE WITH 22% CEILING, NO LDC PAYING MORE THAN 0.01 % %	CONTRIBUTIONS AS PER 1 JAN. 2005 US$	UN SCALE OF ASSESSMENTS 2004 %	SCALE WITH 22% CEILING, NO LDC PAYING MORE THAN 0.01 % %	CONTRIBUTIONS AS PER 1 JAN. 2006 US$	TOTAL CONTRIBUTIONS 2005–2006 US$
Afghanistan	0.002	0.003	198	0.002	0.003	209	407
Albania	0.005	0.006	495	0.005	0.006	522	1,017
Algeria	0.076	0.098	7,520	0.076	0.098	7,933	15,452
Angola	0.001	0.001	99	0.001	0.001	104	203
Antigua and Barbuda	0.003	0.004	297	0.003	0.004	313	610
Argentina	0.956	1.234	94,589	0.956	1.234	99,783	194,372
Armenia	0.002	0.003	198	0.002	0.003	209	407
Australia	1.592	2.056	157,517	1.592	2.056	166,165	323,682
Austria	0.859	1.109	84,992	0.859	1.109	89,658	174,650
Azerbaijan	0.005	0.006	495	0.005	0.006	522	1,017
Bahamas	0.013	0.017	1,286	0.013	0.017	1,357	2,643
Bahrain	0.030	0.039	2,968	0.030	0.039	3,131	6,100
Bangladesh	0.010	0.010	766	0.010	0.010	808	1,575
Barbados	0.010	0.013	989	0.010	0.013	1,044	2,033
Belarus	0.018	0.023	1,781	0.018	0.023	1,879	3,660
Belgium	1.069	1.380	105,770	1.069	1.380	111,577	217,347
Belize	0.001	0.001	99	0.001	0.001	104	203
Benin	0.002	0.003	198	0.002	0.003	209	407
Bhutan	0.001	0.001	99	0.001	0.001	104	203
Bolivia	0.009	0.012	890	0.009	0.012	939	1,830
Bosnia and Herzegovina	0.003	0.004	297	0.003	0.004	313	610
Botswana	0.012	0.015	1,187	0.012	0.015	1,253	2,440
Brazil	1.523	1.967	150,690	1.523	1.967	158,963	309,653
Bulgaria	0.017	0.022	1,682	0.017	0.022	1,774	3,456
Burkina Faso	0.002	0.003	198	0.002	0.003	209	407
Burundi	0.001	0.001	99	0.001	0.001	104	203
Cambodia	0.002	0.003	198	0.002	0.003	209	407
Cameroon	0.008	0.010	792	0.008	0.010	835	1,627
Canada	2.813	3.632	278,326	2.813	3.632	293,607	571,933
Cape Verde	0.001	0.001	99	0.001	0.001	104	203
Central African Republic	0.001	0.001	99	0.001	0.001	104	203
Chad	0.001	0.001	99	0.001	0.001	104	203
Chile	0.223	0.288	22,064	0.223	0.288	23,276	45,340
China	2.053	2.651	203,130	2.053	2.651	214,282	417,412
Colombia	0.155	0.200	15,336	0.155	0.200	16,178	31,514
Comoros	0.001	0.001	99	0.001	0.001	104	203
Congo	0.001	0.001	99	0.001	0.001	104	203
Cook Islands	0.001	0.001	99	0.001	0.001	104	203
Costa Rica	0.030	0.039	2,968	0.030	0.039	3,131	6,100
Cote d'Ivoire	0.010	0.013	989	0.010	0.013	1,044	2,033

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PARTY	UN SCALE OF ASSESSMENTS 2004 %	SCALE WITH 22% CEILING, NO LDC PAYING MORE THAN 0.01% %	CONTRIBUTIONS AS PER 1 JAN. 2005 US$	UN SCALE OF ASSESSMENTS 2004 %	SCALE WITH 22% CEILING, NO LDC PAYING MORE THAN 0.01% %	CONTRIBUTIONS AS PER 1 JAN. 2006 US$	TOTAL CONTRIBUTIONS 2005–2006 US$
Croatia	0.037	0.048	3,661	0.037	0.048	3,862	7,523
Cuba	0.043	0.056	4,255	0.043	0.056	4,488	8,743
Cyprus	0.039	0.050	3,859	0.039	0.050	4,071	7,929
Czech Republic	0.183	0.236	18,107	0.183	0.236	19,101	37,207
Democratic People's Republic of Korea	0.010	0.013	989	0.010	0.013	1,044	2,033
Democratic Republic of the Congo	0.003	0.004	297	0.003	0.004	313	610
Denmark	0.718	0.927	71,041	0.718	0.927	74,941	145,982
Djibouti	0.001	0.001	99	0.001	0.001	104	203
Dominica	0.001	0.001	99	0.001	0.001	104	203
Dominican Republic	0.035	0.045	3,463	0.035	0.045	3,653	7,116
Ecuador	0.019	0.025	1,880	0.019	0.025	1,983	3,863
Egypt	0.120	0.155	11,873	0.120	0.155	12,525	24,398
El Salvador	0.022	0.028	2,177	0.022	0.028	2,296	4,473
Equatorial Guinea	0.002	0.003	198	0.002	0.003	209	407
Eritrea	0.001	0.001	99	0.001	0.001	104	203
Estonia	0.012	0.015	1,187	0.012	0.015	1,253	2,440
Ethiopia	0.004	0.005	396	0.004	0.005	418	813
European Community	2.500	2.500	191,570	2.500	2.500	202,088	393,658
Fiji	0.004	0.005	396	0.004	0.005	418	813
Finland	0.533	0.688	52,737	0.533	0.688	55,632	108,368
France	6.030	7.786	596,626	6.030	7.786	629,382	1,226,007
Gabon	0.009	0.012	890	0.009	0.012	939	1,830
Gambia	0.001	0.001	99	0.001	0.001	104	203
Georgia	0.003	0.004	297	0.003	0.004	313	610
Germany	8.662	11.184	857,044	8.662	11.184	904,097	1,761,140
Ghana	0.004	0.005	396	0.004	0.005	418	813
Greece	0.530	0.684	52,440	0.530	0.684	55,319	107,759
Grenada	0.001	0.001	99	0.001	0.001	104	203
Guatemala	0.030	0.039	2,968	0.030	0.039	3,131	6,100
Guinea	0.003	0.004	297	0.003	0.004	313	610
Guinea-Bissau	0.001	0.001	99	0.001	0.001	104	203
Guyana	0.001	0.001	99	0.001	0.001	104	203
Haiti	0.003	0.004	297	0.003	0.004	313	610
Honduras	0.005	0.006	495	0.005	0.006	522	1,017
Hungary	0.126	0.163	12,467	0.126	0.163	13,151	25,618
Iceland	0.034	0.044	3,364	0.034	0.044	3,549	6,913
India	0.421	0.544	41,655	0.421	0.544	43,942	85,597
Indonesia	0.142	0.183	14,050	0.142	0.183	14,821	28,871
Iran (Islamic Republic of)	0.157	0.203	15,534	0.157	0.203	16,387	31,921

PARTY	UN SCALE OF ASSESSMENTS 2004 %	SCALE WITH 22% CEILING, NO LDC PAYING MORE THAN 0.01% %	CONTRIBUTIONS AS PER 1 JAN. 2005 US$	UN SCALE OF ASSESSMENTS 2004 %	SCALE WITH 22% CEILING, NO LDC PAYING MORE THAN 0.01% %	CONTRIBUTIONS AS PER 1 JAN. 2006 US$	TOTAL CONTRIBUTIONS 2005–2006 US$
Ireland	0.350	0.452	34,630	0.350	0.452	36,531	71,161
Israel	0.467	0.603	46,206	0.467	0.603	48,743	94,949
Italy	4.885	6.308	483,336	4.885	6.308	509,872	993,208
Jamaica	0.008	0.010	792	0.008	0.010	835	1,627
Japan	19.468	22.000	1,685,816	19.468	22.000	1,778,370	3,464,186
Jordan	0.011	0.014	1,088	0.011	0.014	1,148	2,236
Kazakhstan	0.025	0.032	2,474	0.025	0.032	2,609	5,083
Kenya	0.009	0.012	890	0.009	0.012	939	1,830
Kiribati	0.001	0.001	99	0.001	0.001	104	203
Kuwait	0.162	0.209	16,029	0.162	0.209	16,909	32,938
Kyrgyzstan	0.001	0.001	99	0.001	0.001	104	203
Lao People's Democratic Republic	0.001	0.001	99	0.001	0.001	104	203
Latvia	0.015	0.019	1,484	0.015	0.019	1,566	3,050
Lebanon	0.024	0.031	2,375	0.024	0.031	2,505	4,880
Lesotho	0.001	0.001	99	0.001	0.001	104	203
Liberia	0.001	0.001	99	0.001	0.001	104	203
Libya	0.132	0.170	13,060	0.132	0.170	13,778	26,838
Liechtenstein	0.005	0.006	495	0.005	0.006	522	1,017
Lithuania	0.024	0.031	2,375	0.024	0.031	2,505	4,880
Luxembourg	0.077	0.099	7,619	0.077	0.099	8,037	15,655
Madagascar	0.003	0.004	297	0.003	0.004	313	610
Malawi	0.001	0.001	99	0.001	0.001	104	203
Malaysia	0.203	0.262	20,085	0.203	0.262	21,188	41,274
Maldives	0.001	0.001	99	0.001	0.001	104	203
Mali	0.002	0.003	198	0.002	0.003	209	407
Malta	0.014	0.018	1,385	0.014	0.018	1,461	2,846
Marshall Islands	0.001	0.001	99	0.001	0.001	104	203
Mauritania	0.001	0.001	99	0.001	0.001	104	203
Mauritius	0.011	0.014	1,088	0.011	0.014	1,148	2,236
Mexico	1.883	2.431	186,310	1.883	2.431	196,538	382,848
Micronesia (Federated States of)	0.001	0.001	99	0.001	0.001	104	203
Monaco	0.003	0.004	297	0.003	0.004	313	610
Mongolia	0.001	0.001	99	0.001	0.001	104	203
Morocco	0.047	0.061	4,650	0.047	0.061	4,906	9,556
Mozambique	0.001	0.001	99	0.001	0.001	104	203
Myanmar	0.010	0.010	766	0.010	0.010	808	1,575
Namibia	0.006	0.008	594	0.006	0.008	626	1,220
Nauru	0.001	0.001	99	0.001	0.001	104	203
Nepal	0.004	0.005	396	0.004	0.005	418	813
Netherlands	1.690	2.182	167,214	1.690	2.182	176,394	343,607
New Zealand	0.221	0.285	21,866	0.221	0.285	23,067	44,933
Nicaragua	0.001	0.001	99	0.001	0.001	104	203

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PARTY	UN SCALE OF ASSESSMENTS 2004 %	SCALE WITH 22% CEILING, NO LDC PAYING MORE THAN 0.01% %	CONTRIBUTIONS AS PER 1 JAN. 2005 US$	UN SCALE OF ASSESSMENTS 2004 %	SCALE WITH 22% CEILING, NO LDC PAYING MORE THAN 0.01% %	CONTRIBUTIONS AS PER 1 JAN. 2006 US$	TOTAL CONTRIBUTIONS 2005–2006 US$
Niger	0.001	0.001	99	0.001	0.001	104	203
Nigeria	0.042	0.054	4,156	0.042	0.054	4,384	8,539
Niue	0.001	0.001	99	0.001	0.001	104	203
Norway	0.679	0.877	67,182	0.679	0.877	70,871	138,053
Oman	0.070	0.090	6,926	0.070	0.090	7,306	14,232
Pakistan	0.055	0.071	5,442	0.055	0.071	5,741	11,182
Palau	0.001	0.001	99	0.001	0.001	104	203
Panama	0.019	0.025	1,880	0.019	0.025	1,983	3,863
Papua New Guinea	0.003	0.004	297	0.003	0.004	313	610
Paraguay	0.012	0.015	1,187	0.012	0.015	1,253	2,440
Peru	0.092	0.119	9,103	0.092	0.119	9,603	18,705
Philippines	0.095	0.123	9,400	0.095	0.123	9,916	19,315
Poland	0.461	0.595	45,613	0.461	0.595	48,117	93,730
Portugal	0.470	0.607	46,503	0.470	0.607	49,056	95,559
Qatar	0.064	0.083	6,332	0.064	0.083	6,680	13,012
Republic of Korea	1.796	2.319	177,701	1.796	2.319	187,458	365,159
Republic of Moldova	0.001	0.001	99	0.001	0.001	104	203
Romania	0.060	0.077	5,937	0.060	0.077	6,263	12,199
Russian Federation	1.100	1.420	108,837	1.100	1.420	114,813	223,650
Rwanda	0.001	0.001	99	0.001	0.001	104	203
Saint Kitts and Nevis	0.001	0.001	99	0.001	0.001	104	203
Saint Lucia	0.002	0.003	198	0.002	0.003	209	407
Saint Vincent and the Grenadines	0.001	0.001	99	0.001	0.001	104	203
Samoa	0.001	0.001	99	0.001	0.001	104	203
San Marino	0.003	0.004	297	0.003	0.004	313	610
Sao Tome and Principe	0.001	0.001	99	0.001	0.001	104	203
Saudi Arabia	0.713	0.921	70,546	0.713	0.921	74,419	144,966
Senegal	0.005	0.006	495	0.005	0.006	522	1,017
Serbia and Montenegro	0.019	0.025	1,880	0.019	0.025	1,983	3,863
Seychelles	0.002	0.003	198	0.002	0.003	209	407
Sierra Leone	0.001	0.001	99	0.001	0.001	104	203
Singapore	0.388	0.501	38,390	0.388	0.501	40,498	78,887
Slovakia	0.051	0.066	5,046	0.051	0.066	5,323	10,369
Slovenia	0.082	0.106	8,113	0.082	0.106	8,559	16,672
Solomon Islands	0.001	0.001	99	0.001	0.001	104	203
South Africa	0.292	0.377	28,891	0.292	0.377	30,478	59,369
Spain	2.520	3.254	249,336	2.520	3.254	263,025	512,361

PARTY	UN SCALE OF ASSESSMENTS 2004 %	SCALE WITH 22% CEILING, NO LDC PAYING MORE THAN 0.01% %	CONTRIBUTIONS AS PER 1 JAN. 2005 US$	UN SCALE OF ASSESSMENTS 2004 %	SCALE WITH 22% CEILING, NO LDC PAYING MORE THAN 0.01% %	CONTRIBUTIONS AS PER 1 JAN. 2006 US$	TOTAL CONTRIBUTIONS 2005-2006 US$
Sri Lanka	0.017	0.022	1,682	0.017	0.022	1,774	3,456
Sudan	0.008	0.010	766	0.008	0.010	808	1,575
Suriname	0.001	0.001	99	0.001	0.001	104	203
Swaziland	0.002	0.003	198	0.002	0.003	209	407
Sweden	0.998	1.289	98,745	0.998	1.289	104,166	202,911
Switzerland	1.197	1.546	118,435	1.197	1.546	124,937	243,372
Syrian Arab Republic	0.038	0.049	3,760	0.038	0.049	3,966	7,726
Tajikistan	0.001	0.001	99	0.001	0.001	104	203
Thailand	0.209	0.270	20,679	0.209	0.270	21,814	42,493
The Former Yugoslav Rep. of Macedonia	0.006	0.008	594	0.006	0.008	626	1,220
Togo	0.001	0.001	99	0.001	0.001	104	203
Tonga	0.001	0.001	99	0.001	0.001	104	203
Trinidad and Tobago	0.022	0.028	2,177	0.022	0.028	2,296	4,473
Tunisia	0.032	0.041	3,166	0.032	0.041	3,340	6,506
Turkey	0.372	0.480	36,807	0.372	0.480	38,828	75,634
Turkmenistan	0.005	0.006	495	0.005	0.006	522	1,017
Tuvalu	0.001	0.001	99	0.001	0.001	104	203
Uganda	0.006	0.008	594	0.006	0.008	626	1,220
Ukraine	0.039	0.050	3,859	0.039	0.050	4,071	7,929
United Arab Emirates	0.235	0.303	23,252	0.235	0.303	24,528	47,780
United Kingdom of Great Britain and Northern Ireland	6.127	7.911	606,223	6.127	7.911	639,506	1,245,729
United Rep. of Tanzania	0.006	0.008	594	0.006	0.008	626	1,220
Uruguay	0.048	0.062	4,749	0.048	0.062	5,010	9,759
Uzbekistan	0.014	0.018	1,385	0.014	0.018	1,461	2,846
Vanuatu	0.001	0.001	99	0.001	0.001	104	203
Venezuela	0.171	0.221	16,919	0.171	0.221	17,848	34,767
Viet Nam	0.021	0.027	2,078	0.021	0.027	2,192	4,270
Yemen	0.006	0.008	594	0.006	0.008	626	1,220
Zambia	0.002	0.003	198	0.002	0.003	209	407
Zimbabwe	0.007	0.009	693	0.007	0.009	731	1,423
TOTAL	**80.445**	**100.00**	**7,662,800**	**80.445**	**100.00**	**8,083,500**	**15,746,300**

DECISION VII/35 | Date and venue of the eighth meeting of the Conference of the Parties

The Conference of the Parties

1. *Welcomes* the kind offer of Brazil to host the eighth meeting of the Conference of the Parties;

2. *Decides* that the eighth meeting of the Conference of the Parties will be held in Brazil on a date in the first half of 2006 to be specified by the Bureau.

DECISION VII/36 | Tribute to the Government and people of Malaysia

The Conference of the Parties,

Having met in Kuala Lumpur from 9 to 20 and 27 February 2004, at the gracious invitation of the Government of Malaysia,

Deeply appreciating the especial courtesy and warm hospitality extended by the Government and the people of Malaysia to the ministers, members of delegations, observers and members of the Secretariat who attended the meeting,

Expresses its sincere gratitude to the Government of Malaysia and to its people for the cordial welcome that they accorded to the meeting and to those associated with its work, and for their contribution to the success of the meeting.

Decisions adopted by the first meeting of the Conference of the Parties to the Convention on Biological Diversity serving as the meeting of the Parties to the Cartagena Protocol on Biosafety

KUALA LUMPUR, MALAYSIA, 23–27 FEBRUARY 2004

DECISION BS-I/1 | Rules of procedure for meetings of the Conference of the Parties serving as the meeting of the Parties to the Protocol

The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety,

Noting that, according to Article 29, paragraph 5, of the Protocol, the rules of procedure of the Conference of the Parties to the Convention shall be applied, *mutatis mutandis*, under the Protocol, except as may be otherwise decided by consensus by the Conference of the Parties serving as the meeting of the Parties to the Protocol,

Recognizing that, when the rules of procedure of the Conference of the Parties to the Convention are applied *mutatis mutandis* under the Protocol, Articles 29, 30 and 31 of the Protocol, in particular, will affect the application of the rules of procedure to the Conference of the Parties serving as meeting of the Parties to the Protocol,

Decides by consensus that:

(a) When rule 21 of the rules of the procedure for meetings of the Conference of the Parties to the Convention is applied to the Conference of the Parties serving as the meeting of the Parties to the Protocol, this rule shall be supplemented by the following paragraph:

> "Where a member of the Bureau of the Conference of the Parties to the Convention representing a Party to the Convention but, at that time, not a Party to the Protocol, is substituted by a member elected by and from among the Parties to the Protocol, the term of office of the substitute member shall expire at the same time as the term of office of the member of the Bureau he or she substitutes."

(b) When the rules of procedure of the Conference of the Parties of the Convention are amended by the Conference of the Parties to the Convention, those amendments shall not apply to the Conference of the Parties serving as the meeting of the Parties to the Protocol, unless otherwise decided by the Conference of the Parties serving as the meeting of the Parties to the Protocol.

DECISION BS-I/2 | Procedures and mechanisms for facilitating decision-making by Parties of import (Article 10, paragraph 7)

The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety,

Recalling Article 10, paragraph 7, of the Cartagena Protocol on Biosafety, which requires that the Conference of the Parties serving as the meeting of the Parties, at its first meeting, to decide upon appropriate procedures and mechanisms to facilitate decision-making by Parties of import,

Noting decision V/1 of the Conference of the Parties to the Convention with regard to the work plan of the Intergovernmental Committee for the Cartagena Protocol on Biosafety,

Decides:

(a) To adopt, pursuant to Article 10, paragraph 7, of the Protocol, the procedures and mechanisms to facilitate decision-making by Parties of import, as contained in the annex to this decision;

(b) To continue to identify and build upon the mechanisms that will further facilitate capacity building;

(c) To review, in line with Article 35 of the Protocol, the procedures and mechanisms referred to in subparagraph (a) above, and take appropriate action.

ANNEX
PROCEDURES AND MECHANISMS TO FACILITATE DECISION-MAKING BY PARTIES OF IMPORT UNDER PARAGRAPH 7 OF ARTICLE 10 OF THE CARTAGENA PROTOCOL ON BIOSAFETY

A. Guidelines

1. The procedures and mechanisms, hereby defined pursuant to Article 10, paragraph 7, of the Protocol, are designed to facilitate decision-making by Parties of import, especially those encountering difficulties in the decision-making process under Article 10 of the Protocol.

2. In facilitating the decision-making under Article 10 of the Protocol, priority shall be given, within the framework of Article 22 of the Protocol, to capacity-building of developing country Parties, in particular the least developed and small island developing States among them, and Parties with economies in transition, and also taking into account centres of origin and centres of genetic diversity.

3. Parties shall cooperate with a view to ensuring that Parties of import, especially developing country Parties, in particular the least developed and small island developing States among them, and Parties with economies in transition, have access to the Biosafety Clearing-House or to the information it houses for the purpose of facilitating decision-making. The decision on the modalities of the operation of the Biosafety Clearing-House pursuant to paragraph 4 of Article 20 should take into account the needs of Parties of import in decision-making as a matter of priority.

4. The procedures and mechanisms to facilitate decision-making shall be demand-driven by Parties of import.

5. While other mechanisms should be kept under consideration, the roster of experts and the Biosafety Clearing-House are among the main mechanisms to provide, upon request, the necessary support to Parties of import to facilitate decision-making by them under Article 10 of the Protocol. The modalities for use of the roster of experts for the purpose of facilitating decision-making by Parties of import shall follow the rules of procedure or guidelines to be adopted by the Conference of the Parties serving as the meeting of the Parties with regard to how the roster of experts should be used by Parties, including issues relating to selection of experts, covering the costs of the expert time and services and the establishment of duties to be undertaken by the experts.

B. Procedures

6. A Party of import, especially developing country Parties, in particular the least developed and small island developing States among them, and Parties with economies in transition may, at any time after having received notification from the Party of export or the notifier under Article 8 of the Protocol, seek, through the Secretariat, any relevant assistance from, among other mechanisms, the roster of experts to deal with the notification it received and to be able to make a decision.

7. In the case where no acknowledgement of receipt of notification or decisions are communicated by a Party of import that is a developing country Party or a Party with an economy in transition, under the time frame established under Articles 9 and 10 of the Protocol, and after the Party of export has sought clarification from the Party of import on the reason for lack of response or decision, the Party of export may remind the Party of import of the need for an acknowledgement and, as appropriate, help it financially to obtain expert or other assistance, including through the use of the roster of experts, in order to enable the Party of import to reach a decision.

8. These procedures and mechanisms to facilitate decision-making by Parties of import shall be separate from, and without prejudice to the procedures and mechanisms established under Article 34 of the Protocol on compliance and the dispute-settlement procedures under Article 27 of the Convention.

DECISION BS-I/3 | Information-sharing and the Biosafety Clearing-House (Article 20): modalities of operation of the Biosafety Clearing-House

The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety,

Having examined the note by the Executive Secretary, (UNEP/CBD/BS/COP-MOP/1/5), reviewing the progress in the development and implementation of the pilot phase of the Biosafety Clearing-House,

Taking note of the recommendations made by the Intergovernmental Committee for the Cartagena Protocol on Biosafety on the development of the pilot phase of the Biosafety Clearing-House,

Taking note that the progress made and experience gained during the implementation of the pilot phase has produced valuable insights as to the future development of the Biosafety Clearing-House,

Recognizing that some developing countries, in particular the least developed and small island developing states among them, either do not have access to the Internet, or experience periodically unreliable telecommunication networks, and/or unaffordably high cost of access to the Internet, as well as inadequate information technology and competent human resources capacity to access and manage Internet-based information,

Welcoming the proposed UNEP-GEF add-on project "Building Capacity for Effective Participation in the Biosafety Clearing-House" and calling on the Global Environment Facility to extend support to all eligible countries,

1. *Approves* the transition of the pilot phase of the Biosafety Clearing-House to the fully operational phase;

2. *Adopts* the modalities of operation of the Biosafety Clearing-House that are contained in the annex to this decision;

3. *Welcomes* the participation in the pilot phase of governments and international organizations that have provided information to the Biosafety Clearing-House, either directly through the Management Centre of the Central Portal, or through the development of nodes that are interoperable with the Central Portal of the Biosafety Clearing-House;

4. *Encourages* Parties, governments and other users to develop national, regional, sub-regional and institutional nodes that are interlinked with the Central Portal, in accordance with minimum standards for partnership as outlined in Section F of the Annex hereto. It is suggested that these nodes and/or partnerships would focus initially on:

(a) Providing searchable access to information to facilitate decision-making, particularly that required under the Advance Informed Agreement procedure and information required to implement Article 11 on the procedure for living modified organisms intended for direct use as food or feed, or for processing;

(b) Providing searchable access to any other information required by the Protocol to be made available to Parties through the Biosafety Clearing-House as outlined in section A of the Annex to the present decision; and

(c) Facilitating access to and dissemination of scientific, technical, environmental and legal information on, and experience with, living modified organisms.

5. *Urges* all Parties, governments and other users to provide relevant information to the Biosafety Clearing-House as soon as possible, including information pertaining to decisions on the release or import of living modified organisms taken prior to entry into force of the Protocol;

6. *Invites* relevant international, regional, subregional and national organizations and entities willing to offer their cooperation as active partners in the implementation of the Biosafety Clearing-House to communicate the details of their offer and *requests* the Executive Secretary of the Secretariat to enter into collaborative arrangements and to report to its second meeting on the results of such arrangements;

7. *Calls upon* each Party that has not yet done so to designate an appropriate national focal point for the Biosafety Clearing-House;

8. In this regard, *invites* Governments, organizations and other users interested in entering into a partnership with the Biosafety Clearing-House to nominate an appropriate focal point to carry out this role;

9. *Requests* the Executive Secretary to further develop non-Internet based biosafety clearing-house mechanisms that effectively interface with the Internet-based technology, and are consistent with the characteristics and administrative requirements detailed in sections B and C of the annex to the present decision, and to make them available to Parties and Governments upon request;

10. *Requests* the Executive Secretary to continue analysing the identified capacity-building and financial requirements of developing countries, in particular the least developed and small island developing States among them, and countries with economies in transition, as well as countries that are centres of origin and centres of genetic diversity, to enable their active participation in the Biosafety Clearing-House. This information will be provided to Governments, intergovernmental and non-governmental organizations with a role in capacity-building;

11. *Calls upon* the international community to make additional voluntary contributions to meet the capacity-building needs of countries with respect to the implementation of national components of the Biosafety Clearing-House;

12. *Decides* to review the implementation of the Biosafety Clearing-House at its second meeting and requests the Executive Secretary to submit a progress report to that meeting, with a view to developing a longer-term programme of work for the Biosafety Clearing-House.

ANNEX
MODALITIES OF OPERATION OF THE BIOSAFETY CLEARING-HOUSE

A. Role of the Biosafety Clearing-House

1. The role of the Biosafety Clearing-House in the provision and exchange of information in support of implementation of the Protocol, is clearly articulated in the Protocol. At a minimum, the Biosafety Clearing-House has a role in providing access to information relating to:

(a) Existing national legislation, regulations and guidelines for implementing the Protocol, as well as information required by Parties for the advance informed agreement procedure (Article 20, paragraph 3(a));

(b) National laws, regulations and guidelines applicable to the import of LMOs intended for direct use as food or feed, or for processing (Article 11, paragraph 5);

(c) Bilateral, multilateral and regional agreements and arrangements (Articles 14, paragraph 2 and 20 paragraph 3(b));

(d) Contact details for competent national authorities (Articles 19.2 and 19.3), national focal points (Articles 19, paragraph 1 and 19, paragraph 3), and emergency contacts (Article 17, paragraph 3(e));

(e) Reports submitted by the Parties on the operation of the Protocol (Article 20 paragraph 3(e));

(f) Decisions by a Party on regulating the transit of specific living modified organisms (LMOs)(Article 6 paragraph 1);

(g) Occurrence of unintentional transboundary movements that are likely to have significant adverse effects on biological diversity (Article 17, paragraph 1);

(h) Illegal transboundary movements of LMOs (Article 25, paragraph 3);

(i) Final decisions regarding the importation or release of LMOs (i.e. approval or prohibition, any conditions, requests for further information, extensions granted, reasons for decision) (Article 10, paragraph 3 and Article 20, paragraph 3(d));

(j) Information on the application of domestic regulations to specific imports of LMOs (Article 14, paragraph 4);

(k) Final decisions regarding the domestic use of LMOs that may be subject to transboundary movement for direct use as food or feed, or for processing (Article 11, paragraph 1);

(l) Final decisions regarding the import of LMOs intended for direct use as food or feed, or for processing that are taken under domestic regulatory frameworks (Article 11, paragraph 4) or in accordance with annex III (Article 11, paragraph 6) (requirement of Article 20, paragraph 3(d));

(m) Declarations regarding the framework to be used for LMOs intended for direct use as food or feed, or for processing (Article 11, paragraph 6);

(n) Review and change of decisions regarding intentional transboundary movements of LMOs (Article 12, paragraph 1);

(o) LMOs granted exemption status by each Party (Article 13, paragraph 1);

(p) Cases where intentional transboundary movement may take place at the same time as the movement is notified to the Party of import (Article 13, paragraph 1); and

(q) Summaries of risk assessments or environmental reviews of LMOs generated by regulatory processes and relevant information regarding products thereof (Article 20, paragraph 3(c)).

B. Characteristics of the Biosafety Clearing-House

2. The Biosafety Clearing-House shall be developed in a manner consistent with the following characteristics:

(a) Guided by the principles of inclusiveness, transparency and equity, and open to all Governments;

(b) Making use of a central portal to assist in the use and navigation of the Biosafety Clearing-House Website;

(c) Containing a central database for making information available through the Biosafety Clearing-House, that stores, at a minimum, information from countries without a national database, as well as incorporating information provided by interoperable information-exchange systems;

(d) Providing access to information to assist countries in capacity-building for implementation of the Protocol, as well as providing support to the Coordination Mechanism for the Action Plan for Building Capacities for the Effective Implementation of the Protocol (which includes databases on capacity-building activities; identified national needs and priorities), established pursuant to decision BS-I/5;

(e) Providing access to the roster of experts on biosafety established by decision EM-I/3, paragraph 14, of the Convention of the Parties;

(f) As a decentralized mechanism where appropriate, making use of the Internet as a delivery mechanism, as well as other mechanisms to ensure the participation of Parties without Internet access;

(g) Making use of common formats to report information, such as decision information, laws and regulations, and national contact details, using a modular data structure where possible*;*

(h) Making use, where appropriate, of a controlled vocabulary to describe records, which can be translated into the official United Nations languages, to facilitate the ability to search for records in all languages;

(i) Making use of metadata about each record (i.e., descriptive identifiers such as name, date, author, etc.), to facilitate the submissions, searching, location and retrieval of information;

(j) Making use of existing unique identification systems for living modified organisms, as appropriate, to facilitate searching and retrieval of information;

(k) Facilitating navigation of the central portal Website in all official United Nations languages;

(l) Requiring that all information be submitted to the Biosafety Clearing-House in an official language of the United Nations, while recognizing that full information sources and documents that are linked to records from the Biosafety Clearing-House may be available only in a language of the submitting Government and not in an official language of the United Nations;

(m) Encouraging Parties and other Governments to also provide courtesy translations of information in the Biosafety Clearing-House into one or more languages that are commonly used internationally, in order to minimize the burden of translation;

(n) Not including confidential data as such information shall be exchanged on a bilateral basis;

(o) Building up its functions and activities in response to clear and identified demand, and based on further experience and available resources;

(p) In close cooperation with relevant international organizations to maximize use of existing experience and expertise; and

(q) Enhancing networking between national, regional, sub-regional and international centres with relevant expertise, as well as non-governmental organizations and the private sector, to maximize use of existing experience and to minimize any duplication of work.

C. Administration of the Biosafety Clearing-House

3. The Secretariat of the Convention shall administer the central portal of the Biosafety Clearing-House. These functions will include:

(a) Developing and maintaining the central portal and central databases to ensure the Biosafety Clearing-House is accessible, user-friendly, searchable, and understandable;

(b) Identifying, reviewing and establishing, as necessary, common formats for reporting information to the Biosafety Clearing-House;

(c) Providing hard copies of information available through the Biosafety Clearing-House, as and when requested by Parties;

(d) Assisting governments, on request, in the use of the Biosafety Clearing-House central portal, and coordinating the development of national, regional, sub-regional and institutional nodes that are interlinked with the central portal;

(e) Entering into administrative arrangements with relevant international, regional, sub-regional and national organizations and entities, as appropriate; and

(f) Performing such other administrative functions as are directed by the Conference of the Parties serving as the meeting of the Parties to the Protocol in other decisions.

D. Role of the Biosafety Clearing-House focal points

4. National focal points (or, where appropriate, Institutional Focal Points) for the Biosafety Clearing-House shall be nominated to liaise with the Secretariat regarding issues of relevance to the development and implementation of the Biosafety Clearing-House, whose functions shall include the following roles and responsibilities:

(a) Active clearance for publishing information registered on the Biosafety Clearing-House, including validation at a national level of records to make them publicly available through the central portal;

(b) Liaison with the Secretariat regarding the technical aspects of national participation in the Biosafety Clearing-House, as well as provision of advice on further technical development including, *inter alia*, suggestions for improve-

ments to the layout and system specifications of the central portal and central databases; and

(c) Facilitation of the development of a network of multi-sectoral and interdisciplinary partners, as appropriate in the implementation process of the Biosafety Clearing-House.

E. Technical oversight and advice

5. The Secretariat may seek assistance from an informal advisory committee, constituted and coordinated by the Executive Secretary in a transparent manner, with a particular focus on providing guidance with respect to resolution of technical issues associated with the ongoing development of the Biosafety Clearing-House.

F. Obligations of partner organizations

6. Relevant international, regional, sub-regional and national organizations and entities willing to offer their cooperation as active partners in the operation of the Biosafety Clearing-House shall follow specific interoperability guidelines for information-sharing, to be prepared by the Secretariat for this purpose. Where partner institutions are hosting information that is required by the Protocol to be made available to the Biosafety Clearing-House, the following minimum standards will apply:

(a) Nomination of an institutional focal point in the partner organization, responsible for liaison with the Secretariat;

(b) Written confirmation by the relevant Party or Government that responsibility for provision of this information has been conveyed to the institution in question;

(c) Guaranteed maintenance of their information-exchange system, as well as provision of 24 hour/7 day a week availability and open access to the required information;

(d) If these standards cannot be maintained, or if a partner does not wish to continue to provide information to the Biosafety Clearing-House, all data or information subject to this partnership shall be transferred to the central databases maintained by the Secretariat.

G. Reports on activities

7. Once a year, the Quarterly Report prepared by the Secretariat shall include information on the operation of the Biosafety Clearing-House, including information such as the number of and regional distribution of national focal points; the number of records available through the Biosafety Clearing-House; and partnership arrangements that have been entered into. These reports shall also be made available through the Biosafety Clearing-House itself.

8. In addition, Parties and other users of the Biosafety Clearing-House are encouraged to provide the Secretariat with feedback on their experiences with its operation. Such feedback shall be made available to the Conference of the Parties

serving as the meeting of the Parties, and may serve as a basis for further development of the Biosafety Clearing-House.

H. Periodic review

9. The implementation and operation of the Biosafety Clearing-House shall be subject to periodic review, which should aim to include consultation with a wide variety of countries and participating organizations. The first review should be undertaken by the second meeting of the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol, with a view to developing a longer-term programme of work. Periodic reviews should then take place in accordance with Article 35 of the Protocol.

DECISION BS-I/4 | Capacity-building (Roster of experts)

The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety

I. Status and Implementation of the Roster of Experts on Biosafety

1. *Adopts* the Interim Guidelines for the Roster of Experts on Biosafety, contained in annex I to the present decision;

2. *Invites* Parties and Governments to use the Interim Guidelines for the Roster of Experts on Biosafety;

3. *Urges* Parties and Governments that have not yet done so to submit nominations of experts to the Secretariat in accordance with the Interim Guidelines for the Roster of Experts on Biosafety, using the nomination form provided via the Biosafety Clearing-House and reproduced in appendix 1 of annex I to the present decision;

4. *Recognizing* that the roster of experts will be most useful if there is sufficient detail to discern the particular areas of knowledge and specialization for each expert, *urges* Governments to update, or to request their nominated experts to update, the information currently contained in the roster, for each field of the nomination form;

5. *Requests* the Executive Secretary, as the administrator of the roster, to implement the functions specified in the Interim Guidelines for the Roster of Experts on Biosafety;

6. *Requests* the Executive Secretary to report to the second meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol on the status of the use of the roster of experts on biosafety, with a view to monitoring the regional balance in the use of experts.

II. Pilot Phase of the Voluntary Fund for the Roster of Experts on Biosafety

Reaffirming the important role to be played by the voluntary fund in supporting developing country Parties, in particular the least developed and small island developing States among them, and Parties with economies in transition, to pay for the use of experts selected from the roster,

Noting and welcoming the decision of the Conference of the Parties, at its sixth meeting, to establish, pursuant to paragraphs 6 and 7, of recommendation 2/9 B of the Intergovernmental Committee for the Cartagena Protocol on Biosafety, and on a pilot-phase basis, a trust fund, to be administered by the Secretariat, for voluntary contributions from Parties and Governments for the specific purpose of supporting developing country Parties, in particular the least developed and the small island developing States among them, and Parties with economies in transition to pay for the use of experts selected from the roster of experts on biosafety,

7. *Adopts* the Interim Guidelines for the Pilot Phase of the Voluntary Fund for the Roster of Experts on Biosafety, as contained in annex II to the present decision;

8. *Invites* Parties and Governments to use the Interim Guidelines for the Pilot Phase of the Voluntary Fund for the Roster of Experts on Biosafety;

9. *Requests* the Executive Secretary to administer the pilot phase of the Voluntary Fund according to the Interim Guidelines for the Pilot Phase of the Voluntary Fund for the Roster of Experts on Biosafety;

10. *Decides* that the pilot phase of the Voluntary Fund for the Roster of Experts on Biosafety shall last for a period of four years and *requests* the Executive Secretary on its completion to provide the Conference of the Parties serving as the meeting of the Parties to the Protocol with an evaluation of its performance along with recommendations for any necessary future action;

11. *Urges* Governments and other donors to make contributions to the pilot phase of the voluntary fund for the roster of experts;

12. *Invites* the financial mechanism for the Protocol to assess whether it can have a role to play in the roster of experts.

ANNEX I
INTERIM GUIDELINES FOR THE ROSTER OF EXPERTS ON BIOSAFETY

A. Mandate of the roster

1. The mandate of the roster of experts shall be to provide advice and other support, as appropriate and upon request, to developing country Parties, in particular the least developed and small island developing States among them, and Parties with economies in transition, to conduct risk assessment, make informed decisions, develop national human resources and promote institutional strengthening, associated with the transboundary movements of LMOs. Moreover, the roster of experts should perform all other functions assigned to it by the Conference

of the Parties serving as the meeting of the Parties to the Protocol in the future, in particular in the fields of capacity-building.

2. The roster of experts is an instrument to build capacities and to aid developing country Parties, in particular the least developed and small island developing States among them, and Parties with economies in transition until adequate capacities have been built.

B. Administration of the roster

The Secretariat of the Convention/Protocol shall administer the roster. These functions will include:

(a) Establishing and reviewing, as necessary, the nomination form;

(b) Maintaining an appropriate electronic database to allow easy access to the roster;

(c) Maintaining a paper copy, updated at least once a year, of the roster;

(d) Advising the Parties on coverage of all areas of expertise available through the roster, and on regional and gender balances on the roster from time to time;

(e) Assisting Parties, on request, in identifying appropriate experts; and

(f) Performing such other administrative functions as are set out in these Guidelines or as directed by the Conference of the Parties to the Convention serving as the meeting of the Parties to the Protocol in other decisions;

(g) Verifying the availability of experts as necessary.

C. Access to the roster

Access to the roster should be maintained through the Biosafety Clearing-House (via the Internet or non-electronic means). The Secretariat will publish once a year a written version of the roster for distribution to each Party, along with a description of how the different Internet search fields can be used to aid Parties to identify needed expertise. A Party may request any updated version in between these publications.

D. Membership on the roster of experts

1. NOMINATION OF MEMBERS

1. Roster members shall be nominated by Governments. Governments are responsible for ensuring that nominees possess the highest professional qualities and expertise in the fields for which they are nominated. Parties should consult with relevant stakeholders and seek interested individuals including from national and subnational governments, research and academic institutions, industry and nongovernmental organizations for the purpose of providing balanced, high-quality nominations.

2. The Parties are encouraged to consider retired experts with accumulated knowledge and experience, and with no current institutional affiliations, as potential nominees.

2. MECHANISM FOR NOMINATION

1. The nomination form attached to these guidelines as appendix 1 shall be used for all nominations. Electronic submissions of the form are encouraged. Nominating Governments should ensure the accuracy of the information submitted on all nomination forms. The Executive Secretary will undertake a review of the roster of experts nomination form with input from Governments and, in particular, to review the categories of expertise.

2. Governments shall endeavour to keep their nominations to the roster of experts up-to-date. Parties shall use their national reports to the Cartagena Protocol on Biosafety to confirm their nominations and, if necessary, update information of individual experts. Non-Parties are invited to confirm and update information with the same periodicity.

3. MAXIMUM NUMBER OF NOMINATIONS

Each Government is recommended not to nominate more than 50 experts, and not more than five experts per area of specialization (as this term is used in the nomination form) may be nominated.

4. BALANCED REPRESENTATION

1. All Governments are encouraged to nominate experts and to encourage regional balance in the roster. Governments should utilize regional centres of excellence in developing countries, in particular the least developed and small island developing States among them, and countries with economies in transitions, as sources for the nomination of experts. The Secretariat will ensure that the roster database allows for a regional breakdown of roster members as a primary "filter" in searching the list of members.

2. Governments are encouraged to promote gender balance in their nominations, as well as ensure appropriate expertise for assessments with respect to Article 26 of the Cartagena Protocol.

3. The Executive Secretary shall report annually to the Parties on the sectoral, regional and gender balances in the roster.

5. REQUIRED INFORMATION ON EXPERTS

Information required for each nominee is set out in the nomination form. The Secretariat shall ensure each form is complete prior to listing a nominee on the roster.

6. INSTITUTIONS

Involving experts from existing and independent institutions with relevant expertise in biosafety would allow access to a wide base of multidisciplinary knowledge.

Therefore, experts are invited to indicate in the nomination form whether they are members of any institution.

E. Scope of expertise required

1. The areas of expertise required for members of the roster are identified on the nomination form in appendix 1.

2. The areas of expert advice and support that may be provided through the roster are set out in the indicative list contained in appendix 2 to these guidelines.

F. Choice of experts for assignments

1. CHOICE BY REQUESTING PARTY

The choice of experts for any given assignment is to be made by the requesting Party.

2. ASSISTANCE BY SECRETARIAT

When requested by a Party seeking an expert, the Secretariat shall provide assistance to the Party to identify experts listed in the specific area(s) of expertise in the roster. Where feasible, the Secretariat should include a list of potential experts that reflects regional and gender participation.

3. SECRETARIAT FACILITATING INITIAL CONTACT

The Secretariat may facilitate the initial contact of a Party seeking assistance with any expert on the roster. When direct contact is made by a Party to an expert, the Party should report the contact and its result to the Secretariat in order to ensure that full records on the operations of the roster can be maintained.

G. Obligations of individuals on the roster

1. ENSURING COMPLETE AND ACCURATE INFORMATION ON NOMINATION FORMS

Experts are responsible to ensure that the information on their nomination form is complete and accurate.

2. AGREEMENT TO RELEASE NOMINATION FORM INFORMATION TO THE PUBLIC

All information on the nomination form should normally be made available to the public, including on the Biosafety Clearing-House, after a nomination is completed. However, a roster member may request the non-disclosure of direct contact information (telephone, address, fax and e-mail) if she or he chooses.

3. ACCEPTANCE OR REFUSAL OF A REQUEST FOR ASSISTANCE/ADVICE

Members of the roster may accept or reject any proposed assignment.

4. DECLINING TO ACT IF THERE IS A REAL OR PERCEIVED CONFLICT OF INTEREST

1. Experts should decline any assignment where an assignment may raise a real or perceived conflict of interest. Prior to undertaking any assignment through the roster, or to being put forward on a secretariat shortlist, each roster member will complete a conflict of interest declaration, indicating if they have any personal, institutional or other professional interests or arrangements that would create a conflict of interest or that a reasonable person might perceive creates a conflict.

2. If the declaration raises concerns, the Secretariat or Party concerned may seek further information from the expert. If legitimate concerns remain, it is recommended that any judgments as to whether a conflict exists should err on the side of caution, consistent with maintaining the highest level of credibility of the roster process.

5. ACTING IN A PERSONAL CAPACITY

Each expert shall act solely in their personal capacity, regardless of any other governmental, industry, organizational or academic affiliation.

6. EXHIBITING HIGHEST PROFESSIONAL STANDARDS

Any expert carrying out an assignment is expected to comply with all applicable professional standards in an objective and neutral way, and to exhibit a high degree of professional conduct in undertaking an assignment. These standards should extend to any discussions that assist a Party in choosing an expert. Experts are expected to perform their duties in a timely manner.

7. CONTRIBUTING TO TRAINING OF LOCAL PERSONNEL WHEN POSSIBLE

Experts may be asked, when appropriate, to contribute to on-the-ground-training and capacity-building of local personnel as part of their assignment.

8. CONFIDENTIALITY AND TRANSPARENCY

1. Unless otherwise authorized by the requesting Party concerned, experts on the roster undertaking assignments shall not divulge confidential information obtained through or as a result of performing their duties. Confidentiality should be as stipulated in the agreement between the Party and the expert.

2. The final written advice of the expert shall be made available through the Biosafety Clearing-House, respecting confidential information.

9. SETTING CLEAR EXPECTATIONS

It is the responsibility of the Party and the expert to ensure that the expectations and terms of reference of the Party are clear, and that these have been understood by the expert.

10. SUBMITTING A REPORT

Brief reports should be prepared by the expert following completion of the assignment, including overall assessment of the process, the results achieved and con-

straints encountered, as well as suggestions that might be considered for future assignments.

H. Payment of roster members

1. *PRO BONO* ASSIGNMENTS

Any expert may choose to undertake an assignment on a *pro bono* basis. The same principles relating to conflict of interest, acting in a personal capacity, and other obligations under section G would apply to such *pro bono* assignments.

2. SECONDMENT

Any organization may permit experts affiliated with it to undertake an assignment as a secondment from their usual duties. Transparent and full disclosure of any such arrangements should be made. No Government or institution is obligated to cover any or all of the cost of a nominated expert.

3. PAYMENTS FIXED BY CONTRACT WITH REQUESTING PARTY

Legal arrangements for fees and/or expenses associated with an assignment should be addressed in contractual agreements between the Party and the expert in question.

I. Liability

Decisions taken by the requesting Party on the basis of advice provided will be the sole responsibility of the Party.

1. LIABILITY OF NOMINATING PARTY

Nominating Governments shall not be liable for the personal conduct, inputs or results arising from or connected with the work of an expert it has nominated.

2. LIABILITY OF THE SECRETARIAT

The Secretariat shall not be liable for, or subject to any legal process arising from or connected with, the use or advice of an expert from the roster.

3. LIABILITY OF EXPERTS

Liability of the expert and the applicable law should be addressed in the contract between the Party seeking assistance and the expert.

J. Reports

1. Parties are encouraged to provide the Secretariat with an evaluation of the advice or other support provided by experts and the results achieved. Such evaluations should be made available through the Biosafety Clearing-House.

2. Once a year, the Quarterly Report prepared by the Secretariat will include a section on the operation of the roster, which should include factual information on the number of experts on the roster, regional, gender, discipline breakdowns of the roster, direct contacts initiated by Parties and their results or contacts facilitated by the Secretariat and their results, including the individual experts contracted by each requesting Party, a note on the topic and description of the assignment, results of the work undertaken and the availability of written products. These reports should be made available through the Biosafety Clearing-House.

K. Periodic review

The operation of the roster should be subject to independent periodic review. The first review should take place in two years. Periodic reviews should then take place in accordance with Article 35 of the Protocol. These periodic reviews should be broad-based, looking at appropriate balances in the roster membership, its uses, successes, failures, quality control of roster assignments, the need for additional advisory services in administering the roster, and other possible recommendations for revisions to the mandate or these rules of procedure to respond to the findings.

Appendix 1
Nomination Form for the Biosafety Roster of Experts

EXPERT INFORMATION

Please provide full names rather than only acronyms or initials

Title: ☐ Ms. ☐ Mr. ☐ Other: _____
☐ Professor ☐ Dr.

Name:

Employer/Organization:

Job Title:

Address:

Telephone: Fax:

Email: Web Site:

Year of Birth: Gender: ☐ Male ☐ Female

Nationality:

DETAILS OF CURRENT EMPLOYMENT

Start Date of Employment (year): _____

Organization Type:

☐ Industry ☐ Non-Governmental Organization (NGO)
☐ Academic ☐ Inter-Governmental Organization (IGO)
☐ Government ☐ Other: _____

Main Areas of Responsibility:

EDUCATION

Formal education and other qualifications:

EXPERTISE

This section allows you to specify your main expertise for contribution to the roster. Areas of expertise are organized under eight broad subheadings as follows:

1. Data Management and Information Sharing
2. Institutional Development
3. Legislation and Regulation
4. Public Awareness and Participation
5. Research and Development
6. Risk Assessment and Risk Management (including specification of organisms and traits)
7. Social and Economic Sciences
8. Teaching and Training

Please indicate only the particular subjects in which you have specialized expertise.

Data Management and Information-Sharing

- ☐ Database
- ☐ Environmental statistics
- ☐ Information exchange
- ☐ Information technology
- ☐ Information clearing-house
- ☐ Other: _____

Institutional Development

- ☐ Agricultural management
- ☐ Environmental management
- ☐ Human resources
- ☐ Infrastructure development
- ☐ Project administration
- ☐ Public health
- ☐ Resources management
- ☐ Other: _____

Legislation and Regulation

- ☐ Access and Benefit-sharing
- ☐ Biosafety regulation
- ☐ Intellectual property law
- ☐ International environmental law
- ☐ International trade law
- ☐ National environmental law
- ☐ National trade regulations
- ☐ Other: _____

Public Awareness and Participation

- ☐ Campaigning and advocacy
- ☐ Community participation
- ☐ Journalism
- ☐ Public information/communications

Research and Development

- ☐ Biotechnology product development
- ☐ Biotechnology research
- ☐ Other: _____

Risk Assessment and Risk Management

- ☐ Agricultural ecology
- ☐ Agriculture
- ☐ Alien invasive species
- ☐ Analytical detection methods
- ☐ Animal ecology
- ☐ Animal pathology
- ☐ Aquaculture
- ☐ Biochemistry

- ☐ Biotechnologies
- ☐ Botany
- ☐ Entomology
- ☐ Environmental impact assessment
- ☐ Epidemiology
- ☐ Evolutionary biology
- ☐ Food sciences
- ☐ Forestry ecology
- ☐ Genetic engineering
- ☐ Genetics of natural populations
- ☐ Human biology
- ☐ Indigenous knowledge
- ☐ Marine biology/ecology
- ☐ Microbial ecology
- ☐ Microbiology
- ☐ Molecular biology
- ☐ Mycology
- ☐ Pest management
- ☐ Plant pathology
- ☐ Plant physiology
- ☐ Population biology
- ☐ Risk assessment process design & application
- ☐ Soil biology
- ☐ Taxonomy
- ☐ Toxicology
- ☐ Virology
- ☐ Zoology
- ☐ Other: _____

Organisms:
(specify organisms for which you have expertise, indicating genus and species where possible)

_____

_____

Organism Traits: (specify organism traits for which you have expertise)

- ☐ Antibiotic resistance
- ☐ Bacterial resistance
- ☐ Fungus resistance
- ☐ Herbicide tolerance
- ☐ Insect resistance
- ☐ Marker genes
- ☐ Nematode resistance
- ☐ Product quality
- ☐ Virus resistance
- ☐ Other: _____

Social and Economic Sciences

- ☐ Agricultural economics
- ☐ Bioethics
- ☐ Environmental economics
- ☐ Life cycle assessment
- ☐ Social sciences
- ☐ Socio-economic factors
- ☐ Sustainable development
- ☐ Technology assessment
- ☐ Other: _____

Teaching and Training

- ☐ Environmental education
- ☐ Extension work
- ☐ Informal teaching (e.g., workshop facilitation)
- ☐ Other: _____

EMPLOYMENT HISTORY

Main Countries or Regions Worked:

Please give details of previous employment beginning with the most recent previous employer

PREVIOUS EMPLOYER 1

Name of the Employer/Organization:

Job Title: Duration of Time Employed:

Address:

Main Areas of Responsibility:

PREVIOUS EMPLOYER 2

Name of the Employer/Organization:

Job Title: Duration of Time Employed:

Address:

Main Areas of Responsibility:

PREVIOUS EMPLOYER 3

Name of the Employer/Organization:

Job Title: Duration of Time Employed:

Address:

Main Areas of Responsibility:

OTHER RELEVANT WORK EXPERIENCE (e.g., volunteer work experience)

Description:

Responsibilities:

Publications (Three most relevant publications)

1.

2.

3.

List of publications (please list complete citations of all peer-reviewed articles, books, book chapters, conference papers and other publications; you may send a file if the list is long)

Awards and Memberships (scientific awards, professional societies, honorary memberships, and membership in advisory committees/panels)

Knowledge of Languages

Mother Tongue:	☐ Arabic	☐ English	☐ Russian	☐ Chinese
	☐ French	☐ Spanish	☐ Other: _____	
Speak well:	☐ Arabic	☐ English	☐ Russian	☐ Chinese
	☐ French	☐ Spanish	☐ Other: _____	
Read well:	☐ Arabic	☐ English	☐ Russian	☐ Chinese
	☐ French	☐ Spanish	☐ Other: _____	
Write well:	☐ Arabic	☐ English	☐ Russian	☐ Chinese
	☐ French	☐ Spanish	☐ Other: _____	

References (Please give name and detailed contact information for key professional references)

Reference 1:

Reference 2:

Reference 3:

Any Other Relevant Information (Please list any other information relevant to your role as an expert)

CONFIRMATION AND AGREEMENT

I hereby confirm that the above information is correct and agree for its inclusion in the Roster of Experts on Biosafety under the Cartagena Protocol on Biosafety and the Convention on Biological Diversity. I have no objection to this information being made publicly available.

Signature: **Date:**

CONFIRMATION BY NOMINATING GOVERNMENT
This section must be completed by a National Focal Point

Government:

Name of Government Representative:

Focal Point Type:
- ☐ Cartagena Protocol on Biosafety National Focal Point
- ☐ Biosafety Clearing-House National Focal Point
- ☐ CBD National Focal Point

Signature: Date:

Appendix 2
Indicative List of Areas of Advice and Support for the Roster of Experts for Implementation of The Cartagena Protocol

INSTITUTION BUILDING

Needs assessment and biosafety framework planning

(a) Inventory of existing and anticipated biotechnology programmes and practices

(b) Capacity to develop present and future import/export data

(c) Accurate understanding of industry biotechnology practices in relevant sectors

(d) Capacity to compile and analyse existing legal and administrative biosafety regimes

(e) Multi-disciplinary strategic planning capacity

(f) Capacity to relate biosafety regime to other international obligations

Biosafety regime development

(a) Develop/strengthen legal and regulatory structures

(b) Develop/strengthen administrative processes to manage risk assessment and risk management

(c) Develop domestic/regional risk assessment capacity

(d) Capacity to administer notification, acknowledgement and decision response process

(e) Capacity to make and report decision on LMO import in required time frames

(f) Emergency notification and planning and response capacity

(g) Enforcement capacity at borders

Long-term regime-building/maintenance

(a) Capacity to monitor, review and report on the effectiveness of risk management programme, including legal, regulatory and administrative mechanisms

(b) Capacity to monitor longer-term environmental impacts, if any (based on current baselines)

(c) Establishment of environmental reporting systems

RISK ASSESSMENT

General risk assessment capacities

(a) Ability to coordinate multi-disciplinary analyses

(b) Enhancement of technological and institutional capacities for risk assessment

(c) Capacity to identify and access appropriate outside expertise

(d) Understanding of relevant bio-technology processes and applications

Science and socio-economic capacities

(a) Analyse risks to conservation and sustainable use of biodiversity

(b) Undertake life-cycle analysis

(c) Analyse risks to human health of effects on biodiversity

(d) Analyse ecosystem effects of living modified organism introduction

(e) Assess food security issues arising from risks to biodiversity

(f) Value and roles of biodiversity to local and indigenous communities

(g) Other socio-economic considerations related to biodiversity

(h) Enhancement of related scientific, technical capacities

Note: Specific types of scientific expertise required will vary from case to case, but broadly involve two areas:

- evaluation of genetic modifications
- evaluation of interactions with the receiving environment

RISK MANAGEMENT

General risk management capacities

(a) Understanding of application of risk management tools to different biotechnology sectors

Decision-making capacities

(a) Identification and quantification of risks, including through sound application of the precautionary approach

(b) Capacity to assess relative effectiveness of management options for import, handling and use, where appropriate

(c) Capacity to assess relative trade impacts of management options, where appropriate

(d) Impartial review of proposed management regime prior to decision-making

Implementation of decisions

(a) Identification and handling of living modified organisms at point of import and export

(b) Monitoring of environmental impacts against expected impacts

(c) Capacity to monitor, enforce and report on compliance

CROSS-CUTTING CAPACITIES

Data management and information-sharing

(a) Exchange of scientific, technical, environmental and legal information

(b) Collection, storage and analysis of scientific, regulatory and administrative data

(c) Communication to the Biosafety Clearing-House

Human resources strengthening and development

(a) All aspects of regime development, evaluation and maintenance for risk assessment and risk management

(b) Raising awareness of modern biotechnology and biosafety among scientists, government officials

(c) Training and longer-term education

(d) Procedures for safe handling, use and transfer of living modified organisms

Public awareness and participation

(a) Administer and disseminate information on legal and administrative framework

(b) Public awareness of/participation in scientific assessment process

(c) Risks associated with handling and use

Involvement of stakeholders e.g. non-governmental organizations, local communities, private sector

(a) Capacity to negotiate with and provide opportunity for private sector involvement

(b) Processes for community, NGO consultation in development of risk assessment and management regimes

(c) Processes for community, NGO consultation prior to decisions

Regional capacity development

(a) Scientific assessment of risk

(b) Harmonization of legal regimes

(c) Training of human resources

(d) Information sharing

ANNEX II
INTERIM GUIDELINES FOR THE PILOT PHASE OF THE VOLUNTARY FUND FOR THE ROSTER OF EXPERTS ON BIOSAFETY

A. Purpose of the pilot phase of the Voluntary Fund

The pilot phase of the Voluntary Fund for the Roster of Experts is hereby established to support developing country Parties, in particular the least developed and small island developing States among them, and Parties with economies in transition, to pay for the use of experts selected from the roster.

B. Financing of the pilot phase of the Voluntary Fund

The pilot phase of the Voluntary Fund shall be financed from voluntary contributions. Annually, the Executive Secretary shall seek contributions to the Voluntary Fund from Governments, governmental, intergovernmental and non-governmental organizations, and other sources with the financial ability to do so, in accordance with the Financial Rules of the Convention and the Financial Regulations and Rules of the United Nations.

C. General administration of the Voluntary Fund

1. The pilot phase of the Fund shall be administered by the Executive Secretary in accordance with the interim guidelines for the roster of experts on biosafety contained in annex 1 to the present decision, and in accordance with the Financial Rules of the Convention.

2. The Bureau of the Conference of the Parties to the Convention serving as the meeting of the Parties to the Protocol shall advise the Executive Secretary on administrative and operational matters relating to the activities of the pilot phase of the Voluntary Fund.

3. The Secretariat of the Convention on Biological Diversity shall receive voluntary contributions and, upon request and as agreed, distribute on a case-by-case basis, an agreed amount from the Voluntary Fund to eligible Parties in accordance with the eligibility criteria specified in section D below.

4. All administrative costs of the pilot phase of the Voluntary Fund shall be met by the Voluntary Fund. In accordance with the Financial Regulations and Rules of the United Nations, 13 percent of the total amount disbursed shall be levied to cover the administrative costs.

5. The Secretariat shall prepare reports on the status, operation and use of the pilot phase of the Voluntary Fund for consideration by each meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol, as well as allocation reports and financial statements in accordance with the Financial Rules of the Convention. These reports shall be made available through the Biosafety Clearing-House.

6. Once a year, the Secretariat will report in its Quarterly Report for the fourth quarter the status of the use of the pilot phase of the Voluntary Fund, listing the value, purpose, and timing of approved requests and completed assignments. A summary of use of the Voluntary Fund by region will also be included. This report will be in the same Quarterly Report as the report required on use of the roster itself, specified in section J, paragraph 2, of the interim guidelines for the roster of experts annexed to the present decision.

D. Eligibility criteria

The eligibility criteria are defined as follows:

(a) *Eligible countries:* Funding requests will only be considered from developing country Parties, in particular the least developed and small island developing States among them, and Parties with economies in transition;

(b) *Eligible activities:* Funding requests shall be related to the use of experts from the roster, for purposes defined by decision EM-I/3 and the interim guidelines for the roster of experts on biosafety, annexed to the present decision. These purposes include providing advice and support to Parties to conduct risk assessment, make informed decisions, develop national human resources, promote institutional strengthening, associated with transboundary movements of living modified organisms, or perform other functions approved by the Conference of the Parties serving as the meeting of the Parties to the Protocol in future, particularly in the field of capacity-building. The use of experts and their contributions should be complementary to, and not duplicate, the assistance provided through the financial mechanism;

(c) Eligible costs:

  (i) Eligible costs include professional fees, travel expenses, and other costs directly related to the use of experts. The pilot phase of the Voluntary Fund shall not be used to support broader activities or projects that comprise anything other than the use of experts;
  (ii) The general United Nations daily rate for professional fees for experts shall apply, as appropriate. In cases where the normal daily rate for an expert from a particular country exceeds the United Nations daily rate, higher rates may be approved.

(d) *Criteria for assessment of funding requests*: The requests made by the eligible Parties shall be assessed on the basis of the following criteria:

  (i) *Regional balance*: Preference shall be given to requests from Parties in regions where the Voluntary Fund has been underutilized;
  (ii) *Satisfactory compliance for previous grants*: Consideration of new funding requests shall be conditional upon satisfactory compliance with outstanding reporting requirements for previous grants to the same Party under the Voluntary Fund;
  (iii) *Timing of receipt of the request*: Requests will be assessed on a first-come-first-served basis. However, if the number and value of requests is high in relation to the funds available, the Bureau of Conference of the Parties serving as the meeting of the Parties to the Protocol may advise the Secretariat to gather all requests over a specified time period so that all can be assessed simultaneously;
  (iv) Any other criteria that may be approved by the Conference of the Parties serving as the meeting of the Parties to the Protocol.

(e) *Maximum amount per funding request*: Subject to the availability of funds, the maximum amount to be requested from the Fund shall not exceed US$ 20,000.00;

(f) *Maximum disbursement per Party per year*: The maximum amount to be disbursed from the Fund to any one Party shall not exceed US$ 50,000.00 in a calendar year.

E. Procedures for application, processing of requests, disbursement of funds, and reporting

The following shall be the steps related to application for funding by Parties, processing of requests, disbursement of funds, and reporting:

(a) Funding requests from eligible Parties shall be endorsed by the competent national authority and submitted by the national focal point to the Executive Secretary. Each funding request shall be prepared using the attached funding request form (appendix A), and shall be submitted to the Secretariat at least 60 days prior to the intended date on which the assignment is to commence;

(b) The Secretariat shall acknowledge receipt of the funding application within two weeks of receipt of a completed funding request form;

(c) The funding request shall be evaluated by the Secretariat, in consultation with the Bureau of the Conference of the Parties serving as the meeting of the Parties to the Protocol, according to the eligibility criteria defined in section D above, and a decision on the request shall be communicated within 30 days of receipt of the application;

(d) If funding is approved, the Secretariat shall prepare a memorandum of understanding, based on the template attached as appendix B, which specifies the purpose and extent of the assignment to be undertaken, the date of completion for the assignment, the reporting requirements and the obligations of the recipient Party regarding the use of the funds. This memorandum of understanding shall be signed by the Secretariat and delivered to the recipient Party for signature within 30 days of receipt of the application;

(e) The recipient Party shall return the signed memorandum of understanding to the Secretariat within 30 days;

(f) The Secretariat shall disburse 50 per cent of the approved funds, to the bank account nominated by the Party, within 30 days of receiving the signed memorandum of understanding from the recipient Party;

(g) Each recipient Party shall be required to submit to the Executive Secretary a copy of the final report of the expert(s), immediately upon completion of the assignment but not later than three months after completion of the assignment, and to report on the assignment using the reporting form attached as appendix C;

(h) Upon receipt of the final experts report from the recipient Party, the Secretariat shall transfer the outstanding balance;

(i) The Secretariat shall make all submitted reports on assignments available through the Biosafety Clearing-House.

Source: Indicative Framework for Capacity-Building under the Cartagena Protocol on Biosafety (UNEP/CBD/ICCP/1/4).

Appendix A
Request for Funding from the Pilot Phase of the Voluntary Fund for the Roster of Experts on Biosafety

Requesting Party:

Name(s) and organization(s) of expert(s):

Purpose of assignment:

Specific activities of the assignment:

Start date: End date:

EXPECTED COSTS (US $) (attach more details if necessary)

ITEM	RATE AND # UNITS	TOTAL
Professional fees[1]	days @ $ /day	
Travel		
Accommodation & subsistence[2]	nights @ $ /night	
Other (specify):		
Other (specify):		
	TOTAL	

1 STANDARD UN RATES SHOULD BE USED; OTHER RATES MUST BE JUSTIFIED AND ARE SUBJECT TO APPROVAL BY THE EXECUTIVE SECRETARY
2 STANDARD UN RATES WILL APPLY

Representative of Competent National Authority

Name: Organization:

Signature: Date:

National Focal Point

Name:

Signature: Date:

Appendix B
Memorandum of Understanding for Support from the Pilot Phase of the Voluntary Fund for the Roster of Experts on Biosafety

1. This Memorandum of Understanding is made between The Secretariat of the Convention on Biological Diversity (the Secretariat), and Agency: _____, of Country: _____ (the Recipient), which is the competent national authority with respect to implementation of the decisions of the Conference of the Parties serving as the meeting of the Parties to the Protocol.

2. This memorandum of understanding addresses the responsibilities of both the Secretariat and the Recipient regarding the use of the pilot phase of the Voluntary Fund for the Roster of Experts on Biosafety to fund the use of the following expert(s) for the following period:

   Name(s) and organization(s) of expert(s): _____

   Start date: _____ End date: _____

3. The attached request for funding specifies additional details including the purpose of the assignment, the specific activities of the assignment, and the costs and value of the request.

4. The Secretariat agrees to fulfil its obligations with respect to the modalities for application, processing of requests, disbursement of funds, and reporting as specified in the interim guidelines for the pilot phase of the Voluntary Fund for the Roster of Experts on Biosafety.

5. The Recipient agrees to fulfil its obligations with respect to the modalities for application, processing of requests, disbursement of funds, and reporting as specified in the interim guidelines for the pilot phase of the Voluntary Fund for the Roster of Experts on Biosafety.

6. It is the responsibility of the Recipient, in discussion with the expert, to ensure that the expectations and terms of reference of the Party are clear, that these have been understood by the expert, and provided in written form to the expert at the outset of the assignment.

7. Specific conditions agreed to for this memorandum of understanding are the following:

SIGNATURES

For the Secretariat

Name: Signature: Date:

For the Recipient

Name: Signature: Date:

Bank account details for transfer of funds:

Bank name: Branch ID/Number:

Swift/Sort code:

Complete mailing and street address:

Account holder: Account number:

Currency:

Appendix C
Reporting Form for Work Supported by the Pilot Phase of the Voluntary Fund for the Roster of Experts on Biosafety

Party:

Competent National Authority:

A. SPECIFICATIONS OF THE ASSIGNMENT

Name(s) and organization(s) of expert(s):

Purpose of assignment:

Specific activities of the assignment:

Start date: End date:

B. ASSESSMENT

Is the final report(s) of the work of the expert(s) attached? ☐ Yes ☐ No

Was the work finished in the time specified? If no, why not?

Did the work and associated products fulfil the purpose of the assignment? If no, why not?

Please report on the quality and standard of work performed by the expert(s).

C. SIGNATURES

Representative of Competent National Authority

Name: Organization:

Signature: Date:

National Focal Point

Name: Signature: Date:

DECISION BS-I/5 | Capacity-building

The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety,

Welcoming the preparatory work and the recommendations by the Intergovernmental Committee for the Cartagena Protocol on Biosafety (ICCP) on the issue of capacity-building as well as the documents prepared by the Executive Secretary,

Recognizing the urgent need to address the critical capacity-building requirements of developing country Parties, in particular the least developed and the small island developing States among them, and Parties with economies in transition, including countries amongst these that are centres of origin and centres of genetic diversity, for effective implementation of the Protocol,

Recognizing also the relationship between capacity-building and the ability of developing country Parties, in particular the least developed and the small island developing States among them, and Parties with economies in transition to comply with the provisions of the Protocol,

Taking note of the capacity-building needs and priorities with regard to the Biosafety Clearing-House submitted by Parties and other Governments,

Emphasizing the importance of ensuring that capacity-building initiatives are demand-driven and responding to the needs and priorities identified by the recipient countries;

Welcoming the biosafety capacity-building initiatives already supported by the Global Environment Facility and its implementing agencies and by bilateral development agencies and other organizations;

Taking note of decision VI/17 of the Conference of the Parties, requesting the Global Environment Facility to provide financial resources for national capacity-building in biosafety, in particular for enabling effective participation in the Biosafety Clearing-House and in the implementation of the Action Plan for Building Capacities for the Effective Implementation of the Cartagena Protocol on Biosafety;

Taking note also of the initial gap analysis by the Executive Secretary of the capacity-building initiatives and the capacity-building needs and priorities submitted to the Biosafety Clearing-House by Parties and Governments as an important step in identifying areas where further efforts would be needed;

Emphasizing the importance for Parties and other Governments to develop and implement concrete and mutually supportive capacity-building activities;

Emphasizing also the need for a coordinated approach towards capacity-building at all levels in order to develop possible synergies and promote partnerships among different capacity-building efforts and funding initiatives for the effective implementation of the Protocol,

Welcoming the initial activities undertaken by the Executive Secretary to facilitate and promote coordination of existing capacity-building initiatives in biosafety,

Action Plan for Building Capacities for Effective Implementation of the Protocol

1. *Adopts* the Action Plan for Building Capacities for the Effective Implementation of the Cartagena Protocol on Biosafety endorsed by the ICCP, as contained in annex I to the present decision;

2. *Invites* Parties, other Governments, international and regional organizations, non-governmental organizations, private sector and scientific organizations and other relevant bodies to support the effective implementation of the Action Plan, taking into account the potential roles as contained in annex II to the present decision, of different entities in facilitating capacity-building, and recognizing the need for synergies between the capacity-building activities of the private sector and civil society and national programmes and priorities;

3. *Welcomes* the progress made in implementing the Action Plan, summarized in the note by the Executive Secretary on capacity-building (UNEP/CBD/BS/COP-MOP/1/6), and *invites* Parties, other Governments and relevant organizations to take further measures towards its effective implementation;

4. *Takes note* of the gaps in the implementation of the Action Plan identified in the initial analysis in the note by the Executive Secretary (UNEP/CBD/BS/COP-MOP/1/6), and invites Parties, other Governments and relevant organizations to take collaborative actions to address those gaps;

5. *Decides* to undertake a comprehensive review and possible revision of the Action Plan and at its third meeting, on the basis of the progress report to be prepared by the Executive Secretary and also on the basis of the capacity needs and priorities submitted by Parties and other Governments and decides to, at the same time, review the guidance to the financial mechanism with a view to updating it, as appropriate*;*

6. *Invites* Parties and other Governments that have not yet submitted their capacity-building needs and priorities to the Biosafety Clearing-House to do so as soon as possible;

7. *Urges* Parties and other governments to review their needs and priorities periodically and update their records in the Biosafety Clearing-House accordingly;

8. *Encourages* Parties and other Governments to develop national strategic plans and programmes to address their identified needs and priorities;

9. *Invites* Parties, other Governments and relevant organizations in a position to provide assistance to developing country Parties, in particular the least developed and the small island developing States among them, and Parties with economies in transition to, as an initial step, review the information on the needs and priorities submitted by those countries to the Biosafety Clearing-House when developing assistance programmes;

10. *Urges* Parties, other Governments and relevant organizations to register in the Biosafety Clearing-House relevant information on their existing biosafety capacity-building initiatives, including reports on the achievements, lessons learned and

opportunities for cooperation as well as suggestions on how to enhance capacity building for the effective implementation of the Protocol;

11. *Invites* Parties, other Governments and organizations to use, as appropriate, the implementation tool kit contained in annex III to the present decision;

12. *Invites* developed country Parties, Governments, the Global Environment Facility, other donor agencies and relevant organizations to provide financial support and other assistance to developing country Parties, in particular the least developed and the small island developing States among them, and Parties with economies in transition, including countries amongst these that are centres of origin and centres of genetic diversity, to develop and implement capacity-building activities, including organization of national, regional and inter-regional capacity building workshops and preparatory meetings;

13. *Welcomes* the support already provided by the Global Environment Facility for demonstration projects on implementation of the national biosafety frameworks and *invites* the Global Environment Facility to extend such support to other eligible countries;

14. *Urges* the Global Environment Facility to ensure a rapid implementation of its initial strategy for assisting countries to prepare for the ratification and implementation of the Protocol, and to support capacity-building for the establishment of national components of the Biosafety Clearing-House in a flexible manner, and to provide additional support for the development and/or strengthening of existing national and regional centres for training; regulatory institutions; risk assessment and risk management; infrastructure for the detection, testing, identification and long-term monitoring of living modified organisms; legal advice; decision-making; handling of socio-economic considerations; awareness-raising and technology transfer for biosafety;

15. *Requests* the Executive Secretary to prepare a progress report on the implementation of the Action Plan, on the basis of the submissions from Parties, other Governments and relevant organizations, for consideration at its third meeting;

16. *Requests also* the Executive Secretary to compile, on the basis of the information submitted by Parties and other Governments to the Biosafety Clearing-House, a summary report on the capacity needs and priorities for consideration by the Conference of the Parties serving as the meeting of the Parties to the Protocol at its regular meetings, and make it available to donor Governments and relevant organizations, as appropriate;

17. *Welcomes* the Outreach Strategy for the Cartagena Protocol on Biosafety developed by the Executive Secretary and *requests* the Executive Secretary to advance its implementation with the view to promoting broader awareness of the Protocol and fostering the active participation and support of a broad range of stakeholders in the implementation of the Protocol.

Coordination Mechanism

18. *Adopts* the Coordination Mechanism for the implementation of the Action Plan for Building Capacities for the Effective Implementation of the Cartagena Protocol on Biosafety, contained in annex IV to the present decision;

19. *Invites* Parties, other Governments and relevant organizations to provide financial contributions and other support to facilitate the implementation of the Coordination Mechanism;

20. *Urges* Parties, Governments and relevant organizations to register and update information on their biosafety capacity-building activities in the Biosafety Clearing-House, including capacity-building projects, opportunities, and other relevant information;

21. *Welcomes* the generous offer by the Government of Switzerland to sponsor a coordination meeting for representatives of academic and research institutions actively involved in education, training and research programmes in biotechnology and biosafety in the automn of 2004;

22. *Invites* Parties, other Governments and relevant organizations to actively participate in and to support the implementation of the Coordination Mechanism and to share their expertise and resource materials through the Mechanism;

23. *Urges* Parties, other Governments and relevant organizations to establish or strengthen, as appropriate, corresponding national or regional-level coordination mechanism in order to promote synergies between existing capacity-building initiatives;

24. *Requests* the Executive Secretary to discharge, in a phased manner and within existing resources, the functions specified in the annex IV to the present decision in collaboration with other relevant agencies, to implement the Coordination Mechanism;

25. *Requests* the Executive Secretary to prepare a report on the progress made, and lessons learned, in implementing the Coordination Mechanism for consideration by the second meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol.

Indicators for monitoring implementation of the Action Plan

26. *Takes note* of the preliminary set of criteria and indicators for monitoring implementation of the Action Plan, contained in the annex V to the present decision;

27. *Invites* Parties, other Governments, and relevant organizations to use, as appropriate, the indicators referred to in the paragraph 26 above to monitor their biosafety capacity-building initiatives being implemented in support of the Action Plan;

28. *Invites* Parties, other Governments, and relevant organizations to submit to the Executive Secretary, and to share through the Biosafety Clearing-House, their experience in using the preliminary set of indicators;

29. *Requests* the Executive Secretary to prepare, for consideration at the fourth meeting of the Conference of the Parties to the Convention serving as the meeting of the Parties to the Protocol, a report on the operational experience in using the above-mentioned indicators and proposals for their further development and refinement, on the basis of submissions by Parties, other Governments, and relevant organizations.

ANNEX I
ACTION PLAN FOR BUILDING CAPACITIES FOR THE EFFECTIVE IMPLEMENTATION OF THE CARTAGENA PROTOCOL ON BIOSAFETY

1. Objective of the Action Plan

1. The objective of this Action Plan is to facilitate and support the development and strengthening of capacities for the ratification and effective implementation of the Cartagena Protocol on Biosafety at the national, subregional, regional and global levels in a timely manner. In this regard, the provision of financial, technical and technological support to developing countries, in particular the least developed and small island developing states among them, as well as countries with economies in transition, including countries amongst these that are centres of origin and centres of genetic diversity, is essential.

2. To achieve the objective, this action plan aims at identifying country needs, priorities, and mechanisms of implementation and sources of funding.

2. Key elements requiring concrete action

3. The following key elements are meant to be considered in a flexible manner, based on a demand-driven approach, taking into account the different situations, capabilities and stages of development of each country.

(a) Institutional capacity-building:

  (i) Legislative and regulatory framework;
  (ii) Administrative framework;
  (iii) Technical, scientific and telecommunications infrastructures;
  (iv) Funding and resource management;
  (v) Mechanisms for follow-up, monitoring and assessment;

(b) Human-resources development and training;

(c) Risk assessment and other scientific and technical expertise;

(d) Risk management;

(e) Awareness, participation and education at all levels including for decision makers, stakeholders and general public;

(f) Information exchange and data management including full participation in the Biosafety Clearing-House;

(g) Scientific, technical and institutional collaboration at subregional, regional and international levels;

(h) Technology transfer;

(i) Identification of living modified organisms;

(j) Socio-economic considerations.

3. Processes/steps

4. The following processes/steps should be undertaken within appropriate time-frames:

(a) Identification of capacity needs, including the needs that are not covered prior to the second meeting of ICCP;

(b) Prioritization of the key elements by each country prior to the first meeting of the Conference of the Parties to the Convention serving as the meeting of the Parties to the Protocol;

(c) Sequencing of actions, including timelines for the operation of capacity-building prior to first meeting of the Conference of the Parties to the Convention serving as the meeting of the Parties to the Protocol*;*

(d) Identification of the coverage and gaps in capacity-building initiatives and resources that could support the ratification and implementation, prior to first meeting of the Conference of the Parties to the Convention serving as the meeting of the Parties to the Protocol, from the following:

(i) Global Environment Facility (GEF);
(ii) Multilateral agencies;
(iii) Other international sources;
(iv) Bilateral sources;
(v) Other stakeholders;
(vi) National sources;

(e) Enhancing the effectiveness and adequacy of financial resources to be provided by multilateral and bilateral donors and other donors to developing countries, in particular the least developed and small island developing States among them, as well as countries with economies in transition taking, including countries amongst these that are centres of origin and centres of genetic diversity;

(f) Enhancing synergies and coordination of capacity-building initiatives;

(g) Development of indicators for evaluating capacity-building measures.

4. Implementation

5. The activities hereunder are not listed in any order of priority:

4.1 NATIONAL LEVEL

(a) Development of national regulatory frameworks on biosafety;

(b) Development and/or strengthening of institutional, administrative, financial and technical capacities, including the designation of national focal points and competent national authorities;

(c) Establishment of a mechanism to inform all stakeholders;

(d) Appropriate participation of all relevant stakeholders;

(e) A mechanism for handling requests or notifications, including risk assessment and decision-making, as well as public information and participation;

(f) Mechanisms for monitoring and compliance;

(g) A short- and long-term assessment for internal and external funding.

4.2 SUBREGIONAL AND REGIONAL LEVELS

(a) Regional and subregional collaborative arrangements;

(b) Regional and subregional advisory mechanisms;

(c) Regional and subregional centres of excellence and training;

(d) Regional and subregional website and database;

(e) Mechanisms for regional and subregional coordination and harmonization of regulatory frameworks, where appropriate.

4.3 INTERNATIONAL LEVEL

(a) Effective functioning of the Biosafety Clearing-House;

(b) Development/updating of international guidance (by UNEP, FAO, IUCN and others);

(c) Strengthening South-South cooperation;

(d) Development and effective use of the roster of experts;

(e) Regular review and provision of further guidance by the Conference of the Parties to the Convention serving as the meeting of the Parties to the Protocol.

5. Monitoring and coordination

6. Because of the multitude of different actors undertaking different capacity building initiatives, mutual information, coordination and regular monitoring will be promoted in order to avoid duplications and to identify gaps. This exercise will lead to a focus of capacity building on biosafety, ratification, and implementation of the Cartagena Protocol on Biosafety. The Secretariat and the Biosafety Clearing-House will be actively involved in the process.

7. The Secretariat will prepare, on the basis of Governments' submissions, a report on the steps taken by countries, multilateral/bilateral and other international sources, towards implementation of the Action Plan and submit a report to the Conference of the Parties servicing as the meeting of the Parties to the Protocol so that it identifies whether the actions listed under section 4 have been carried out successfully and effectively.

Appendix
Possible sequence of actions

Recognizing that the sequence of action necessary to ratify and implement the Protocol is to be decided by Parties according to their national needs,

Cognizant of the urgent need to build capacities in developing countries, in particular the least developed and small island developing States among them, as well as countries with economies in transition, including countries amongst these that are centres of origin and centres of genetic diversity,

Building on the identified elements in the Action Plan and without prejudice to the timeframes indicated therein,

As an aid to assist countries to establish national priorities and to facilitate regional and subregional activities the following sequence of actions based on experience and past practice is proposed for consideration.

POSSIBLE SEQUENCING OF ACTIVITIES IDENTIFIED IN THE ACTION PLAN

Each activity has associated with it specific objectives/tasks identified in the Indicative Framework and associated documents which will facilitate priority setting by countries and enable the establishment of a timetable for capacity development. This sequence does not establish priorities of action to be taken by countries.

A. National level

1. Assessment of effectiveness and adequacy of existing capacity.

2. Assessment of the short- and long-term requirements for internal and external funding.

3. Development of timelines.

4. Development of national regulatory frameworks on biosafety.

5. Development and/or strengthening of institutional, administrative, financial and technical capacities, including the designation of national focal points and competent authorities.

6. A mechanism for handling requests or notifications, including risk assessment and decision-making, as well as public information and participation.

7. Mechanisms for monitoring and compliance.

8. Establishment of a mechanism to inform all stakeholders.

9. Appropriate participation of all relevant stakeholders.

B. Regional and subregional levels

1. Assessment of national, bilateral and multilateral funding.

2. Regional Website and database.

3. Mechanisms for regional and subregional coordination and harmonization of regulatory frameworks, where appropriate.

4. Regional and subregional collaborative arrangements.

5. Regional and subregional advisory mechanisms.

6. Regional and subregional centres of excellence and training.

C. International level

1. Effective functioning of the Biosafety Clearing-House.

2. Enhancing the effectiveness and adequacy and coordination of financial resources to be provided by multilateral and bilateral donors and other donors to developing countries, in particular the least developed and small island developing States among them and countries with economies in transition, including countries amongst these that are centres of origin and centres of genetic diversity.

3. Development and effective use of the roster of experts.

4. Enhancing synergies and coordination of capacity-building initiatives.

5. Strengthening South-South cooperation.

6. Development/updating of international guidance (by UNEP, FAO, IUCN and others).

7. Regular review and provision of further guidance by the Conference of the Parties to the Convention serving as the meeting of the Parties to the Protocol.

ANNEX II
THE ROLE OF DIFFERENT ENTITIES IN SUPPORTING CAPACITY-BUILDING

1. The present annex summarizes, in a point-by-point list form, the views of Parties and governments regarding the roles which different entities could play to facilitate capacity-building to assist countries in preparing for the entry into force of the Protocol and in its implementation.

2. The role of the Conference of the Parties serving as the meeting of the Parties to the Protocol:

(a) Assuming the overall responsibility for decisions regarding the establishment of the work programme related to capacity-building and evaluation of its implementation, recognizing the role of other relevant organizations and instruments;

(b) Setting norms for harmonization, where appropriate;

(c) Developing appropriate formats to build capacity and encouraging consistency of standards in such matters as risk assessment and information exchange;

(d) Revising and updating the capacity-building framework in the light of responses to the questionnaire and the outcome of inter-sessional workshops and projects;

(e) Providing general guidelines from an international perspective;

(f) Gathering information necessary to determine what capacity-building measures would be the most effective in assisting countries to implement the provisions of the Protocol, including information on national priority capacity needs and how to meet them.

3. The role of the Secretariat:

(a) Providing an administrative framework for creation of technical and scientific capacity;

(b) Implementing the Biosafety Clearing-House, taking account of priority needs regarding the capacities of Parties and Governments for access to and use of the Biosafety Clearing-House and the views of Parties and Governments on monitoring its progress;

(c) Administering the Biosafety Clearing-House;

(d) Undertaking further synthesis and analysis of the identified needs of countries for implementation of the Protocol, and available means for assistance and information exchange;

(e) Providing technical assistance to Parties and other Governments to help them in conducting their needs assessments;

(f) Serving as a focal point for organizations to submit information to be made public as regards capacity-building initiatives for the implementation of the Protocol, as well as for identifying needs for capacity-building;

(g) Facilitating the flow of information;

(h) Promoting synergies and keeping countries abreast of important developments and opportunities with respect to capacity-building, including the roster of experts;

(i) Facilitating the functioning of the roster of experts;

(j) Implementing the relevant decisions of the Conference of the Parties serving as the meeting of the Parties to the Protocol;

(k) Cooperating with the projects of the GEF implementing agencies on national biosafety frameworks;

(l) Facilitating and promoting collaboration and coordination among existing initiatives on capacity-building; and

(m) Providing coordination and leadership and suggesting ways and means to build capacity in countries, taking into account the decisions of the Conference of the Parties serving as meeting of the Parties to the Protocol.

4. Subject to the decisions of the Conference of the Parties, and in accordance with its mandate, the role of the Global Environment Facility (GEF) includes:

(a) Providing funding and other assistance to build necessary legislative and administrative frameworks, and for training in risk assessment and risk management;

(b) Deciding on further areas for financial support for capacity-building in accordance with the identified priority needs of developing countries and countries with economies in transition, responses to the questionnaires, the outcomes of inter-sessional workshops, and its previous pilot project on biosafety;

(c) Implementing the GEF Strategy to assist countries to ratify and implement the Cartagena Protocol on Biosafety;

(d) Facilitating the provision of technical support; and

(e) Facilitating the use of existing and developing regional networks.

5. The role of other bilateral and multilateral donors, as mutually agreed with recipient Parties and Governments, as appropriate:

(a) Providing funding and other assistance to Parties, governments and to the Secretariat, for relevant activities;

(b) Co-financing or providing matching funds for building scientific capacity at the subregional level, including sponsoring regional and subregional workshops;

(c) Providing short- or long-term experts to advise on identified needs and demands for assistance on specific issues, including those listed in Article 22 of the Protocol;

(d) Reinforcing collaboration among capacity-building projects on biotechnology and biosafety in order to avoid duplication and to efficiently use the limited resources available.

6. The role of intergovernmental organizations as mutually agreed with recipient Parties and Governments, as appropriate:

(a) Assisting national authorities of Parties to take decisions;

(b) Sharing "best practices," models and information pertinent to relations between obligations under trade agreements and obligations under the Protocol;

(c) Developing advice or standards on particular technical or regulatory issues: e.g., the work of the Organisation for Economic Co-operation and Development (OECD) on a unique identifier for LMOs and on Consensus Documents on common elements of risk assessment for particular species;

(d) Contributing to the activities of the GEF initial strategy on biosafety, in line with the terms agreed by the GEF Council and relevant decisions taken by the Conference of the Parties serving as the meeting of the Parties to the Protocol;

(e) Providing access to databases containing information relevant to implementation of the Protocol: e.g., OECD's Biotrack, the International Centre for Genetic Engineering and Biotechnology (ICGEB), the UNIDO Biosafety Information Network and Advisory Service (BINAS);

(f) Developing common principles for public participation and access to information: e.g., the work of the United Nations Economic Commission for Europe under the Aarhus Convention on Access to Information, Public Participation in Decision-making and Access to Justice in Environmental Matters;

(g) Promoting synergy and mutual supportiveness among the various organizations and instruments concerned with risk analysis in relation to living modified organisms, including the International Plant Protection Convention (IPPC), the Office International des Epizooties (OIE), the Food and Agriculture Organization of the United Nations (FAO) and the Codex Alimentarius Commission;

(h) Reinforcing collaboration among capacity-building projects on biotechnology and biosafety in order to avoid duplication and to efficiently use the limited resources available; and

(i) Providing co-financing for capacity-building activities.

7. The role of regional networks as mutually agreed with relevant Parties and Governments, as appropriate:

(a) Promoting harmonization of technical, legal and scientific mechanisms in the countries;

(b) Identifying and disseminating information related to best practices in the development of national biosafety frameworks, procedures for risk assessment and risk management, decision-taking, information exchange, and the use of human resources;

(c) Developing regional centres that enable/ensure sharing of expertise and information as well as experiences and concerns;

(d) Participating in the development of the Biosafety Clearing-House; and

(e) Providing co-financing for capacity-building activities.

8. The role of non-governmental organizations as mutually agreed with relevant Parties and Governments, as appropriate:

(a) Cooperating in consensus-building and assisting in raising public education and awareness;

(b) Participating in and assisting in national and regional efforts to implement the Protocol, including helping to implement the Biosafety Clearing-House;

(c) Contributing to guidance on Protocol implementation issues;

(d) Integrating the views and interests of wider stakeholders, including indigenous and local communities, through increased public awareness, education and participation in decision-making and the development of policy and procedures;

(e) Representing specialist or sectoral interests in relation to risk assessment and risk management issues;

(f) Reinforcing collaboration among capacity-building projects on biotechnology and biosafety in order to avoid duplication and to efficiently use the limited resources available;

(g) Associating with capacity-building initiatives, ensuring public participation and promoting public awareness on biosafety issues; and

(h) Providing co-financing for capacity-building activities.

9. The role of private sector/industry as mutually agreed with relevant Parties and Governments, as appropriate:

(a) Participating in and assisting in national and regional efforts to implement the Protocol;

(b) Providing technical advice concerning identification, detection and analytical assessment and for monitoring;

(c) Improving capabilities of accessing and handling electronic information;

(d) Undertaking risk assessment, and addressing information needs and concerns of industry;

(e) Associating with initiatives on capacity-building and sharing experience with risk assessment and management of LMOs;

(f) Providing co-financing for capacity-building activities;

(g) Participating in and assisting in national and regional efforts helping to implement the Biosafety Clearing-House;

(h) Reinforcing collaboration among capacity-building projects on biotechnology and biosafety in order to avoid duplication and to efficiently use the limited resources available; and

10. The role of scientific/academic institutions:

(a) Promoting public awareness and implementing training and education activities;

(b) Developing of centres of expertise and excellence for particular risk assessment and risk management issues;

(c) Providing participants for the roster of experts;

(d) Implementing exchange and scholarship programmes aimed at enhancing the teaching and research capacities of higher education and other private and public institutions in developing countries and countries with economies in transition as regards biosafety related issues;

(e) Cooperating on research and information exchange on socio-economic impacts, especially on indigenous and local communities;

(f) Assisting in training and conducting risk assessment, research in LMOs for improved crop production;

(g) Participating in capacity-building initiatives as well as in other activities in relation with the implementation of the Protocol; and

(h) Providing co-financing for capacity-building activities;

(i) Supporting the above activities undertaken in developing country Parties, in particular the least developed and the small island developing States among them, and Parties with economies in transition, including countries amongst these that are centres of origin and centres of genetic diversity, ensuring that in undertaking such activities the expertise available in those countries is utilised first.

ANNEX III
IMPLEMENTATION TOOL KIT

This implementation tool kit provides a compilation, as a checklist, of obligations found in the Cartagena Protocol on Biosafety. These obligations are organized in the following categories:

- Administrative tasks (initial and future)
- Legal requirements and/or undertakings
- Procedural requirements (AIA and Article 11)

I. Administrative Tasks

TASKS	ARTICLE	✔
Initial actions		
1. Designate one national authority responsible for liaison with the Secretariat and provide name/address to Secretariat.	19(1), (2)	
2. Designate one or more competent authorities responsible for performing administrative functions under the Protocol and provide name(s)/address(es) to the Secretariat. If more than one, indicate the types of LMOs for which each competent authority is responsible.	19(1), (2)	
3. Provide to the Biosafety Clearing-House: • any relevant existing laws, regulations or guidelines, including those applicable to the approval of LMOs-FFP; and • any bilateral, regional or multilateral agreements or arrangements.	20(3)(a)–(b), 11(5), 14(2)	
4. Specify to the Biosafety Clearing-House cases in which import may take place at the same time as the movement is notified.	13(1)(a)	
5. Specify to the Biosafety Clearing-House imports of LMOs exempted from the AIA procedures.	13(1)(b)	
6. Notify the Biosafety Clearing-House if domestic regulations shall apply with respect to specific imports.	14(4)	
7. Provide the Biosafety Clearing-House with a point of contact for receiving information from other States on unintentional transboundary movements in accordance with Article 17.	17(2)	
8. Notify the Secretariat if there is a lack of access to the Biosafety Clearing-House and hard copies of notifications to the Clearing House should be provided.	(e.g., 11(1))	
Follow-up actions		
9. Provide to the Biosafety Clearing-House: • Summaries of risk assessments or environmental reviews of LMOs generated by regulatory processes and conducted in accordance with Art. 15; • Final decisions concerning the import or release of LMOs; and • Article 33 reports.	20(3)(c)–(e)	
10. Make available to the Biosafety Clearing-House information concerning cases of illegal transboundary movements.	25(3)	
11. Monitor the implementation of obligations under the Protocol and submit to the Secretariat periodic reports at intervals to be determined.	33	
12. Notify the Biosafety Clearing-House of any relevant changes to the information provided under part I above.		

II. Legal Requirements and/or Undertakings

TASKS	ARTICLE	✔
1. Ensure that the development, handling, transport, use, transfer and release of LMOs are undertaken in a manner that prevents or reduces the risks to biological diversity, taking also into account risks to human health.	2(2)	
2. Ensure that there is a legal requirement for the accuracy of information provided by domestic exporters for purposes of notifications for export to another country and by domestic applicants for domestic approvals for LMOs that may be exported as LMOs-FFP.	8(2) 11(2)	
3. Ensure that any domestic regulatory framework used in place of the AIA procedures is consistent with the Protocol.	9(3)	
4. Ensure that AIA decisions are taken in accordance with Article 15.	10(1)	
5. Ensure that risk assessments are carried out for decisions taken under Article 10 and that they are carried out in a scientifically sound manner.	15(1), (2)	
6. Establish and maintain appropriate mechanisms, measures and strategies to regulate, manage and control risks identified in risk assessments associated with the use, handling and transboundary movement of LMOs under the Protocol.	16(1)	
7. Take appropriate measures to prevent the unintentional transboundary movements of LMOs, including measures such as requiring a risk assessment prior to the first release of an LMO.	16(3)	
8. Endeavour to ensure that LMOs, whether imported or locally developed, have undergone an appropriate period of observation that is commensurate with its life cycle or generation time before it is put to its intended use.	16(4)	
9. Take appropriate measures to notify affected or potentially affected States, the Biosafety Clearing-House, and, where appropriate, relevant international organizations, when there is an occurrence within its jurisdiction that leads or may lead to an unintentional transboundary movement of an LMO that is likely to have significant adverse effects on the sustainable use and conservation of biodiversity, taking also into account risks to human health in such States.	17(1)	
10. Take necessary measures to require that LMOs that are subject to transboundary movement under the Protocol are handled, packaged and transported under conditions of safety, taking into account relevant international rules and standards.	18(1)	
11. Take measures to require that documentation accompanying LMOs-FFP • clearly identifies that they "may contain" LMOs and are not intended for intentional introduction into the environment; and • provides a contact point for further information.	18(2)(a)	
12. Take measures to require that documentation accompanying LMOs destined for contained use: • Clearly identifies them as LMOs; • Specifies any requirements for their safe handling, storage, transport and use; • Provides a contact point for further information; and • Provides the name and address of individuals or institutions to which they are consigned.	18(2)(b)	
13. Take measures to require that documentation accompanying LMOs that are intended for intentional introduction in the environment and any other LMOs within the scope of the Protocol: • Clearly identifies them as LMOs • Specifies the identity and relevant traits and/or characteristics;	18(2)(c)	

continues…

• Provides any requirements for the safe handling, storage, transport and use; • Provides a contact point for further information; • Provides, as appropriate, the name and address of the importer and exporter; and • Contains a declaration that the movement is in conformity with the requirements of the Protocol.		
14. Provide for the designation of confidential information by notifiers, subject to the exclusions set forth in Article 21(6).	21(1), (6)	
15. Ensure consultation with notifiers and review of decisions in the event of disagreement regarding claims of confidentiality.	21(2)	
16. Ensure the protection of agreed-upon confidential information and information claimed as confidential where a notification is withdrawn.	21(3), (5)	
17. Ensure that confidential information is not used for commercial purposes without the written consent of the notifier.	21(4)	
18. Promote and facilitate public awareness, education and participation concerning the safe transfer, handling and use of LMOs, taking also into account risks to human health.	23(1)(a)	
19. Endeavour to ensure that public awareness and education encompass access to information on LMOs identified in accordance with the Protocol that may be imported.	23(1)(b)	
20. In accordance with relevant domestic laws, consult with the public in decision making under the Protocol, while respecting confidential information.	23(2)	
21. Endeavour to inform the public about the means of public access to the Biosafety Clearing-House.	23(3)	
22. Adopt appropriate measures aimed a preventing and, if appropriate, penalizing transboundary movements in contravention of domestic measures to implement the Protocol.	25(1)	
23. Dispose, at its expense, LMOs that have been the subject of an illegal transboundary movement through repatriation or destruction, as appropriate, upon request by an affected Party.	25(2)	

III. Procedural Requirements: Advanced Informed Agreement

TASKS	ARTICLE	✔
1. Notify, or require the exporter to ensure notification to, in writing, the competent national authority of the Party of import prior to the intentional transboundary movement of a living modified organism that falls within the scope of Article 7, paragraph 1	8(1)	
2. Provide written acknowledgement of receipt of notification to notifier within 90 days, including: • Date of receipt of notification; • Whether notification meets requirements of annex I; • That the import may proceed only with written consent and whether to proceed in accordance with the domestic regulatory framework or in accordance with Article 10; OR • Whether the import may proceed after 90 days without further written consent.	 9(2)(a) 9(2)(b) 10(2)(a) 9(2)(c) 10(2)(b)	
3. Communicate in writing to the notifier, within 270 days of receipt of notification: • Approval of the import, with or without conditions; • Prohibition of the import;	10(3)(a)–(d)	

	• A request for additional relevant information in accordance with domestic regulatory framework or Annex I; or • Extension of the 270 day period by a defined period of time; AND Except where approval is unconditional, the reasons for the decision, including the reasons for the request for additional information or for an extension of time.	10(4)	
4.	Provide in writing to the Biosafety Clearing-House the decision communicated to the notifier.	10(3)	
5.	Respond in writing within 90 days to a request by an Exporting Party for a review of a decision under Article 10 where there has been a change in circumstances or additional relevant scientific or technical information has been made available, providing the reasons for the decision upon review.	12(2), (3)	

IV. Procedural Requirements: Living Modified Organisms For Direct Use As Food, Feed or For Processing

TASKS		ARTICLE	✔
1.	Upon making a final decision regarding domestic use, including placing on the market, of LMOs that may be subject to transboundary movement for direct use as food or feed, or for processing, inform the Biosafety Clearing-House within 15 days of making that decision, including the information listed in Annex II.	11(1)	
2.	Except in the case of field trials, provide hard copies of the final decision to the National Focal Point of Parties that have notified the Secretariat in advance that they do not have access to the Biosafety Clearing-House.	11(1)	
3.	Provide additional information contained in paragraph (b) of annex II about the decision to any Party that requests it.	11(3)	
4.	In response to the posting of a decision by another Party, a Party that decides to import may take a decision on the import of LMOs-FFP: • Either as approved under the domestic regulatory framework consistent with the Protocol; OR • In the absence of a regulatory framework, on the basis of a risk assessment in accordance with Annex III within no more than 270 days. In this case, a declaration must be made to the Biosafety Clearing-House.	11(4), (6)	

ANNEX IV
COORDINATION MECHANISM FOR THE IMPLEMENTATION OF THE ACTION PLAN ON BUILDING CAPACITIES FOR THE EFFECTIVE IMPLEMENTATION OF THE CARTAGENA PROTOCOL ON BIOSAFETY

A. Objective

1. The overall goal of Coordination Mechanism is to facilitate exchange of information with a view to promoting partnerships and maximizing complementarities and synergies between various capacity-building initiatives being undertaken in support of the Action Plan for Building Capacities for the Effective Implementation of the Cartagena Protocol on Biosafety.

B. Guiding Principles

2. The implementation of the Coordination Mechanism is guided by the following basic principles:

(a) It serves to facilitate the sharing of information regarding capacity-building activities implemented in support of the Action Plan. It is not as mechanism for controlling, supervising or evaluating different initiatives;

(b) Participation in, and exchange of information through the Coordination Mechanism is voluntary and open to all interested stakeholders involved in the implementation of the action plan;

(c) It is a simple, easily accessible and flexible system whose operation involves minimal additional resource requirements;

(d) It is implemented in a flexible, gradual, phased and incremental manner. Improvements made as experience is gained over time;

(e) It complements and adds value to existing relevant coordination and networking initiatives, avoiding duplication as much as possible.

C. Elements of the Coordination Mechanism

3. The Coordination Mechanism consists of the following five elements:

(a) Liaison group;

(b) Biosafety capacity-building databases;

(c) Information-sharing and networking mechanism;

(d) Coordination meetings and workshops;

(e) Reporting mechanisms.

1. LIAISON GROUP ON CAPACITY-BUILDING FOR BIOSAFETY

Nature and structure

4. The liaison group is a small ad hoc group, rather than a standing body, established by the Executive Secretary to address specific capacity-building issues/topics, as need arises. Participants serve in their individual capacity and not as representatives of their Governments or organizations. They are selected on the basis of their demonstrated expertise and experience with regard to the issue(s) to be addressed, a balanced geographical distribution between regions, and a fair representation of relevant stakeholders. Every effort is made to ensure any one meeting of the group includes some of the participants that attended the previous meetings in order to maintain some degree of consistency and institutional memory.

Role

5. The overall mandate of the liaison group is to provide expert advice to the Executive Secretary on ways and means to enhance the coordination and effective implementation of the Action Plan for Building Capacities for the Effective Implementation of the Cartagena Protocol on Biosafety. Among other tasks, it exchanges ideas and provides advice on overall strategic approaches as well as conceptual and possible practical operational measures for enhancing coordination of the capacity-building initiatives.

Operational modalities

6. The liaison group is established in accordance with the existing practice under the Convention on Biological Diversity, including guidance under decision IV/16, annex I and SBSTTA recommendation V/14. To the extent possible the liaison group undertakes its work using electronic communication means, including e-mail and teleconferences moderated by the elected chairperson with the technical support of the Secretariat. Face-to-face meetings of the Group are usually organized, subject to availability of resources, back-to-back with other meetings where most members of the Group are to be present. The Secretariat endeavours to obtain funding to facilitate the participation of representatives of developing countries and countries with economies in transition in the meetings of the Group.

2. BIOSAFETY CAPACITY-BUILDING DATABASES

Nature and structure

7. This element comprises databases on capacity-building activities, such as projects and capacity-building opportunities, as well as country capacity-needs, which are maintained and accessed through the Biosafety Clearing-House. The projects database includes initiatives that have a series of inter-linked activities implemented as integral components over a long period of time (at least over six months). Each record includes information on: the project location, funding details, objectives and activities, main outcomes, lessons learned and a brief background. On the other hand, the capacity-building opportunities database includes punctual/stand-alone activities (e.g. funding grants, training courses, scholarships or internships) that are not part of a larger project included in the projects database. Each record includes: the type of opportunity, its scope, timeframe, eligibility criteria, application process and contacts. Finally, the capacity-needs database includes submissions by countries of their prioritized needs, the desired means to address needs identified and an outline of measures being taken. Records in all the databases contain summary information about the project, opportunity or country needs and provide contacts or Web links where further information can be obtained.

Role

8. The overall function of the databases is to provide a central point where up-to-date information, or sources of information, about biosafety capacity-building projects, opportunities and country needs are registered and accessed easily and in a timely manner. The databases play a "clearing-house" role where countries requiring assistance and those providing assistance interact, thus facilitating systematic tailoring of available assistance towards specific country-defined priority needs and promoting partnerships between seekers and providers of support. The databases also facilitate identification of opportunities for promoting synergies, collaboration and partnerships. The projects database in particular facilitates sharing of information about the coverage, achievements, experiences, best-practices and lessons learned under different projects. It also facilitates the identification gaps and minimization of unnecessary overlaps or duplication of efforts and resources.

Operational modalities

9. The capacity-building databases are managed and accessed through the Biosafety Clearing-House. Common formats are used to assist all countries and organizations to submit information in a consistent manner and facilitate customized searching of the databases. Relevant information can be registered in the databases either online or by hardcopy. Under the first option, persons designated by Government or relevant organizations can register information directly into the database through the management centre using a password system. Those without Internet access can fill and return to the Secretariat hard copies of the common formats for incorporation in the databases. The databases are maintained by the Secretariat, which periodically reminds owners of the records in the database to update them as appropriate.

3. INFORMATION-SHARING AND NETWORKING MECHANISM

10. This element consists of two components namely: (a) biosafety information resource centre; and (b) biosafety capacity-building network.

(a) Biosafety information resource centre

Nature and structure

11. The biosafety information resource centre is a "virtual library" consisting of catalogues of information, scientific data and resource materials relevant to biosafety capacity-building produced by various organizations and Governments. These may include: training materials, course catalogues, operational toolkits or guidelines, workshop reports, paper and presentations, case-studies, technical publications, newsletters and journals, legal documents, project profiles, project proposal preparation materials and others in form of publications, CD-ROMs or other media. Records are based on common format with the following key fields: title of the record, type of information (e.g. manual, case-study, or workshop report), thematic areas (based on the Action Plan elements), author, date of publication, name of publisher or organization, key words as well as an abstract or a book review. Each record includes contact details and/or links to the relevant Websites or databases where detailed information could be obtained are provided.

Role

12. The biosafety information resource centre provides a central gateway to relevant biosafety information, scientific data and resource materials available at different sources with the view to ensuring their broader dissemination, easy and timely access, and their maximum use. In addition, it helps those planning to produce new materials to avoid duplicating what is already available and focus on areas not yet addressed or "adding-value" to existing materials.

Operational modalities

13. The biosafety information resource centre is maintained in the Biosafety Clearing-House and linked to the document search facility of the Convention on Biological Diversity. Governments and organizations are invited to register their rel-

evant information and resource materials using a common format or provide copies to the Secretariat for entry in the information resource centre. Records are searchable, through an electronic catalogue, by type of information, thematic area, author, and date of publication or by the publisher or owner of the information. In addition, a full text search using keywords is possible. Where possible hard copies or CD-ROMs of uncopyrighted materials are made available to countries without Internet access, upon request. Users of materials from the resource centre are encouraged to indicate their specific information needs and provide feedback on their experiences in using the resource centre in order to facilitate ongoing improvement of the system.

(b) Biosafety capacity-building network

Nature and structure

14. The biosafety capacity-building network is a platform that links key different individuals from Government agencies, research institutions and other relevant organizations who are interested in or involved in designing, implementing or funding biosafety capacity-building and research activities, to interact and exchange views, knowledge and experiences, informally. It complements other existing relevant networks such as the Inter-Agency Network for Safety in Biotechnology (IANB) coordinated by the Organisation for Economic Co-operation and Development (OECD).

Role

15. The primary role of the biosafety capacity-building network is to facilitate active interaction and sharing of knowledge, views, experiences and lessons learned among individuals, organizations and donor agencies interested in promoting biosafety capacity-building and sharing scientific knowledge, in a timely, organized and effective manner. It seeks to foster contacts and strengthen existing linkages between different organizations in order to leverage expertise and promote synergies, partnerships and mutual support as well as dialogue and consensus around key issues, including adoption of common concepts and approaches. It also enables scientific experts to share biosafety research results and to exchange professional viewpoints on specific issues. It also provides a forum for interested scientists to discuss and build consensus around specific technical and scientific issues related to biosafety.

Operational modalities

16. The biosafety capacity-building network is administered through the Biosafety Clearing-House, which serves as the "network hub." It operates primarily using Internet-based tools, including e-mail listservs, bulletin boards, electronic discussion forums and electronic conferences. Prospective members of the network can register with the Secretariat through the Biosafety Clearing-House and be issued with a password to enable them access and participate in the relevant e-discussions, in accordance with the established rules and procedures. Network members are encouraged to volunteer information and to take lead in organizing and moderating specific thematic discussions, in collaboration with the Secretariat. The discussions

may result in specific outputs (e.g. proceedings) that could be published and made available to all countries, as appropriate or lead to consensus around particular issues (e.g., agreed terminologies or approaches).

4. COORDINATION MEETINGS AND WORKSHOPS

Nature and structure

17. Coordination meetings provide a forum where individuals from relevant organizations, Government agencies and donors involved in designing, implementing or funding biosafety capacity-building activities meet face-to-face, in an informal setting, to exchange information, knowledge and lessons regarding their capacity-building efforts. They may be in the form of roundtables, workshops or informal consultations. The meetings are informal, flexible and not too structured in order to allow free exchange of information and ideas.

Role

18. The primary goal of the coordination meetings is to facilitate the sharing of knowledge, views and operational experience between different organizations regarding their biosafety capacity-building activities, with the view to fostering synergies, partnerships and harmonization of efforts. In particular, the meetings help relevant organizations to develop a common understanding of the major biosafety capacity-building issues, challenges and priority needs of countries. They also provide a means to review the coverage, gaps and overlap in ongoing activities and to identify possible solutions to address the gaps, minimize overlaps and avoid over-coverage of certain issues or geographic areas at the expense of others. Finally, the meetings facilitate exchange of innovative ideas to improve the delivery of capacity-building assistance to countries and to promote strategic and systematic efforts, tailored to specific country-defined needs and priorities in order to realize maximum impact.

Operational modalities

19. Coordination meetings are organized by the Secretariat, in collaboration with interested organizations, subject to availability of funding. Wherever possible, they are organized on the margins of other major events where most of the relevant organizations are present, in order to optimize participation. The agenda and duration of the meetings is determined by the co-organizer(s). The meetings do not necessarily follow a regular schedule but are adaptive and take advantage of strategic events. Prior to each meeting, participants are encouraged to submit to the organizers relevant information including updates on their on-going activities, to be shared with other participants.

5. REPORTING MECHANISM

Nature and structure

20. The reporting mechanism is a central system comprising a database of reports and/or Web links to reports related to capacity-building in biosafety which are produced by Governments and relevant organizations. These include progress reports

on implementation of the Action Plan as requested by the Conference of the Parties serving as the meeting of the Parties to the Protocol as well as voluntary reports from relevant organizations, such as project progress reports or end-of-cycle evaluation reports, project appraisal reports or mission reports as well as case-studies on success stories covering experiences, accomplishments and lessons learned.

Role

21. The reporting mechanism provides a central point where relevant reports or case-studies of success stories of initiatives relevant to capacity-building in biosafety can be deposited, accessed and shared. The primary purpose is to make such information easily and widely accessible in order to enable Parties and relevant organizations to draw upon each other's experiences and accomplishments to enhance the implementation of the capacity-building Action Plan. Sharing of such reports is a key ingredient in promoting synergies, collaborative partnerships and mutual learning. In particular, the mechanism has the following functions: assist in developing an overall picture of the progress made in capacity-building; showcase success stories and factors and facilitate their replication, facilitate identification and promotion of positive best-practices and avoidance of pitfalls or "re-invention of the wheel."

Operational modalities

22. A database of biosafety capacity-building reports is maintained in the Biosafety Clearing-House where Parties, Governments and relevant organizations submit and access the available reports using a common format. Wherever possible, links are made to existing national, regional or organizational databases, Websites and other contacts where such reports can be accessed in order to minimize the need for countries and organizations to provide the same information to more than one place. The reports are organized in a searchable format with a number of fields including: type of report, timeframe, organization, thematic areas and key words (for example to facilitate search for best-practices and lessons learned).

C. Administration of the Coordination Mechanism

23. The Coordination Mechanism is administered by the Executive Secretary, whose primary functions include the following:

(a) Maintaining the capacity-building databases (on projects, opportunities and country needs), including their regular updating based on submissions received from the participating Parties, Governments, relevant organizations and donors;

(b) Facilitating the dissemination of relevant information and lessons learned on biosafety capacity-building initiatives through the Biosafety Clearing-House and information documents to the Conference of the Parties serving as the meeting of the Parties to the Protocol;

(c) Preparing and disseminating synthesis reports based on the submissions by Parties, Governments and relevant organizations on their progress in implementing various elements of the Action Plan, using a common format;

(d) Convening and servicing meetings of the liaison group on capacity-building on biosafety, as necessary;

(e) Organizing, subject to availability of funding, periodic coordination meetings and workshops for Government representatives, relevant organizations and donors, in collaboration with the Global Environment Facility (GEF) and its Implementing Agencies and other relevant organizations;

(f) Promoting broad and common understanding of the capacity-building needs for the effective implementation of the Protocol.

ANNEX V
SET OF INDICATORS FOR MONITORING IMPLEMENTATION OF THE ACTION PLAN FOR BUILDING CAPACITIES FOR THE EFFECTIVE IMPLEMENTATION OF THE PROTOCOL

1. The set of indicators presented below is intended for use in tracking the overall progress in implementing the Action Plan, encompassing the overall cumulative contribution of different capacity-building projects and other activities. The indicators are not intended for use in measuring the results of specific individual capacity-building projects. Such indicators would need to be developed on a case-specific basis.

2. In the set of indicators outlined below, four main types can be identified, namely: "indicators of existence," "indicators of status," "indicators of change" and "indicators of progress towards an endpoint." The first type includes indicators that show whether something exists or not (i.e., yes/no), e.g., existence of laws and regulations. Status indicators include actual values/levels of a given parameter, either quantitatively (e.g. number of people, percentage of people) or qualitatively (e.g., low/medium/high). The "indicators of change" show variation in the level of a given parameter, either increase/decrease or positive/negative. Indicators of change are measured in comparison to a starting point in time or in terms of progress towards and endpoint. In some cases, the measurement may be quantitative (e.g., change in number of staff), and in other cases it may be qualitative (e.g., change in level of satisfaction). They may also show overall trends or pattern of change.

DESIRED OUTCOME (BASED ON ACTION PLAN ELEMENTS)	CRITERIA AND INDICATORS
A. Improved institutional capacity	
(i) Effective legislative and policy frameworks in place	1. a) Existence of biosafety frameworks (e.g., policies, laws and regulations) b) Level of harmonization of national biosafety frameworks with other national policy frameworks and programmes c) Level of consistency of national biosafety frameworks with the Protocol d) Level of stakeholder satisfaction with the national biosafety frameworks
(ii) Appropriate administrative frameworks in place	2. a) Existence of clearly defined institutional mechanisms for administering biosafety, including designation of competent national authorities and responsibilities among agencies b) Change in the quantity and quality of staffing in national institutions dealing with biosafety c) Percentage of notifications handled and decisions taken within the timeframes specified in the Protocol d) Existence of systems for managing biosafety records and for maintaining institutional memory e) Existence of mechanisms for inter-institutional coordination (e.g., steering committees or intranets), and change in the level of activity of such mechanisms
(iii) Improved technical, scientific, and telecommunications infrastructures	3. a) Change in the quantity and reliability of office equipment and facilities in institutions dealing with biosafety b) Number and variety of facilities (e.g., laboratories) available for biosafety research work c) Change in the level of reliability of telecommunication infrastructure
(iv) Enhanced funding and resource management	4. a) Amount of funding for biosafety activities received or provided b) Percentage of funding for biosafety coming from national budgetary allocation c) Rate at which resources earmarked for biosafety are used for the intended activities and in a cost-effective manner
(v) Enhanced mechanisms for follow-up, monitoring and assessment	5. a) Existence of national mechanisms for monitoring and reporting of implementation of the Protocol
B. Improved human resources capacity development and training	6. a) Number of national experts trained in diverse specialized biosafety-related fields b) Frequency at which local experts are used in undertaking or reviewing risk assessments and other activities relating to the implementation of the Protocol c) Frequency at which expertise from the roster of experts is accessible whenever required by countries
C. Improved capacity for risk assessment and other scientific and technical expertise	7. a) Amount of biosafety research and proportion of risk assessments carried out locally b) Frequency at which local expertise is used in undertaking or reviewing risk assessments
D. Improved capacity in risk management	8. a) Existence of risk management strategies for LMOs with identified risks b) Rate at which risk management strategies and measures developed to prevent or mitigate identified risks are actually implemented

continues…

DESIRED OUTCOME (BASED ON ACTION PLAN ELEMENTS)		CRITERIA AND INDICATORS
E. Improved public awareness, participation and education in biosafety at all levels	9.	a) Change in level of public awareness of the Protocol b) Change in the number, scope and variety of measures taken to promote awareness of the biosafety and the Protocol c) Rate of involvement of relevant stakeholders in decision-making and in the development and implementation of national biodiversity frameworks d) Change in frequency of public access to relevant biosafety information, including through the Biosafety Clearing-House
F. Improved information exchange and data management including full participation in the Biosafety Clearing-House	10.	a) Change in level of exchange of relevant biosafety data and information b) Extent to which information required under the Protocol is provided to the Biosafety Clearing-House c) Existence of national systems for data management and information exchange d) Existence of appropriate national infrastructure and capability to access the Biosafety Clearing-House e) Degree to which the Biosafety Clearing-House responds to the information needs of different stakeholders f) Level of stakeholder satisfaction with the Biosafety Clearing-House (including its accessibility, user-friendliness and content) g) Change in number, frequency and regional distribution of Governments and organizations accessing and retrieving information from the Biosafety Clearing-House h) Change in number and regional distribution of Governments and organizations contributing information to the Biosafety Clearing-House
G. Increased scientific, technical and institutional collaboration at sub regional, regional and international levels	11.	a) Existence of various mechanisms for regional and international collaboration in biosafety b) Change in number of bilateral and multilateral collaborative initiatives in biosafety underway c) Change in level of participation in regional and international collaborative mechanisms and initiatives d) Existence of, and level of participation in, regional/sub-regional advisory mechanisms and centers of excellence e) Existence of regional and sub-regional websites and databases f) Existence of mechanisms for regional and sub-regional coordination and harmonization of biosafety regulatory frameworks g) Existence of, and level of participation in, mechanisms for promoting south-south cooperation in biosafety issues h) Change in amount and availability of international technical guidance for implementation of the Protocol i) Existence of mechanisms for promoting common approaches
H. Improved access to and transfer of technology and know-how	12.	a) Existence of enabling frameworks for technology transfer b) Change in number of relevant technologies transferred
I. Improved identification of LMO shipments as required by the Protocol	13.	a) Existence of national measures for identification of LMO shipments b) Change in level of use of modern LMO identification techniques c) Change in level of effectiveness of identification systems and measures in ensuring safe handling, transport and packaging of LMOs

DECISION BS-I/6 | Handling, transport, packaging and identification of living modified organisms (Article 18)

A. Paragraph 2(a) of Article 18

The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety,

Noting the recommendations of the Intergovernmental Committee for the Cartagena Protocol on Biosafety at its third meeting regarding paragraph 2(a) of Article 18,

Recognizing the difficulties involved in the efforts to arrive at common grounds by Intergovernmental Committee with regard to some of the issues encountered in relation to identification of living modified organisms for direct use as food or feed, or for processing,

Recalling the second sentence of paragraph 2(a) of Article 18, which requires the Conference of the Parties serving as the meeting of the Parties to the Protocol to take a decision on the detailed requirements of those elements specified in the first sentence of the same paragraph, including specification of the identity of the living modified organisms in question and any unique identification, no later than two years after the date of entry into force of the Protocol,

Noting that any decision taken at this stage regarding the understanding and implementation of the requirements specified in the first sentence of paragraph 2(a) of Article 18 would only be interim until the decision referred to in the second sentence of the same paragraph on the detailed requirements is taken,

Recalling that a Party to the Protocol may take a decision on the import of living modified organisms intended for direct use as food or feed, or for processing, under its domestic regulatory framework that is consistent with the objective of the Protocol,

1. *Requests* Parties to the Protocol and *urges* other Governments to take measures to require the use of a commercial invoice or other document required or utilized by existing documentation systems, as documentation that should accompany living modified organisms that are intended for direct use as food or feed, or for processing, for the purpose of identification by incorporating the information requirements of the first sentence of paragraph 2(a) of Article 18, and the requirements established under paragraph 4 below, pending a decision on detailed requirements for this purpose by the Conference of the Parties serving as the meeting of the Parties to the Protocol, which could include the use of a stand-alone document;

2. *Requests* Parties to the Protocol and *urges* other Governments to take measures ensuring that documentation accompanying living modified organisms that are intended for direct use as food or feed, or for processing clearly identifies that the shipment may contain living modified organisms intended for direct use as food or feed, or for processing, and states that they are not intended for intentional introduction into the environment;

3. *Further requests* Parties to the Protocol and *urges* other Governments to take measures ensuring that the documentation accompanying living modified organisms that are intended for direct use as food or feed, or for processing, provides the

details of a contact point for further information: the exporter, the importer, or any appropriate authority, when designated by a Government as the contact point;

4. *Further urges* Parties to the Protocol and other Governments to require that the documentation referred to in paragraph 1 above includes: (i) the common, scientific and, where available, commercial names, and (ii) the transformation event code of the living modified organisms or, where available, as a key to accessing information in the Biosafety Clearing-House, its unique identifier code;

5. *Encourages* Parties to the Protocol and other Governments to require exporters of living modified organisms that are intended for direct use as food or feed, or for processing under their jurisdiction to declare, in documentation accompanying transboundary movements known to intentionally contain living modified organisms that are intended for direct use as food or feed, or for processing, that the shipment contains living modified organisms that are intended for direct use as food or feed, or for processing, the identity of the living modified organism, and any unique identification, where possible;

6. *Decides* to establish an open-ended technical expert group on identification requirements of living modified organisms that are intended for direct use as food or feed, or for processing to assist the Conference of the Parties serving as the meeting of the Parties to the Protocol in taking the decision referred to in paragraph 2(a) of Article 18 of the Protocol, on the basis of the terms of reference specified in the annex to this decision;

7. *Requests* Parties to the Protocol, other Governments and relevant international organizations to provide to the Executive Secretary by 30 June 2004:

(a) Information on their experience, if any, in the implementation of the requirements of the first sentence of paragraph 2(a) of Article 18; and

(b) Their views regarding the detailed requirements referred to in the second sentence of paragraph 2(a) of Article 18, including specification of the identity of the living modified organisms that are intended for direct use as food or feed, or for processing (whether the extent of information should include taxonomic name, the gene modifications inserted and traits or genes changed); threshold levels in the case of co-mingling of living modified organisms with non-LMOs, and possible linkages of the issue with Article 17 of the Protocol; the "may contain" language; and any unique identification;

(c) Their experiences with the use of existing unique identification systems under the Protocol, such as the Unique Identifier for Transgenic Plants of the Organisation for Economic Co-operation and Development;

8. *Requests* the Executive Secretary to prepare a synthesis of the information and views referred to above, for the consideration of the open-ended technical expert group mentioned in paragraph 6 above, and to convene, subject to the necessary financial resources being made available, the meeting of the open-ended technical expert group, and to submit the report and draft decision of the group to the second meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol;

9. *Urges* developed country Parties and other donor Governments to make financial contributions necessary to facilitate the participation of experts from developing countries and countries with economies in transition in the open-ended technical expert group referred to in paragraph 6 above.

ANNEX
TERMS OF REFERENCE FOR THE OPEN-ENDED TECHNICAL EXPERT GROUP ON IDENTIFICATION REQUIREMENTS OF LIVING MODIFIED ORGANISMS INTENDED FOR DIRECT USE AS FOOD OR FEED, OR FOR PROCESSING

Taking into account the need for the Conference of the Parties serving as the meeting of the Parties to the Protocol to take a decision on the detailed requirements of identification of living modified organisms that are intended for direct use as food or feed, or for processing in accompanying documentation, including specification of their identity and any unique identification, no later than two years after the date of entry into force of the Protocol, and

Considering: (i) the report and recommendations of the Meeting of Technical Experts on the Requirements of Paragraph 2(a) of Article 18; (ii) the Chair's summary of Working Group I of the discussion regarding paragraph 2(a) of Article 18 at the third meeting of the Intergovermental Committee for the Cartagena Protocol on Biosafety; (iii) the decision of the first meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol; and (iv) the information and views provided by Parties to the Protocol, other Governments and relevant international organizations in accordance with paragraph 7 of decision BS-I/6 A above,

Understanding that composition of the open-ended technical expert group shall be designed for effective participation, inclusiveness, transparency, and technical expertise relevant to the issues specified in this terms of reference, and that it will be composed of experts, nominated by Parties to the Protocol and other Governments and relevant international organizations, with technical expertise relevant to the issues specified in the terms of reference,

The Open-ended Technical Expert Group shall:

1. Examine the issues of specifying the identity of living modified organisms that are intended for direct use as food or feed, or for processing and unique identification mentioned in the second sentence of paragraph 2(a) of Article 18 in relation to the "may contain" language of the first sentence of the same paragraph, and any other issues that may be relevant to the elaboration of the detailed requirements of identification of living modified organisms that are intended for direct use as food or feed, or for processing, including:

(a) The documentation to accompany living modified organisms that are intended for direct use as food or feed, or for processing for the purpose of Article 18, paragraph 2(a);

(b) The information provided in the accompanying documentation;

(c) The extent and modality of using unique identifiers; and, if possible,

(d) Thresholds for adventitious or unintentional presence of LMOs that may be needed to trigger identification requirements;

(e) Review available sampling and detection techniques, with a view to harmonization.

2. Prepare a draft decision regarding issues mentioned in paragraph 1 above, for the consideration of the Conference of the Parties serving as the meeting of the Parties to the Protocol.

3. Complete its work in time for the Conference of the Parties serving as the meeting of the Parties to the Protocol to take this decision at its second meeting.

B. Paragraphs 2(b) and 2(c) of Article 18

The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety,

Noting the recommendations of the Intergovernmental Committee for the Cartagena Protocol on Biosafety at its third meeting regarding paragraphs 2(b) and 2(c) of Article 18 of the Cartagena Protocol on Biosafety,

1. *Requests* Parties to the Protocol and *urges* other Governments to take measures to ensure the use of a commercial invoice or other documents required or utilized by existing documentation systems, with consideration given to the formats outlined in the example templates annexed hereto, as documentation that should accompany living modified organisms for contained use and living modified organisms for intentional introduction into the environment of the Party of import, incorporating the information required under paragraphs 2(b) and 2(c) of Article 18 of the Protocol, as appropriate, with a view to fulfill the identification requirements of these paragraphs;

2. *Requests* Parties to the Protocol and *invites* other Governments to submit to the Executive Secretary, not later than six months prior to the third meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol, information on experience gained with the use of documentation referred to in paragraph 1 above, with a view to the future consideration of a stand-alone document, to fulfill the identification requirements of paragraphs 2(b) and 2(c) of Article 18, and *requests* the Executive Secretary to compile the information received and to prepare a synthesis report presenting options for stand-alone documentation for consideration by the third meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol;

3. *Requests* Parties to the Protocol and *urges* other Governments to take measures ensuring that documentation accompanying living modified organisms contains the following information and declaration:

(a) Living modified organisms for contained use (Article 18, paragraph 2(b)):

(i) Clear identification as "living modified organisms" including common and scientific names of the organisms and as "destined for contained use";

(ii) The name and address of the consignee, and exporter or importer, as appropriate, including contact details necessary to reach them as fast as possible in case of emergency;

(iii) Any requirements for the safe handling, storage, transport and use of the living modified organisms under applicable existing international instruments, such as the United Nations Recommendations on the Transport of Dangerous Goods, the International Plant Protection Convention and the Organisation Internationale des Epizooties, domestic regulatory frameworks or under any agreements entered into by the importer and exporter. In the event that there is no requirement, indicate that there is no specific requirement;

(iv) Where appropriate, further information should include the commercial names of the living modified organisms, if available, new or modified traits and characteristics such as event(s) of transformation, risk class, specification of use, as well as any unique identification, where available, as a key to accessing information in the Biosafety Clearing-House;

(b) Living modified organisms for intentional introduction into the environment of the Party of import and any other living modified organisms within the scope of the Protocol (Article 18, paragraph 2(c)):

(i) Clear identification as "living modified organisms" and a brief description of the organisms, including common and scientific name, relevant traits and genetic modification, including transgenic traits and characteristics such as event(s) of transformation or, where available and applicable, a reference to a system of unique identification;

(ii) Any requirements for the safe handling, storage, transport and use of the living modified organisms as provided under applicable existing international requirements, domestic regulatory frameworks, or under any agreement entered into by the importer and exporter. In the event that there is no requirement, indicate that there is no specific requirement;

(iii) The name and address of the exporter and importer;

(iv) The details of the contact point for further information, including an individual or organization in possession of relevant information in case of emergency;

(v) A declaration that the movement of the living modified organisms is in conformity with the requirements of the Cartagena Protocol on Biosafety applicable to the exporter;

(vi) Where appropriate, further information should include the commercial name, risk class, and import approval for the first transboundary movement of living modified organisms;

4. *Invites* Parties, other Governments and relevant international organizations to make available to the Executive Secretary, not later than six months prior to the date of the second meeting of the Conference of the Parties serving as the meeting

of the Parties to the Protocol, information regarding their experience, if any, in the implementation of the requirements of paragraphs 2(b) and 2(c) of Article 18;

5. *Requests* the Executive Secretary to prepare a synthesis report of information received from Parties, other Governments or relevant international organizations in accordance with paragraph 4 above and submit the report to the second meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol.

C. Unique identification system(s)

The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety,

Mindful of the consideration of the issue of unique identification in the context of paragraph 2(a) of Article 18 by the open-ended technical expert group established pursuant to paragraph 6 of decision BS-I/6 A above,

Recognizing the need for harmonized unique identifier codes for facilitating access to relevant information that may be available in the Biosafety Clearing-House regarding living modified organisms subject to transboundary movement,

Welcoming the development and adoption of the Organisation of Economic Co-operation and Development (OECD) Guidance for the Designation of a Unique Identifier for Transgenic Plants,

Recognizing that other unique identification systems may be developed, and that a unique identification system is also required for genetically modified micro-organisms and animals,

1. *Invites* Parties and other government to take measures to apply, as appropriate, the OECD Unique Identifiers for Transgenic Plants to living modified plants under the Protocol, without prejudice to the possible development and applicability of other systems;

2. *Requests* the Executive Secretary to develop or maintain, in the Biosafety Clearing-House, a register of unique identification codes to ensure harmonisation of such codes by all users;

3. *Encourages* the Organisation for Economic Co-operation and Development and other organizations involved in the development of unique identification systems for living modified organisms to initiate or enhance their activities towards the development of a harmonized system of unique identifiers for genetically modified micro-organisms and animals.

D. Capacity-building

The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety,

Recognizing the urgent need to address the critical capacity-building requirements of developing country Parties, in particular the least developed and small island developing States among them, and Parties with economies in transition, regard-

ing the implementation of the requirements of Article 18, in particular the documentation requirements under paragraph 2;

Requests the Executive Secretary to convene, prior to the meeting of the open-ended technical expert group mentioned in paragraph 6 of decision BS-I/6A above, subject to the necessary financial resources being made available, a workshop on capacity-building and exchange of experiences on the safe handling, transport, packaging and identification of living modified organisms, as related to the implementation of paragraph 2 of Article 18 of the Protocol.

ANNEX
EXAMPLES OF INTEGRATION OF INFORMATION REQUIREMENTS INTO EXISTING DOCUMENTATION

A. Blank example of template for Article 18.2(b) of the Cartagena Protocol

COMPANY OR INSTITUTION LETTERHEAD

INVOICE

Date _____

Contact Point
☐ Exporter
☐ Importer/Consignee
☐ Other

	Exporter	**Importer/ Consignee**	
Company or Institution			
Contact Person			
Street			
City, Postal Code			
Country			
Phone; Fax			
Email			

Shipping details

SHIPPER REFERENCE NUMBER	SHIPPER CONTACT DETAILS

Item	**Weight/ Amount**	**Volume**	**Description**	**Value**
			Living modified organisms: Destined for contained use Name of the organisms Intended use e.g.. research, others	

Any requirements for safe handling, storage, transport and use

- As provided under applicable existing international requirements,
- As provided under domestic regulatory framework, if any,
- Any other requirements agreed to by the importer and exporter, or
- In the event there is no requirement, indicate that there is no specific requirement

B. Example 1 of template for Article 18.2(b) of the Cartagena Protocol

COMPANY OR INSTITUTION LETTERHEAD

INVOICE

Date _____

Contact Point
☑ Exporter
☐ Consignee
☐ Other

	Exporter	**Consignee**	
Company or Institution	XXXX	YYYY	
Contact Person			
Street			
City, Postal Code			
Country			
Phone; Fax			
Email			

Shipping details

SHIPPER REFERENCE NUMBER	SHIPPER CONTACT DETAILS

Item	**Amount**	**Weight/ Volume**	**Description**	**Value**
1	bag	50 g	Living modified organisms: Destined for contained use Papaya Research material seeds, PRSV (Papaya Ring Spot Virus) resistant	none

Any requirements for safe handling, storage, transport and use

Should only be used in registered facilities

C. EXAMPLE 2 FOR ARTICLE 18.2(B) OF THE CARTAGENA PROTOCOL

Shippers Declaration of Dangerous Goods

Shipper: Name Company or Institution Address Phone number	Air Waybill No: 123456789 Page 1 of 1 Pages Shipper's Reference Number (optional) sso
Consignee: Company or Institution Contact Person Street, City Postal Code, Country Phone, Fax Email	Contact Point ☐ Shipper ☑ Consignee ☐ Other Company or Institution Contact Person Street, City Postal Code, Country Phone, Fax
Two Completed and signed copies of this Declaration must be handed to the operator	**WARNING** Failure to comply in all respects with the applicable Dangerous Goods Regulations may be in breach of the applicable law, subject to legal penalties. This Declaration must not, in any circumstances, be completed and/or signed by a consolidator, a forwarder or an IATA cargo agent.
Transport Details Airport of Departure: This shipment is within the limitations prescribed for: (delete non-applicable) PASSENGER AND CARGO AIRCRAFT ~~CARGO AIRCRAFT ONLY~~ Airport of Destination:	Shipment Type: (delete non-applicable) NON-RADIOACTIVE ~~RADIOACTIVE~~

NATURE AND QUANTITY OF DANGEROUS GOODS

Dangerous Goods Identification Proper-Shipping Name	Class or Division	UN or ID No.	Packing Group	Subsidiary Risk	Quantity and Type of Packing	Packing Instruction	Authorization
Infectious Substances Affecting Humans HIV gene bank in E.coli K12		6.2	UN 2814		1 Fiberboard Box ("Safe-T-Pak") x 25.0 mL	602	
Living modified organisms							
Dry Ice		9	UN 1845		1 x 12.4Kg 1 Overpack Used	904	

Additional Requirements for Safe Handling, Storage, Transport and Use
Prior Arrangements As Required By The IATA Dangerous Goods Regulations 1.3.3.1 Have Been Made. IATA/ICAO USED
This material is for contained use only in a certified Safety Level 2 Facility
24 hr. Emergency Contact Telephone No. Chemtrec 800/424-9300

I hereby declare that the contents of this consignment are fully and accurately described above by the proper shipping name and are classified, packaged, marked and labeled/placarded, and are in all respects in proper condition for transport according to applicable international and national governmental regulations.

Name/Title of Signatory	City, State, Country
Name/Title of Signatory	Date
Place and Date	Signature (see warning above)

D. Blank Example Template for Article 18.2(c) of the Cartagena Protocol

COMPANY OR INSTITUTION LETTERHEAD

INVOICE

Date _____

Contact Point
☐ Exporter
☐ Importer
☐ Other

	Exporter	Importer	
Company or Institution			
Contact Person			
Street			
City, Postal Code			
Country			
Phone; Fax			
Email			

Shipping details

SHIPPER REFERENCE NUMBER	SHIPPER CONTACT DETAILS

Item	Amount	Weight/ Volume	Description	Value
			• Living modified organism • Brief Description of the organisms including category, name, relevant traits including transgenic traits and characteristics such as event(s) of transformation • Where available and applicable: Reference to a system of identification such as: • Harmonized code such as unique identifier • Notification under AIA • Final decisions • Notifications to the BCH Other requirements in accordance with the regulatory status of the LMO in the Party of import	

Any requirements for safe handling, storage, transport and use

- As provided under applicable existing international requirements,
- As provided under domestic regulatory framework, if any,
- Any other requirements agreed to by the importer and the exporter,
- As provided under the advance informed agreement procedure if applicable, or
- In the event there is no requirement, indicate that there is no specific requirement.

I declare that this transboundary movement/shipment is in conformity with the requirements of the Cartagena Protocol applicable to the exporter.

Signature of exporter Date

E. Example 1 Template for Article 18.2(c) of the Cartagena Protocol

COMPANY OR INSTITUTION LETTERHEAD

INVOICE

Date _____

Contact Point
☐ Exporter
☑ Importer
☐ Other

	Exporter	**Importer**	
Company or Institution	XXXX	YYYY	
Contact Person			
Street			
City, Postal Code			
Country			
Phone; Fax			
Email			

Shipping details

SHIPPER REFERENCE NUMBER	SHIPPER CONTACT DETAILS

Item	**Amount**	**Weight/ Volume**	**Description**	**Value**
4	Bags	1 Kg	Living modified organism: Rice, resistance against Xanthomonas campestris pv. Orizae, RI323, 327, 432 &726 Permit RICE3434-02 for experimental release Research material	none

Any requirements for safe handling, storage, transport and use

See permit RICE3434-02

I declare that this transboundary movement/shipment is in conformity with the requirements of the Cartagena Protocol applicable to the exporter.

Signature of exporter Date

F. Example 2 Template for Article 18.2(c) of the Cartagena Protocol

COMPANY OR INSTITUTION LETTERHEAD

INVOICE

Date _____

Contact Point
☐ Exporter
☐ Importer
☑ Other

	Exporter	**Importer**	
Company or Institution	XXXX	YYYY	ZZZZ
Contact Person			
Street			
City, Postal Code			
Country			
Phone; Fax			
Email			

Shipping details

SHIPPER REFERENCE NUMBER	SHIPPER CONTACT DETAILS

Item	**Amount**	**Weight/ Volume**	**Description**	**Value**
4	Bags	1 Kg	Living modified organism: Soybean WSD 432, high oleic acid, HOA Permit #GM21345/2002 for planting OECD UI: BI-ABC891-8* Commercial seeds material	22,000 €

Any requirements for safe handling, storage, transport and use

No Specific Requirement

I declare that this transboundary movement/shipment is in conformity with the requirements of the Cartagena Protocol applicable to the exporter.

Signature of exporter Date

* See OECD Guidance for the Designation of Unique Identifier for Transgenic Plants, 2002—Key to accessing databases that provide additional information on the LMO.

DECISION BS-I/7 | Establishment of procedures and mechanisms on compliance under the Cartagena Protocol on Biosafety

The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety,

Recalling Article 34 of the Cartagena Protocol on Biosafety,

Recognizing the importance of establishing procedures and mechanisms to promote compliance with the provisions of the Protocol and to address cases of non-compliance,

1. *Decides* to adopt procedures and mechanisms on compliance under the Cartagena Protocol on Biosafety as set out in the annex to this decision and to establish the Compliance Committee referred to therein;

2. *Requests* the Executive Secretary, in consultation with the Bureau of the Conference of the Parties serving as the meeting of the Parties to the Protocol, to arrange for a meeting of the Compliance Committee, to be held before the second meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol for the purpose of developing rules of procedure referred to in paragraph 7 of section II of the procedures and mechanisms on compliance under the Cartagena Protocol on Biosafety.

ANNEX
PROCEDURES AND MECHANISMS ON COMPLIANCE UNDER THE CARTAGENA PROTOCOL ON BIOSAFETY

The following procedures and mechanisms are developed in accordance with Article 34 of the Cartagena Protocol on Biosafety and are separate from, and without prejudice to, the dispute settlement procedures and mechanisms established by Article 27 of the Convention on Biological Diversity.

I. Objective, nature and underlying principles

1. The objective of the compliance procedures and mechanisms shall be to promote compliance with the provisions of the Protocol, to address cases of non-compliance by Parties, and to provide advice or assistance, where appropriate.

2. The compliance procedures and mechanisms shall be simple, facilitative, non-adversarial and cooperative in nature.

3. The operation of the compliance procedures and mechanisms shall be guided by the principles of transparency, fairness, expedition and predictability. It shall pay particular attention to the special needs of developing country Parties, in particular the least developed and small island developing States among them, and Parties with economies in transition, and take into full consideration the difficulties they face in the implementation of the Protocol.

II. Institutional mechanisms

1. A Compliance Committee, hereinafter referred to as "the Committee," is hereby established pursuant to Article 34 of the Cartagena Protocol on Biosafety to carry out the functions specified herein.

2. The Committee shall consist of 15 members nominated by Parties and elected by the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety on the basis of three members from each of the five regional groups of the United Nations.

3. Members of the Committee shall have recognized competence in the field of biosafety or other relevant fields, including legal or technical expertise, and serve objectively and in a personal capacity.

4. Members shall be elected by the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety for a period of four years, this being a full term. At its first meeting, the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety shall elect five members, one from each region, for half a term, and ten members for a full term. Each time thereafter, the Conference of the Parties to the serving as the meeting of the Parties to the Cartagena Protocol on Biosafety shall elect for a full term, new members to replace those whose term has expired. Members shall not serve for more than two consecutive terms.

5. The Committee shall meet twice a year, unless it decides otherwise. The Secretariat shall service the meetings of the Committee.

6. The Committee shall submit its reports including recommendations with regard to the discharge of its functions to the next meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol for consideration and appropriate action.

7. The Committee shall develop and submit its rules of procedure to the Conference of the Parties serving as the meeting of the Parties for its consideration and approval.

III. Functions of the Committee

1. The Committee shall, with a view to promoting compliance and addressing cases of non-compliance, and under the overall guidance of the Conference of the Parties serving as the meeting of the Parties to the Protocol, have the following functions:

(a) Identify the specific circumstances and possible causes of individual cases of non-compliance referred to it;

(b) Consider information submitted to it regarding matters relating to compliance and cases of non-compliance;

(c) Provide advice and/or assistance, as appropriate, to the concerned Party, on matters relating to compliance with a view to assisting it to comply with its obligations under the Protocol;

(d) Review general issues of compliance by Parties with their obligations under the Protocol, taking into account the information provided in the national reports communicated in accordance with Article 33 of the Protocol and also through the Biosafety Clearing-House*;*

(e) Take measures, as appropriate, or make recommendations, to the Conference of the Parties serving as the meeting of the Parties to the Protocol;

(f) Carry out any other functions as may be assigned to it by the Conference of the Parties serving as the meeting of the Parties to the Protocol.

IV. Procedures

1. The Committee shall receive, through the Secretariat, any submissions relating to compliance from:

(a) Any Party with respect to itself;

(b) Any Party, which is affected or likely to be affected, with respect to another Party.

The Committee may reject to consider any submission made pursuant to paragraph 1(b) of this section that is *de minimis* or ill-founded, bearing in mind the objectives of the Protocol.

2. The Secretariat shall, within fifteen days of receipt of submissions under paragraph 1(b) above, make the submissions available to the Party concerned, and once it has received a response and information from the concerned Party, it shall transmit the submission, the response and information to the Committee.

3. A Party that has received a submission regarding its compliance with the provisions of the Protocol should respond and, with recourse to the Committee for assistance if required, provide the necessary information preferably within three months and in any event not later than six months. This period of time shall commence on the date of the receipt of the submission as certified by the Secretariat. In the case where the Secretariat has not received any response or information from the concerned Party within the six months as referred to above, it shall transmit the submission to the Committee.

4. A Party, in respect of which a submission is made or which makes a submission, is entitled to participate in the deliberations of the Committee. This Party shall not participate in the elaboration and adoption of a recommendation of the Committee.

V. Information and consultation

1. The Committee shall consider relevant information from:

(a) The Party concerned;

(b) The Party that has made a submission with respect to another Party in accordance with paragraph 1(b) of section IV.

2. The Committee may seek or receive and consider relevant information from sources, such as:

(a) The Biosafety Clearing-House, the Conference of the Parties to the Convention, the Conference of the Parties serving as the meeting of the Parties to the Protocol, and subsidiary bodies of the Convention on Biological Diversity and the Protocol;

(b) Relevant international organizations.

3. The Committee may seek expert advice from the biosafety roster of experts.

4. The Committee, in undertaking all of its functions and activities, shall maintain the confidentiality of any information that is confidential under Article 21 of the Protocol.

VI. Measures to promote compliance and address cases of non-compliance

1. The Committee may take one or more of the following measures with a view to promoting compliance and addressing cases of non-compliance, taking into account the capacity of the Party concerned, especially developing country Parties, in particular the least developed and small island developing States amongst them, and Parties with economies in transition, to comply, and such factors as the cause, type, degree and frequency of non-compliance:

(a) Provide advice or assistance to the Party concerned, as appropriate;

(b) Make recommendations to the Conference of the Parties to the Convention serving as the meeting of the Parties to the Protocol regarding the provision of financial and technical assistance, technology transfer, training and other capacity-building measures;

(c) Request or assist, as appropriate, the Party concerned to develop a compliance action plan regarding the achievement of compliance with the Protocol within a timeframe to be agreed upon between the Committee and the Party concerned; and

(d) Invite the Party concerned to submit progress reports to the Committee on the efforts it is making to comply with its obligations under the Protocol;

(e) Pursuant to paragraph 1(c) and (d) above, report to the Conference of the Parties serving as the meeting of the Parties on efforts made by Parties in non-compliance to return to compliance and maintain this as an agenda item of the Committee until adequately resolved.

2. The Conference of the Parties serving as the meeting of the Parties may, upon the recommendations of the Committee, taking into account the capacity of the Party concerned, especially developing country Parties, in particular the least developed and small island developing States amongst them, and Parties with economies in transition, to comply, and such factors as the cause, type, degree and frequency of non-compliance, also decide upon one or more of the following measures:

(a) Provide financial and technical assistance, technology transfer, training and other capacity-building measures;

(b) Issue a caution to the concerned Party;

(c) Request the Executive Secretary to publish cases of non-compliance in the Biosafety Clearing-House*;*

(d) In cases of repeated non-compliance, take such measures as may be decided by the Conference of the Parties serving as the meeting of the Parties to the Protocol at its third meeting, and thereafter in accordance with Article 35 of the Protocol, within the framework of the review process provided for in Section VII below.

VII. Review of the procedures and mechanisms

The Conference of the Parties serving as the meeting of the Parties to the Protocol shall, at its third meeting and thereafter, in line with Article 35 of the Protocol, review the effectiveness of these procedures and mechanisms, address repeated cases of non-compliance and take appropriate action.

DECISION BS-I/8 | Establishment of an Open-ended Ad Hoc Working Group of legal and technical experts on liability and redress in the context of the Protocol

The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety,

Recalling Article 27 of the Protocol, which requires the Conference of the Parties serving as the meeting of Parties to adopt, at its first meeting, a process with respect to the appropriate elaboration of international rules and procedures in the field of liability and redress for damage resulting from transboundary movements of living modified organisms, analysing and taking due account of the on-going processes in international law on these matters, and to endeavour to complete this process within four years,

Recognizing that the appropriate elaboration of international rules and procedures regarding liability and redress pursuant to Article 27 of the Protocol is crucial for the effective implementation of the Protocol,

Emphasizing that the process with respect to liability and redress under the Protocol is distinct from the process with respect to liability and redress under Article 14, paragraph 2, of the Convention, while acknowledging the need to identify and promote synergies and cross-fertilization between the two processes,

Recognizing that the process with respect to liability and redress under Article 27 of the Protocol is also distinct and different from the compliance procedures and mechanisms under Article 34 of the Protocol,

1. *Decides* to establish an Open-ended Ad Hoc Working Group of Legal and Technical Experts on Liability and Redress to carry out the process pursuant to Article 27 of the Protocol;

2. *Decides* that the terms of reference for the Open-ended Ad Hoc Working Group of Legal and Technical Experts on Liability and Redress established by paragraph 1 above shall be those contained in the annex to this decision;

3. *Requests* the Executive Secretary to convene the Open-ended Ad Hoc Working Group of Legal and Technical Experts on Liability and Redress established by paragraph 1 above as soon as possible, at least once before the second meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol.

4. *Requests* the Executive Secretary in consultation with the Bureau, to convene a Technical Group of Experts on Liability and Redress composed of experts nominated by Parties to the Protocol and based on a fair and equitable geographical representation to undertake preparatory work for the first meeting of the Open-ended Ad Hoc Working Group of Legal and Technical Experts on Liability and Redress.

5. *Invites* Parties, Governments and international organizations and relevant stakeholders that have not done so to submit their views to the Executive Secretary on the questionnaire contained in the annex to recommendation 3/1 of the Intergovernmental Committee on the Cartagena Protocol on Biosafety (UNEP/CBD/ICCP3/10) no later than three months prior to the meeting of the Technical Group of Experts referred to in paragraph 4 above, and *requests* the Secretariat to compile the views submitted including those submitted for the purpose of the first meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol contained in document UNEP/CBD/BS/COP-MOP/1/INF/6, and prepare a synthesis report of the submissions for consideration at that meeting.

ANNEX
TERMS OF REFERENCE FOR THE OPEN-ENDED AD HOC WORKING GROUP OF LEGAL AND TECHNICAL EXPERTS ON LIABILITY AND REDRESS IN THE CONTEXT OF THE CARTAGENA PROTOCOL ON BIOSAFETY

1. The Open-ended Ad Hoc Working Group of Legal and Technical Experts on Liability and Redress (hereinafter referred to as Ad Hoc Group on Liability and Redress) established pursuant to Article 27 of the Protocol shall be composed of representatives, including legal, technical and scientific experts, nominated by Parties to the Protocol. The Ad Hoc Group on Liability and Redress shall be open to the participation as observers of any State not a Party to the Protocol, international organizations, non-governmental organizations and industry.

2. The Ad Hoc Group on Liability and Redress shall elect its chairperson and other officers.

3. The Ad Hoc Group on Liability and Redress shall review the information relating to liability and redress for damage resulting from transboundary movements of living modified organisms, and shall*:*

(a) Examine the information provided by Parties, Governments, relevant international organizations and stakeholders pursuant to recommendations 2/1, paragraph 2, and 3/1, paragraph 1, of the Intergovernmental Committee for the Cartagena Protocol on Biosafety, the synthesis of that information by the Secretariat, as well as information provided to date by the Secretariat in the context of liability and redress under Article 14, paragraph 2, of the Convention on Biological Diversity;

(b) Examine the information and initial understandings submitted by Parties, Governments, relevant international organizations and stakeholders on the basis of the questionnaire on liability and redress for damage resulting from transboundary movements of living modified organisms annexed to recommendation 3/1 of the Intergovernmental Committee for the Cartagena Protocol on Biosafety, as well as further views submitted by them on the matter covered under Article 27 of the Protocol;

(c) Take into account the report of the Workshop on Liability and Redress in the Context of the Cartagena Protocol on Biosafety (UNEP/CBD/BS/COP-MOP/1/INF/8) that was held in Rome from 2 to 4 December 2002 and was a forum for discussion;

(d) Request any information that may be required to assist the work on Article 27 of the Protocol; and

(e) Take due account of the ongoing processes in international law on the matters covered under Article 27 of the Protocol.

4. The Ad Hoc Group on Liability and Redress shall, on the basis of foregoing information, analyse the issues relevant to liability and redress with a view to building understanding and consensus on the nature and contents of international rules and procedures referred to in Article 27 of the Protocol. In doing so, it shall:

(b) Analyse general issues relating to:

(i) The potential and/or actual damage scenarios of concern that may be covered under the Protocol in order to identify the situations for which international rules and procedures referred to in Article 27 of the Protocol may be needed;
(ii) The application of international rules and procedures on liability and redress to the damage scenarios of concern that may be covered under Article 27 of the Protocol;

(b) Elaborate options for elements of rules and procedures referred to in Article 27 of the Protocol, which may include, *inter alia*:

(i) Definition and nature of damage, including scope of damage resulting from transboundary movement of living modified organisms;
(ii) Valuation of damage to biodiversity and to human health;
(iii) Threshold of damage;
(iv) Causation;
(v) Channelling of liability;
(vi) Roles of Parties of import and export;

(vii) Standard of liability;
(viii) Mechanisms of financial security;
(ix) Standing/right to bring claims.

5. The Ad Hoc Group on Liability and Redress shall report on its activities and progress to each subsequent meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol. At the first meeting of the Conference of the Parties serving as the Parties to the Cartagena Protocol on Biosafety after the Group has been established for two years, the Conference of the Parties serving as the meeting of the Parties to the Protocol shall review the progress and if necessary provide guidance to the group. The Ad Hoc Group on Liability and Redress shall present its final report, together with the proposed international rules and procedures in the field of liability and redress pursuant to Article 27 of the Protocol, to the Conference of the Parties serving as the meeting of the Parties to the Protocol.

6. The Ad Hoc Group on Liability and Redress shall complete its work in 2007 in order to enable the Conference of the Parties serving as the meeting of the Parties to the Protocol to fulfil the requirements under Article 27 of the Protocol. The Executive Secretary will convene a Technical Group of Experts on Liability and Redress composed of experts nominated by Parties to the Protocol and based on a fair and equitable geographical representation to undertake preparatory work for the first meeting of the Ad Hoc Group on Liability and Redress. Subject to review at each meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol, the following arrangements may be used as an indicative work plan for the Ad Hoc Group on Liability and Redress:

Indicative work plan of the Technical Group of Experts and the Ad Hoc Group on Liability and Redress*

TIME	MEETINGS	LENGTH
Technical Group of Experts 2004	Preparatory meeting	3 days
Ad Hoc Group 2005	First meeting	5 days
Ad Hoc Group 2005	Second meeting	5 days
Ad Hoc Group 2006	Third meeting	5 days
Ad Hoc Group 2007	Fourth meeting	5 days
Ad Hoc Group 2007	Fifth meeting	5 days

* SUBJECT TO BUDGET CONSIDERATIONS

DECISION BS-I/9 | Monitoring and reporting under the Protocol (Article 33): format and timing for reporting

The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety

1. *Takes note* of the note of the Executive Secretary on monitoring and reporting (UNEP/CBD/BS/COP-MOP/1/10);

2. *Recognizes* the need for clear and simple reporting requirements that:

(a) Consider technical, technological and financial capacity limitations in developing countries, in particular the least developed and small island developing States among them, and countries with economies in transition, as well as countries that are centres of origin and centres of genetic diversity;

(b) Avoid duplication of other requirements pursuant to the Convention on Biological Diversity;

(c) Support statistical analysis and compilation;

(d) Encourage Parties to provide detailed information at national as well as at regional levels, where such information can be useful to other Parties;

3. *Requests* Parties to make use of the reporting format as annexed to this decision;

4. *Recommends* that Parties prepare their reports through a consultative process involving all relevant stakeholders, as appropriate;

5. *Requests* Parties to submit their reports:

(i) On a general frequency of every four years, but in the initial four-year period to submit an interim report two years after the entry into force of the Protocol;
(ii) Twelve months prior to the meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol that will consider the report;
(iii) In an official language of the United Nations;
(iv) In both hard copy and electronic format;

6. *Decides* that the intervals and formats of the reports should be kept under review, building on the experience of Parties in preparing their reports.

ANNEX
DRAFT FORMAT FOR THE INTERIM NATIONAL REPORT ON IMPLEMENTATION OF THE CARTAGENA PROTOCOL ON BIOSAFETY

GUIDELINES FOR USE OF THE REPORTING FORMAT

The following format for preparation of the report on implementation of the Cartagena Protocol on Biosafety called for under Article 33 of the Protocol is a series of questions based on those elements of the Protocol that establish obligations for Contracting Parties. Responses to these questions will help Parties to review the extent to which they are successfully implementing the provisions of the Protocol

and will assist the Conference of the Parties serving as the meeting of the Parties to the Protocol to assess the overall status of implementation of the Convention.

Parties are requested to submit an interim national report on implementation of the Cartagena Protocol on Biosafety in this format to the Executive Secretary no later than 11 September 2005. The reporting format is intended to be specific to the interim national report only. It is expected that the format for the first national report will be slightly more detailed, to allow for reporting on decisions that will have been taken by the Conference of the Parties serving as the meeting of the Parties to the Protocol. Similarly, for subsequent national reports, the format is expected to evolve, as questions that are no longer relevant after the first national report may be deleted, questions that are relevant to ongoing progress in implementation will be retained, and additional questions will be formulated pursuant to future decisions of the Conference of the Parties serving as the meeting of the Parties to the Protocol.

The wording of questions follows the wording of the relevant articles of the Protocol as closely as possible. The use of terms in the questions follows the meanings accorded to them under Article 3 of the Protocol.

The format tries to minimize the reporting burden on Parties, while eliciting the important information regarding implementation of the provisions of the Protocol. Many questions require only a tick in one or more boxes.[233] Other questions seek a qualitative description of experiences and progress, including obstacles and impediments to the implementation of particular provisions.[234] Although there is no set limit on length of text, in order to assist with the review and synthesis of the information in the reports, respondents are asked to ensure that answers are as relevant and as succinct as possible.

The information provided by Parties will not be used to rank performance or to otherwise compare implementation between individual Parties.

The Executive Secretary welcomes any comments on the adequacy of the questions, and difficulties in completing the questions, and any further recommendations on how these reporting guidelines could be improved. Space is provided for such comments at the end of the report.

It is recommended that Parties involve all relevant stakeholders in the preparation of the report, in order to ensure a participatory and transparent approach to its development and the accuracy of the information requested. A box is provided in which to identify those groups who have been involved.

Parties are requested to submit an original signed copy by post and an electronic copy on diskette or by electronic mail. An electronic version of this document will be sent to all national focal points and this will also be available from the Convention's Website at: <http://www.biodiv.org>.

233 If you feel that, in order to properly reflect the circumstances, it is necessary to tick more than one box, please do so. In this case, you are encouraged to provide further information in the text answers that follow.

234 Please feel free to append to the report further information on any of the questions.

Completed reports and any comments should be sent to:

The Executive Secretary
Secretariat of the Convention on Biological Diversity
World Trade Centre
393 St. Jacques Street West, suite 300
Montreal, Quebec
H2Y 1N9 Canada

FAX: (+1 514) 288-6588
E-MAIL: secretariat@biodiv.org

ORIGIN OF REPORT

Party

Contact officer for report

Name and title of contact officer:

Mailing address:

Telephone: Fax:

E-mail:

Submission

Signature of officer responsible for submitting report:

Date of submission:

Please provide summary information on the process by which this report has been prepared, including information on the types of stakeholders who have been actively involved in its preparation and on material which was used as a basis for the report:

OBLIGATIONS FOR PROVISION OF INFORMATION TO THE BIOSAFETY CLEARING-HOUSE

1. Several articles of the Protocol require that information be provided to the Biosafety Clearing-House (see the list below). For your Government, if there are cases where relevant information exists but has not been provided to the BCH, describe any obstacles or impediments encountered regarding provision of that information (Note: to answer this question, please check the BCH to determine the current status of your country's information submissions relative to the list of required information below. If you do not have access to the BCH, contact the Secretariat for a summary):

Information required to be provided to the Biosafety Clearing-House:

(a) Existing national legislation, regulations and guidelines for implementing the Protocol, as well as information required by Parties for the advance informed agreement procedure (Article 20.3(a));

(b) National laws, regulations and guidelines applicable to the import of LMOs intended for direct use as food or feed, or for processing (Article 11.5);

(c) Bilateral, multilateral and regional agreements and arrangements (Articles 14.2, 20.3(b), and 24.1);

(d) Contact details for competent national authorities (Articles 19.2 and 19.3), national focal points (Articles 19.1 and 19.3), and emergency contacts (Article 17.2 and 17.3(e));

(e) In cases of multiple competent national authorities, responsibilities for each (Articles 19.2 and 19.3);

(f) Reports submitted by the Parties on the operation of the Protocol (Article 20.3(e));

(g) Occurrence of unintentional transboundary movements that are likely to have significant adverse effects on biological diversity (Article 17.1);

(h) Illegal transboundary movements of LMOs (Article 25.3);

(i) Final decisions regarding the importation or release of LMOs (i.e. approval or prohibition, any conditions, requests for further information, extensions granted, reasons for decision) (Articles 10.3 and 20.3(d));

(j) Information on the application of domestic regulations to specific imports of LMOs (Article 14.4);

(k) Final decisions regarding the domestic use of LMOs that may be subject to transboundary movement for direct use as food or feed, or for processing (Article 11.1);

(l) Final decisions regarding the import of LMOs intended for direct use as food or feed, or for processing that are taken under domestic regulatory frameworks (Article 11.4) or in accordance with Annex III (Article 11.6) (requirement of Article 20.3(d));

(m) Declarations regarding the framework to be used for LMOs intended for direct use as food or feed, or for processing (Article 11.6);

(n) Review and change of decisions regarding intentional transboundary movements of LMOs (Article 12.1);

(o) LMOs granted exemption status by each Party (Article 13.1);

(p) Cases where intentional transboundary movement may take place at the same time as the movement is notified to the Party of import (Article 13.1); and

(q) Summaries of risk assessments or environmental reviews of LMOs generated by regulatory processes and relevant information regarding products thereof (Article 20.3(c)).

ARTICLE 2: GENERAL PROVISIONS

2. Has your country introduced the necessary legal, administrative and other measures for implementation of the Protocol? (Article 2.1)

   ☐ a) full domestic regulatory framework in place (please give details below)

   ☐ b) some measures introduced (please give details below)

   ☐ c) no measures yet taken

3. Please provide further details about your response to the above question, as well as description of your country's experiences and progress in implementing Article 2, including any obstacles or impediments encountered:

ARTICLES 7 TO 10 AND 12: THE ADVANCE INFORMED AGREEMENT PROCEDURE

See question 1 regarding provision of information to the Biosafety Clearing-House.

4. Is there a legal requirement for the accuracy of information provided by exporters* under the jurisdiction of your country? (Article 8.2)

   ☐ a) yes
   ☐ b) no
   ☐ c) not applicable—not a Party of export

5. If you were a Party of export during this reporting period, did you request any Party of import to review a decision it had made under Article 10 on the grounds specified in Article 12.2?

   ☐ a) yes (please give details below)
   ☐ b) no
   ☐ c) not applicable—not a Party of export

6. Did your country take decisions regarding import under domestic regulatory frameworks as allowed by Article 9.2(c)?

   ☐ a) yes
   ☐ b) no
   ☐ c) not applicable—no decisions taken during the reporting period

7. If your country has been a Party of export of LMOs intended for release into the environment during the reporting period, please describe your experiences and progress in implementing Articles 7 to 10 and 12, including any obstacles or impediments encountered:

8. If your country has taken decisions on import of LMOs intended for release into the environment during the reporting period, please describe your experiences and progress in implementing Articles 7 to 10 and 12, including any obstacles or impediments encountered:

* The use of terms in the questions follows the meanings accorded to them under Article 3 of the Protocol.

ARTICLE 11: PROCEDURE FOR LIVING MODIFIED ORGANISMS INTENDED FOR DIRECT USE AS FOOD OR FEED, OR FOR PROCESSING

See question 1 regarding provision of information to the Biosafety Clearing-House.

9. Is there a legal requirement for the accuracy of information provided by the applicant with respect to the domestic use of a living modified organism that may be subject to transboundary movement for direct use as food or feed, or for processing? (Article 11.2)

   ☐ a) yes
   ☐ b) no
   ☐ c) not applicable (please give details below)

10. Has your country indicated its needs for financial and technical assistance and capacity building in respect of living modified organisms intended for direct use as food or feed, or for processing? (Article 11.9)

    ☐ a) yes (please give details below)
    ☐ b) no
    ☐ c) not relevant

11. Did your country take decisions regarding import under domestic regulatory frameworks as allowed by Article 11.4?

    ☐ a) yes
    ☐ b) no
    ☐ c) not applicable—no decisions taken during the reporting period

12. If your country has been a Party of export of LMOs intended for direct use for food or feed, or for processing, during the reporting period, please describe your experiences and progress in implementing Article 11, including any obstacles or impediments encountered:

13. If your country has been a Party of import of LMOs intended for direct use for food or feed, or for processing, during the reporting period, please describe your experiences and progress in implementing Article 11, including any obstacles or impediments encountered:

ARTICLE 13: SIMPLIFIED PROCEDURE

See question 1 regarding provision of information to the Biosafety Clearing-House.

14. If your country has used the simplified procedure during the reporting period, please describe your experiences in implementing Article 13, including any obstacles or impediments encountered:

ARTICLE 14: BILATERAL, REGIONAL AND MULTILATERAL AGREEMENTS AND ARRANGEMENTS

See question 1 regarding provision of information to the Biosafety Clearing-House.

15. If your country has entered into bilateral, regional or multilateral agreements or arrangements, describe your experiences in implementing Article 14 during the reporting period, including any obstacles or impediments encountered:

* The use of terms in the questions follows the meanings accorded to them under Article 3 of the Protocol.

ARTICLES 15 AND 16: RISK ASSESSMENT AND RISK MANAGEMENT

16. If you were a Party of import during this reporting period, were risk assessments carried out for all decisions taken under Article 10? (Article 15.2)

- ☐ a) yes
- ☐ b) no (please clarify below)
- ☐ c) not a Party of import

17. If yes, did you require the exporter to carry out the risk assessment?

- ☐ a) yes—in all cases
- ☐ b) yes—in some cases (please specify the number and give further details below)
- ☐ c) no
- ☐ d) not a Party of import

18. If you took a decision under Article 10 during the reporting period, did you require the notifier to bear the cost of the risk assessment? (Article 15.3)

- ☐ a) yes—in all cases
- ☐ b) yes—in some cases (please specify the number and give further details below)
- ☐ c) no

19. Has your country established and maintained appropriate mechanisms, measures and strategies to regulate, manage and control risks identified in the risk assessment provisions of the Protocol? (Article 16.1)

- ☐ a) yes
- ☐ b) no

20. Has your country adopted appropriate measures to prevent unintentional transboundary movements of living modified organisms? (Article 16.3)

- ☐ a) yes
- ☐ b) no

21. Does your country endeavour to ensure that any living modified organism, whether imported or locally developed, undergoes an appropriate period of observation commensurate with its life-cycle or generation time before it is put to its intended use? (Article 16.4)

- ☐ a) yes—in all cases
- ☐ b) yes—in some cases (please give further details below)
- ☐ c) no (please give further details below)
- ☐ d) not applicable (please give further details below)

22. Has your country cooperated with others for the purposes specified in Article 16.5?

- ☐ a) yes (please give further details below)
- ☐ b) no (please give further details below)

23. Please provide further details about your responses to the above questions, as well as description of your country's experiences and progress in implementing Articles 15 and 16, including any obstacles or impediments encountered:

ARTICLE 17: UNINTENTIONAL TRANSBOUNDARY MOVEMENTS AND EMERGENCY MEASURES

See question 1 regarding provision of information to the Biosafety Clearing-House.

24. During the reporting period, if there were any occurrences under your jurisdiction that led, or could have led, to an unintentional transboundary movement of a living modified organism that had, or could have had, significant adverse effects on the conservation and sustainable use of biological diversity, taking also into account risks to human health in such States, did you immediately consult the affected or potentially affected States for the purposes specified in Article 17.4?

☐ a) yes—all relevant States immediately ☐ c) no (please clarify below)

☐ b) partially (please clarify below)

25. Please provide further details about your response to the above question, as well as description of your country's experiences in implementing Article 17, including any obstacles or impediments encountered:

ARTICLE 18: HANDLING, TRANSPORT, PACKAGING AND IDENTIFICATION

26. Has your country taken measures to require that living modified organisms that are subject to transboundary movement within the scope of the Protocol are handled, packaged and transported under conditions of safety, taking into account relevant international rules and standards? (Article 18.1)

☐ a) yes (please give details below) ☐ c) not applicable (please clarify below)

☐ b) no

27. Has your country taken measures to require that documentation accompanying living modified organisms for direct use as food or feed, or for processing, clearly identifies that they "may contain" living modified organisms and are not intended for intentional introduction into the environment, as well as a contact point for information? (Article 18.2(a))

☐ a) yes ☐ b) no

28. Has your country taken measures to require that documentation accompanying living modified organisms that are destined for contained use clearly identifies them as living modified organisms and specifies any requirements for the safe handling, storage, transport and use, the contact point for further information, including the name and address of the individual and institution to whom the living modified organisms are consigned? (Article 18.2(b))

☐ a) yes ☐ b) no

29. Has your country adopted measures to require that documentation accompanying living modified organisms that are intended for intentional introduction into the environment of the Party of import and any other living modified organisms within the scope of the Protocol, clearly identifies them as living modified organisms; specifies the identity and relevant traits and/or characteristics, any requirements for the safe handling, storage, transport and use, the contact point for further information and, as appropriate, the name and address of the importer and exporter; and contains a declaration that the movement is in conformity with the requirements of this Protocol applicable to the exporter? (Article 18.2(c))

☐ a) yes ☐ b) no

30. Please provide further details about your responses to the above questions, as well as description of your country's experiences and progress in implementing Article 18, including any obstacles or impediments encountered:

ARTICLE 19: COMPETENT NATIONAL AUTHORITIES AND NATIONAL FOCAL POINTS

See question 1 regarding provision of information to the Biosafety Clearing-House.

ARTICLE 20: INFORMATION-SHARING AND THE BIOSAFETY CLEARING-HOUSE

See question 1 regarding provision of information to the Biosafety Clearing-House.

31. In addition to the response to question 1, please describe any further details regarding your country's experiences and progress in implementing Article 20, including any obstacles or impediments encountered:

ARTICLE 21: CONFIDENTIAL INFORMATION

32. Does your country have procedures to protect confidential information received under the Protocol and that protect the confidentiality of such information in a manner no less favourable than its treatment of confidential information in connection with domestically produced living modified organisms? (Article 21.3)

☐ a) yes ☐ b) no

33. If you were a Party of import during this reporting period, did you permit any notifier to identify information submitted under the procedures of the Protocol or required by the Party of import as part of the advance informed agreement procedure that was to be treated as confidential? (Article 21.1)

    ☐ a) yes (If yes, please give number of cases)

    ☐ b) no

    ☐ c) not applicable—not a Party of import

34. If you answered yes to the previous question, please provide information on your experience including description of any impediments or difficulties encountered:

35. If you were a Party of export during this reporting period, please describe any impediments or difficulties encountered by you, or by exporters under your jurisdiction if information is available, in the implementation of the requirements of Article 21:

ARTICLE 22: CAPACITY-BUILDING

36. If a developed country Party, during this reporting period has your country cooperated in the development and/or strengthening of human resources and institutional capacities in biosafety for the purposes of the effective implementation of the Protocol in developing country Parties, in particular the least developed and small island developing States among them, and in Parties with economies in transition?

- ☐ a) yes (please give details below)
- ☐ b) yes
- ☐ c) not applicable—not a developed country Party

37. If yes, how has such cooperation taken place:

38. If a developing country Party or a Party with an economy in transition, have you benefited from cooperation for technical and scientific training in the proper and safe management of biotechnology to the extent that it is required for biosafety?

- ☐ a) yes—capacity-building needs fully met (please give details below)
- ☐ b) yes—capacity-building needs partially met (please give details below)
- ☐ c) no—capacity-building needs remain unmet (please give details below)
- ☐ d) no—we have no unmet capacity-building needs in this area
- ☐ e) not applicable—not a developing country Party or a Party with an economy in transition

39. If a developing country Party or a Party with an economy in transition, have you benefited from cooperation for technical and scientific training in the use of risk assessment and risk management for biosafety?

- ☐ a) yes—capacity-building needs fully met (please give details below)
- ☐ b) yes—capacity-building needs partially met (please give details below)
- ☐ c) no—capacity-building needs remain unmet (please give details below)
- ☐ d) no—we have no unmet capacity-building needs in this area
- ☐ e) not applicable—not a developing country Party or a Party with an economy in transition

40. If a developing country Party or a Party with an economy in transition, have you benefited from cooperation for technical and scientific training for enhancement of technological and institutional capacities in biosafety?

- ☐ a) yes—capacity-building needs fully met (please give details below)
- ☐ b) yes—capacity-building needs partially met (please give details below)
- ☐ c) no—capacity-building needs remain unmet (please give details below)
- ☐ d) no—we have no unmet capacity-building needs in this area
- ☐ e) not applicable – not a developing country Party or a Party with an economy in transition

41. Please provide further details about your responses to the above questions, as well as description of your country's experiences and progress in implementing Article 22, including any obstacles or impediments encountered:

ARTICLE 23: PUBLIC AWARENESS AND PARTICIPATION

42. Does your country promote and facilitate public awareness, education and participation concerning the safe transfer, handling and use of living modified organisms in relation to the conservation and sustainable use of biological diversity, taking also into account risks to human health? (Article 23.1(a))

- ☐ a) yes—significant extent
- ☐ b) yes—limited extent
- ☐ c) no

43. If yes, do you cooperate with other States and international bodies?

- ☐ a) yes—significant extent
- ☐ b) yes—limited extent
- ☐ c) no

44. Does your country endeavour to ensure that public awareness and education encompass access to information on living modified organisms identified in accordance with the Protocol that may be imported? (Article 23.1(b))

- ☐ a) yes—fully
- ☐ b) yes—limited extent
- ☐ c) no

45. Does your country, in accordance with its respective laws and regulations, consult the public in the decision-making process regarding living modified organisms and make the results of such decisions available to the public? (Article 23.2)

    ☐ a) yes—fully ☐ c) no

    ☐ b) yes—limited extent

46. Has your country informed its public about the means of public access to the Biosafety Clearing-House? (Article 23.3)

    ☐ a) yes—fully ☐ c) no

    ☐ b) yes—limited extent

47. Please provide further details about your responses to the above questions, as well as description of your country's experiences and progress in implementing Article 23, including any obstacles or impediments encountered:

ARTICLE 24: NON-PARTIES

See question 1 regarding provision of information to the Biosafety Clearing-House.

48. If there have been transboundary movements of living modified organisms between your country and a non-Party, please provide information on your experience, including description of any impediments or difficulties encountered:

ARTICLE 25: ILLEGAL TRANSBOUNDARY MOVEMENTS

See question 1 regarding provision of information to the Biosafety Clearing-House.

49. Has your country adopted appropriate domestic measures to prevent and penalize, as appropriate, transboundary movements of living modified organisms carried out in contravention of its domestic measures? (Article 25.1)

☐ a) yes ☐ b) no

50. Please provide further details about your response to the above question, as well as description of your country's experiences in implementing Article 25, including any obstacles or impediments encountered:

ARTICLE 26: SOCIO-ECONOMIC CONSIDERATIONS

51. If during this reporting period your country has taken a decision on import, did it take into account socio-economic considerations arising from the impact of living modified organisms on the conservation and sustainable use of biological diversity, especially with regard to the value of biological diversity to indigenous and local communities? (Article 26.1)

☐ a) yes—significant extent ☐ c) no

☐ b) yes—limited extent ☐ d) not a Party of import

52. Has your country cooperated with other Parties on research and information exchange on any socio-economic impacts of living modified organisms, especially on indigenous and local communities? (Article 26.2)

☐ a) yes—significant extent ☐ c) no

☐ b) yes—limited extent

53. Please provide further details about your responses to the above questions, as well as description of your country's experiences and progress in implementing Article 26, including any obstacles or impediments encountered:

ARTICLE 28: FINANCIAL MECHANISM AND RESOURCES

54. Please indicate if, during the reporting period, your government made financial resources available to other Parties or received financial resources from other Parties or financial institutions, for the purposes of implementation of the Protocol.

- ☐ a) yes—made financial resources available to other Parties
- ☐ b) yes—received financial resources from other Parties or financial institutions
- ☐ c) both
- ☐ d) neither

55. Please provide further details about your response to the above question, as well as description of your country's experiences, including any obstacles or impediments encountered:

OTHER INFORMATION

56. Please use this box to provide any other information related to articles of the Protocol, questions in the reporting format, or other issues related to national implementation of the Protocol:

COMMENTS ON REPORTING FORMAT

The wording of these questions is based on the Articles of the Protocol. Please provide information on any difficulties that you have encountered in interpreting the wording of these questions:

DECISION BS-I/10 | Programme budget for the distinct costs of the Secretariat services for and the Biosafety work programme of the Cartagena Protocol for the biennium 2005–2006

The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety

1. *Welcomes* the annual contribution of US$ 1,000,000 from the host country, Canada and the province of Quebec, of which US$ 165,000 per annum has been allocated to offset contribution from the Parties to the Protocol for the biennium 2005–2006;

2. *Decides* to establish the following trust funds for the Biosafety Protocol for a period of three years, beginning 1 January 2005 and ending 31 December 2007:

(a) Trust Fund for the core programme budget for the Biosafety Protocol (BYP Trust Fund);[235]

(b) Special Voluntary Trust Fund (BEP Trust Fund) for Additional Voluntary Contributions in Support of Approved Activities;[236] and

(c) Special Voluntary Trust Fund (BZP Trust Fund) for Facilitating Participation of Developing Country Parties, in particular the Least Developed and the Small Island Developing States amongst them, and Parties with Economies in Transition.

On an exceptional basis and subject to available resources, funding for participation may be made available to countries from the groups identified in subparagraph (c) above, who provide a clear political commitment towards becoming Parties to the Protocol. Evidence of such political commitment shall take the form of a written assurance to the Executive Secretary that the country intends to become a Party to the Protocol;

3. *Approves* a core (BYP Trust Fund) programme budget for the Biosafety Protocol of US$ 2,166,500 for the year 2005 and of US$ 1,878,700 for the year 2006, for the purposes set out in table 1 below;

4. *Approves* a secretariat staffing table for the programme budget for the Cartagena Protocol on Biosafety, contained in table 2 below, and *requests* that all staff positions be filled expeditiously;

5. *Welcomes with appreciation* decision VII/34 of the seventh meeting of the Conference of the Parties to the Convention, whereby Parties to the Convention have decided to bear the shared costs of US$ 3,267,100 for the year 2005 and US$ 3,326,600 for the year 2006, that are not distinct to the Protocol;

6. *Decides* to provisionally adopt the scale of assessments for the apportionment of the distinct costs among the Parties to the Biosafety Protocol for 2005 and 2006,

235 "BYP" and the other Trust Fund designations used in the present document are subject to change by the Trustee and are used here purely for the convenience of delegations attending the meeting.

236 The BEP Trust Fund shall include the activity previously supported by the General Trust Fund, which was established in paragraph 27 of decision VI/29. The General Trust Fund shall be closed on 1 January 2005 and the funds contained therein shall be transferred to the BEP trust fund.

as contained in table 5 below, and *authorizes* the Executive Secretary, in keeping with the financial rules, to adjust the list of Parties on receipt of notification from the depositary that a State has deposited an instrument of ratification, acceptance, approval or accession;

7. *Decides also* to establish a working capital reserve of five (5) per cent for the core budget (BYP Trust Fund) expenditure, including programme support costs;

8. *Authorizes* the Executive Secretary to transfer resources among the programmes between each of the main appropriation lines set out in the table 1 below up to an aggregate of 15 per cent of the total programme budget, provided that a further limitation of up to a maximum of 25 per cent of each such appropriation line shall apply;

9. *Takes note* of the funding estimates for activities under the Biosafety Protocol to be financed from:

(a) The Special Voluntary Trust Fund (BEP) for Additional Voluntary Contributions in Support of Approved Activities, included in table 3 below; and

(b) The Special Voluntary Trust Fund (BZP) for Facilitating Participation of Developing Country Parties, in particular the Least Developed and the Small Island Developing States amongst them, and Parties with Economies in Transition, included in table 4 below;

and *urges* Parties to make contributions to these funds;

10. *Invites* all Parties to the Protocol to note that contributions to the core budget (BYP Trust Fund) are due on 1 January of the year in which these contributions have been budgeted for, and to pay them promptly, and *urges* Parties in a position to do so, to pay by 15 November of the year 2004 for the calendar year 2005 and by 15 November 2005 for the calendar year 2006 the contributions required to finance the expenditures approved under paragraph 3 above, as offset by the amount in paragraph 1 above, and in this regard requests that Parties be notified of the amount of their contributions by 15 October of the year preceding the year in which the contributions are due;

11. *Urges* all Parties and States not Parties to the Protocol, as well as governmental, intergovernmental and non-governmental organizations and other sources, to contribute to the trust funds of the Cartagena Protocol;

12. *Decides* that the Executive Secretary has the authority, with the concurrence of the Bureau of the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety, to adjust the servicing of the programme of work, including postponement of meetings, if sufficient resources are not available to the Secretariat in a timely fashion;

13. *Requests* the Executive Secretary to prepare and submit a budget for the distinct costs of the secretariat services for and the biosafety work programme of the Protocol for the biennium 2007–2008 to the third meeting the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety, and to report on income and budget performance as well as any adjustments made to the Protocol budget for the biennium 2005–2006;

14. *Notes* the need to facilitate priority-setting by providing Parties with timely information on the financial consequences of different options, taking into account paragraph 17 below and views provided by Parties in this regard. To this end, *requests* the Executive Secretary to include in the proposed budget for the biennium 2007–2008 two alternatives based on:

(a) Maintaining the core budget at the 2005–2006 level (e.g. with zero per cent nominal growth and with zero per cent real growth); and

(b) Increasing the core budget to five per cent nominal growth above the 2005-2006 level;

15. *Requests* the Executive Secretary to report to the second meeting of the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety on income and budget performance, and to propose any adjustments that might be needed in the programme budget for the biennium 2005–2006;

16. *Decides* that the financial rules and regulations and the decisions related to the administration of the budget, adopted by the Conference of the Parties to the Convention on Biological Diversity, be adopted *mutatis mutandis* for the Cartagena Protocol on Biosafety;

17. *Requests* the Executive Secretary, in accordance with rule 14 of the rules of procedure, to provide Parties with an indication of the administrative and financial implications of recommendations to be referred by any committee, liaison group, advisory group, open-ended working group, ad hoc working group or technical expert group for consideration of and subsequent adoption by the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety, which may have administrative and budgetary implication that cannot be met from existing resources within the core budget (BYP Trust Fund)*;*

18. *Invites* the Executive Secretary to extend the fellowship programme of the Convention to the Cartagena Protocol on Biosafety, as a means of enabling developing country Parties to send their nationals to the secretariat for the purposes of enhancing their understanding of the Protocol and other processes, and for increasing awareness of biosafety and related issues;

19. *Instructs* the Executive Secretary, in an effort to improve the efficiency of the Secretariat and to attract highly qualified staff to the Secretariat, to enter into direct administrative and contractual arrangements with Parties, Governments and organizations—in response to offers of human resources and other support to the Secretariat—as may be necessary for the effective discharge of the functions of the Secretariat, while ensuring the efficient use of available competencies, resources and services, and taking into account United Nations rules and regulations. Special attention should be given to possibilities of creating synergies with relevant, existing work programmes or activities that are being implemented within the framework of other international organizations.

TABLE 1: BIENNIUM BUDGET OF THE TRUST FUND FOR THE CARTAGENA PROTOCOL ON BIOSAFETY 2005–2006

EXPENDITURES	2005 (THOUSANDS OF US$)	2006 (THOUSANDS OF US$)
I. Description		
Staff costs	525.3	541.1
Biosafety bureau meetings	33.5	33.5
Travel on official business	60.0	60.0
Consultants/Sub-contracts	25.0	25.0
Biosafety Clearing-House advisory meetings	40.0	40.0
Liaison Group meetings (2/year)	80.0	80.0
Meetings of the Conference of the Parties to the Protocol	525.0	425.0
Compliance Committee meetings	60.0	60.0
Open-ended ad hoc meeting of legal and technical experts on liability and redress	0.0	370.0
Ad Hoc Open-ended Working Group on Article 18	370.0	0.0
Training/Fellowships	20.0	20.0
Temporary assistance/overtime	8.0	8.0
SUB-TOTAL (I)	**1746.8**	**1662.6**
II. Programme support charge (13%)	227.1	216.1
SUB-TOTAL (II)	**227.1**	**216.1**
III. Working Capital Reserve (5%)	192.6	
SUB-TOTAL (III)	**192.6**	**0.0**
GRAND TOTAL (I + II +III)	**2,166.5**	**1,878.7**
Less contribution from the host country	165.0	165.0
NET TOTAL (AMOUNT TO BE SHARED BY PARTIES)	**2,001.5**	**1,713.7**

PRIORITIES IDENTIFIED IN THE CORE BUDGET (US$ 2,511,821 INCLUDING 13% PROGRAMME SUPPORT COSTS AND 5% WORKING CAPITAL RESERVE)

- MEETINGS OF THE BUREAU OF THE CONFERENCE OF THE PARTIES SERVING AS THE MEETING OF THE PARTIES
- BIOSAFETY CLEARING HOUSE ADVISORY GROUP MEETINGS
- SECOND MEETING OF THE CONFERENCE OF THE PARTIES SERVING AS THE MEETING OF THE PARTIES
- THIRD MEETING OF THE CONFERENCE OF THE PARTIES SERVING AS THE MEETING OF THE PARTIES
- CAPACITY-BUILDING BIOSAFETY LIAISON GROUP MEETINGS
- COMPLIANCE COMMITTEE MEETINGS
- FIRST MEETING OF THE OPEN-ENDED AD HOC WORKING GROUP ON LIABILITY AND REDRESS
- OPEN-ENDED AD HOC WORKING GROUP ON ARTICLE 18

TABLE 2: SECRETARIAT STAFFING REQUIREMENTS FOR THE CARTAGENA PROTOCOL ON BIOSAFETY FROM THE CORE BUDGET

	2005	2006
A. Professional Category*		
P-5	1	1
P-4	1	1
P-3	1	1
TOTAL PROFESSIONAL CATEGORY	**3**	**3**
B. Total General Service Category	2	2
TOTAL (A + B)	**5**	**5**

* THE EXECUTIVE SECRETARY WILL REVIEW THE CLASSIFICATION AND REPORT THEREON TO COP/MOP-2

TABLE 3: SPECIAL VOLUNTARY TRUST FUND FOR ADDITIONAL VOLUNTARY CONTRIBUTIONS IN SUPPORT OF APPROVED ACTIVITIES OF THE CARTAGENA PROTOCOL ON BIOSAFETY

DESCRIPTION	2005 (THOUSANDS OF US$)	2006 (THOUSANDS OF US$)
I. Meetings		
Regional meetings for the Biosafety Protocol (4/year)	40,000	40,000
Biosafety Clearing-House Technical Expert Meetings	60,000	60,000
Ad-Hoc Technical and Legal Expert Group meeting on Liability & Redress	60,000	
Coordination meetings on Capacity-Building (under the coordination mechanism)	60,000	60,000
Regional Capacity-building meetings on Article 18 (4/year)	40,000	40,000
Consultants/Sub-contracts		
Biosafety Clearing-House		
• Translation of BCH website		20,000
• Independent Review of the BCH		150,000
• Review of the Roster of Experts		15,000
Equipment		
Replacement/upgrading of BCH hardware/software		50,000
SUB-TOTAL	**445,000**	**50,000**
II. Programme support charges (13%)	57,850	32,500
III. Working capital reserve (5%)		**39,268**
TOTAL COST (I + II + III)	**542,118**	**82,500**

TABLE 4: SPECIAL VOLUNTARY TRUST FUND FOR FACILITATING PARTICIPATION OF PARTIES IN THE BIOSAFETY PROTOCOL PROCESS FOR THE BIENNIUM 2005–2006

DESCRIPTION	2005 (THOUSANDS OF US$)	2006
I. Meetings		
Regional meetings for the Biosafety Protocol (4/year)	200.0	200.0
Meetings of the Parties	540.0	540.0
Open-ended Ad Hoc Working Group of Legal & Technical Experts on Liability and Redress	—	540.0
Open-ended Ad Hoc Working Group on Article 18	540.0	—
Regional Capacity-building meetings on Article 18 (4/year)	200.0	200.0
SUB-TOTAL I	**1,480.0**	**1,480.0**
II. Programme support charges (13%)	**192.4**	**192.4**
TOTAL COST (I + II)	**1,672.4**	**1,672.4**

TABLE 5: CONTRIBUTIONS TO THE TRUST FUND FOR THE CARTAGENA PROTOCOL ON BIOSAFETY FOR THE BIENNIUM 2005–2006

PARTY	UN SCALE OF ASSESSMENTS 2004 %	SCALE WITH 22% CEILING, NO LDC PAYING MORE THAN 0.01% %	CONTRIBUTIONS AS PER 1 JAN. 2005 US$	UN SCALE OF ASSESSMENTS 2004 %	SCALE WITH 22% CEILING, NO LDC PAYING MORE THAN 0.01% %	CONTRIBUTIONS AS PER 1 JAN. 2006 US$	TOTAL CONTRIBUTIONS 2005-2006 US$
Antigua and Barbuda	0.003	0.005	105	0.003	0.005	90	195
Austria	0.859	1.501	30,052	0.859	1.501	25,731	55,783
Bahamas	0.013	0.023	455	0.013	0.023	389	844
Bangladesh	0.010	0.010	200	0.010	0.010	171	372
Barbados	0.010	0.017	350	0.010	0.017	300	649
Belarus	0.018	0.031	630	0.018	0.031	539	1,169
Belgium[1]	1.069	1.869	37,399	1.069	1.869	32,021	69,421
Belize	0.001	0.002	35	0.001	0.002	30	65
Bhutan	0.001	0.002	35	0.001	0.002	30	65
Bolivia	0.009	0.016	315	0.009	0.016	270	584
Botswana	0.012	0.021	420	0.012	0.021	359	779
Brazil	1.523	2.662	53,283	1.523	2.662	45,621	98,903
Bulgaria	0.017	0.030	595	0.017	0.030	509	1,104
Burkina Faso	0.002	0.003	70	0.002	0.003	60	130
Cambodia	0.002	0.003	70	0.002	0.003	60	130
Cameroon	0.008	0.014	280	0.008	0.014	240	520
Colombia	0.155	0.271	5,423	0.155	0.271	4,643	10,066
Croatia	0.037	0.065	1,294	0.037	0.065	1,108	2,403
Cuba	0.043	0.075	1,504	0.043	0.075	1,288	2,792
Cyprus	0.039	0.068	1,364	0.039	0.068	1,168	2,533
Czech Republic	0.183	0.320	6,402	0.183	0.320	5,482	11,884
Denmark	0.718	1.255	25,119	0.718	1.255	21,507	46,627
Djibouti	0.001	0.002	35	0.001	0.002	30	65
Ecuador	0.019	0.033	665	0.019	0.033	569	1,234
Egypt	0.012	0.021	420	0.012	0.021	359	779
El Salvador	0.022	0.038	770	0.022	0.038	659	1,429
Estonia[1]	0.012	0.021	420	0.012	0.021	359	779
Ethiopia	0.004	0.007	140	0.004	0.007	120	260
European Community	2.500	2.500	50,038	2.500	2.500	42,843	92,880
Fiji	0.004	0.007	140	0.004	0.007	120	260
France	6.030	10.540	210,961	6.030	10.540	180,626	391,587
Germany	8.662	15.141	303,042	8.662	15.141	259,467	562,509
Ghana	0.004	0.007	140	0.004	0.007	120	260
Greece[1]	0.530	0.926	18,542	0.530	0.926	15,876	34,418
Grenada	0.001	0.002	35	0.001	0.002	30	65
Hungary	0.126	0.220	4,408	0.126	0.220	3,774	8,182

PARTY	UN SCALE OF ASSESSMENTS 2004 %	SCALE WITH 22% CEILING, NO LDC PAYING MORE THAN 0.01% %	CONTRIBUTIONS AS PER 1 JAN. 2005 US$	UN SCALE OF ASSESSMENTS 2004 %	SCALE WITH 22% CEILING, NO LDC PAYING MORE THAN 0.01% %	CONTRIBUTIONS AS PER 1 JAN. 2006 US$	TOTAL CONTRIBUTIONS 2005–2006 US$
India	0.421	0.736	14,729	0.421	0.736	12,611	27,340
Iran	0.157	0.274	5,493	0.157	0.274	4,703	10,196
Ireland	0.350	0.612	12,245	0.350	0.612	10,484	22,729
Italy[1]	4.885	8.539	170,903	4.885	8.539	146,328	317,231
Japan	19.468	22.000	440,330	19.468	22.000	377,014	817,344
Jordan	0.011	0.019	385	0.011	0.019	330	714
Kenya	0.009	0.016	315	0.009	0.016	270	584
Korea, Democratic Republic	0.010	0.017	350	0.010	0.017	300	649
Latvia	0.015	0.026	525	0.015	0.026	449	974
Lesotho	0.001	0.002	35	0.001	0.002	30	65
Liberia	0.001	0.002	35	0.001	0.002	30	65
Lithuania	0.024	0.042	840	0.024	0.042	719	1,559
Luxembourg	0.077	0.135	2,694	0.077	0.135	2,307	5,000
Madagascar	0.003	0.005	105	0.003	0.005	90	195
Malaysia	0.203	0.355	7,102	0.203	0.355	6,081	13,183
Maldives	0.001	0.002	35	0.001	0.002	30	65
Mali	0.002	0.003	70	0.002	0.003	60	130
Marshall Islands	0.001	0.002	35	0.001	0.002	30	65
Mauritius	0.011	0.019	385	0.011	0.019	330	714
Mexico	1.883	3.291	65,877	1.883	3.291	56,405	122,282
Mongolia	0.001	0.002	35	0.001	0.002	30	65
Mozambique	0.001	0.002	35	0.001	0.002	30	65
Nauru	0.001	0.002	35	0.001	0.002	30	65
Netherlands	1.690	2.954	59,125	1.690	2.954	50,623	109,748
Nicaragua	0.001	0.002	35	0.001	0.002	30	65
Nigeria	0.042	0.073	1,469	0.042	0.073	1,258	2,727
Niue	0.001	0.002	35	0.001	0.002	30	65
Norway	0.679	1.187	23,755	0.679	1.187	20,339	44,094
Oman	0.070	0.122	2,449	0.070	0.122	2,097	4,546
Palau	0.001	0.002	35	0.001	0.002	30	65
Panama	0.019	0.033	665	0.019	0.033	569	1,234
Poland	0.461	0.806	16,128	0.461	0.806	13,809	29,937
Republic of Moldova	0.001	0.002	35	0.001	0.002	30	65
Romania	0.060	0.105	2,099	0.060	0.105	1,797	3,896
Saint Kitts and Nevis	0.001	0.002	35	0.001	0.002	30	65
Saint Vincent & Gren.	0.001	0.002	35	0.001	0.002	30	65
Samoa	0.001	0.002	35	0.001	0.002	30	65
Senegal	0.005	0.009	175	0.005	0.009	150	325

PARTY	UN SCALE OF ASSESSMENTS 2004 %	SCALE WITH 22% CEILING, NO LDC PAYING MORE THAN 0.01% %	CONTRIBUTIONS AS PER 1 JAN. 2005 US$	UN SCALE OF ASSESSMENTS 2004 %	SCALE WITH 22% CEILING, NO LDC PAYING MORE THAN 0.01% %	CONTRIBUTIONS AS PER 1 JAN. 2006 US$	TOTAL CONTRIBUTIONS 2005–2006 US$
Slovakia	0.051	0.089	1,784	0.051	0.089	1,528	3,312
Slovenia	0.082	0.143	2,869	0.082	0.143	2,456	5,325
South Africa	0.292	0.510	10,216	0.292	0.510	8,747	18,962
Spain	2.520	4.405	88,163	2.520	4.405	75,486	163,648
Sweden	0.998	1.744	34,915	0.998	1.744	29,895	64,810
Switzerland	1.197	2.092	41,877	1.197	2.092	35,856	77,733
Tajikistan	0.001	0.002	35	0.001	0.002	30	65
Tonga	0.001	0.002	35	0.001	0.002	30	65
Trinidad and Tobago	0.022	0.038	770	0.022	0.038	659	1,429
Tunisia	0.032	0.056	1,120	0.032	0.056	959	2,078
Turkey	0.372	0.650	13,015	0.372	0.650	11,143	24,158
Uganda	0.006	0.010	200	0.006	0.010	171	381
Ukraine	0.039	0.068	1,364	0.039	0.068	1,168	2,533
United Kingdom of Great Britain and Northern Ireland	6.127	10.710	214,355	6.127	10.710	183,532	397,887
United Republic of Tanzania	0.006	0.010	210	0.006	0.010	180	390
Venezuela	0.171	0.299	5,982	0.171	0.299	5,122	11,105
Viet Nam	0.021	0.037	735	0.021	0.037	629	1,364
TOTAL	**65.166**	**100.000**	**2,001,500**	**65.166**	**100.000**	**1,713,700**	**3,715,210**

1. THESE STATES CONFIRMED THAT THEY WILL BE PARTIES ON 31 DECEMBER 2004

DECISION BS-I/11 | Consideration of other issues necessary for the effective implementation of the Protocol (e.g., Article 29, paragraph 4)

The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety,

Noting the range of mechanisms recommended by the Intergovernmental Committee for the Cartagena Protocol on Biosafety to be utilized, as appropriate, for the purpose of considering, and clarifying scientific and technical issues associated with the implementation of the Protocol;

Recognizing the difficulty involved in building a common view on what scientific and technical issues may need to be addressed at this stage, in order to enhance the effective implementation of the Protocol by creating a common understanding and approach to these issues;

Recognizing further the need for and the advantages of developing and implementing various tools such as common formats, guidance documents, and frameworks for harmonized or common approaches, with regard to several scientific and technical concepts and requirements included in the Protocol,

1. *Decides* to use, as appropriate, all mechanisms available for considering scientific and technical issues arising from the Protocol, and formulating consensual views and common guidance necessary for the effective implementation of the Protocol. These mechanisms include:

(a) The meetings of the Conference of the Parties serving as the meeting of the Parties to the Protocol;

(b) The monitoring and reporting process in accordance with Article 33;

(c) Subsidiary bodies established in accordance with Article 30 and/or Article 29 paragraph 4(b);

(d) Inter-sessional activities;

(e) The services and cooperation of and information provided by international organizations and intergovernmental and non-governmental bodies with competence in biosafety issues;

(f) Periodic assessment and review of the Protocol and its annexes and adoption of amendments, in accordance with Article 35;

(g) Compliance procedures and mechanisms established in accordance with Article 34;

(h) The biosafety roster of experts;

(i) The Biosafety Clearing-House;

(j) The decision-making procedures and mechanism, for paragraph 7 of Article 10;

(k) Regional networks and centres of excellence with competence in biosafety issues; and/or

(l) Visits, and other informal liaison and exchange of views;

2. *Decides* to consider, at its third meeting, the need for designating or establishing a permanent subsidiary body that provides the Conference of the Parties serving as the meeting of the Parties to the Protocol with timely advice on scientific and technical issues arising in relation to the implementation of the Protocol;

3. *Adopts* the guidance on transboundary movement of LMOs with non-Parties annexed to the present decision;

4. *Invites* Parties, other Governments, and relevant international organizations to submit their views to the Executive Secretary, not later than six months prior to the second meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol, on what other scientific and technical issues may need to be addressed as a matter of priority in order to formulate common approaches towards these issues and to promote the effective implementation of the Protocol, for inclusion in a synthesis report to be considered by the second meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol;

5. *Requests* the Executive Secretary to collect and collate existing guidance materials regarding risk assessment and risk management of living modified organisms for consideration by the second meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol, and *invites* Parties, other Governments and relevant international organizations to provide relevant information to the Executive Secretary, not later than six months prior to the second meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol, for inclusion in this report.

ANNEX
GUIDANCE ON THE TRANSBOUNDARY MOVEMENT OF LIVING MODIFIED ORGANISMS BETWEEN PARTIES AND NON-PARTIES

Recalling Article 24 of the Protocol, which requires that transboundary movements of LMOs between Parties and non-Parties be consistent with the objective of the Protocol and that Parties encourage non-Parties to adhere to the Protocol,

Acknowledging that the achievement of the objective of the Protocol depends not only on the compliance of Parties to the Protocol, but also on good faith participation and wide cooperation of States non-Parties to the Protocol with Parties, in particular as regards information sharing through the Biosafety Clearing-House,

Recognizing the need to keep non-Parties informed of the process of implementation of the Protocol on the one hand, and to take into account their views as regards transboundary movement of LMOs between Parties and non-Parties, on the other,

Recalling the relevant provisions of the Convention on Biological Diversity, in particular Articles 8(g), which requires each Party to the Convention to regulate, manage and control the risks associated with LMOs, and Article 19, paragraph 4 which calls upon each Party to the Convention to ensure the provision of available infor-

mation, regarding the use, potential adverse impact and safety of these organisms, to another Party into which the organisms are intended to be introduced,

Recognizing the need for and advantages of providing general guidance to Parties to the Protocol on how to handle transboundary movements of LMOs with non-Parties in ensuring a coherent approach in the implementation of Article 24 of the Protocol and facilitating the participation of non-Parties in the Protocol process,

The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety

1. *Recommends* that each Party to the Protocol should:

(a) Notify or ensure prior notification of exports of LMOs to non-Parties, as applicable, and make available to them information as required by the Protocol;

(b) Encourage and assist, as appropriate, non-Parties to make informed decisions regarding imports of LMOs consistent with the objective of the Protocol;

(c) When exporting LMOs to non-Parties, ensure that risk assessment is carried out, in accordance with the provisions of the Protocol;

(d) Apply its domestic regulatory framework consistent with the Protocol, or the advanced informed agreement procedure of the Protocol, or a comparable procedure, as appropriate, in importing LMOs from a non-Party;

(e) Protect confidential information received from non-Parties in relation to transboundary movements of LMOs;

(f) Monitor and report, in accordance with Article 33 of the Protocol transboundary movements with non-Parties, including difficulties encountered or best-practices identified and implemented;

2. *Encourages* non-Parties to:

(a) Ratify, accept, approve or accede to the Protocol;

(b) Cooperate with Parties in their efforts to achieve the objective of the Protocol;

(c) Adhere to the provisions of the Protocol, in particular those regarding the advance informed agreement procedure; risk assessment; risk management; and handling, transport, packaging and identification of LMOs, on a voluntary basis;

(d) Make available to the Biosafety Clearing-House information required under the Protocol, especially that under Article 11, paragraph 1, Article 17, and Article 20, paragraph 3;

(e) Participate in capacity-building activities designed and implemented to promote the effective implementation of the Protocol;

(f) Inform the Secretariat of its competent national authorities and national focal point;

3. *Requests* the Executive Secretary to:

(a) Facilitate the participation of non-Parties in the process of the Protocol, in accordance with the appropriate rules of procedure;

(b) Compile and disseminate information on cooperative undertakings between Parties to the Protocol and non-Parties in promoting the effective implementation of the Protocol.

DECISION BS-I/12 | Medium-term programme of work for the Conference of the Parties serving as the meeting of the Parties to the Biosafety Protocol (from the second to the fifth meetings)

The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety

1. *Decides*:

(a) To hold its second and third meetings on an annual basis in order to expedite the process of addressing those issues of the Protocol which it is required to consider and take appropriate decisions at an early stage of implementation. This arrangement may continue beyond the third meeting as necessary if so decided by the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety;

(b) To adopt the medium-term programme of work for the period covering from the second to the fifth meetings as annexed to the present decision,

(c) To review, at its subsequent meetings, the medium-term programme of work in light of new developments and achievements in the implementation of the Protocol;

2. *Requests* the Executive Secretary to prepare the draft provisional agenda of subsequent meetings, pursuant to rules 8 and 9 of the rules of procedure, on the basis of issues identified in the medium-term programme of work for the respective meetings, and issues arising from any meeting preceding the current one.

ANNEX
MEDIUM-TERM PROGRAMME OF WORK OF THE CONFERENCE OF THE PARTIES SERVING AS THE MEETING OF THE PARTIES TO THE PROTOCOL (FOR THE PERIOD FROM THE SECOND TO THE FIFTH MEETING)

1. The medium-term programme of work will consist of standing and rolling issues.

2. Standing issues will include:

(a) Matters relating to the financial mechanism and resources;

(b) Report from the Secretariat on the administration of the Protocol;

(c) Programme of work and budget for the Secretariat as regards its costs of distinct secretariat services for the Protocol;

(d) Report from, and consideration of recommendations from the Compliance Committee;

(e) Report on the operation of the Biosafety Clearing-House;

(f) Report on the status of capacity-building activities and the use of the roster of biosafety experts;

(g) Cooperation with other organizations, initiatives and conventions.

3. The other issues and derived activities necessary to implement the Protocol should be dealt with on the basis of a specific agenda that would be adopted for each meeting, on the understanding that these rotating issues will be developed and continually dealt with, in accordance with the decisions of the Conference of the Parties serving as the meeting of the Parties to the Protocol, by the relevant subsidiary bodies, including any eventual working groups established by the Conference of the Parties serving as the meeting of the Parties.

4. *At its second meeting*, the Conference of the Parties serving as the meeting of the Parties to the Protocol may consider, *inter alia*, the following items:

(a) Notification:

(i) To consider options for implementing Article 8 with respect to requirements, by a Party of export, to ensure notification and the accuracy of information contained in notification by the exporter.

(b) Risk assessment and risk management:

(i) To consider clarification of the issues involved;

(ii) To consider the development of guidance and a framework for a common approach in risk assessment and risk management;

(iii) Cooperation in identifying living modified organisms or specific traits that may have adverse effects on the conservation and sustainable use of biological diversity, taking also into account risks to human health, and taking appropriate measures regarding the treatment of such living modified organisms or specific traits (Article 16, paragraph 5).

(c) Handling, transport, packaging and identification:

(i) To consider a decision on the detailed requirements for the identification of living modified organisms intended for direct use as food or feed, or for processing, including specification of their identity and any unique identification under paragraph 2(a) of Article 18.

(d) Liability and redress:

(i) To consider the first progress report of the process established for the elaboration of international rules and procedures in the field of liability and redress for damage resulting from transboundary movements of living modified organisms.

(e) Socio-economic considerations:

(i) Cooperation on research and information exchange on any socio-economic impacts of living modified organisms, especially on indigenous and local communities (Article 26, paragraph 2).

(f) Public awareness and participation:

(i) To consider options for cooperation, as appropriate, with other States and international bodies, on the promotion and facilitation of public awareness, education and participation concerning the safe transfer, handling and use of living modified organisms in relation to the conservation and sustainable use of biological diversity, taking into account also risks to human health (Article 23, paragraph 1(a)).

5. *The third meeting* of the Conference of the Parties serving as the meeting of the Parties to the Protocol may consider, *inter alia*, the following items:

(a) Handling, transport, packaging and identification;

(i) To consider the need for and modalities of developing standards with regard to identification, handling, packaging and transport practices, in consultation with other relevant international bodies (Article 18, paragraph 3).

(b) Liability and redress:

(i) To consider the progress report of the process established for the elaboration of international rules and procedures in the field of liability and redress for damage resulting from transboundary movements of living modified organisms.

(c) Subsidiary bodies:

(i) To consider the need for designating one or the other subsidiary body of the Convention to serve the Protocol and specifying the functions which that body should handle, in accordance with Article 30, paragraph 1, of the Protocol;

(ii) To consider whether there is a need to establish further subsidiary bodies to enhance the implementation of the Protocol.

(d) Monitoring and reporting:

(i) To consider interim national reports* by Parties on the implementation of the Protocol.

(e) Assessment and review:

(i) To initiate a process of evaluation of the effectiveness of the Protocol, including an assessment of its procedures and annexes with a view to meet the requirement under Article 35 of the Protocol.

* This proposal takes into account decision BS-I/9 on Monitoring and Reporting which requests Parties to submit an interim report two years after entry into force of the Protocol and 12 months prior to the meeting of COP-MOP at which the report will be considered.

6. At its *fourth meeting*, the Conference of the Parties serving as the meeting of the Parties to the Protocol might wish to consider, *inter alia*, the following items:

(a) Monitoring and reporting:

(i) To consider the first regular national reports by Parties on the implementation of the Protocol.

(b) Review of the implementation of the Protocol:

(i) To consider and adopt, as required, amendments to the Protocol and its annexes, as well as additional annexes, that are deemed necessary for the implementation of the Protocol (Article 35 and Article 29, paragraph 4(e));

(ii) Review of the decision-making procedures and mechanisms adopted in accordance with paragraph 7 of Article 10;

(iii) Review of the compliance procedures and mechanisms.

7. At its *fifth meeting*, the Conference of the Parties serving as the meeting of the Parties to the Protocol may consider, *inter alia*, the following items:

(a) Application of the advance informed agreement procedure:

(i) To consider a modality that might enable to identify living modified organisms that are not likely to have adverse effects on the conservation and sustainable use of biological diversity, taking also into account risks to human health, with a view to arrive at a decision in accordance with paragraph 4 of Article 7.

(b) Review of the medium-term programme of work (second to fifth meeting):

(i) To undertake an overall review of the medium-term programme and consider a long-term programme of work.

DECISION BS-I/13 | Date and venue of the second meeting of the Conference of the Parties to the Convention on Biological Diversity serving as the meeting of the Conference of the Parties to the Cartagena Protocol on Biosafety

The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety

Decides that the second meeting of the Conference of the Parties to the Convention on Biological Diversity serving as the meeting of the Parties to the Cartagena Protocol on Biosafety will be held in the second quarter of 2005, at a venue and on a date to be specified by the Executive Secretary, in consultation with the Bureau.

DECISION BS-I/14 | Tribute to the Government and people of Malaysia

The Conference of the Parties serving as the meeting of the Parties to the Cartagean Protocol on Biosafety,

Having met in Kuala Lumpur from 23 to 27 February 2004, at the gracious invitation of the Government of Malaysia,

Deeply appreciating the especial courtesy and warm hospitality extended by the Government and the people of Malaysia to the ministers, members of delegations, observers and members of the Secretariat who attended the meeting,

Expresses its sincere gratitude to the Government of Malaysia and to its people for the cordial welcome that they accorded to the meeting and to those associated with its work, and for their contribution to the success of the meeting.

ANNEX II
RECOMMENDATION OF THE CONFERENCE OF THE PARTIES SERVING AS THE MEETING OF THE PARTIES TO THE PROTOCOL TO THE SEVENTH MEETING OF THE CONFERENCE OF THE PARTIES ON THE GUIDANCE TO THE FINANCIAL MECHANISM

The Conference of the Parties,

Welcoming the biosafety capacity-building initiatives of the Global Environment Facility and its implementing agencies,

Recognizing the need to ensure that guidance to the financial mechanism will support in a balanced manner the objectives of the Convention and its Protocol,

Urging the Council of the Global Environment Facility to ensure participation by all Council members in its meetings,

Stressing the need for mutual information, coordinated action and regular monitoring in order to avoid duplication and to identify gaps and possible synergies because of the multitude of different actors undertaking various capacity-building initiatives, and for an active role the Executive Secretary should play in promoting this process,

Confirming that the arrangements between the Conference of the Parties and the Council of the Global Environment Facility provided for in the Memorandum of Understanding adopted by the Conference of the Parties at its third meeting will apply, *mutatis mutandis,* for purposes of the Cartagena Protocol,

1. *Decides* to provide the following guidance to the Global Environment Facility to be implemented in a timely manner.

2. *Decides also* the following eligibility criteria for funding by the Global Environment Facility:

(a) All developing countries, in particular the least developed and small island developing States among them, and countries with economies in transition,

including countries amongst these that are centres of origin and centres of genetic diversity, which are Parties to the Protocol, are eligible for funding by the Global Environment Facility in accordance with its mandate;

(b) All developing countries, in particular the least developed and small island developing States among them, and countries with economies in transition, including countries amongst these that are centres of origin and centres of genetic diversity, which are Parties to the Convention and provide a clear political commitment towards becoming Parties to the Protocol, shall also be eligible for funding by the Global Environment Facility for the development of National Biosafety Frameworks and the establishment of national Biosafety Clearing-Houses. Evidence of such political commitment shall take the form of a written assurance to the Executive Secretary that the country intends to become a Party to the Protocol on completion of the activities to be funded.

3. *Stresses* that the provision of financial resources by the Global Environment Facility shall be for country-driven activities and programmes consistent with their national priorities and objectives.

4. *Invites* developed country Parties, Governments, the Global Environment Facility, other donor agencies and relevant organizations to provide financial support and other assistance to developing country Parties, in particular the least developed and the small island developing States among them, and Parties with economies in transition, including countries amongst these that are centres of origin and centres of genetic diversity, to develop and implement capacity-building activities, including organization of national, regional and inter-regional capacity building workshops and preparatory meetings.

5. *Invites* the Global Environment Facility to extend support for demonstration projects on implementation of the national biosafety frameworks to other eligible countries.

6. *Urges* the Global Environment Facility to ensure a rapid implementation of its initial strategy for assisting countries to prepare for the ratification and implementation of the Protocol, and to support capacity-building for the establishment of national components of the Biosafety Clearing-House in a flexible manner, and to provide additional support for the development and/or strengthening of existing national and regional centres for training; regulatory institutions; risk assessment and risk management; infrastructure for LMO detection, testing, identification and long-term monitoring; legal advice; decision-making; handling of socio-economic considerations; awareness-raising and technology transfer for biosafety.

7. *Notes* that the role of the Global Environment Facility, in accordance with its mandate, in the Action Plan for Building Capacities for the Effective Implementation of the Protocol, adopted by the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety at its first meeting, includes:

(a) Providing funding and other assistance to build necessary legislative and administrative frameworks, and for training in risk assessment and risk management;

(b) Deciding on further areas for financial support for capacity-building in accordance with the identified priority needs of developing countries and countries with economies in transition, responses to the questionnaires, the outcomes of inter-sessional workshops, and its previous pilot project on biosafety*;*

(c) Implementing the GEF Strategy to assist countries to ratify and implement the Cartagena Protocol on Biosafety;

(d) Facilitating the provision of technical support; and

(e) Facilitating the use of existing and developing regional networks.