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**Guide to Indicators for the Strategy for Resource Mobilization: Methodological Guidance,  
Implementation Guidelines, Baselines and Effective Reporting Framework**

Draft for global consultation and peer review

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## Foreword

The Strategy for Resource Mobilization in Support of the Achievement of the Three Objectives of the Convention on Biological Diversity, contained in decision IX/11, provides a powerful reference tool for elaborating financial support actions to prevent, mitigate and halt the loss of biodiversity and ecosystem services at all levels.

The implementation of the resource mobilization strategy is just starting around the world, and the urgency of this implementation has been enhanced by the unfolding of the 2011-2020 global strategic plan for biodiversity, including the 20 Aichi targets.

In decision X/3, the tenth meeting of the Conference of the Parties to the Convention adopted fifteen indicators to monitor the progress in implementing the resource mobilization strategy. The same decision requested further development of methodological guidance, implementation guidelines, baselines and effective reporting framework for these indicators.

This Guide to Indicators for the Strategy for Resource Mobilization seeks to provide a common understanding of adopted indicators and underlying concepts, and also proposes a common approach to application at all levels. National implementation of these indicators may need to adapt to specific country circumstances, needs and capacities. As experiences and lessons become available in this regard over time, this Guide may also need to be updated periodically and regularly.

The Guide to Indicators for the Strategy for Resource Mobilization is available at: <http://www.cbd.int/financial/strategy/indicators/>.

(Draft)

## **Introduction**

This Guide to Indicators for the Strategy for Resource Mobilization has been prepared as a response to the request by the tenth meeting of the Conference of the Parties. In decision X/3, the Conference of the Parties adopted a set of fifteen indicators for monitoring the implementation of the strategy for resource mobilization, and requested for methodological guidance on indicators, implementation guidelines on indicators, baselines and an effective reporting framework.

The Guide is structured to have four parts, in line with the requests of the Conference of the Parties.

In Part I, methodological guidance on indicators provides definitions and explanations of relevant concepts and terms as well as techniques used to calculate, analyse and present indicator information. The definitions and explanations of relevant concepts and terms as well as techniques are based, as much as possible, on existing literature and understanding of other international institutions, and are also adapted to the specific interests of the Conference of the Parties. The information required for implementing the indicators adopted by the Conference of the Parties provides the basis for elaborating the subsequent implementation guidelines and reporting procedures.

In Part II, implementation guidelines on indicators addresses the information needs identified in the Methodological Guidance on Indicators by providing financial reporting standard or standardized financial information. The task of collecting information on financing has been difficult, laborious and occasionally costly due to the large number of sources of biodiversity funding, and the variety of procedures, often complicated and ad hoc. Financing to biodiversity by the ministry or ministries of environment is usually known with sufficient accuracy, but that of other ministries and departments which fund biodiversity at the different levels of government is much less well known. Information on foreign aid, often a substantial source of funding, is frequently incomplete and inaccurate. Financing by non-governmental sources is evaluated very roughly, and financial contribution by businesses is almost always unavailable.

The deficiency of financial reporting standard as well as standardized financial information has become a stumbling block for biodiversity policy analysis and informed decision making at both the national and global levels. In November 1996, the third meeting of the Conference of the Parties already called for development of standardized information on financial support for the objectives of the Convention on Biological Diversity, as well as for inclusion of such information in national reports (see decision III/6, paragraph 4). The implementation guidelines on indicators is thus part of the continuous efforts to improve the collection and compilation of biodiversity funding information.

Part III, baselines, seeks to foster common understanding of baselines.

In Part IV, Effective Reporting Framework, proposes a robust institutional process and procedures for reporting indicator-related information.

The indicators for the strategy for resource mobilization are expected to serve as a tool to improve understanding of biodiversity financing, such as the adequacy of resource levels for biodiversity and the way that those resources are used. Together with underlying data, these indicators can be used for a coherent analysis based upon observations classified in a coherent manner, as well as for conducting simulations, or for making international comparisons, in order to support biodiversity policy analysis and informed decision making at both the national and global levels.

Nevertheless, the present Guide is not designed to directly assess the performance of biodiversity financing. The relationship between biodiversity programmes and actual biodiversity achievements needs to be examined differently, taking into account for instance the fact that biodiversity achievements often go well beyond the period covered by biodiversity financing. Further work on such link may be

elaborated through the work of the Ad Hoc Technical Expert Group (*AHTEG*) on Indicators and the Biodiversity Indicators Partnership.

The Guide is a working document that may be updated or revised periodically on the basis of experiences gained and new knowledge acquired.

## **Reading orientation**

This Guide for resource mobilization indicators may be used by a wide range of biodiversity stakeholders. Different stakeholders can have different information needs, and thus may use the present Guide in a different way. The following are some user-friendly orientations:

### **➤ For negotiators responsible for global decision making**

The present Guide seeks to follow strictly the requirements of decision X/3 adopted by the tenth meeting of the Conference of the Parties, including the sequences of requests for methodological guidance, implementation guidelines, baselines and effective reporting framework. It likely provides common languages that may be used in further global negotiations. Negotiators responsible for global decision-making are thus advised to review the whole Guide during the process of global consultation and peer review, and ensure that the present Guide represents the global common understanding of concepts and methods at stake.

### **➤ For national biodiversity policy makers**

National biodiversity policy makers can benefit from resource mobilization information covered by the present Guide, in particular during the process of national biodiversity strategies and action plans as well as periodical national budgetary programming. They should start with Part IV (effective reporting framework) to ensure an appropriate national data collection system in place, including empowering resource mobilization focal points financially and politically. They should also understand the design of national data collection and compilation system in accordance with sections 2.2 and 2.3, and encourage a national response to the global questionnaire on indicators for resource mobilization. National biodiversity policy makers need to consider national relevance of methodological guidance on indicators (Part I) and baselines (Part III), and choose a national course of action.

### **➤ For indicator information compilers**

Indicator information compilers may be resource mobilization focal points or national focal points of the Convention themselves, or guided by them. As their primary responsibility is to collect and compile indicator information, they can start with Part IV (effective reporting framework) to gain an understanding of their duties and responsibilities and how they can gain necessary assistance from the Convention Secretariat. Then they should concentrate on Part II (implementation guidelines for indicators), in order to design and implement a national system of data collection and compilation. Indicator information compilers are thus requested to pay special attention to Part II of this Guide during the process of global consultation and peer review, and ensure that any implementation questions can be fully addressed as early as possible.

### **➤ For biodiversity policy analysts and researchers**

Biodiversity policy analysts and researchers can have a broad interest in all issues covered by the present Guide, but may be particularly interested in statistical quality and information structure that can deliver useful and relevant policy messages. They should read the whole document, and ensure high-level technical soundness of indicator application during the process of global consultation and peer review. They are encouraged to advise on further development of annex 2.2, sections 2.2.3 and 2.4.2.

## **Part I. Methodological Guidance**



## 1.0 Introduction

1.0.1 An indicator is a statistical value that gives an indication of the status or condition of the implementation of the Strategy for Resource Mobilization in Support of the Achievement of the Three Objectives of the Convention on Biological Diversity. The use of indicators can help countries measure the progress in implementation, and determine what direction to take in order to address any gaps or deficits in implementation.

1.0.2 In decision X/3, the tenth meeting of the Conference of the Parties adopted fifteen indicators for monitoring the implementation of the resource mobilization strategy. The fifteen indicators largely correspond to the mission and strategic goals of the resource mobilization strategy, and each of these indicators can be used to track the implementation of at least one aspect of the resource mobilization strategy. Taken together, the fifteen indicators provide a comprehensive measurement of global and national efforts to mobilize resources in support of biodiversity objectives.

1.0.3 The fifteen indicators adopted in October 2010 are as follows:

- (1) Aggregated financial flows, in the amount and where relevant percentage, of biodiversity-related funding, per annum, for achieving the Convention's three objectives, in a manner that avoids double counting, both in total and in, *inter alia*, the following categories:
  - (a) Official Development Assistance (ODA);
  - (b) Domestic budgets at all levels;
  - (c) Private sector;
  - (d) Non-governmental organizations, foundations, and academia;
  - (e) International financial institutions;
  - (f) United Nations organizations, funds and programmes;
  - (g) Non-ODA public funding;
  - (h) South-South cooperation initiatives;
  - (i) Technical cooperation;
- (2) Number of countries that have:
  - (a) Assessed values of biodiversity, in accordance with the Convention;
  - (b) Identified and reported funding needs, gaps and priorities;
  - (c) Developed national financial plans for biodiversity;
  - (d) Been provided with the necessary funding and capacity building to undertake the above activities;
- (3) Amount of domestic financial support, per annum, in respect of those domestic activities which are intended to achieve the objectives of this Convention;
- (4) Amount of funding provided through the Global Environment Facility and allocated to biodiversity focal area;
- (5) Level of CBD and Parties' support to other financial institutions that promote replication and scaling-up of relevant successful financial mechanisms and instruments;
- (6) Number of international financing institutions, United Nations organizations, funds and programmes, and the development agencies that report to the Development Assistance

Committee of Organisation for Economic Co-operation and Development (OECD/DAC), with biodiversity and associated ecosystem services as a cross-cutting policy;

- (7) Number of Parties that integrate considerations on biological diversity and its associated ecosystem services in development plans, strategies and budgets;
- (8) Number of South-South cooperation initiatives conducted by developing country Parties and those that may be supported by other Parties and relevant partners, as a complement to necessary North-South cooperation;
- (9) Amount and number of South-South and North-South technical cooperation and capacity-building initiatives that support biodiversity;
- (10) Number of global initiatives that heighten awareness on the need for resource mobilization for biodiversity;
- (11) Amount of financial resources from all sources from developed countries to developing countries to contribute to achieving the Convention's objectives;
- (12) Amount of financial resources from all sources from developed countries to developing countries towards the implementation of the Strategic Plan for Biodiversity 2011-2020;
- (13) Resources mobilized from the removal, reform or phase-out of incentives, including subsidies, harmful to biodiversity, which could be used for the promotion of positive incentives, including but not limited to innovative financial mechanisms, that are consistent and in harmony with the Convention and other international obligations, taking into account national social and economic conditions;
- (14) Number of initiatives, and respective amounts, supplementary to the financial mechanism established under Article 21, that engage Parties and relevant organizations in new and innovative financial mechanisms, which consider intrinsic values and all other values of biodiversity, in accordance with the objectives of the Convention and the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of the Benefits Arising out of Their Utilization;
- (15) Number of access and benefit-sharing initiatives and mechanisms, consistent with the Convention and, when in effect, with the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of the Benefits Arising out of Their Utilization, including awareness-raising, that enhance resource mobilization.

1.0.4 To promote common methodological understanding and application of these adopted indicators, this Guidance describes each indicator in the following format: name; brief definition; policy relevance; related indicators; methodological description (underlying definitions and concepts, calculation method, frequency, limitations); data (data required, data sources); and baselines.

1.0.5 National and regional application of the adopted indicators for resource mobilization may evolve around their specific country and regional circumstances, needs and capacities. For purposes of comparability and global aggregation, this Guidance should be used as much as possible in relevant reporting exercises.

## 1.1 Aggregated financial flows

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

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

### **Brief definition:**

1.1.1 The indicator can be defined as the aggregated total of financial support from all entities of biodiversity financing as defined by the Implementation Guidelines on Indicators (see section 2.3.1).

### **Policy relevance:**

1.1.2 The indicator can be used to demonstrate all the efforts in mobilizing all resources, in response to the mission of the Strategy for Resource Mobilization, as well as Articles 20, 21, 8(m) and 9(e) of the Convention.

### **Related indicators:**

1.1.3 This aggregated indicator is related to all its disaggregated elements that are also identified for purposes of indicators under decision X/3, including indicators 3, 4, 9, 11, 12, 13 and 14. Those indicators may use some information repetitively, but their statistical quality is not affected.

## **METHODOLOGICAL DESCRIPTION**

### **Underlying definitions and concepts:**

1.1.4 Official Development Assistance (ODA) refers to flows of official financing administered with the promotion of the economic development and welfare of developing countries as the main objective, and which are concessional in character with a grant element of at least 25 percent (using a fixed 10 percent rate of discount). By convention, ODA flows comprise contributions of donor government agencies, at all levels, to developing countries ("bilateral ODA") and to multilateral institutions. ODA receipts comprise disbursements by bilateral donors and multilateral institutions. Lending by export credit agencies—with the pure purpose of export promotion—is excluded. Grants, Loans and credits for military purposes are excluded. Transfer payments to private individuals (e.g. pensions, reparations or insurance payouts) are in general not counted.

1.1.5 As total amount of funding should be disaggregated in accordance with the nine categories of funding identified in decision X/3, paragraph 7(a), Official Development Assistance (ODA) for purposes of this guidance should be understood to comprise only bilateral sources of funding. To avoid double counting, traditional elements of official development assistance provided through United Nations,

international financial institutions, non-governmental organizations, technical cooperation, and private sector are separately identified. The list of bilateral agencies is provided in annex 1.1 to this guidance, and also discussed under indicator 6.

1.1.6 Domestic budgets at all levels include only general government budgets at national, regional and local levels. Budget support provided from foreign governments should be separately counted. This category of funding is also discussed under indicator 3.

1.1.7 According to the UN System for National Accounts, the private sector comprises private corporations, households and non-profit institutions serving households (NPISHs). As non-governmental organizations are counted separately and households are covered through relevant organizations, the private sector in this guidance only refers to private corporations. Official development assistance may be provided through multinational corporations, and this should be separately identified.

1.1.8 Non-governmental organizations, including those non-profit organizations representing major groups addressed in Agenda 21, are legally constituted organizations that operate independently from any government. Independence is a major attribute of non-governmental organizations. Operational non-governmental organizations mobilize financial resources, materials and volunteers to develop and implement localized projects and programmes in the field. Campaigning nongovernmental organizations typically try to raise awareness by lobbying, press work and activist events. In some countries, non-governmental organizations are distinguished for development purposes and for environmental purposes. Some development non-governmental organizations also carry out biodiversity activities, and thus should be appropriately counted. Official development assistance may be provided through non-governmental organizations, particularly local branches of international non-governmental organizations, and this should be separately identified.

1.1.9 Foundations are a legal category of non-profit organizations that typically either donate funds and support to other organizations, or provide the source of funding for its own charitable purposes. Depending on specific national legal contexts, foundations may be defined differently. Care should be taken to avoid double counting between foundations, non-governmental organizations and academia.

1.1.10 Academia refers to all institutions aimed at advancing knowledge development, including educational establishments and research institutions. Academia may be regarded as non-governmental organizations in some countries, and for purposes of this guidance, should be counted separately. Official development assistance may be provided through academia, and this should be separately identified.

1.1.11 International financial institutions include Global Environment Facility, the World Bank Group and regional development banks. Global Environment Facility is a joint initiative of the United Nations and the World Bank, and is included in this category for purposes of counting. As Global Environment Facility provides funding mostly through its multilateral and other agencies and operates as the institutional structure of the financial mechanism of the Convention, no funding from the Global Environment Facility should be counted as funding from its agencies. The list of international financial institutions is provided in annex 1.2 to this guidance, and also discussed under indicator 6.

1.1.12 United Nations organizations, funds and programmes encompass those intergovernmental bodies that are mandated to report directly to the United Nations General Assembly or the United Nations Economic and Social Council, as well as those specialized agencies and related organizations and funds. The World Bank Group is also recognized as a specialized agency of the United Nations, and is counted separately as part of international financial institutions in this guidance. The list of United Nations organizations, funds and programmes is provided in annex 1.3 to this guidance, and also discussed under indicator 6.

1.1.13 According to the Organization for Economic Cooperation and Development, non-ODA public funding, also called “other official flows” (OOFs), refers to transactions by the official sector with countries on the List of Aid Recipients which do not meet the conditions for eligibility as Official Development Assistance, either because they are not primarily aimed at development, or because they have a Grant Element of less than 25 per cent.

1.1.14 South-South Cooperation describes the exchange of resources, technology, and knowledge between developing countries. It is an essential cross-cutting mechanism designed to deliver capacity building and technology support activities in developing countries and regions of the South, as a complement to North-South cooperation to enhance technical, financial, scientific and technological exchanges and innovations for biodiversity. This category of funding is also discussed under indicators 8 and 9.

1.1.15 Technical cooperation initiatives include both the provision of education or training at home or abroad, and the provision of consultants, advisers and similar personnel serving in recipient countries. Investment-related technical cooperation (IRTC) may be included in the provision of technical services required for the implementation of specific investment projects, and may be thus counted as part of official development assistance. To avoid double counting, only free-standing technical cooperation (FTC) initiatives are counted. This category of funding is also discussed under indicator 9.

### **Calculation method**

1.1.16 All resources reported by entities of biodiversity financing are added together. Care must be taken to avoid any potential double counting.

1.1.17 The percentage of each category of funding is calculated as the percentage of each category of funding over the aggregated financial flows.

### **Frequency:**

1.1.18 For national planning and monitoring purposes, this aggregated indicator may be calculated every year or every two years depending on national policy cycles.

1.1.19 For international purposes, this indicator should be first calculated for the eleventh meeting of the Conference of the Parties in 2012, and subsequently included in the fifth and sixth national reports under the Convention.

### **Limitations:**

1.1.20 Effective use of this indicator may need to be complemented by a consideration of effectiveness of resource utilization.

### **DATA**

#### **Data required:**

1.1.21 Funding information is required from entities of biodiversity financing defined by the Implementation Guidelines on Indicators (see section 2.3.1).

#### **Data source:**

1.1.22 National reports and surveys required by the Conference of the Parties may be complemented by a full use of the Rio markers and the Creditor Reporting System (CRS) of the Organization for Economic Cooperation and Development as well as the Government Finance Statistics of the International Monetary Fund. For the year 2012, annex 2.1, question 1, is used to collect information globally for indicator 1.

### **BASELINES (to be migrated to paragraph 3.8)**

1.1.23 National baselines must reflect national policy needs. Global baselines will be agreed by Parties and may include the following elements:

B1 Aggregated amount of financial flows for biodiversity objectives in a given year

## 1.2 Valuation, financial needs and plans

**Indicator 2:** Number of countries that have:

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

### **Brief definition:**

1.2.1 The indicator can be defined as the total number of countries that have assessed values of biodiversity, identified and reported funding needs, gaps and priorities, developed national financial plans for biodiversity, and/or been provided with the necessary funding and capacity building to undertake these activities.

### **Policy relevance:**

1.2.2 The indicator can be used to demonstrate the global status of national efforts in terms of biodiversity valuation, funding needs, gaps and priorities, national financial plans for biodiversity, in response to the Strategy for Resource Mobilization, Goal 1.

### **Related indicators:**

1.2.3 This indicator conveys messages that can contribute to advancing other indicators, but is not directly linked with other indicators.

## **METHODOLOGICAL DESCRIPTION**

### **Underlying definitions and concepts:**

1.2.4 Valuation of biodiversity and ecosystem services comprises assessments at national, local and project levels, which may be undertaken by national or international experts. Many economic assessments may be undertaken at the ecosystem/biome level. Most economic valuation exercises are organized as project activities, and one project may contain several valuations at different locations and different levels. For purposes of indicator calculation, a country that has assessed values of at least one third of all its biodiversity and ecosystem services is counted as part of the number of countries that have assessed values of biodiversity in accordance with the Convention.

1.2.5 Funding needs, gaps and priorities are identified and reported at the national level, on the basis of the Convention and its global biodiversity strategy for the period 2011-2020. These activities are not only technical assessments, but also based on consensus of all relevant national stakeholders. The identification of funding needs, gaps and priorities is often part of a national biodiversity strategy and action plan process, but may also be undertaken separately in some countries.

1.2.6 National financial plans for biodiversity refer to those financial plans as part of national biodiversity action plans and country-specific resource mobilization strategies as part of national biodiversity strategies. If a more business-oriented approach is adopted, national financial plans for biodiversity may be updated every two to three years, coinciding with national budgetary cycles.

1.2.7 Necessary funding and capacity building to undertake the above activities comprises all projects that are financed externally, by both bilateral and multilateral funding sources. Some of these activities may be financed by the Global Environment Facility.

**Calculation method:**

1.2.8 The number of countries that have undertaken the relevant activities is added up. This indicator is only applicable at the global level.

1.2.9 Since the four activities may not be undertaken altogether in every country, the total number of countries under each relevant activity is counted separately.

**Frequency:**

1.2.10 National monitoring is not required. Global reporting is based on ad hoc requests from the Conference of the Parties and coincides with the frequency of national reporting.

**Limitations:**

1.2.11 The use of this indicator should also examine qualitative dimension of relevant national activities.

**DATA****Data required:**

1.2.12 Information about the relevant activities and associated funding received is required from countries.

**Data source:**

1.2.13 Special-purpose surveys are conducted, including through national reports. For the year 2012, annex 2.1, question 2, is used to collect information globally for indicator 2.

**BASELINES (to be migrated to paragraph 3.8)**

1.2.14 Global baselines will be agreed by Parties and may include the following elements:

B2 Number of countries that have undertaken each of the following activities or received funding for them in a given year: valuation of biodiversity and ecosystem services, identification and reporting of funding needs, gaps and priorities, development of national financial plans

### 1.3 Domestic financial support

**Indicator 3:** Amount of domestic financial support, per annum, in respect of those domestic activities which are intended to achieve the objectives of this Convention

**Brief definition:**

1.3.1 The indicator can be defined as the aggregated total amount of domestic financial support from all entities of biodiversity financing as defined by the Implementation Guidelines on Indicators (see section 2.3.1).

**Policy relevance:**

1.3.2 The indicator can be used to demonstrate the efforts in mobilizing national resources, in response to the Strategy for Resource Mobilization, Goal 2, as well as Article 20, paragraph 1 of the Convention.

**Related indicators:**

1.3.3 This aggregated indicator is related to indicator 1. Those indicators may use some information repetitively, but their statistical quality is not affected.

#### METHODOLOGICAL DESCRIPTION

**Underlying definitions and concepts:**

1.3.4 Domestic financial support to biodiversity may originate from general governments, national businesses and households. Financial contribution from households is counted through their involvement in organized biodiversity activities through governments, businesses and non-governmental sector.

**Calculation method:**

1.3.5 All domestic resources reported by entities of biodiversity financing are added together. Care must be taken to avoid any potential double counting.

**Frequency:**

1.3.6 For national planning and monitoring purposes, this indicator may be calculated every year or every two years depending on national policy cycles.

1.3.7 For international purposes, this indicator should be first calculated for the eleventh meeting of the Conference of the Parties in 2012, and subsequently included in the fifth and sixth national reports under the Convention.

**Limitations:**

1.3.8 The use of this indicator can be enhanced by examining the linkage and synergies between domestic and foreign financial support.

#### DATA

**Data required:**

1.3.9 Domestic funding information is required from all entities of biodiversity financing.

**Data source:**

1.3.10 Government budgetary analysis, annual reports and surveys on non-governmental sector are primary sources of data. For the year 2012, annex 2.1, question 3, is used to collect information globally for indicator 3.



**BASELINES (to be migrated to paragraph 3.8)**

1.3.11 National baselines must reflect national policy needs. Global baselines will be agreed by Parties and may include:

B3 Aggregated amount of domestic funding for biodiversity objectives in a given year

## 1.4 Funding through the financial mechanism

**Indicator 4:** Amount of funding provided through the Global Environment Facility and allocated to biodiversity focal area

### **Brief definition:**

1.4.1 The indicator can be defined as the aggregated biodiversity project funding approved by the Global Environment Facility.

### **Policy relevance:**

1.4.2 The indicator can be used to demonstrate the donor support to biodiversity through the Global Environment Facility, in fulfilling national obligations under Article 20, paragraph 2, of the Convention on Biological Diversity

### **Related indicators:**

1.4.3 This indicator is related to the aggregated indicator 1.

## **METHODOLOGICAL DESCRIPTION**

### **Underlying definitions and concepts:**

1.4.4 Approved project funding is the amount of funding that has been approved by the Global Environment Facility, but that may not necessarily have been disbursed as it takes longer time for project execution.

### **Calculation method:**

1.4.5 Amount of funding for approved projects in the focal area of biodiversity is added together.

### **Frequency:**

1.4.6 For national planning and monitoring purposes, this indicator may be calculated every year or every two years depending on national policy cycles.

1.4.7 For international purposes, this indicator should be calculated every two years, coinciding with meetings of the Conference of the Parties. As the institutional structure operating the financial mechanism of the Convention, the Global Environment Facility agreed to report on its activities to the Conference of the Parties.

### **Limitations:**

1.4.8 The use of this indicator can be complemented by approved projects, which can be important for biodiversity objectives, in the focal areas of land degradation, international waters and climate change, plus multi-focal area projects, as well as co-financing mobilized through the Global Environment Facility.

## **DATA**

### **Data required:**

1.4.9 Information is required on biodiversity projects approved by the Council or Chief Executive Officer of the Global Environment Facility.

### **Data source:**

1.4.10 Project database or records of approval of the Global Environment Facility are used in its reports to the Conference of the Parties.

## **BASELINES (to be migrated to paragraph 3.8)**

1.4.11 National baselines must reflect national policy needs as well as country allocations of resources from the Global Environment Facility. Global baselines will be agreed by Parties and may include:

B4 Amount of funding provided through the Global Environment Facility in the biodiversity focal area in a given year

## 1.5 Support to other financial institutions

**Indicator 5:** Level of CBD and Parties' support to other financial institutions that promote replication and scaling-up of relevant successful financial mechanisms and instruments

### **Brief definition:**

1.5.1 The indicator can be defined as the number of decisions adopted by the Conference of the Parties to the Convention and governing bodies of other biodiversity-related legal instruments, and other international, regional, national or sub-national entities, both public and private, which aim to promote replication and scaling-up of relevant successful financial mechanisms and instruments by financial institutions other than the Global Environment Facility.

### **Policy relevance:**

1.5.2 The indicator can be used to demonstrate the global effort to support, through the financial institutions other than the Global Environment Facility, relevant successful financial mechanisms and instruments, in response to the Strategy for Resource Mobilization, Goals 3 and 4, as well as Article 21, paragraph 4, of the Convention.

### **Related indicators:**

1.5.3 This indicator is related to indicator 14. Those indicators may use some information repetitively, but their statistical quality is not affected.

## **METHODOLOGICAL DESCRIPTION**

### **Underlying definitions and concepts:**

1.5.4 The phrase "Other financial institutions" refers to multilateral and regional development banks, national development banks and financing agencies such as export development agencies. A list of international financial institutions is provided in annex 1.2 of this guidance.

1.5.5 Relevant successful financial mechanisms and instruments may evolve over time. The Strategy for Resource Mobilization have identified the following: domestic environmental funds; debt-for-nature swaps; payment for ecosystem services; biodiversity offset mechanisms; environmental fiscal reforms; markets for green products; biodiversity-business partnerships; new forms of charity; innovative sources of international development finances; and consideration of biodiversity in funding schemes for climate change.

1.5.6 Replication refers to an action or process of reproducing or duplicating relevant successful financial mechanisms and instruments in a geographically different context, including measures to revise or adapt these mechanisms and instruments in the new environment. Scaling-up means the migration of a mechanism or instrument from the experiment scale to the full implementation scale, often resulting in mainstreaming and/or increase in expenditure for biodiversity.

### **Calculation method:**

1.5.7 Number of relevant intergovernmental decisions on other financial institutions with respect to successful financial mechanisms and instruments is added together. The indicator is calculated at the global level.

1.5.8 A list of relevant intergovernmental bodies for this indicator is provided in annex 1.4 of this guidance.

**Frequency:**

1.5.9 For international purposes, this indicator should be calculated every two years, coinciding with meetings of the Conference of the Parties.

**Limitations:**

1.5.10 The use of this indicator can be complemented by examining the quantitative level of financial support to other financial institutions. Some relevant successful financial mechanisms and instruments may not be universally applicable. Policy support to relevant successful financial institutions may or may not result in immediate replication and scaling-up.

**DATA****Data required:**

1.5.11 Decisions taken by the governing bodies of biodiversity-related conventions as related to financial mechanisms and instruments are needed.

**Data source:**

1.5.12 National reports to surveys may be complemented by information from secretariats of biodiversity-related conventions. For the year 2012, annex 2.1, question 5, is used to collect information globally for indicator 5.

**BASELINES (to be migrated to paragraph 3.8)**

1.5.13 National baselines may not be needed. Global baselines will be agreed by Parties and may include:

B5 Number of decisions adopted on successful financial mechanisms and instruments to be promoted by other financial mechanisms in a given year

## 1.6 International organizations and agencies

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

### **Brief definition:**

1.6.1 The indicator can be defined as the total number of relevant institutions with biodiversity and ecosystem services as a cross-cutting policy.

### **Policy relevance:**

1.6.2 The indicator can be used to demonstrate the policy efforts made by international development system to support biodiversity objectives, in response to the Strategy for Resource Mobilization, Goal 3, as well as Article 21, paragraph 4, of the Convention.

### **Related indicators:**

1.6.3 This indicator is not explicitly related to other indicators.

## **METHODOLOGICAL DESCRIPTION**

### **Underlying definitions and concepts:**

1.6.4 Lists of international financing institutions, United Nations organizations, funds and programmes, and the development agencies that report to the Development Assistance Committee of Organization for Economic Co-operation and Development (OECD/DAC), are provided in annexes 1.1, 1.2 and 1.3 of the present guidance. When there are several development cooperation institutions in a country, these institutions may be considered as one organization and at least two-thirds of its constituent institutions with biodiversity and ecosystem services as a cross-cutting policy are required for the organization to be considered as with biodiversity and ecosystem services as a cross-cutting policy.

1.6.5 The phrase “biodiversity and associated ecosystem services as a cross-cutting policy” refers to three situations: a standing-alone policy document on biodiversity and associated ecosystem services; biodiversity and associated ecosystem services as a visible chapter in environmental policy document(s) or sustainable development policy document(s); biodiversity and associated ecosystem services as a visible section in overall institutional policy document(s). Those policy documents should be publicly available, for instance, through an institutional website.

### **Calculation method:**

1.6.6 Number of relevant institutions and agencies with biodiversity and ecosystem services as a cross-cutting policy is added together.

### **Frequency:**

1.6.7 For international purposes, this indicator should be calculated every two years, coinciding with meetings of the Conference of the Parties.

### **Limitations:**

1.6.8 The use of the indicator may be complemented by analysing quantitative dimension of policy documents of international development system.

## **DATA**

**Data required:**

1.6.9 Policy documents of financial institutions and development agencies provide needed evidences.

**Data source:**

1.6.10 Necessary research and survey will be conducted by the Convention Secretariat.

**BASELINES (to be migrated to paragraph 3.8)**

1.6.11 National baselines are not needed. Global baselines will be agreed by Parties and may include:

B6 Number of financial institutions and development agencies with a cross-cutting policy on biodiversity and ecosystem services in a given year

## 1.7 Integrated development plans, strategies and budgets

**Indicator 7:** Number of Parties that integrate considerations on biological diversity and its associated ecosystem services in development plans, strategies and budgets

### **Brief definition:**

1.7.1 The indicator can be defined as the total number of countries with development plans, strategies and budgets that contain explicit reference to biodiversity and ecosystem services.

### **Policy relevance:**

1.7.2 The indicator can be used to demonstrate the global status of national efforts in terms of integrating biodiversity into development plans, strategies and budgets, in response to the Strategy for Resource Mobilization, Goal 5.

### **Related indicators:**

1.7.3 This indicator is not explicitly related to other indicators.

## **METHODOLOGICAL DESCRIPTION**

### **Underlying definitions and concepts:**

1.7.4 Development plans and strategies may take various forms in different countries, such as national poverty reduction strategies or national sustainability strategies. This indicator only refers to the most comprehensive or master plan for economic growth and development in a country.

1.7.5 Budgets are contained in the annual budget document approved by a national legislative body, for instance, national parliament, national congress or national assembly.

1.7.6 The phrase “integrate considerations on biodiversity and ecosystem services” means at least one standing-alone paragraph considering biodiversity and ecosystem services in development plans and strategies or a standing-alone item or line considering biodiversity and ecosystem services in national budget documents.

### **Calculation method:**

1.7.7 The number of countries with integrated consideration of biodiversity and ecosystem services in development plans and strategies is added together.

1.7.8 The number of countries with integrated consideration of biodiversity and ecosystem services in national budgets is added together.

### **Frequency:**

1.7.9 For national planning and monitoring purposes, this indicator may be calculated every year or every two years depending on national policy cycles and budgetary cycles.

1.7.10 For international purposes, this indicator should be first calculated for the eleventh meeting of the Conference of the Parties in 2012, and subsequently included in the fifth and sixth national reports under the Convention.

### **Limitations:**

1.7.11 The use of this indicator may be enhanced by examining quantitative dimension of the national activities.



## **DATA**

### **Data required:**

1.7.12 National information of integrated development plans, strategies and budgets from countries is required. Budget lines for biodiversity in national budgets provide necessary evidence.

### **Data source:**

1.7.13 National reports are complemented by surveys of the Convention Secretariat. For the year 2012, annex 2.1, question 7, is used to collect information globally for indicator 7.

## **BASELINES (to be migrated to paragraph 3.8)**

1.7.14 National baselines may not be needed. Global baselines will be agreed by Parties and may include:

B7.1 Number of countries with integrated consideration of biodiversity and ecosystem services in development plans and strategies for a given year

B7.2 Number of countries with integrated consideration of biodiversity and ecosystem services in national budgets for a given year

## 1.8 South-South cooperation initiatives

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

### **Brief definition:**

1.8.1 The indicator can be defined as the total number of cooperation initiative on biodiversity and ecosystem services between developing countries, which may be supported by developed countries and international development institutions.

### **Policy relevance:**

1.8.2 The indicator can be used to demonstrate the global status of South-South cooperation efforts, in response to the Strategy for Resource Mobilization, Goal 6.

### **Related indicators:**

1.8.3 This indicator is related to indicators 1 and 9. Those indicators may use some information repetitively, but their statistical quality is not affected.

## **METHODOLOGICAL DESCRIPTION**

### **Underlying definitions and concepts:**

1.8.4 South-South Cooperation describes the exchange of resources, technology, and knowledge between developing countries. It is an essential cross-cutting mechanism designed to deliver capacity building and technology support activities in developing countries and regions of the South, as a complement to North-South cooperation, to enhance technical, financial, scientific and technological exchanges and innovations for biodiversity. South-South cooperation initiatives refer to both active biodiversity projects and activities initiated between developing countries.

1.8.5 South-South cooperation may be financially and/or technically supported by developed countries and international development institutions. Such an arrangement is also called “triangular cooperation”. However, amount of financial support from developed countries should be reported as bilateral official development assistance under indicator 1, and financial assistance to South-South cooperation from international development institutions should be counted under category “international financial institutions” or category “United Nations organizations, funds and programmes”.

1.8.6 A South-South cooperation initiative must be based on an official agreement made by involved developing countries, and thus should be considered at the agreement level. An official agreement on South-South cooperation may include just one project activity, or a package of several projects.

### **Calculation method:**

1.8.6 Number of South-South biodiversity cooperation initiatives, reported by developing countries that provide financial support, is added together.

### **Frequency:**

1.8.7 For international purposes, this indicator should be first calculated for the eleventh meeting of the Conference of the Parties in 2012, and subsequently included in the fifth and sixth national reports under the Convention.

### **Limitations:**

1.8.8 The use of this indicator may be enhanced by considering quantitative dimensions of South-South cooperation initiatives.

## **DATA**

### **Data required:**

1.8.9 Information about on-going South-South biodiversity cooperation initiatives is required.

### **Data source:**

1.8.10 National reports are complemented by survey of the Convention Secretariat. For the year 2012, annex 2.1, question 8, is used to collect information globally for indicator 8.

### **BASELINES (to be migrated to paragraph 3.8)**

1.8.11 National baselines may not be needed. Global baselines will be agreed by Parties and may include:

B8 Number of South-South cooperation initiatives for biodiversity in a given year

## 1.9 Technical cooperation and capacity building initiatives

**Indicator 9:** Amount and number of South-South and North-South technical cooperation and capacity building initiatives that support biodiversity

### **Brief definition:**

1.9.1 The indicator can be defined as the total amount and number of technical cooperation and capacity building initiatives that support biodiversity objectives. North-North technical cooperation and capacity building initiatives are not counted.

### **Policy relevance:**

1.9.2 The indicator can be used to demonstrate the global status of technical cooperation and capacity building efforts, in response to the Strategy for Resource Mobilization, Goal 6.

### **Related indicators:**

1.9.3 This aggregated indicator is related to indicators 1 and 8. Those indicators may use some information repetitively, but their statistical quality is not affected.

## **METHODOLOGICAL DESCRIPTION**

### **Underlying definitions and concepts:**

1.9.4 Technical cooperation initiatives, according to the Organization for Economic Cooperation and Development, include both the provision of education or training at home or abroad, and the provision of consultants, advisers and similar personnel serving in recipient countries. As investment-related technical cooperation (IRTC) is included in the provision of technical services required for the implementation of specific investment projects under official development assistance, only free-standing technical cooperation (FTC) initiatives are counted for the purpose of this indicator.

1.9.5 Capacity building initiatives comprise capacity assessment, capacity building and capacity development activities. Capacity assessment is a structured and analytical process whereby the various dimensions of capacity are assessed within the broader context of biodiversity management systems. Capacity building involves the development of human, material and financial resources and provides means by which skills, experience, technical and management capacity are developed, often through the provision of technical assistance, short/long-term training, and specialist inputs (e.g., computer systems). Capacity development refers to the national process of developing, enhancing and organizing their systems, resources and knowledge in order to perform functions, solve problems and achieve biodiversity objectives.

1.9.6 A technical cooperation initiative or a capacity building initiative must be considered at the initiative level, and thus may refer to only an activity of a large project, or one standing-alone project/activity, or include a group of projects/activities.

### **Calculation method:**

1.9.7 Funding amount and number of South-South technical cooperation and funding amount and number of South-South capacity building initiatives are added together.

1.9.8 Funding amount and number of North-South technical cooperation and funding amount and number of North-South capacity building initiatives are added together.

### **Frequency:**

1.9.8 For international purposes, this indicator should be first calculated for the eleventh meeting of the Conference of the Parties in 2012, and subsequently included in the fifth and sixth national reports under the Convention.

**Limitations:**

1.9.9 This indicator does not distinguish the scales of technical cooperation and capacity building initiatives.

**DATA**

**Data required:**

1.9.10 Information about technical cooperation and capacity building initiatives is required.

**Data source:**

1.9.11 National reports are complemented by research and special-purpose survey of the Convention Secretariat. For the year 2012, annex 2.1, question 9, is used to collect information globally for indicator 9.

**BASELINES (to be migrated to paragraph 3.8)**

1.9.12 National baselines must reflect national policy needs. Global baselines will be agreed by Parties and may include:

B9.1 Number and amount of South-South technical cooperation and capacity building initiatives for biodiversity in a given year

B9.2 Number and amount of North-South technical cooperation and capacity building initiatives for biodiversity in a given year

## 1.10 Global awareness initiatives on funding needs

**Indicator 10:** Number of global initiatives that heighten awareness on the need for resource mobilization for biodiversity

### **Brief definition:**

1.10.1 The indicator can be defined as the total number of global awareness-raising initiatives that have extended influence over more than one geographical region of the United Nations.

### **Policy relevance:**

1.10.2 The indicator can be used to demonstrate the global efforts initiated or facilitated by the Convention Secretariat and other institutions at the global level, in terms of raising awareness on financing for biodiversity, in response to the Strategy for Resource Mobilization, Goal 8.

### **Related indicators:**

1.10.3 This indicator is not related to other indicators.

## **METHODOLOGICAL DESCRIPTION**

### **Underlying definitions and concepts:**

1.10.4 Global initiatives on funding awareness include events, projects, and programmes organized at a trans-regional scale, and that have explicit purposes of heightening awareness on the need for resource mobilization for biodiversity.

### **Calculation method:**

1.10.5 Number of global initiatives on biodiversity funding needs, as reported by countries that provide financial support, is added together. Care must be taken since a global awareness initiative may be financed by several countries.

### **Frequency:**

1.10.6 For international purposes, this indicator should be first calculated for the eleventh meeting of the Conference of the Parties in 2012, and subsequently included in the fifth and sixth national reports under the Convention.

### **Limitations:**

1.10.7 The indicator does not demonstrate the impacts of global awareness initiatives.

## **DATA**

### **Data required:**

1.10.8 Information about the global initiatives of all global processes is required.

### **Data source:**

1.10.9 National reports are validated by the Convention Secretariat. For the year 2012, annex 2.1, question 10, is used to collect information globally for indicator 10.

## **BASELINES (to be migrated to paragraph 3.8)**

1.10.10 National baselines may not be needed. Global baselines will be agreed by Parties and may include:

B10 Number of global awareness initiatives on biodiversity funding needs in a given year

## 1.11 Financial resources towards achieving the Convention's objectives from developed countries to developing countries

**Indicator 11:** Amount of financial resources from all sources from developed countries to developing countries to contribute to achieving the Convention's objectives

### **Brief definition:**

1.11.1 The indicator can be defined as the aggregated total of financial support from external sources, towards achieving the Convention's objectives.

### **Policy relevance:**

1.11.2 The indicator can be used to demonstrate the common efforts made by developed countries and developing countries in mobilizing international resources, in response to the mission of the Strategy for Resource Mobilization, as well as Article 20, paragraphs 2 and 3, of the Convention.

### **Related indicators:**

1.11.3 This indicator is related to indicators 1 and 12. Those indicators may use some information repetitively, but their statistical quality is not affected.

## **METHODOLOGICAL DESCRIPTION**

### **Underlying definitions and concepts:**

1.11.4 The phrase "all sources from developed countries" refers to foreign sources related to official development assistance, private sector, non-government organizations, foundations, and academia, international financial institutions, United Nations organizations, funds and programmes, non-ODA public funding, technical cooperation, as defined under indicator 1. It does not include domestic budgets or South-South cooperation initiatives.

1.11.5 The phrase "the Convention's objectives" refers to the three objectives of the Convention: 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.

### **Calculation method:**

1.11.6 This indicator is calculated together with indicator 1, but with a focus on foreign resources and the Convention's objectives, that is, as a total of official development assistance; external private sector; external non-governmental organizations, foundations, and academia; international financial institutions; United Nations organizations, funds and programmes; non-ODA public funding; and North-South technical cooperation.

### **Frequency:**

1.11.7 For national planning and monitoring purposes, this indicator may be calculated every year or every two years depending on national policy cycles.

1.11.8 For international purposes, this indicator should be first calculated for the eleventh meeting of the Conference of the Parties in 2012, and subsequently included in the fifth and sixth national reports under the Convention.

### **Limitations:**

1.11.9 Effective use of this indicator may need to be complemented by a consideration of effectiveness of foreign resource utilization and the links with domestic resources.

## **DATA**

### **Data required:**

1.11.10 Funding information is required from entities of biodiversity financing defined by the Implementation Guidelines on Indicators (see section 2.3.1).

### **Data source:**

1.11.11 National reports and surveys required by the Conference of the Parties may be complemented by a full use of the Rio markers of the Creditor Reporting System (CRS) of the Organization for Economic Cooperation and Development. For the year 2012, annex 2.1, question 11, is used to collect information globally for indicator 11.

### **BASELINES (to be migrated to paragraph 3.8)**

1.11.12 National baselines must reflect national policy needs. Global baselines will be agreed by Parties and may include:

B11 Aggregated amount of financial flows for biodiversity objectives from developed countries to developing countries in a given year



## 1.12 Financial resources towards the Strategic Plan for Biodiversity 2011-2020 from developed countries to developing countries

**Indicator 12:** Amount of financial resources from all sources from developed countries to developing countries towards the implementation of the Strategic Plan for Biodiversity 2011-2020

### **Brief definition:**

1.12.1 The indicator can be defined as the aggregated total of financial support from external sources, towards the implementation of the Strategic Plan for Biodiversity 2011-2020.

### **Policy relevance:**

1.12.2 The indicator can be used to demonstrate the common efforts by both developed countries and developing countries in mobilizing international resources towards the implementation of the Strategic Plan for Biodiversity 2011-2020, in response to the mission of the Strategy for Resource Mobilization, as well as Article 20, paragraphs 2 and 3, of the Convention.

### **Related indicators:**

1.12.3 This indicator is related to indicators 1 and 11. Those indicators may use some information repetitively, but their statistical quality is not affected.

## **METHODOLOGICAL DESCRIPTION**

### **Underlying definitions and concepts:**

1.12.4 The phrase “all sources from developed countries” refers to foreign sources related to official development assistance, private sector, non-government organizations, foundations, and academia, international financial institutions, United Nations organizations, funds and programmes, non-ODA public funding, technical cooperation, as defined under indicator 1. It does not include domestic budgets or South-South cooperation initiatives.

1.12.5 The Strategic Plan for Biodiversity 2011-2020 contains 20 headlines Aichi targets, which are classified into six classes of biodiversity activity as provided in the Implementation Guidelines on Indicators (see Part II).

### **Calculation method:**

1.12.6 This indicator is calculated together with indicators 1 and 11, but with a focus on foreign resources and the Aichi targets.

### **Frequency:**

1.12.7 For national planning and monitoring purposes, this indicator may be calculated every year or every two years depending on national policy cycles.

1.12.8 For international purposes, this indicator should be first calculated for the eleventh meeting of the Conference of the Parties in 2012, and subsequently included in the fifth and sixth national reports under the Convention.

### **Limitations:**

1.12.9 Effective use of this indicator may need to be complemented by a consideration of effectiveness of foreign resource utilization and the link with domestic resources.

## **DATA**

**Data required:**

1.12.10 Funding information is required from entities of biodiversity financing defined by the Implementation Guidelines on Indicators (see section 2.3.1).

**Data source:**

1.12.11 National reports and surveys required by the Conference of the Parties may be complemented by a full use of the Rio markers of the Creditor Reporting System (CRS) of the Organization for Economic Cooperation and Development. For the year 2012, annex 2.1, question 12, is used to collect information globally for indicator 12.

**BASELINES (to be migrated to paragraph 3.8)**

1.12.12 National baselines must reflect national policy needs. Global baselines will be agreed by Parties and may include:

B12 Aggregated amount of financial flows for the implementation of the Strategic Plan for Biodiversity 2011-2020 from developed countries to developing countries in a given year

### **1.13 Financial resources from removal, reform or phase-out of incentives, including subsidies, harmful to biodiversity**

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

#### **Brief definition:**

1.13.1 The indicator can be defined as the total amount of national budgetary resources that are removed from existing government subsidies and that are used to subsidize biodiversity objectives.

#### **Policy relevance:**

1.13.2 The indicator can be used to demonstrate the national efforts to transform national fiscal policies and budgetary allocations in support of biodiversity objectives, in response to the Strategy for Resource Mobilization, Goal 4.

#### **Related indicators:**

1.13.3 This indicator is not explicitly related to other indicators.

### **METHODOLOGICAL DESCRIPTION**

#### **Underlying definitions and concepts:**

1.13.4 According to the UN System of National Accounts, subsidies are current unrequited payments that government units, including non-resident government units, make to enterprises on the basis of the levels of their production activities or the quantities or values of the goods or services which they produce, sell or import.

1.13.5 No definition for the phrase “incentives, including subsidies, harmful to biodiversity” is provided in the Methodological Guidance on Indicators. The Methodological Guidance on Indicators focuses on the government’s intention rather than on the effect of any subsidy, and there is no clear limit on the activities and purposes that might be used to define harmful subsidies. In addition, for implicit harmful subsidies, there is no actual transaction or monetary flow between entities of biodiversity financing, and hence the flow cannot be recorded appropriately.

1.13.6 Subsidies redirected to biodiversity objectives are those subsidies received by non-governmental entities of biodiversity financing, as defined by the Implementation Guidelines on Indicators (see section 2.3.1). The decision as to whether a particular subsidy by government is for biodiversity objectives is based on consideration of the purpose of the subsidy. A subsidy should be considered to be for biodiversity objectives when the intent or purpose of the government is that subsidy be used for support to any activities of the Classification of Biodiversity Activities contained in annex 2.2.

#### **Calculation method:**

1.13.7 Amount of transfers including subsidies, received by entities of biodiversity financing as defined in section 2.3.1 and that are due to the reduction and elimination of overall governmental subsidies, is added together.

#### **Frequency:**

1.13.8 For national planning and monitoring purposes, this indicator may be calculated every year or every two years depending on national policy cycles.

1.13.9 For international purposes, this indicator should be first calculated for the eleventh meeting of the Conference of the Parties in 2012, and subsequently included in the fifth and sixth national reports under the Convention.

**Limitations:**

1.13.10 The use of this indicator can benefit from further consideration of possible economic implications of subsidies to biodiversity and ecosystem services

**DATA**

**Data required:**

1.13.11 Information is required on subsidies reduced or removed, and resultant transfers including subsidies created for biodiversity objectives.

**Data source:**

1.13.12 National reports respond to surveys by the Convention Secretariat. For the year 2012, annex 2.1, question 13, is used to collect information globally for indicator 13.

**BASELINES (to be migrated to paragraph 3.8)**

1.13.13 National baselines must reflect national policy needs. Global baselines will be agreed by Parties and may include:

B13 Amount of transfers including subsidies reduced or removed and subsequently re-introduced for biodiversity objectives in a given year

## 1.14 New and innovative financial mechanisms

**Indicator 14:** Number of initiatives, and respective amounts, supplementary to the financial mechanism established under Article 21, that engage Parties and relevant organizations in new and innovative financial mechanisms, which consider intrinsic values and all other values of biodiversity, in accordance with the objectives of the Convention and the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of the Benefits Arising out of Their Utilization

### **Brief definition:**

1.14.1 The indicator can be defined as the total number of initiatives on new and innovative financial mechanisms and the total amount of financial resources they have generated.

### **Policy relevance:**

1.14.2 The indicator can be used to demonstrate the global efforts by Parties and relevant organizations to mobilize financial resources through new and innovative financial mechanisms, in response to the Strategy for Resource Mobilization, Goal 4.

### **Related indicators:**

1.14.3 This indicator is related to indicator 5. Those indicators may use some information repetitively, but their statistical quality is not affected.

## **METHODOLOGICAL DESCRIPTION**

### **Underlying definitions and concepts:**

1.14.4 Innovative financial mechanisms aim at improving financial performance by generating new and additional financial resources, by increasing cost efficiencies or by improving capacity to innovate. The phrase “new and innovative” involves a degree of novelty and uncertainty. An innovative financial mechanism is new to the world when it is the first to introduce the mechanism for all regions and institutions, domestic and international, but a financial mechanism can be innovative to an institution or country even if a funding process, technique or system has already been implemented by other institutions or countries. But all innovative financial mechanisms are associated with uncertainty over their outcome, because not all the results of the innovative financial mechanisms are known beforehand, e.g. whether analytical work will lead to the successful development of a replicable financial mechanism or how much time and resources will be needed to ensure its implementation and how successful it will be.

1.14.5 For purposes of this indicator, new and innovative financial mechanisms as identified by the Conference of the Parties include payment for ecosystem services, biodiversity offset mechanisms, markets for green products, biodiversity-business partnerships, new forms of charity, environmental fiscal reforms, new and innovative sources of international development financing, and consideration of biodiversity in climate change funding schemes. Technical explanations of these mechanisms are available in a compilation and presentation on innovative financial mechanisms requested in decision X/3.

1.14.6 An initiative on innovative financial mechanisms refers to the exploratory stage in developing innovative financial mechanisms, testing or piloting implementation of innovative financial mechanisms, or being adapted to new environment of application.

### **Calculation method:**

1.14.7 Number of innovative financial mechanisms initiatives is added together. The amount of financial resources derived from innovative financial mechanisms initiatives is also added together. Care must be

taken to avoid double counting since some new and innovative financial mechanisms may engage a number of Parties and relevant organizations.

**Frequency:**

1.14.8 For national planning and monitoring purposes, this indicator may be calculated every year or every two years depending on national policy cycles.

1.14.9 For international purposes, this indicator should be first calculated for the eleventh meeting of the Conference of the Parties in 2012, and subsequently included in the fifth and sixth national reports under the Convention.

**Limitations:**

1.14.10 Application of new and innovative financial mechanisms may be mixed with traditional financing, and eventually become part of traditional financing with the disappearance of the “newness” and “innovativeness” features.

**DATA**

**Data required:**

1.14.11 Information about innovative financial mechanisms is required from Parties and relevant organizations.

**Data source:**

1.14.12 National reports are complemented by research and special-purpose survey of the Convention Secretariat. For the year 2012, annex 2.1, question 14, is used to collect information globally for indicator 14.

**BASELINES (to be migrated to paragraph 3.8)**

1.14.13 National baselines must reflect national policy needs. Global baselines will be agreed by Parties and may include:

B14.1 Total number of innovative financial mechanism initiatives for biodiversity in a given year

B14.2 Total amount of financial resources generated from new and innovative financial mechanism initiatives for biodiversity in a given year

## 1.15 Access and benefit sharing initiatives and mechanisms

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

### **Brief definition:**

1.15.1 The indicator can be defined as the total number of access and benefit sharing initiatives and mechanisms that enhance resource mobilization.

### **Policy relevance:**

1.15.2 The indicator can be used to demonstrate the global efforts to promote access and benefits sharing and that are expected to generate additional resources, in response to the Strategy for Resource Mobilization, Goal 7.

### **Related indicators:**

1.15.3 This indicator is not explicitly related to other indicators.

## **METHODOLOGICAL DESCRIPTION**

### **Underlying definitions and concepts:**

1.15.4 Access and benefit sharing initiatives and mechanisms are those initiated in accordance with the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of the Benefits Arising out of Their Utilization, including awareness-raising, that enhance resource mobilization. Global understanding of access and benefit sharing initiatives and mechanisms will evolve around the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of the Benefits Arising out of Their Utilization. A key criterion for inclusion under this indicator is whether an initiative or mechanism is aimed at enhancing resource mobilization.

1.15.5 An access and benefit sharing initiative refers to the initial stage in accomplishing set objectives that enhance resource mobilization, and may include access and benefit sharing measures, schemes, agreements, plans and strategies. An access and benefit-sharing mechanism refers to the fundamental arrangement that intends to transform individual performance of connected basic components into a system on access and benefit sharing that operates to achieve set objectives that enhance resource mobilization.

### **Calculation method:**

1.15.6 Number of access and benefit sharing initiatives and mechanisms is added together. Care must be taken in reconciling data from user countries and provider countries. An access and benefit sharing initiative and mechanism may involve several user countries.

### **Frequency:**

1.15.7 For international purposes, this indicator should be first calculated for the eleventh meeting of the Conference of the Parties in 2012, and subsequently included in the fifth and sixth national reports under the Convention.

### **Limitations:**

1.15.8 The use of this indicator needs to distinguish different scales of access and benefit sharing initiatives and mechanisms.

**DATA****Data required:**

1.15.9 Information about access and benefit sharing initiatives and mechanisms is required.

**Data source:**

1.15.10 National reports respond to a special-purpose survey of the Convention Secretariat. For the year 2012, annex 2.1, question 15, is used to collect information globally for indicator 15.

**BASELINES (to be migrated to paragraph 3.8)**

1.15.11 Global baselines will be agreed by Parties and may include:

B15 Total number of access and benefit sharing initiatives and mechanisms in a given year



## **Annex 1.1 List of bilateral agencies**

- 1.1 Australia
  - 1.1.1 Australian Agency for International Development (AusAID) (100%)
- 1.2 Austria
  - 1.2.1 Austrian Development Agency (ADA) (66.57%)
  - 1.2.2 Federal Ministry of Foreign Affairs (BMA) (30.7%)
  - 1.2.3 Provincial governments, local communities (Reg) (1.94%)
  - 1.2.4 Federal Ministry of Agriculture, Forestry, Environment and Water Management (BMLFUW) (0.5%)
  - 1.2.5 Various ministries (MIN) (0.17%)
  - 1.2.6 Federal Ministry/ Federal Chancellery of Austria (BM/BWK) (0.11%)
- 1.3 Belgium
  - 1.3.1 Directorate General for Cooperation and Development (DGCD) (96%)
  - 1.3.2 Official Federal Service of Foreign Affairs (SPAÉ) (1.64%)
  - 1.3.3 Walloon Official Regional Ministries (MPRW) (1.24%)
  - 1.3.4 Other Official Federal Services (ASPF) (0.95%)
  - 1.3.5 Official Federal Service of Finance (SPFF) (0.14%)
  - 1.3.6 Flanders Official Regional Ministries (MPRF)
- 1.4 Canada
  - 1.4.1 Canadian International Development Agency (CIDA) (97%)
  - 1.4.2 International Development Research Centre (IDRC) (3%)
- 1.5 Denmark
  - 1.5.1 Danish International Development Agency (DANIDA) (67%)
  - 1.5.2 Ministry of Foreign Affairs (MFA) (33%)
- 1.6 Finland
  - 1.6.1 Ministry of Foreign Affairs (MFA) (99.98%)
- 1.7 France
  - 1.7.1 French Development Agency (AFD) (47.82%)
  - 1.7.2 Ministry of Economy, Finance and Industry (MINEFI/NATEXIS) (43.52%)
  - 1.7.3 Ministry of Foreign Affairs, others (MAE/FSP) (3.93%)
  - 1.7.4 Ministry of Foreign Affairs (MAE) (2.95%)
  - 1.7.5 Ministry of Economy, Finance and Industry (MINEFI)
- 1.8 Germany
  - 1.8.1 Kreditanstalt für Wiederaufbau (KfW) (50.64%)
  - 1.8.2 Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) (31%)
  - 1.8.3 Bundesministerium für Wirtschaftliche Zusammenarbeit und Entwicklung (BMZ) (10.25%)
  - 1.8.4 Federal Ministries (Fed.Min.) (7.89%)
  - 1.8.5 Federal States & Local Governments (L.G.) (0.08%)
  - 1.8.6 Germany Investment and Development Company (DEG) (0.07%)
  - 1.8.7 Foundations/Societies/Misc. (non federal) (Found.) (0.01%)
- 1.9 Greece
  - 1.9.1 Ministry of Foreign Affairs (YPEJ) (47.3%)

- 1.9.2 Ministry of the Environment, Land Planning and Public Works (YPEHODE) (18.37%)
- 1.9.3 Ministry of National Education and Religions (YPEPU) (8.18%)
- 1.9.4 Ministry of National Defence (YPEUA) (7.69%)
- 1.9.5 Ministry of National Economy (YPEUO) (7.43%)
- 1.9.6 Miscellaneous (Alloi) (5%)
- 1.9.7 Ministry of Agriculture (YPGE) (4.73%)
- 1.9.8 Ministry of the Interior, Public Administration and Decentralisation (Y PESDDA) (1.13%)
  
- 1.10 Ireland
  - 1.10.1 Department of Foreign Affairs (DFA) (100%)
  
- 1.11 Italy
  - 1.11.1 ART Initiative (Art.) (54%)
  - 1.11.2 Direzione Generale per la Cooperazione allo Sviluppo (DGCS) (26%)
  - 1.11.3 Central Administration (CA) (16.5%)
  - 1.11.4 Local Administration (LA) (3.24%)
  
- 1.12 Japan
  - 1.12.1 Japan Bank for International Cooperation (JBIC) (84.6%)
  - 1.12.2 Ministry of Foreign Affairs (MOFA) (11.5%)
  - 1.12.3 Japanese International Cooperation Agency (JICA) (3.8%)
  - 1.12.4 Other Ministries (Oth. MIN) (0.03%)
  - 1.12.5 Ministry of Agriculture, Forestry and Fisheries (MAFF)
  - 1.12.6 Prefectures (PRF)
  
- 1.13 Korea
  - 1.13.1 Miscellaneous (MISC) (97.55%)
  - 1.13.2 Korea International Cooperation Agency (KOICA) (2.45%)
  
- 1.14 Netherlands
  - 1.14.1 Ministry of Foreign Affairs (DGIS) (MFA) (100%)
  
- 1.15 New Zealand
  - 1.15.1 International Aid & Development Agency (NZ AID) (100%)
  
- 1.16 Norway
  - 1.16.1 Norwegian Agency for Development Cooperation (NORAD) (79.85%)
  - 1.16.2 Ministry of Foreign Affairs (MFA) (20%)
  - 1.16.3 NORFUND (NORFUND) (0.1%)
  
- 1.17 Portugal
  - 1.17.1 Instituto Português de Apoio ao Desenvolvimento, I.P. (IPAD) (94.73%)
  - 1.17.2 Miscellaneous (MISC) (4.57%)
  - 1.17.3 Portuguese Government (GP) (0.7%)
  
- 1.18 Spain
  - 1.18.1 Ministry of Foreign Affairs (MFA) (64.78%)
  - 1.18.2 Autonomous Governments (AG) (24.55%)
  - 1.18.3 Ministerio de Medio Ambiente y Medio Rural y Marino (MARM) (3.33%)
  - 1.18.4 Miscellaneous (MISC.) (3.32%)
  - 1.18.5 Municipalities (MUNIC) (2.55%)
  - 1.18.6 Ministry of Economy and Finance (ECON) (0.48%)
  - 1.18.7 Ministry of Agriculture, Fisheries, and Food (AGR) (0.41%)

- 1.18.8 Ministry of Education and Science (EDUC) (0.18%)
- 1.18.9 Ministry of Labour and Social Affairs (EMP) (0.13%)
- 1.18.10 Ministry of Health (MOH) (0.07%)
- 1.18.11 Ministry of Public Works (MPW) (0.05%)
- 1.18.12 Ministry of Science and Technology (MST) (0.03%)
- 1.18.13 UNIV (0.02%)
- 1.18.14 Ministry of Industry and Energy (MIE) (0.02%)
- 1.18.15 Ministry of Public Administration (MPA) (0.02%)
- 1.18.16 Ministry of Environment (ENV)
  
- 1.19 Sweden
  - 1.19.1 Swedish International Development Authority (SIDA) (99.98%)
  
- 1.20 Switzerland
  - 1.20.1 Swiss Agency for Development and Co-operation (SDC) (99%)
  - 1.20.2 State Secretariat for Economic Affairs (Seco) (0.5%)
  - 1.20.3 Swiss Agency for the Environment, Forests and Landscape (SAEFL) (0.19%)
  
- 1.21 United Kingdom
  - 1.21.1 Department for International Development (DFID) (100%)
  
- 1.22 United States
  - 1.22.1 Agency for International Development (AID) (95.7%)
  - 1.22.2 Department of Interior (INTERIOR) (4.13%)
  - 1.22.3 State Department (STATE) (0.17%)
  
- 1.23 European Communities
  - 1.23.1 European Development Fund (EDF) (70%)
  - 1.23.2 Commission of the European Communities (CEC) (30%)

## **Annex 1.2 List of international financial institutions**

- 2.1 Global Environment Facility
- 2.2 World Bank Group
  - 2.2.1 International Bank for Reconstruction and Development (IBRD)
  - 2.2.2 International Centre for Settlement of Investment Disputes (ICSID)
  - 2.2.3 International Development Association (IDA)
  - 2.2.4 International Finance Corporation (IFC)
  - 2.2.5 Multilateral Investment Guarantee Agency (MIGA)
- 2.3 African Development Bank (AfDB)
  - 2.3.1 African Development Fund (AfDF)
- 2.4 Asian Development Bank (AsDB)
  - 2.4.1 Asian Development Bank, Special Fund (AsDF)
- 2.5 Inter-American Development Bank (IDB)
  - 2.5.1 Inter-American Development Bank, Special Operation Fund (IDB Sp.Fund)
- 2.6 International Fund for Agricultural Development (IFAD)

### **Annex 1.3 List of United Nations organizations, funds and programmes**

- 3.1 United Nations Department of Economic and Social Affairs
  - 3.1.1 Commission on Sustainable Development
  - 3.1.2 United Nations Forum on Forests
- 3.2 Economic Commission for Africa (ECA)
- 3.3 Economic Commission for Europe (ECE)
- 3.4 Economic Commission for Latin America and the Caribbean (ECLAC)
- 3.5 Economic and Social Commission for Asia and the Pacific (ESCAP)
- 3.6 Economic and Social Commission for Western Asia (ESCWA)
- 3.7 United Nations Environment Programme (UNEP)
  - 3.7.1 World Conservation Monitoring Center (WCMC)
  - 3.7.2 Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)
  - 3.7.3 Convention on the Conservation of Migratory Species of Wild Animals (CMS)
- 3.8 United Nations Development Programme (UNDP)
  - 3.8.1 United Nations Capital Development Fund (UNCDF)
  - 3.8.2 United Nations Volunteers (UNV)
- 3.9 United Nations Children's Fund (UNICEF)
- 3.10 United Nations Conference on Trade and Development (UNCTAD)
- 3.11 United Nations Human Settlements Programme (UN-HABITAT)
- 3.12 United Nations Population Fund (UNFPA)
- 3.13 United Nations World Food Programme (WFP)
- 3.14 United Nations Office for Project Services (UNOPS)
- 3.15 United Nations University (UNU)
- 3.16 Food and Agriculture Organization of the United Nations (FAO)
- 3.17 International Maritime Organization (IMO)
- 3.18 International Monetary Fund (IMF)
- 3.19 United Nations Educational, Scientific and Cultural Organization (UNESCO)
  - 3.19.1 Convention Concerning the Protection of the World Cultural and Natural Heritage

- 3.20 United Nations Industrial Development Organization (UNIDO)
- 3.21 World Health Organization (WHO)
- 3.22 World Intellectual Property Organization (WIPO)
- 3.23 World Meteorological Organization (WMO)
- 3.24 World Tourism Organization (UNWTO)
- 3.25 World Trade Organization (WTO)
- 3.26 United Nations Convention to Combat Desertification (UNCCD)
- 3.27 United Nations Framework Convention on Climate Change (UNFCCC)
- 3.28 United Nations Fund for International Partnerships (UNFIP)

## **Annex 1.4 List of relevant intergovernmental bodies**

Governing bodies of the following conventions and protocols:

- 4.1 Convention on Biological Diversity
- 4.2 United Nations Convention to Combat Desertification in Those Countries Experiencing Serious Drought and/or Desertification, Particularly in Africa (UNCCD)
- 4.3 United Nations Framework Convention on Climate Change (UNFCCC)
- 4.4 Convention on Wetlands of International Importance especially as Waterfowl Habitat (Ramsar)
- 4.5 Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)
- 4.6 Convention on the Conservation of Migratory Species of Wild Animals (CMS)
- 4.7 Convention Concerning the Protection of the World Cultural and Natural Heritage
- 4.8 African Convention on the Conservation of Nature and Natural Resources (Algiers Convention)
- 4.9 Convention for the Protection, Management and Development of the Marine and Coastal Environment of the Eastern African Region (Nairobi Convention)
- 4.10 Convention for Cooperation in the Protection and Development of the Marine and Coastal Environment of the West and Central African Region (Abidjan Convention)
- 4.11 Lusaka Agreement on Co-operative Enforcement Operations Directed at Illegal Trade in Wild Fauna and Flora
- 4.12 Convention for the Conservation of the Red Sea and Gulf of Aden Environment (Jeddah Convention) and Protocol concerning Regional Cooperation in Combating Pollution by Oil and other Harmful Substances in Cases of Emergency
- 4.13 Nairobi Convention on the Protection and Management of the Coastal and Marine Environment of the Eastern African Region, Protocol concerning Protected Areas and Wild Fauna and Flora in the Eastern African Region, and Protocol concerning Co-operation in Combating Marine Pollution in Cases of Emergency in the Eastern African Region
- 4.14 Convention for Co-operation in the Protection and Development of the Marine and Coastal Environment of the West and Central African Region (Abidjan Convention)
- 4.15 Protocol on Wildlife Conservation and Law Enforcement (Southern Africa Development Community, 1999)
- 4.16 Kuwait Regional Convention for Co-operation on the Protection of the Marine Environment from Pollution, and the Protocol concerning Regional Co-operation in Combating Pollution by Oil and Other Harmful Substances in Cases of Emergency
- 4.17 Regional Convention for the Conservation of the Red Sea and Gulf of Aden Environment (Jeddah Convention)
- 4.18 Convention on the Conservation of Wildlife and their Natural Habitats in the Countries of the Gulf Cooperation Council
- 4.19 Framework Convention for the Protection of the Marine Environment of the Caspian Sea
- 4.20 Agreement on the Cooperation for the Sustainable Development of the Mekong River Basin
- 4.21 1986 Convention for the Protection of the Natural Resources and Environment of the Pacific, and 1976 Convention on the Conservation of Nature in the Pacific (Apia Convention)
- 4.22 Convention for the Protection and Development of the Marine Environment in the Wider Caribbean Region (Cartagena Convention)
- 4.23 Protocol Concerning Co-operation in Combating Oil Spills in the Wider Caribbean Region, Protocol Concerning Specially Protected Areas and Wildlife (SPAW) in the Wider Caribbean Region, and Protocol Concerning Pollution from Land-Based Sources and Activities
- 4.24 Convention on the Protection of the Marine Environment of the Baltic Sea Area (Helsinki Convention)

4.25 Convention on the Protection of the Black Sea against Pollution (Bucharest Convention), Black Sea Biodiversity and Landscape Conservation Protocol to the Convention on the Protection of the Black Sea against Pollution



## **Part II. Implementation Guidelines**

## 2.0 Introduction

2.0.1 The Implementation Guidelines on Indicators addresses the information needs identified in the Methodological Guidance on Indicators by providing financial reporting standard or standardized financial information. A number of documents were consulted in developing the Implementation Guidelines on Indicators, including, *inter alia*:

United Nations (2000), Handbook of National Accounting: Integrated Environmental and Economic Accounting - An Operational Manual, available at: <http://unstats.un.org/unsd/envaccounting/ceea/archive/download.asp?pubID=304>

United Nations/European Commission/IMF/World Bank/OECD (2003), Handbook of National Accounting: Integrated Environmental and Economic Accounting 2003, available at: <http://unstats.un.org/unsd/envaccounting/ceea/archive/download.asp?pubID=1>

United Nations (2011), On-going consultation draft Chapter 4 of the revised System of Environmental-Economic Accounts (SEEA), available at: <http://unstats.un.org/unsd/envaccounting/seearcv/>

European Commission (2002a), SERIEE European system for the collection of economic information on the environment - 1994 version, available at: <http://unstats.un.org/unsd/envaccounting/ceea/archive/download.asp?pubID=40>

European Commission (2002b), SERIEE Environmental Protection Expenditure accounts - Compilation Guide, available at: <http://unstats.un.org/unsd/envaccounting/ceea/archive/download.asp?pubID=41>

European Commission (2007), Environmental expenditure statistics General Government and Specialised Producers data collection handbook, available at: <http://unstats.un.org/unsd/envaccounting/ceea/archive/download.asp?pubID=371>

2.0.2 There are several advantages of using the methodologies provided in the relevant documents in paragraph 2.0.1 above. The Environmental Protection Expenditure Accounts (EPEA) advanced by the United Nations Statistics Division have already been tested and applied in a number of countries. The approaches underlying the Environmental Protection Expenditure Accounts provide direct link to the System of National Accounts, and the information generated from such approaches can be used to measure contribution of biodiversity and ecosystem services to gross national incomes or gross domestic products. Further elaboration of the present Implementation Guidelines on Indicators can be a useful first step forward in the global integration between mainstream statistics and consideration of biodiversity and ecosystem services.

2.0.3 The Environmental Protection Expenditure Accounts advise three steps for data collection and compilation: classification of environment protection activities and expenditure (CEPA), mapping funding organizations and institutional arrangement, and arranging data into EPEA accounts. However, EPEA does not adequately address the information needs desired in the Methodological Guidance on Indicators.

2.0.4 The Environmental Protection Expenditure Accounts have a focus on expenditure side, while the primary purpose of the present Guide is to gather and present information concerning financial resources from all sources. In many cases, expenditures and revenues are just two sides of one coin of financial accounting. However, the present Guide does not consider amortization of capital expenditures over time, but instead present capital expenditure as a separate accounting item.

2.0.5 Under the Environmental Protection Expenditure Accounts, protection of biodiversity and landscapes (class 6) include: protection of species; protection of landscape and habitats; rehabilitation of species population and habitats; restoration and cleaning of water bodies; measurement, control, laboratories and the like; other activities. Indicators 11 and 12 require information related to the Convention's objectives and the Strategic Plan for Biodiversity 2011-2020. The current Implementation Guidelines on Indicators must be designed to provide financial information for the three objectives of the Convention as well as addressing the underlying causes of biodiversity loss and the direct pressures on biodiversity that are identified in the Strategic Plan for Biodiversity 2011-2020.

2.0.6 The Environmental Protection Expenditure Accounts treat external financial resources as the rest of world. Indicator 1, as adopted by the Conference of the Parties, is interested in a wide range of categories of external sources of funding. So the present Implementation Guidelines on Indicators need to accommodate this information need as well.

2.0.7 The present Implementation Guidelines on Indicators seeks to develop a consolidated approach to addressing the information need for calculating indicators. Section 2.1 summarizes the information need arising out of the Methodological Guidance on Indicators and explores how the information is to be organized. The rest of the guidelines explain how to define biodiversity activities and expenditure, how to map institutional arrangements for biodiversity and how to treat sourcing organizations.

## 2.1 Global questionnaire on indicators for resource mobilization

2.1.1 At the global level, a global questionnaire on indicators for resource mobilization is used to collect and compile the information required in calculating indicators elaborated in the Methodological Guidance on Indicators. The questionnaire is tailored to addressing the information needs of each indicator for resource mobilization. A draft 2012 questionnaire on indicators for resource mobilization is provided in annex 2.1 of the present Guidelines.

2.1.2 Responses to the global questionnaire on indicators for resource mobilization can make use of the definitions, concepts and other methodological explanations contained in the Methodological Guidelines on Indicators of this Guide document. The challenges foreseen for such responses are related to collecting and compiling information for inter-linked tables 2012.1 to 2012.8 in a coherent and effective manner, avoiding double counting. The information required for inter-linked tables 2012.1 to 2012.8 can be merged into a consolidated table for indicators on resource mobilization as presented in table 2.1.

2.1.3 Information required for the consolidated table 2.1 calls for an appropriate recording of the biodiversity-related financial transactions between various units. Drawing upon other similar exercises, an end-user approach is used to collect, assemble, and organize funding information for the consolidated table 2.1. This end-user approach is particularly relevant and useful for national biodiversity systems, and because of the end-use nature, can contribute to eliminating all potential sources of double counting. Unlike the existing practice that the biodiversity information from the Creditor Reporting System is only used at the global level, the end-user approach encourages national policy data workers to make full use of the available international funding information in compiling and presenting relevant data.

2.1.4 The end-user approach rests on three components: (i) internationally accepted concepts and definitions; (ii) the classification systems; and (iii) institutional mappings of biodiversity systems in countries worldwide. This approach thus requires defining the scope of activities, identifying relevant institutions, and gathering statistical information from these identified institutions. Accordingly, section 2.2 is devoted to establishing a common conceptual framework for biodiversity activities through a classification of biodiversity activities. The classification of biodiversity activities summarizes the information and knowledge acquired and accumulated under the Convention process. Section 2.3 discusses how institutional mapping of national biodiversity system can be conducted on the basis of the classification of biodiversity activities. How to gather and present funding information is further explored in section 2.4.

**Table 2.1 Consolidated table for indicators on resource mobilization**

	Conservation	Sustainable use	Prevent and Mitigation	Policy administration and others
Official Development Assistance (ODA)				
Domestic budgets at all levels				
Central government				
State/provincial government				
Local/municipal government				
Private sector				
Domestic private sector				
External private sector				
Non-governmental organizations, foundations, and academia				
Domestic non-governmental				

organizations, foundations and academia				
External non-governmental organizations, foundations and academia				
International financial institutions				
United Nations organizations, funds and programmes				
Non-ODA public funding				
South-South cooperation initiatives				
Technical cooperation				
Aggregated current financial flows				
+ Gross capital flows				
<b>Aggregated financial flows</b>				

## 2.2 Purpose-based classification and global boundaries of biodiversity activities

2.2.1 To identify and capture information concerning financial resources that are characteristic of biodiversity and ecosystem services, the Classification of Environmental Protection Activities and Expenditure (CEPA 2000) is not sufficient, and the present Implementation Guidelines on Indicators thus present a Classification of Biodiversity Activities (CBA) as a central framework that covers the full range of biodiversity activities, within which biodiversity funding data can be collected and reported in a format that is designed for purposes of biodiversity analysis, decision-taking and policy-making.

2.2.2 The classification may be used as reference for national reporting, implementation of the Rio Markers under the Creditor Reporting System of the Organization for Economic Cooperation and Development, and gathering information from the Government Finance Statistics of the International Monetary Fund. In addition to its primary application in official reporting, CBA may be used for benchmarking private sector biodiversity activities.

### 2.2.1 Definition of biodiversity activity

2.2.3 The term “biodiversity activity” refers to all deliberate and organized activities designed to meet biodiversity objectives and to bring about biodiversity outcomes. In accordance with the Convention on Biological Diversity, the key words in this definition should be understood as follows:

- "Biological diversity" means the variability among living organisms from all sources including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are part; this includes diversity within species, between species and of ecosystems. "Ecosystems" means a dynamic complex of plant, animal and micro-organism communities and their non-living environment interacting as a functional unit.
- “Deliberate”: involving certain degree of prior planning. Planning is essential to biodiversity financing.
- “Organized”: intended to take place according to a pattern or sequence, in accordance with explicit or implicit objectives. This implies the existence of an institutionalized provider to set up the framework of biodiversity activities and a method through which the biodiversity activities are organized.
- The objectives of the Convention are the conservation of biological diversity, the sustainable use of its components and the fair and equitable sharing of the benefits arising out of the utilization of genetic resources, including by appropriate access to genetic resources and by appropriate transfer of relevant technologies, taking into account all rights over those resources and to technologies, and by appropriate funding.
- "In-situ conservation" means the conservation of ecosystems and natural habitats and the maintenance and recovery of viable populations of species in their natural surroundings and, in the case of domesticated or cultivated species, in the surroundings where they have developed their distinctive properties. "Ex-situ conservation" means the conservation of components of biological diversity outside their natural habitats.
- "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.

2.2.4 Although the term “biodiversity activity” covers a range of biodiversity programmes and types that are devised at all levels, the Classification of Biodiversity Activities are limited to formal biodiversity activities that are institutionalized, intentional, and planned through public organizations and recognized private bodies, which, in their totality, make up the formal biodiversity system of a country. Informal biodiversity activities can be intentional or deliberate, but not institutionalized, and thus do not fall within the scope of the Classification of Biodiversity Activities. For instance, family-owned private gardens are not taken into account, but botanical gardens operating as a private business may be included. Indigenous approaches to passing traditional knowledge to younger generation orally are excluded, but including traditional knowledge in the organized education system is counted.

2.2.5 The Classification of Biodiversity Activities also exclude incidental or random biodiversity activities, i.e. various forms of biodiversity activities that are not designed to bring about biodiversity objectives. Incidental or random activities may occur as a by-product of day-to-day activities or other events that are not designed as deliberate biodiversity activities. Examples may include taking care of homeless pet animals.

### **2.2.2 Purpose-based classification**

2.2.6 The global understanding of biodiversity activities and financing has evolved around the Convention on Biological Diversity and its protocols, the Strategic Plan for Biodiversity for the period 2011-2020, decisions taken by the Conference of the Parties to the Convention, and national biodiversity strategies and action plans as well as national reports. Based on this understanding, the Classification of Biodiversity Activities provides a working consensus on the scope and global boundaries of biodiversity activity based on its basic purposes. The Classification of Biodiversity Activities is contained in Annex 2.2 of this guide.

2.2.7 The Classification of Biodiversity Activities covers six main classes of biodiversity activities and financing: conservation, sustainable use, access and benefit sharing, mitigation, prevention and general administration. The first three classes, i.e. conservation, sustainable use, access and benefit sharing, correspond to the three objectives of the Convention. The subsequent two classes broadly cover activities designed to address direct pressures on biodiversity and ecosystem services and to prevent the underlying causes of loss of biodiversity and ecosystem services. The final class encompasses all other related administrative activities or those that are of policy nature or mainly carried out by governments only.

2.2.8 The purpose-based classification of biodiversity financing should not be confused with the sector to which the entity of biodiversity financing belongs. The administrative financing of the environmental ministry, which comes under the category of central government, should therefore not ipso facto be assimilated to financing on administering the system consisting of national public biodiversity establishments.

### **2.2.3 Opinions on counting certain activities**

2.2.9 Two criteria are used to screen for biodiversity activities: entities of biodiversity financing, and purposes of activities. As a general rule, all activities of identified entities of biodiversity financing can be considered as biodiversity activities, and all activities with the purposes of achieving biodiversity objectives are counted as biodiversity activities. Some same activities need to be treated differently, if undertaken by those that are not entities of biodiversity financing.

2.2.10 Forest fires fighting, for instance, can be classified as a biodiversity activity, if undertaken by an entity of biodiversity financing. However, when forest fires fighting is conducted by an arrangement that is not an entity of biodiversity financing, this activity must be examined for whether it has the purpose of achieving biodiversity objectives. The same is for wastewater treatment and other activities of this nature.

2.2.11 The Secretariat of the Convention should gather the cases of activities that require further examination for classification, and publish its opinions on how such activities should be treated. Appropriate consultation and consensus should be undertaken before such an opinion should be issued. Users of the Classification of Biodiversity Activities are encouraged to communicate any questions on determining biodiversity nature of any activity with the Secretariat promptly, and leave specific marks on these items before an opinion is issued globally.



## **2.3 Institutional mapping for biodiversity financing**

2.3.1 Based on the definitions of biodiversity activities, it is necessary to determine the providers of biodiversity and ecosystem services. The process of determining the providing institutions is called “institutional mapping”. Institutional mapping is an essential tool for organizing information about various biodiversity systems and different sources of funding, in order to ensure the comparability of global funding information and to support their interpretation for international statistical purposes.

### **2.3.1 Entities of biodiversity financing**

2.3.2 Biodiversity financing is observed for basic units known as “entities of biodiversity financing”. These entities of biodiversity financing are entities with identifiable budgets for biodiversity. In order to be fully coherent, identification and constitution of entities of biodiversity financing are particularly important tasks; many factors are involved in determining these entities, notably availability of sources of information, funding structures investigated, and particular reasons why a given entity should be regarded as an entity of biodiversity financing.

2.3.3 The entity of biodiversity financing is an entity or group of entities that implements a budget including financing on biodiversity. Every entity that disburses financing on biodiversity must be taken into account. However it is not necessary for each to constitute an entity of biodiversity financing on its own. A number of entities can be combined to constitute a single entity of biodiversity financing, so long as they belong to the same class or even category. Incorporating several entities into one entity of biodiversity financing implies consolidation of the budgets of these entities.

2.3.4 There is a certain degree of freedom in determining entities of biodiversity financing. The process may take account of particular funding arrangements, opportunities of accessing data, or of the advantage in particularizing one or more individual entities. For example, when it is meaningful to do so, administrative services of a particular type of biodiversity establishments may constitute entities of biodiversity financing in their own right. For purposes of territorial comparison, entities of biodiversity financing may be defined in each region or biodiversity area of a country. On the other hand, public biodiversity establishments having financial autonomy may be integrated into the entity of biodiversity financing constituted by the Ministry of Environment.

2.3.7 The process of identifying entities of biodiversity financing must be fully completed before financing information is collected, because it is necessary to determine the financial operations that may take place between each of them.

2.3.8 The fact of establishing entities of biodiversity financing does not exclude the possibility that financing may show up in several entities of biodiversity financing, although in different forms. Transfers are taken into account in the financing of the entities that make them; they go to cover final financing, other transfers or purchases of the entities of biodiversity financing that receive them. Similarly, purchases figure in the financing of the entities that make them while their counterpart is the subject of the final financing of the entities from which they were made. Particular attention needs to be paid to an intermediary that is not the final user of biodiversity financing.

2.3.9 The make-up of the entities of biodiversity financing varies from one country to another according to its structures, the institutional framework and, occasionally, the ease of access to data. Most of the entities are connected by movements of money that depend on the ways and means of funding biodiversity and the situation in which information is collected. For these reasons it is impossible to draw up a standard list of entities of biodiversity financing. However, it is possible to draw up simple rules for constituting these entities of biodiversity financing and identifying the links that exist between them. These rules must be strictly observed, since the operational feasibility of the Implementation Guidelines on Indicators depends upon this rigorous approach.

## 2.3.2 Institutional classification of biodiversity financing

2.3.10 In order to collect and compile funding information while avoiding double counting, entities of biodiversity financing should be classified in classes and categories. The process of classifying entities of biodiversity financing does not affect the number of entities of biodiversity financing that may be identified. This process does not involve combining two or more entities of biodiversity financing in a given class into a single entity of biodiversity financing, but only placing these two or more entities of biodiversity financing in this class.

2.3.11 The entities of biodiversity financing are classified into the four classes: government entities, non-government entities, foreign entities and composite entities. These classes are in turn subdivided into categories. Each class and category may comprise one or more entities of biodiversity financing as required. The institutional mapping of biodiversity financing is provided in table 2.3.

Table 2.3 Institutional classification of biodiversity financing

Code	Entities of biodiversity financing
1	Governmental entities
1.1	Central government entities
1.2	State/provincial government entities
1.3	Local/municipal government entities
2	Non-government entities
2.1	Business entities
2.2	Non-governmental organizations/ foundations/ academia
3	Foreign entities
4	Composite entities

2.3.12 The classification of entities of biodiversity financing should not be mixed with sources of funding of these entities. A non-governmental entity may receive financing from governments, foreign entities or its own revenues. An important task for each reporting entity of biodiversity financing is to provide detailed information on different sources of financing in accordance with Indicator 1 of the present Guide.

### Government entities

2.3.13 Governmental entities refer to all institutional entities of central, state/provincial, or local municipal government, and environmental funds on all levels of government. Included are non-market non-profit institutions that are controlled and mainly financed by government entities.

2.3.14 Central government entities refer to all institutional entities making up the central government plus those national public institutions that are controlled and mainly financed by central government, including all the ministries, departments, offices and other bodies of central or federal government that disburse biodiversity financing. Included are the biodiversity establishments that are under the supervision of central government.

2.3.15 State/provincial government entities are at the intermediate level between the central and local government entities. Their autonomy should have ability directly to raise the duties or taxes that constitute some or all of their resources, and have power to take decisions independently of the central government entities. Included are the biodiversity establishments that are under the supervision of state/provincial government. “States” and “provinces” may be described by different terms in different countries. In small countries, individual states/provinces and state/provincial governments may not exist.

2.3.16 Local/municipal government entities include all the departments, offices and other bodies which, at the level of districts, counties, municipalities, towns and villages, disburse biodiversity financing. The autonomy of these governments should be appraised using the same criteria as for the regional

government entities. Included are the biodiversity establishments that are under the supervision of local/municipal government

2.3.17 From a practical point of view, every public authority at a particular level that is involved in the field of biodiversity should be constituted as an entity of biodiversity financing, although combinations are allowed within a given category. Where there is advantage in doing so, biodiversity areas, biodiversity establishments of a particular kind, or any other entity, can be declared as entities of biodiversity financing.

2.3.18 The lists of government entities of biodiversity financing belonging to the category of government entities depends upon the situation in and organization of each country, and for this reason no standard list can be drawn up. As an example, the panel below sets out a list of entities of biodiversity financing in this category for a notional country.

**List of entities of biodiversity financing in the category of public authorities for a notional country**

§ Central public authorities

- Ministry of environmental protection
- National environmental funds
- Ministry of water resources
- Ministry of agriculture, forestry, fishing and hunting
- Ministry of education
- Ministry of health
- Ministry of recreation (tourism), culture & religion
- Ministry of transport
- Ministry of mining, manufacture & construction
- Ministry of fuel & energy
- Ministry of defence
- Ministry of public order & safety
- Biodiversity Project II
- Project for Human Resources Development

§ Regional public authorities

- Biodiversity budgets for the 30 provinces of the country
- Common overheads of the 30 provinces of the country

§ Local public authorities

- Biodiversity budgets for the country's 102 communes

§ Independent biodiversity establishments (not included in the preceding entities of biodiversity financing)

- National Botanical Garden
- Natural Museum
- Safari

2.3.19 The class of government entities takes into account only financing on biodiversity by the entities of biodiversity financing in the government sector. When a ministry, department, office or other body in a public authority has functions other than biodiversity (research, culture, youth, etc.), the financing concerning other activities is not considered.

2.3.20 The financing of governmental entities in a given category should reflect the sum total of the biodiversity financing of that category. This points to the need to take into account not only the financing by different ministries, departments, offices and other bodies involved in the field (for example,

ministerial departments responsible for in-situ conservation, ex-situ conservation, health, employment, the interior, the armed forces, and so on), but also the biodiversity financing which, at the different administrative levels, may be funded from common budgets (for example, remuneration of personnel, employers' contributions, scholarships, etc.).

2.3.21 The class of the central, regional and local government entities include the biodiversity establishments that are under the supervision of each of them, as well as their internal biodiversity entities. By definition, a biodiversity establishment is governed by a given authority when its management is chosen by that authority, whatever these establishments' sources of funding. If an authority at a particular level subsidizes an establishment governed by an authority at a different level, that subsidy should be identified as a transfer from one authority to the other.

2.3.22 Projects funded by foreign entities are included in the category of government entities when it is the latter that in fact execute these projects, i.e., when they can independently manage the budget of these projects (discretionary commitment to financing, financial control, and so on). In those circumstances, the costs of the projects are regarded as final financing by the government entities; the funding provided by the entities abroad is then treated as transfers from these entities of biodiversity financing to the government entities. If these projects are not implemented by the government entities - i.e., when the commitment to financing is controlled by the entities of biodiversity financing abroad - then the projects are assigned to these entities of biodiversity financing abroad. For them they constitute final financing, and they are not shown in the category of the government entities in any form.

### **Nongovernmental entities**

2.3.23 Non-government entities refer to all domestic institutional entities that are not controlled and mainly financed by government entities. Business entities include all domestic corporations/firms, organizations and institutions whose primary activity is the commercial production of goods or services other than biodiversity objectives, with a view to their public sale. It includes those private non-profitmaking institutions mainly dependent upon businesses which mostly control and fund them (chambers of commerce, chambers of industry, employers' associations, and so on). It also includes firms' own internal biodiversity entities. Included also are public companies that are controlled by the public authorities.

2.3.24 Non-governmental organizations/foundations/ academia include the local nongovernmental organizations, foundations and certain similar associations that fund biodiversity financing, for example sponsoring committees. This category covers biodiversity establishments that are managed by an organization (for example, a religious community, an association, or a private undertaking) or by a board of management whose members are not selected by a public agency, regardless of whether they receive financial aid from the public authorities. Excluded are the branches of international nongovernmental organizations established in the country, which are classified in the class of foreign entities.

2.3.25 Public companies controlled by the public authorities are classified in the category of business entities. The public authorities have many ways to exercise control over firms. It is difficult to tell from the management methods which indicate who has effective control. To determine whether that control belongs to the public authorities, it is important to determine whether these do in fact effectively influence all the main aspects of management rather than exercising influence that stems from their general regulatory powers.

2.3.26 Nongovernmental organizations/foundations/academia refers to national non-governmental biodiversity establishments, and do not include the branches of international nongovernmental organizations established in the country, which are classified in the class of foreign entities. The financing taken into account pertains to the projects or actions implemented by these nongovernmental organizations in the field of biodiversity, on the basis of actual financing in a given year. When a national nongovernmental organization is the implementing agency of a multilateral or bilateral organization, the

financing undertaken on behalf of that organization is final financing for the nongovernmental organizations. A transfer of an equivalent amount from the organization to the nongovernmental organization is established.

2.3.27 Where a national nongovernmental organization obtains part of its funding from one or more international nongovernmental organizations that are not declared as entities of biodiversity financing in the class of foreign entities, the total amount of funding allocated by these nongovernmental organizations can be grouped together in a notional entity of biodiversity financing in the category of foreign nongovernmental organizations. In these circumstances, the funding operations of the international nongovernmental organizations, which are never individually taken into account in this category, show up as a transfer from this entity of biodiversity financing to the national nongovernmental organization. This approach has a practical advantage in that the national nongovernmental organizations may obtain funding from a large number of international nongovernmental organizations.

### **Foreign entities**

2.3.28 Foreign public entities include the public multilateral organizations that devote a substantial proportion of their activities to development and aid: multilateral development banks (the World Bank and regional development banks), United Nations agencies and certain country groupings (the European Union, OPEC, and so on). It also comprises the public bilateral organizations and the branches of international nongovernmental organizations. Lumped with the latter are the associations or groups of individuals that finance biodiversity financing from abroad (associations of expatriates and development associations).

2.3.29 For each entity of biodiversity financing in the class of foreign entities, the Implementation Guidelines on Indicators identifies the total amount of grants, concessionary loans and non-concessionary loans granted by these entities to the central, regional and local government entities, for the current year. Grants are transfers in cash or in kind (remuneration of those involved in technical co-operation, personnel of the international organizations working in the country, the supply of goods and services, and so on) for which no repayment is sought. Loans are reimbursable transfers. A concessionary loan is one in which the gift element accounts for at least 25% of the total. The amount of grants and loans should be identified for all the projects funded by the entity of biodiversity financing abroad, regardless of whether these are implemented by it or by another entity of biodiversity financing.

2.3.30 If an entity in the class of foreign entities simultaneously makes a grant and a loan to one or more entities of biodiversity financing, and if the grant and loan are the subject of two separate budgets, the aid from this entity should be listed in two entities of biodiversity financing, one for the grant, the other for the loan. The same applies when these gifts and loans are made to entities of biodiversity financing that belong to different classes or categories, for example to central government entities on the one hand, and to regional government entities on the other. Grants and loans made by entities abroad to other entities of biodiversity financing under projects implemented by the latter constitute transfers from the foreign entities of biodiversity financing to these other entities. However, when the projects are implemented by these entities abroad, the corresponding financing represents final financing for them. If an aid agency in the class of foreign entities or an international nongovernmental organization acts on behalf of another aid agency, then the latter should be declared an entity of biodiversity financing; the funding granted by the latter then shows up as a transfer.

### **Composite entities**

2.3.31 These entities of biodiversity financing have a purely instrumental character. They are used to account for groups of entities of biodiversity financing which have a specific budget, and which belong to several classes or categories. Contrary to the other entities of biodiversity financing, the final financing of composite entities is precisely equivalent to the sum total of the transfers they receive; in other words, these entities of biodiversity financing make no transfers to other entities of biodiversity financing, nor do they make any purchases.

2.3.32 Two entities of biodiversity financing A and B that manage a joint budget C cannot give rise to a composite entity of biodiversity financing C, unless the transfers from A and B to C are not assigned to a specific type of financing (remuneration, purchases of goods and services, and so on). Otherwise, the contributions of A and B to the joint budget are regarded as their final financings. For example, if entities in the class of foreign entities - international organizations and/or bilateral agencies - jointly administer a project that they fund by transfers whose use is not assigned to a particular type of financing, this project should be constituted into a composite entity of biodiversity financing. The contributions of each sponsor to this project, whether in the form of grants or loans, are represented by the transfers that each makes.

## **2.4 Statistics of biodiversity financing**

2.4.1 Information required for the consolidated table 2.1 calls for an appropriate recording of the biodiversity-related financial transactions between various entities of biodiversity financing. Drawing upon other similar exercises, an end-user approach is used to collect, assemble, and organize funding information for the consolidated table 2.1. This end-user approach is particularly relevant and useful for national biodiversity systems, and because of the end-use nature, can contribute to eliminating all potential sources of double counting. Unlike the existing practice that the biodiversity information from the Creditor Reporting System is only used at the global level, the end-user approach encourages national policy data workers to make full use of the available international funding information in compiling and presenting relevant data.

### **2.4.1 Definition of financing**

2.4.2 Biodiversity financing is reported on an expenditure basis, with the understanding that the institutional entities incur the expenditure and hence control and finance the amounts of such expenditure. Only monetary financing by the entities of biodiversity financing is taken into account. As a rule, the Implementation Guidelines on Indicators utilizes only actual or effective financing, defined here as the amount of financing disbursed during a year for the purchase of goods and services supplied during that year or subsequently.

2.4.3 The Implementation Guidelines on Indicators does not relate the actual financing to payments. In other words, if an entity of biodiversity financing for any reason whatsoever cannot meet its commitments and finds itself obliged to postpone some or all of its payments, the amount of these undertakings is taken into account, naturally on condition that the relevant delivery has been or will be made. For example, if the payment of the salaries of protected area staff is delayed, the corresponding financing is taken into account for the year during which they were committed. If the need should arise, the Implementation Guidelines on Indicators may consider financing that is foreseen, planned or paid, just as it is prepared to make estimates when certain types of information are not available.

2.4.4 Since the Implementation Guidelines on Indicators considers only flows of monetary financing, it does not evaluate either the accounting costs or the economic costs of activities in biodiversity. Accordingly, depreciation of equipment and capital goods, or opportunity costs, which concern the idea of alternative use, is never considered. For example, the loss of earnings to individuals pursuing their biodiversity is not allowed for. The same applies to tax reductions that the public administrations may grant to households which keep their lands idle for a period of time, or losses of production affecting firms when certain restrictions on production apply.

2.4.5 However, table 2.1 suggests a separate reporting on current financing and capital financing. Generally speaking, current financing is used for current expenditures – an accounting for expenses with duration of less than one year. Capital financing corresponds to capital expenditures – an accounting for expenses spanning several years. To a large extent, capital financing may explain many fluctuations observed in the policy analysis of biodiversity financing trends. Information on capital financing may also be useful in analysing potential investment cycles in biodiversity financing.

2.4.6 In processing the information, a distinction is drawn between financing, final financing, transfers and purchases, in order to avoid double entries and to facilitate the consolidation of financing between the entities of biodiversity financing. By definition, an entity of biodiversity financing disburses final financing when this financing is not attributed to or intended for any other entity of biodiversity financing considered by the Implementation Guidelines on Indicators, i.e., when it is neither a transfer nor a purchase to another entity of biodiversity financing.

## 2.4.2 Opinions on counting transfers and purchases

2.4.7 A transfer is defined as a financial transaction wherein one entity of biodiversity financing provides a good, service or credit to another entity of biodiversity financing without receiving from that entity any good, service or credit in return. By identifying transfers among the various entities of biodiversity financing, it becomes possible to reconstitute the funding circuits in the field and to avoid double entries when the final financing of the different entities of biodiversity financing are brought together. If entity of biodiversity financing A performs a transaction to the benefit of entity of biodiversity financing B, the corresponding financing is identified from the standpoint of A as a transfer to the entity of biodiversity financing B. Even if the transfer by A is assigned beforehand to a precise purpose (personnel salaries, purchase of goods and services, etc.) determined by that entity, this transaction is never identified from the standpoint of A but naturally always from the standpoint of B.

2.4.8 Transfers can exist only between entities of biodiversity financing considered by the Implementation Guidelines on Indicators. If an entity of biodiversity financing A makes a transfer to a unit that is not regarded as an entity of biodiversity financing, this transfer is regarded as a final financing by the entity of biodiversity financing A. For example, in the Implementation Guidelines on Indicators context, the grants paid by public authorities to biodiversity establishments are not transfers but final financing, if these establishments are not themselves broken down into entities of biodiversity financing. If they are, these grants - like other financing funded by the government entities for the purpose of the operation of these establishments (personnel salaries, purchases of goods and services, etc.) - are regarded as transfers. In other words, not all the financial flows giving rise to no return that appear under the heading of transfers from the budgets of entities of biodiversity financing are necessarily transfers in the view of the Implementation Guidelines on Indicators. Conversely, financing that is not listed as transfers may be considered by the Implementation Guidelines on Indicators in the category of transfers.

2.4.9 By identifying purchases, it becomes possible to avoid double entries, insofar as these purchases correspond precisely to sales that measure biodiversity financing for supplying entities of biodiversity financing. The purchases considered by the Implementation Guidelines on Indicators are exclusively those for which the return is a final financing by an entity of biodiversity financing. Purchases not satisfying this criterion are treated as final financing by purchasers. For example, suppose an entity of biodiversity financing A purchases land from an entity of biodiversity financing B with a view to conserving biodiversity. This sale generates income for the entity of biodiversity financing B, but as far as it is concerned does not correspond to any financing on biodiversity. In this case, the amount of the expense incurred by the entity of biodiversity financing A is, for the Implementation Guidelines on Indicators, a final financing rather than a purchase. When an entity of biodiversity financing purchases a good or a service from another entity of biodiversity financing, the final financing by the seller should be evaluated at the selling price of the goods or services provided, and correspond to the total sum paid by the purchasing entity of biodiversity financing. In other words, it is the amount of financing incurred by the purchasers that determines the value of the final biodiversity financing by the seller. For example, if an entity of biodiversity financing A purchases from an entity of biodiversity financing B a good for a price of 100, while the production of this good cost B only 80, the final financing of B is equal to the value of the purchase of A, i.e., 100. The difference between the production price of B and the selling price to A (20) is regarded from the standpoint of the seller as payment for a business function.

## 2.4.3 Survey procedures

2.4.10 Most financing data should be obtained from an analysis of existing data. New information-gathering arrangements can be necessary when financing can be neither evaluated nor estimated satisfactorily from the available data. Survey procedures may be applied to entities of biodiversity financing when, for example, the project brochures are insufficiently detailed, to certain government authorities when budgetary data are incomplete, or to the decentralized or dispersed structures of entities of biodiversity financing where these have never been the subject of a precise statistical study.



2.4.11 The survey procedures must seek to determine the resources of the entities of biodiversity financing concerned. The requirements of the Implementation Guidelines on Indicators for information can sometimes be met by supplementing certain existing surveys by a more comprehensive inquiry into biodiversity financing. The questionnaires used in the surveys need to adapt to the situation of each type of entity of biodiversity financing, while seeking to be consistent with the Implementation Guidelines on Indicators. In order to prevent wrongful interpretations both by the pollsters and those polled, the questionnaires should be accompanied by a set of instructions describing the meaning of the different variables, including selected examples. Sample surveys might be used to collect information from non-governmental organizations and businesses when the number of such entities is too large. Methods of identifying and motivating respondents should also be developed.

2.4.12 Considering the complexity of the field, and the need to maximize the number and quality of the answers obtained, the surveys should be conducted by experienced pollsters who have a good basic training in the implementation of the Methodological Guidance and Implementation Guidelines on Indicators. It is always necessary to check the monetary units in which financing is expressed, the consistency of the answers given in the different parts of the questionnaire, and any missing answers. The second contact should be made shortly after the questionnaires have been completed. On completion of the checking procedure, the proportions of missing answers and the distribution of each variable are calculated. In order to ensure that the data collected are reliable, the results obtained can be verified by comparing them with other sources of information which then serve as benchmarks.

2.4.13 Since survey procedures occasionally involve substantial resources, they should not be embarked upon unless it is certain that the required information cannot be obtained by less costly means. The cost of these inquiries means that they cannot be carried out very often and their results are therefore liable to be used several times. In the case of governmental sector, aid agencies and international organizations, information is collected every year, with additional data being collected, in principle, at the same intervals. However, if there have been no substantial structural changes, the data used for calculating certain estimates may be used several times. In the case of non-governmental organizations and businesses, whose activities vary little over time, the frequency of surveys should probably not exceed the average duration of their projects or activities, which is about three years.

#### **2.4.4 Estimation procedures**

2.4.14 Estimation procedures have to be applied if it is impossible to use other means, such as consulting documents used for preparing budgets, making inquiries from the entities of biodiversity financing concerned, consulting activity reports, and so on. The most appropriate procedures depend closely on the national context, the type of financing to be estimated, and the information that is available.

2.4.15 The Implementation Guidelines on Indicators suggest employing the term “original financing” and “derived financing” to distinguish between financial data extracted from the various sources of information and estimated data. When an original financing covers several items under a given classification heading, this financing may be broken down into these items. An original financing is always a financing that has been observed, for example in a budget document or in the results of surveys, which give rise to a very large number of potential combinations, and a derived financing is always estimated from additional information, sometimes involving several estimates. Estimates are also needed in other circumstances: for example, when old data are used, when it is necessary to adjust budgetary periods, or when it is necessary to evaluate concepts of financing not considered in the information sources.

2.4.16 Estimates are always used as a last resort. They can never take the place of a search for additional information that would give a true measurement of a variable. In fact, the greater the number of estimates made, the more the results lose their credibility. However, if a very small financing contains a large number of elementary financings, it may be acceptable to estimate only the more significant parts of these financings, or even to estimate none of them if the necessary calculations are too complex or if there is a

danger of producing too inaccurate results that are too imprecise. Estimates should be based on sound hypotheses, relevant to the type of financing concerned. If various methods of calculation can be envisaged for estimating a particular variable, the results of each should be compared and any implausible results eliminated. When one financing has to be broken down into several, it is essential to ensure that the sum of the estimated values does in fact correspond to the total amount of the overall financing, and to make any necessary adjustments. If it is decided to deduce an financing by subtracting the sum of the other financings from the amount of the overall financing, then this method should be used to estimate the financing for which the process appears most risky. If the quality of estimates is considered to be the same for each component in the overall financing, then the financing whose estimate requires most information or the one that requires use of the least accessible data should be the one to be deduced by difference. Whenever an estimate is made, it is recommended that the methods of calculation used and the detail of the operations carried out be noted, in order to facilitate any subsequent checks.

#### **2.4.5 Reasoned estimate**

2.4.17 An estimate is said to be reasoned when it is obtained by a precise, not necessarily complex calculation, based on easily accessible information. Before the result is accepted, it is necessary to check the coherence and validity of the operations performed, and to test the sensitivity of the estimate to changes of hypothesis. By way of illustration, four examples of reasoned estimates are given hereunder.

- Updating old monetary data. When information from the period preceding the year covered by the Implementation Guidelines on Indicators is used, such as survey data covering a period longer than one year, or budgetary data relating to an earlier year, the data must be updated, taking into account the changes over time, particularly the changes in prices that have occurred since the date of observation of the financing.
- Projections of past trends. Certain types of financing can be estimated on the basis of a mean annual growth rate observed over a recent period. For example, an exponential growth model of the type: where X is the variable, t the period and r the growth rate, can be used for calculating this rate. When chronological data are plentiful, it is possible to calculate the growth rate by adjusting a regression line using the method of least squares. However, this method of estimation may be unsuitable if substantial structural change has occurred in recent years.
- Proportional estimation of financing. Financing that cuts across several items in the purpose-based classification can be broken down in proportion to the volume of activity of the entity of biodiversity financing. This method is tantamount to assuming that the unitary financing is constant whatever the type of activity. When the information so permits, adjustments can be made to allow for disparities, such as differences in terms of geographical location.
- Estimates based on unitary financing. When the ratio of unitary costs rather than these costs themselves is known, it is possible to break down a financing cutting across several purpose-based classifications. For instance, salary financing can be roughly estimated using the number of personnel and the average remuneration indices and allowances.

#### **2.4.6 Subjective estimation**

2.4.18 A subjective estimate makes use of the opinion of experts (managers of certain entities of biodiversity financing, directors of finance departments, personnel in the biodiversity planning department, managers of professional associations, and so on) who, through their knowledge of the field, can make a fairly accurate judgement of the value of a parameter on the basis of which an estimate is made. This type of estimate is generally used as a last resort, and in certain cases it is recommended that several sources of information should be compared in order to ensure their relevance. Once again it is not possible to make precise recommendations as regards subjective estimates, because the approaches adopted depend on national characteristics, the type of information sought, and ease of access to the data.

#### **2.4.7 Adjustment of data**

2.4.19 The data collected together indicate the financing disbursed during one complete financial year. If the length of the budgetary period differs between the entities of biodiversity financing, and/or the start

and end dates of the period, during which financing is observed, do not coincide, the information is adjusted so as to produce financial data for a homogeneous period, for instance for a calendar year.

## Annex 2.1 2012 Questionnaire on indicators for resource mobilization

**1. Aggregated financial flows of biodiversity-related funding** (See section 1.1 of the methodological guidance on indicators and section 2.1 of the implementation guidelines on indicators)

1.1 Please indicate your aggregated financial flows of biodiversity-related funding for achieving the Convention's three objectives. **Please give amounts in national currency in current prices.**

**Table 2012.1 Aggregated financial flows of biodiversity-related funding**

Year	1992	2006	2007	2008	2009	2010
Official Development Assistance (ODA)						
Domestic budgets at all levels						
Private sector						
Non-governmental organizations, foundations, and academia						
International financial institutions						
United Nations organizations, funds and programmes						
Non-ODA public funding						
South-South cooperation initiatives						
Technical cooperation						
Aggregated financial flows						

**2. Assessment of biodiversity values, identification of funding needs, gaps and priorities and development of national financial plans** (See section 1.2 of the methodological guidance on indicators)

2.1 Please indicate whether your country has assessed values of biodiversity; identified and reported funding needs, gaps and priorities; developed national financial plans for biodiversity; and/or been provided with the necessary funding and capacity building to undertake the above activities.

	Yes	No
Assessment of values of biodiversity	<input type="checkbox"/>	<input type="checkbox"/>
Identification and reporting funding needs	<input type="checkbox"/>	<input type="checkbox"/>
Identification and reporting funding gaps	<input type="checkbox"/>	<input type="checkbox"/>
Identification and reporting funding priorities	<input type="checkbox"/>	<input type="checkbox"/>

Development of national financial plans for biodiversity	<input type="checkbox"/>	<input type="checkbox"/>
Provided with necessary funding and capacity building to undertake the above activities	<input type="checkbox"/>	<input type="checkbox"/>

2.2 Please elaborate the funding and capacity building that you have received to undertake the above activities:

Valuation:
Funding needs:
Funding gaps:
Funding priorities:
National financial plans:

**3. Domestic financial support** (See section 1.3 of the methodological guidance on indicators and section 2.1 of the implementation guidelines on indicators)

3.1 Please indicate your domestic financial support, per annum, in respect of those domestic activities which are intended to achieve the objectives of this Convention. **Please give amounts in national currency in current prices.**

**Table 2012.2 Domestic financial support to biodiversity**

Year	1992	2006	2007	2008	2009	2010
General government						
Central government						
State/provincial government						
Local/municipal government						
Private sector (domestic)						
Non-governmental organizations (domestic)						
Foundations (domestic)						
Academia (domestic)						
Total						

**4. Biodiversity focal area funding of the Global Environment Facility** (See section 1.4 of the methodological guidance on indicators)

(No question is raised on amount of funding provided through the Global Environment Facility and allocated to biodiversity focal area)

**5. Replication and scaling-up of relevant successful financial mechanisms and instruments** (See section 1.5 of the methodological guidance on indicators)

5.1 Please elaborate the decisions from governing bodies, of which your country is a member, to support other financial institutions that promote replication and scaling-up of relevant successful financial mechanisms and instruments

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**6. International development cooperation system** (See section 1.6 of the methodological guidance on indicators)

(No question is raised on international financing institutions, United Nations organizations, funds and programmes, and the development agencies that report to the Development Assistance Committee of Organisation for Economic Co-operation and Development (OECD/DAC), with biodiversity and associated ecosystem services as a cross-cutting policy)

**7. Consideration of biodiversity and ecosystem services in development plans, strategies and budgets** (See section 1.7 of the methodological guidance on indicators)

7.1 Has your country integrated consideration of biodiversity and ecosystem services in development plans and strategies?

Yes  No

7.2 Has your country integrated consideration of biodiversity and ecosystem services in national budgets?

Yes  No

**8. South-South cooperation initiatives** (See section 1.8 of the methodological guidance on indicators)

8.1 Please indicate the number of South-South cooperation initiatives for biodiversity that are financed by your country in 2009 and 2010.

Year	2009	2010
Number of South-South cooperation initiatives for biodiversity		

8.2 Please elaborate the South-South cooperation initiatives conducted by your country.

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**9. Technical cooperation and capacity-building initiatives** (See section 1.9 of the methodological guidance on indicators and section 2.1 of the implementation guidelines on indicators)

9.1 Please indicate the number of technical cooperation and capacity building initiatives that support biodiversity and that are financed by your country. Please include the annual amount involved in 2009 and 2010 (in national currency in current or constant prices, indicating the base year).

Year	2009: number	2009: amount	2010: number	2010: amount
South-South technical cooperation				
South-South capacity building initiatives				
North-South technical cooperation				
North-South capacity building initiatives				

9.2 Please elaborate these technical cooperation and capacity building initiatives that support biodiversity.

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**10. Global awareness initiatives** (See section 1.10 of the methodological guidance on indicators)

10.1 Please indicate the number of global initiatives on biodiversity funding needs, which are financed by your country

Year	2009	2010
Number of global initiatives that heighten awareness on the need for resource mobilization for biodiversity		

10.2 Please elaborate these global initiatives that heighten awareness on the need for resource mobilization for biodiversity

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**11. All resources from developed countries to developing countries towards achieving the Convention's objectives** (See section 1.11 of the methodological guidance on indicators and section 2.1 of the implementation guidelines on indicators)

11.1 Please indicate, as appropriate to your country, the amount of financial resources from all sources from developed countries to developing countries to contribute to achieving the Convention's objectives. **Please give amounts in national currency in current prices.**

**Table 2012.3 External financial resources in support of conservation objectives**

Year	1992	2006	2007	2008	2009	2010
Official Development Assistance (ODA)						
Private sector (external)						

(External) non-governmental organizations, foundations, and academia						
International financial institutions						
United Nations organizations, funds and programmes						
Non-ODA public funding						
Technical cooperation						
Total						

**Table 2012.4 External financial resources in support of sustainable use objectives**

Year	1992	2006	2007	2008	2009	2010
Official Development Assistance (ODA)						
Private sector (external)						
(External) non-governmental organizations, foundations, and academia						
International financial institutions						
United Nations organizations, funds and programmes						
Non-ODA public funding						
Technical cooperation						
Total						

**Table 2012.6 External financial resources in support of access and benefit sharing objectives**

Year	1992	2006	2007	2008	2009	2010
Official Development Assistance (ODA)						
Private sector (external)						
(External) non-governmental organizations, foundations, and academia						
International financial institutions						



United Nations organizations, funds and programmes						
Non-ODA public funding						
Technical cooperation						
Total						

**12. All resources from developed countries to developing countries towards the implementation of the Strategic Plan for Biodiversity 2011-2020** (See section 1.12 of the methodological guidance on indicators and section 2.1 of the implementation guidelines on indicators)

12.1 Please indicate, as appropriate to your country, the amount of financial resources from all sources from developed countries to developing countries towards the implementation of the Strategic Plan for Biodiversity 2011-2020. **Please give amounts in national currency in current prices.**

**Table 2012.7 External financial resources in support of addressing the underlying causes of biodiversity loss**

Year	1992	2006	2007	2008	2009	2010
Official Development Assistance (ODA)						
Private sector (external)						
(External) non-governmental organizations, foundations, and academia						
International financial institutions						
United Nations organizations, funds and programmes						
Non-ODA public funding						
Technical cooperation						
Total						

**Table 2012.8 External financial resources in support of reducing the direct pressures on biodiversity**

Year	1992	2006	2007	2008	2009	2010
Official Development Assistance (ODA)						
Private sector (external)						

(External) non-governmental organizations, foundations, and academia						
International financial institutions						
United Nations organizations, funds and programmes						
Non-ODA public funding						
Technical cooperation						
Total						

**13. Resources related to subsidies** (See section 1.13 of the methodological guidance on indicators)

13.1 Please indicate the amount of subsidies removed or phased out that are re-introduced for biodiversity objectives in 2009 and 2010 in your country

Year	2009	2010
Resources mobilized from the removal, reform or phase-out of incentives, including subsidies, harmful to biodiversity		

13.2 Please elaborate how resources mobilized from the removal, reform or phase-out of incentives, including subsidies, harmful to biodiversity, are used for the promotion of positive incentives, including but not limited to innovative financial mechanisms:

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**14. Initiatives on new and innovative financial mechanisms** (See section 1.14 of the methodological guidance on indicators)

14.1 For each of the new and innovative financial mechanism below that you have been engaged, please complete the table below. Please include the annual amount raised in 2009 and 2010 (in national currency in current or constant prices, indicating the base year).

Year	2009: Number	2009: Amount	2010: Number	2010: Amount
Payment for ecosystem services initiatives				
Biodiversity offset mechanisms initiatives				
Environmental fiscal reforms initiatives				
Initiatives on market for green products				
Initiatives on business-biodiversity partnership				
Initiatives on new forms of charity				
Initiatives integrating biodiversity and ecosystem services in the development of new				

and innovative sources of international development finance				
Initiatives considering biodiversity and ecosystem services in funding mechanisms for climate change				
Total				

14.2 Please elaborate these initiatives on new and innovative financial mechanisms and how they consider intrinsic values and all other values of biodiversity, in accordance with the objectives of the Convention and the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of the Benefits Arising out of Their Utilization:

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**15. Access and benefit-sharing initiatives and mechanisms** (See section 1.15 of the methodological guidance on indicators)

15.1 Please indicate the number of access and benefit sharing initiatives and mechanisms your country has undertaken in 2009 and 2010:

Year	2009	2010
Number of access and benefit sharing initiatives and mechanisms		

15.2 Please elaborate the access and benefit sharing initiatives and mechanisms your country has undertaken in 2009 and 2010:

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## Annex 2.2 Purpose-based classification of biodiversity activities and financing

Code	Description	Explanatory notes/examples
<b>1</b>	<b>Conservation</b>	Activities to achieve Aichi Strategic Goal C (Improve the status of biodiversity by safeguarding ecosystems, species and genetic diversity), including targets 11-13, and Strategic Goal D (Enhance the benefits to all from biodiversity and ecosystem services), including targets 14 and 15.
1.1	In-situ conservation	<p>Conservation of ecosystems and natural habitats and the maintenance and recovery of viable populations of species in their natural surroundings and, in the case of domesticated or cultivated species, in the surroundings where they have developed their distinctive properties (A-2); promotion of the protection of ecosystems, natural habitats and the maintenance of viable populations of species in natural surroundings (A-8d)</p> <p>Activities to achieve Aichi Target 5 (By 2020, the rate of loss of all natural habitats, including forests, is at least halved and where feasible brought close to zero, and degradation and fragmentation is significantly reduced)</p>
1.1.1	Protected areas	<p>Activities located in a geographically defined area which is designated or regulated and managed to achieve specific conservation objectives (A-2); establishment of a system of protected areas or areas where special measures need to be taken to conserve biological diversity (A-8a); development of guidelines for the selection, establishment and management of protected areas or areas (A-8b); regulation or management of biological resources important for the conservation of biological diversity whether within or outside protected areas, with a view to ensuring their conservation and sustainable use (A-8c)</p> <p>Activities to achieve Aichi target 11 (By 2020, at least 17 per cent of terrestrial and inland water areas, and 10 per cent of coastal and marine areas, especially areas of particular importance for biodiversity and ecosystem services, are conserved through effectively and equitably managed, ecologically representative and well connected systems of protected areas and other effective area-based conservation measures, and integrated into the wider landscapes and seascapes.)</p>
1.1.2	Conservation of threatened species	<p>Development or maintaining of necessary legislation and/or other regulatory provisions for the protection of threatened species and populations (A-8k)</p> <p>Activities to achieve Aichi target 12 (By 2020 the extinction of known threatened species has been prevented and their conservation status, particularly of those most in decline, has been improved and sustained)</p>
1.1.3	Conservation of genetic diversity	Activities to achieve Aichi target 13 (By 2020, the genetic diversity of cultivated plants and farmed and domesticated animals and of wild relatives, including other socio-economically as well as culturally valuable species, is maintained, and strategies have been developed and implemented for minimizing genetic erosion and safeguarding their genetic diversity)

Code	Description	Explanatory notes/examples
1.2	Ex-situ conservation	Conservation of components of biological diversity outside their natural habitats (A-2); adoption of measures for the ex-situ conservation of components of biological diversity, preferably in the country of origin of such components (A-9a); establishment and maintaining of facilities for ex-situ conservation of and research on plants, animals and micro-organisms, preferably in the country of origin of genetic resources (A-9b); adoption of measures for the recovery and rehabilitation of threatened species and for their reintroduction into their natural habitats under appropriate conditions (A-9c); regulation and management of collection of biological resources from natural habitats for ex-situ conservation purposes so as not to threaten ecosystems and in-situ populations of species, except where special temporary ex-situ measures are required (A-9d)
1.3	Restoration of degraded ecosystems	<p>Rehabilitation and restoration of degraded ecosystems and promotion of the recovery of threatened species, inter alia, through the development and implementation of plans or other management strategies (A-8f); support to local populations to develop and implement remedial action in degraded areas where biological diversity has been reduced (A-10d); the issue of liability and redress, including restoration and compensation, for damage to biological diversity (A-14.2)</p> <p>Activities to achieve Aichi Target 14 (By 2020, ecosystems that provide essential services, including services related to water, and contribute to health, livelihoods and well-being, are restored and safeguarded, taking into account the needs of women, indigenous and local communities, and the poor and vulnerable)</p>
<b>2</b>	<b>Sustainable use</b>	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 (A-2); promotion of environmentally sound and sustainable development in areas adjacent to protected areas with a view to furthering protection of these areas (A-8e); provision of the conditions needed for compatibility between present uses and the conservation of biological diversity and the sustainable use of its components (A-8i); integration of consideration of the conservation and sustainable use of biological resources into national decision-making (A-10a); adoption of measures relating to the use of biological resources to avoid or minimize adverse impacts on biological diversity (A-10b); protection and encouraging of customary use of biological resources in accordance with traditional cultural practices that are compatible with conservation or sustainable use requirements (A-10c); and encouraging cooperation between its governmental authorities and its private sector in developing methods for sustainable use of biological resources (A-10e).
2.1	Sustainable agriculture	Activities to achieve Aichi Target 7 (By 2020 areas under agriculture, aquaculture and forestry are managed sustainably, ensuring conservation of biodiversity)
2.2	Sustainable aquaculture	Activities to achieve Aichi Target 7 (By 2020 areas under agriculture, aquaculture and forestry are managed sustainably, ensuring conservation

Code	Description	Explanatory notes/examples of biodiversity)
2.3	Sustainable forestry	Activities to achieve Aichi Target 7 (By 2020 areas under agriculture, aquaculture and forestry are managed sustainably, ensuring conservation of biodiversity)
2.4	Sustainable fisheries	Activities to achieve Aichi Target 6 (By 2020 all fish and invertebrate stocks and aquatic plants are managed and harvested sustainably, legally and applying ecosystem based approaches, so that overfishing is avoided, recovery plans and measures are in place for all depleted species, fisheries have no significant adverse impacts on threatened species and vulnerable ecosystems and the impacts of fisheries on stocks, species and ecosystems are within safe ecological limits)
2.5	Sustainable tourism	
3	<b>Mitigation of the direct pressures on biodiversity, and prevention of the underlying causes of biodiversity loss</b>	<p>Regulation or management of the relevant processes and categories of activities, where a significant adverse effect on biological diversity has been determined as direct pressures on biodiversity, (A-8l); introduction of appropriate procedures requiring environmental impact assessment of its proposed projects that are likely to have significant adverse effects on biological diversity with a view to avoiding or minimizing such effects and, where appropriate, allow for public participation in such procedures (A-14.1a); introduction of appropriate arrangements to ensure that the environmental consequences of programmes and policies that are likely to have significant adverse impacts on biological diversity are duly taken into account (A-14.1b); promotion of notification, exchange of information and consultation on activities under national jurisdiction or control which are likely to significantly affect adversely the biological diversity of other States or areas beyond the limits of national jurisdiction, by encouraging the conclusion of bilateral, regional or multilateral arrangements (A-14.1c); notification of imminent or grave danger or damage to biological diversity within the area under jurisdiction of other States or in areas beyond the limits of national jurisdiction, and initiation of action to prevent or minimize such danger or damage (A-14.1d); promotion of national arrangements for emergency responses to activities or events, whether caused naturally or otherwise, which present a grave and imminent danger to biological diversity and encouraging of international cooperation to supplement such national efforts and establish joint contingency plans (A-14.1e)</p> <p>Regulation or management of the relevant processes and categories of activities where a significant adverse effect on biological diversity has been determined as underlying causes of biodiversity loss (A-8l)</p> <p>Activities to achieve Aichi Strategic Goal A (Address the underlying causes of biodiversity loss by mainstreaming biodiversity across government and society)</p> <p>Activities to achieve Aichi Strategic goal B (Reduce the direct pressures on biodiversity and promote sustainable use)</p>
3.1	Anti-pollution	Activities to achieve Aichi Target 8 (By 2020, pollution, including from

Code	Description	Explanatory notes/examples
		excess nutrients, has been brought to levels that are not detrimental to ecosystem function and biodiversity)
3.2	Safe management of invasive alien species	<p>Prevention of the introduction of, control or eradicate those alien species which threaten ecosystems, habitats or species (A-8h)</p> <p>Activities to achieve Aichi Target 9 (By 2020, invasive alien species and pathways are identified and prioritized, priority species are controlled or eradicated, and measures are in place to manage pathways to prevent their introduction and establishment)</p>
3.3	Safe management of living modified organisms	<p>Establishment or maintaining of 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 (A-8g)</p> <p>Activities to implement the protocol (Cartagena Protocol on Biosafety) 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 (A-19)</p>
3.4	Mitigation of climate change or ocean acidification	<p>Cooperation activities in respect of areas beyond national jurisdiction and on other matters of mutual interest, for the conservation and sustainable use of biological diversity (A-5).</p> <p>Activities to achieve Aichi Target 10 (By 2015, the multiple anthropogenic pressures on coral reefs, and other vulnerable ecosystems impacted by climate change or ocean acidification are minimized, so as to maintain their integrity and functioning) and Aichi Target 15 (By 2020, ecosystem resilience and the contribution of biodiversity to carbon stocks has been enhanced, through conservation and restoration, including restoration of at least 15 per cent of degraded ecosystems, thereby contributing to climate change mitigation and adaptation and to combating desertification)</p>
3.5	Sustainable production and consumption	<p>Activities to achieve Aichi Target 4 (By 2020, at the latest, Governments, business and stakeholders at all levels have taken steps to achieve or have implemented plans for sustainable production and consumption and have kept the impacts of use of natural resources well within safe ecological limits)</p>
4	<b>Policy administration and other activities</b>	<p>Cooperation on financial resources (A-21) and financial mechanism (A-21); cooperation in providing financial and other support for in-situ conservation, particularly to developing countries (A-8m); cooperation in providing financial and other support for ex-situ conservation and in the establishment and maintenance of ex-situ conservation facilities in developing countries (A-9e)</p>

Code	Description	Explanatory notes/examples
		Activities to achieve Aichi Strategic Goal E (Enhance implementation through participatory planning, knowledge management and capacity-building), including Aichi Target 20 (By 2020, at the latest, the mobilization of financial resources for effectively implementing the Strategic Plan for Biodiversity 2011-2020 from all sources, and in accordance with the consolidated and agreed process in the Strategy for Resource Mobilization, should increase substantially from the current levels)
4.1	Biodiversity planning and policy	<p>Development of national strategies, plans or programmes for the conservation and sustainable use of biological diversity or adaptation for this purpose existing strategies, plans or programmes; integration of the conservation and sustainable use of biological diversity into relevant sectoral or cross-sectoral plans, programmes and policies (A-6).</p> <p>Activities to achieve Aichi Target 17 (By 2015 each Party has developed, adopted as a policy instrument, and has commenced implementing an effective, participatory and updated national biodiversity strategy and action plan), and Aichi Target 2 (By 2020, at the latest, biodiversity values have been integrated into national and local development and poverty reduction strategies and planning processes and are being incorporated into national accounting, as appropriate, and reporting systems)</p>
4.2	Incentive measures	<p>Adoption of economically and socially sound measures that act as incentives for the conservation and sustainable use of components of biological diversity (Article 11)</p> <p>Activities to achieve Aichi Target 3 (By 2020, at the latest, incentives, including subsidies, harmful to biodiversity are eliminated, phased out or reformed in order to minimize or avoid negative impacts, and positive incentives for the conservation and sustainable use of biodiversity are developed and applied, consistent and in harmony with the Convention and other relevant international obligations, taking into account national socio economic conditions)</p>
4.3	Access and benefit sharing related to genetic resources	<p>Creation of conditions to facilitate access to genetic resources for environmentally sound uses (A-15.2); access to genetic resources with prior informed consent (A-15.4) and on mutually agreed terms (A-15.5); scientific research based on genetic resources with the full participation of providers (A-15.6); legislative, administrative or policy measures to share in a fair and equitable way and upon mutually agreed terms, the results of research and development and the benefits arising from the commercial and other utilization of genetic resources (A-15.7); all practicable measures to promote and advance priority access on a fair and equitable basis to, on mutually agreed terms, the results and benefits arising from biotechnologies based upon genetic resources (A-19.2)</p> <p>Activities to implement Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization</p>



Code	Description	Explanatory notes/examples
		Activities to achieve Aichi Target 16 (By 2015, the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization is in force and operational, consistent with national legislation)
4.4	Participation of indigenous and local communities	<p>Activities aimed 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 with the approval and involvement of the holders of such knowledge, innovations and practices and encourage the equitable sharing of the benefits arising from the utilization of such knowledge, innovations and practices (A-8j)</p> <p>Activities to achieve Aichi Target 18 (By 2020, the traditional knowledge, innovations and practices of indigenous and local communities relevant for the conservation and sustainable use of biodiversity, and their customary use of biological resources, are respected, subject to national legislation and relevant international obligations, and fully integrated and reflected in the implementation of the Convention with the full and effective participation of indigenous and local communities, at all relevant levels.)</p>
4.5	Education and public awareness	<p>Establishment and maintaining of programmes for scientific and technical education and training in measures for the identification, conservation and sustainable use of biological diversity and its components and provision of support for such education and training for the specific needs of developing countries (A-12a); promotion and encouraging of understanding of the importance of, and the measures required for, the conservation of biological diversity, as well as its propagation through media, and the inclusion of these topics in educational programmes (A-13a); cooperation in developing educational and public awareness programmes, with respect to conservation and sustainable use of biological diversity (A-13b)</p> <p>Activities to achieve Aichi Target 1 (By 2020, at the latest, people are aware of the values of biodiversity and the steps they can take to conserve and use it sustainably)</p>
4.6	Research and development	Identifying components of biological diversity important for its conservation and sustainable use (A-7a); monitoring, through sampling and other techniques, the components of biological diversity, in particular those requiring urgent conservation measures and those which offer the greatest potential for sustainable use (A-7b); identifying processes and categories of activities which have or are likely to have significant adverse impacts on the conservation and sustainable use of biological diversity, and monitoring their effects through sampling and other techniques (A-7c); maintaining and organizing data derived from identification and monitoring activities (A-7d); promotion and encouragement of research which contributes to the conservation and sustainable use of biological diversity, particularly in developing countries (A-12b); promotion and cooperation in the use of scientific

Code	Description	Explanatory notes/examples
4.7	Technology cooperation	<p>advances in biological diversity research in developing methods for conservation and sustainable use of biological resources (A-12c); legislative, administrative or policy measures to provide for the effective participation in biotechnological research activities by those Contracting Parties, especially developing countries, which provide the genetic resources for such research, and where feasible in such Contracting Parties (A-19.1)</p> <p>Activities to achieve Aichi Target 19 (By 2020, knowledge, the science base and technologies relating to biodiversity, its values, functioning, status and trends, and the consequences of its loss, are improved, widely shared and transferred, and applied)</p> <p>Provision and/or facilitation of access for and transfer to other Contracting Parties of technologies that are relevant to the conservation and sustainable use of biological diversity or make use of genetic resources and do not cause significant damage to the environment (A-16.1); access to and transfer of technology under fair and most favourable terms, including on concessional and preferential terms where mutually agreed, and on terms which recognize and are consistent with the adequate and effective protection of intellectual property rights (A-16.2); legislative, administrative or policy measures for access to and transfer of technology on mutually agreed terms (A-16.3); legislative, administrative or policy measures with the aim that the private sector facilitates access to, joint development and transfer of technology (A-16.4); cooperation to ensure that patents and other intellectual property rights are supportive of and do not run counter to its objectives (A-16.5); facilitation of the exchange of information, from all publicly available sources, relevant to the conservation and sustainable use of biological diversity, including exchange of results of technical, scientific and socio-economic research, as well as information on training and surveying programmes, specialized knowledge, indigenous and traditional knowledge as such and in combination with the technologies (A-17); promotion of international technical and scientific cooperation in the field of conservation and sustainable use of biological diversity through the appropriate international and national institutions (A-18.1); promotion of technical and scientific cooperation through the development and implementation of national policies (A-18.2); establishment of a clearing-house mechanism to promote and facilitate technical and scientific cooperation (A-18.3); encouraging and development of methods of cooperation for the development and use of technologies, including indigenous and traditional technologies, and cooperation in the training of personnel and exchange of experts (A-18.4); promotion of the establishment of joint research programmes and joint ventures for the development of technologies relevant to the objectives of this Convention (A-18.5)</p>

### **Part III. Baselines**

3.1 Baselines are lines of reference used to measure the resulting changes that are caused by or linked to some interventions that have been introduced and implemented. The basic assumption of the concept is that no substantial changes will occur under the existing programmes. If relevant underlying parameters and variables of a baseline will change considerably during a period under observation, the baseline will not provide meaningful reference for change measurement. For instance, certain targets of the 2011-2020 global strategic plan for biodiversity, such as target 4 on sustainable production and consumption pattern, have been relatively less elaborated under the Convention than other subject areas. These less-well elaborated subject areas requiring further conceptual and programmatic development thus need special care in considering baselines.

3.2 Baselines are data intensive and cost of collecting and compiling relevant data can be substantial. Data collection and compilation for baselines cannot be a one-shot exercise, and thus need to be part of core functions of national and global biodiversity management systems. Robust data support system is key to baseline setting.

3.3 Baselines should be policy relevant. Policy mandates/considerations provide justifications and also scope for setting baselines. Unwanted baselines often lack policy relevance. Policy relevance should be the starting point for baselines consideration, and constantly reviewed during the process of developing baselines.

3.4 Baselines are time sensitive. Historically speaking, biodiversity funding from the Global Environment Facility tends to increase over the duration of a replenishment period, with lower averages in the first one or two years of a replenishment, and higher averages in the remaining two years. But no study is available on whether global biodiversity funding follows economic cycles, that is, lower during an economic downturn and higher during booming years. Meaningful baselines would have to reduce or eliminate the effect of unavoidable fluctuations by choosing a median year during a cycle, if it does exist, or a mean value of all years during a cycle, or pegging the baselines against overall economic trends, such as gross domestic products or gross national incomes. The challenge is the lack of knowledge or information on the existence of a cyclical nature of biodiversity funding, and its length if it exists. A further challenge is that biodiversity decision making cycles may not necessarily synchronize with economic cycles. Available information has shown that the percentage of biodiversity funding is very insignificant in terms of gross domestic products or gross national incomes, and the usefulness of the pegging approach thus can be compromised.

3.5 Given the availability of knowledge and information, national and global baselines may have to be chosen with an acknowledgement of imperfections. Available data per se may reveal more policy-relevant information since funding data can inform any adjustment of baselines.

3.6 Global baselines should take into account national baselines. Countries may have different reference points, depending on national circumstances and policy needs. In addition, global baselines need to consider the historical milestones of the Convention, including the year 1992 when the Convention on Biological Diversity was adopted, the year 2002 when the Monterrey Consensus was agreed to, the year 2008 when the Strategy of Resource Mobilization was adopted by the ninth meeting of the Conference of the Parties, the year 2010 when the Strategic Plan for Biodiversity for the period 2011-2020 was endorsed by the tenth meeting of the Conference of the Parties, and the year 2020.

3.7 Global baselines should also consider the time lag, at least one year, normally observed in data collection. Considering the time lag generally encountered in data collection, it will only be possible to have available funding data for the year 2018 when the Strategic Plan for Biodiversity for the period 2011-2020 will be reviewed in the year 2020.

3.8 National and regional baselines for resource mobilization may be combined results of specific country and regional circumstances, history and policy needs. For purposes of comparability and global aggregation, the following baselines contained in part I of this Guide may be further elaborated:

- B1 Aggregated amount of financial flows for biodiversity objectives in a given year
- B2 Number of countries that have undertaken each of the following activities or received funding for them in a given year: valuation of biodiversity and ecosystem services, identification and reporting of funding needs, gaps and priorities, development of national financial plans
- B3 Aggregated amount of domestic funding for biodiversity objectives in a given year
- B4 Amount of funding provided through the Global Environment Facility in the biodiversity focal area in a given year
- B5 Number of decisions adopted on successful financial mechanisms and instruments to be promoted by other financial mechanisms in a given year
- B6 Number of financial institutions and development agencies with a cross-cutting policy on biodiversity and ecosystem services in a given year
- B7.1 Number of countries with integrated consideration of biodiversity and ecosystem services in development plans and strategies for a given year
- B7.2 Number of countries with integrated consideration of biodiversity and ecosystem services in national budgets for a given year
- B8 Number of South-South cooperation initiatives for biodiversity in a given year
- B9.1 Number and amount of South-South technical cooperation and capacity building initiatives for biodiversity in a given year
- B9.2 Number and amount of North-South technical cooperation and capacity building initiatives for biodiversity in a given year
- B10 Number of global awareness initiatives on biodiversity funding needs in a given year
- B11 Aggregated amount of financial flows for biodiversity objectives from developed countries to developing countries in a given year
- B12 Aggregated amount of financial flows for the implementation of the Strategic Plan for Biodiversity 2011-2020 from developed countries to developing countries in a given year
- B13 Amount of transfers including subsidies reduced or removed and subsequently re-introduced for biodiversity objectives in a given year
- B14.1 Total number of innovative financial mechanism initiatives for biodiversity in a given year
- B14.2 Total amount of financial resources generated from new and innovative financial mechanism initiatives for biodiversity in a given year
- B15 Total number of access and benefit sharing initiatives and mechanisms in a given year

3.9 In accordance with decision X/3, paragraph 8, global baselines for resource mobilization will be determined by the Executive Secretary on the basis of compiling and consolidating information from all relevant sources, and presented to the Conference of the Parties at its eleventh meeting for agreement by Parties. Global baselines for resource mobilization should thus be developed on the basis of available national baselines for resource mobilization. The ultimate global baselines for resource mobilization should be expected to become available after the eleventh meeting of the Conference of the Parties.

## **Part IV. Effective Reporting Framework**

## **4.0 Introduction**

4.0.1 The success of indicator implementation hinges on an effective reporting framework to be adopted under the Convention. The Effective Reporting Framework should establish common reporting principles, governance arrangement and methods for information generation. An essential element of the framework is the requirement for dedicated staff at both national and global levels who are empowered politically and financially to collect and communicate indicator information, free of political consideration.

### **4.1. Principles of an effective reporting framework**

4.1.1 Following international statistical practices, the effective reporting framework should aim to constitute an integrated system of comprehensive, internally consistent, and internationally comparable indicator information. It should also seek to meet the need for timeliness and precision, as well as for policy sensitivity and relevance required of the indicators identified by the Conference of the Parties.

#### **Comprehensiveness**

4.1.2 The framework should provide a comprehensive framework for all biodiversity activities. With the purpose-based approach and classification, all activities designed to provide protection and enhancement to biodiversity and ecosystem services can be included.

#### **Consistency**

4.1.3 The framework should result in data collections which are more comparable across countries and more consistent over time. The end-user-based approach should prevent national financial aggregates from suddenly changing due to the migration of biodiversity programmes from one ministry to another or from one level of government to another.

4.1.4 The framework should make data collections less affected by changing national definitions over time. The resulting time series should be capable of monitoring past structural changes and serve as input for simulation and forecasting models. The latter are especially demanding in terms of quality and consistency of data over time.

#### **International comparability**

4.1.5 The framework should facilitate national efforts to transform home-based observations into cross-country comparable data in order to enhance a greater level of communication among policy-makers and researchers. Notwithstanding the classifications and guidelines provided, a great deal of effort in development and pilot implementation may be necessary in order to determine the best method to operationalize indicator concepts and to design detailed guidelines for surveys and estimation procedures.

#### **Timeliness and precision**

4.1.6 The framework should seek a trade-off between timeliness and precision. Timeliness may conflict with precision when large data sets and a multiplicity of surveys have to be combined. Projection models may be used to bridge gaps in the data and to provide preliminary estimates. Limited resources mean that detailed surveys can only be conducted on a multi-annual basis with interpolations for years in between surveys and extrapolations of the most recent period. For policy analysis, preliminary trend-projections are highly desirable.

#### **Policy sensitivity**

4.1.7 Policy sensitivity is crucial in times of frequent changes of public policy in biodiversity. The framework should be flexible to capture financial changes and support monitoring of financial consequences of biodiversity policy and their changes.

## **4.2 Governance for resource mobilization indicators**

4.2.1 The Effective Reporting Framework involves the resource mobilization focal points at the national level, the Convention Secretariat at the global level and their effective interactions, and depends entirely on the effectiveness of all the three constituent elements.

### **4.2.1 Resource mobilization focal points**

4.2.2 The resource mobilization focal points at the national level, together with national focal points of the Convention, must be organized and enabled in a way that national biodiversity activities and associated entities of biodiversity financing can be clearly identified, mapped and documented, national methodologies for aggregating financial flows established, data on financial flows regularly collected, relevant financial flow data regularly published and used for informing national biodiversity planning, policy consultation and decision making.

### **4.2.2 Role of the Convention Secretariat**

4.2.3 The Secretariat of the Convention can be the custodian of the Methodological Guidance and Implementation Guidelines for Indicators, and is thus responsible for the development, maintenance, updating and revision of this reference guide for data collection and analysis. The Secretariat should aim to maintain links with custodians of other relevant methodologies, in order to ensure consistency and avoid duplications.

4.2.4 Further responsibilities of the Convention Secretariat include:

- Describing how the Methodological Guidance and Implementation Guidelines for Indicators are used when producing and presenting statistics;
- Promoting the use of the Methodological Guidance and Implementation Guidelines for Indicators for comparative statistics;
- Providing guidance materials, training and technical (and financial) support to countries to ensure the effective implementation and utilization of the Methodological Guidance and Implementation Guidelines for Indicators throughout the world;
- Establishing monitoring mechanisms for proper feedback from users about problems in their use;
- Forming a network of resource mobilization focal points and other data collection partners to review the Methodological Guidance and Implementation Guidelines for Indicators, and to advise on their implementation;
- Compiling, presenting and publishing statistical information on financial flows for biodiversity objectives.

4.2.5 The Secretariat should maintain a database comprising financial flows for biodiversity objectives and mappings of national biodiversity systems to the Classification of Biodiversity Activities, which should be accessible on the Convention website and updated as appropriate to reflect changes over time in national biodiversity and finance systems.

### **4.2.3 Interactive process**

4.2.6 Parties to the Convention and other Governments are requested to submit information to the Secretariat of the Convention, through responding to the 2012 questionnaire on indicators for resource mobilization, and subsequently through the fifth and sixth national reports to the Convention.

4.2.7 Training for implementation should be arranged through regionals workshops and technical assistance and cooperation, in accordance with countries' needs and existing capacities, and in close collaboration with data collection partners. It is expected that the first round of training for implementation will begin shortly after the release of this guide document, in order to facilitate preparation of responses to the 2012 questionnaire on indicators for resource mobilization.

4.2.8 To promote quality assurance, the Secretariat of the Convention should work closely with countries and partner data collection agencies (including the International Monetary Fund, Organization



for Economic Cooperation and Development, and Eurostat) to ensure that data and mappings are in accordance with the Methodological Guidance and Implementation Guidelines for Indicators.

4.2.9 A resource mobilization indicator network should be formed in order to advise the Secretariat regarding the classification of biodiversity activities and expenditure, to review the current version of the Methodological Guidance and Implementation Guidelines for Indicators, and to identify potential areas for further development. The Network should consist of the Secretariat of the Convention, key data collection partners, such as Organization for Economic Cooperation and Development, and Eurostat, as permanent members. The composition of the Network membership should aim to be balanced both technically and geographically, and therefore would include resource mobilization focal points with relevant knowledge and representing regions of the world on a non-permanent basis as well as representatives from the research and user community.

### **4.3 Sources of information**

4.3.1 The Effective Reporting Framework is largely based on the information available in the countries, from budgets, survey data, analysis of reports, information obtained directly from the funding sources, and so on. This includes the possibility of filling the gaps in information by means of flexible and specific data collection systems, or by using simple estimating procedures as a last resort, if certain data are unavailable. The information sources may be classified into two major categories: financing of the different funding providers, and data collected from entities. As the framework uses a variety of sources, their coherence needs to be examined and any bias that the different information sources may introduce should be evaluated periodically.

#### **4.3.1 Government funding**

4.3.2 Financial information by government is usually taken from the budgets of the various ministries and departments which, at central, regional and local level, exercise responsibilities in the field of biodiversity. When budgetary data are too general, or not individualized for each ministry or department, the corresponding information must be obtained from the relevant sections of ministries or authorities of the different governments (divisions of planning, finance and accounts, etc.). Information may occasionally be taken from relevant experts or analytical reports existing in the country. As a rule, these sources of information provide data that are global and frequently retrospective, on the basis of which certain estimates can be made.

4.3.3 With regard to local governments, as there are many, it is sometimes preferable to estimate financing from a representative sample, and then to extrapolate the results of this process to the country as a whole. This method can be justified for at least two reasons. First, local budgets are often extremely general and yield poor information on biodiversity financing. Secondly, these local budgets may be unrealistic, making it a risky business to extract figures from voted budgets. In these circumstances, a direct survey of a representative sample of local governments can make possible a detailed examination of the actual spending of these local governments.

#### **4.3.2 Public sector establishments**

4.3.4 When the budgetary data from the relevant governments do not enable the financing of public sector biodiversity establishments to be evaluated in sufficient detail, some information on them should be obtained directly. If these biodiversity establishments are financially independent, their budgets can be used to evaluate their final financing. Otherwise, the financing of these establishments can be reconstituted from the sources of funding. Differences may be observed between the amounts paid and the amounts received, because of planned financing versus actual financing, different scope of funding counted, or when funding providers pay grants to establishments for no previously defined purpose. Checks should be made in order to decide which information is the more appropriate.

### **4.3.3 Biodiversity establishments in the private sector**

4.3.5 Where relevant ministries have private sector divisions on biodiversity, the final financing of grant-aided private sector establishments may be available from these sources. If such authorities do not exist, information should be sought directly from the private sector establishments.

### **4.3.4. Businesses**

4.3.6 Funding information on biodiversity from businesses can be gathered from trade organizations or business associations, particularly when these have environmental programmes. However, the information available from published documents is usually insufficient, and supplementary data must be found through direct inquiries.

### **4.3.5. Non-governmental organizations**

4.3.7 National and international non-governmental organizations should in principle be declared to the authorities, for example to a contact bureau or a standing secretariat for non-governmental organizations. Usually, however, they are not obliged to provide these bodies with a detailed report on their activities, so precise and complete information on the financing of these organizations is not always available from these sources. Hence, it is necessary to conduct direct surveys of non-governmental organizations, usually by questionnaire because their number tends to be small. These questionnaires should describe the resources and financing of each project or action in the field of biodiversity. The data collected should correspond to the financing of a given year, even if the total cost of each project is collected elsewhere: for example, for a future update of certain questionnaire results.

### **4.3.6 Foreign assistance**

4.3.8 Information on foreign assistance (in the form of loans or gifts) appears mostly in the budget of government, for instance under a public investment programme. However, the data given in these programmes are usually global, and in most cases indicate only proposed financing, sometimes far removed from reality. Not all projects are written into a public investment programme. Most often, the project summaries to which one may have access are succinct and give only a very imperfect description of the financing pertaining to loans and gifts. So it is necessary to collect information directly from the project co-ordination units, sometimes from the ministry responsible for co-operation or the ministry for planning, and directly from the aid agencies and international organizations. This information should be collected each year by an exhaustive survey of funding providers and of projects involved in the field.

4.3.9 Since 1998, the Development Assistance Committee (DAC) of the Organization for Economic Cooperation and Development has monitored aid targeting the objectives of the Rio Conventions through its Creditor Reporting System (CRS) using the so-called "Rio markers". The Rio marker on biodiversity was established by the DAC in close collaboration with the Secretariat of the United Nations Convention on Biodiversity (UNCBD) to track aid flows in support of developing countries' efforts to implement the Convention. Biodiversity-related aid is defined as activities that promote at least one of the three objectives of the Convention: the conservation of biodiversity, sustainable use of its components (ecosystems, species or genetic resources), or fair and equitable sharing of the benefits of the utilisation of genetic resources. As such, the Rio markers can be an important source of information on foreign assistance for biodiversity.

### **4.3.7 Quality control**

4.3.10 To control quality, three degrees of precision of data can be used: actual financing or highly reliable estimate ( $q = 1$ ), reliable estimate ( $q = 2$ ), risky estimate ( $q = 3$ ). The quality marker should be given for all financing, whether original or derived. In most cases, the statistical quality of the original financing determines that of the derived financing. In certain cases, however, the statistical quality of a derived financing is independent of that of the original financing from which it was obtained. When one may know with certainty the amount of a proportion of a financing whose total amount is uncertain, the statistical quality of a derived financing may be higher than that of the original.