



UNEP/CBD/SRM/Indicators/2

Survey 2012

Application of Indicator Methodology for the Strategy for Resource Mobilization

Draft for global consultation and peer review

September 2011

Introduction

In decision X/3, paragraph 8, the Conference of the Parties invited Parties to apply the indicator methodology from the Executive Secretary during 2011-2012 to measure gaps and needs as well as progress in the increase in, and mobilization of, resources, and invited Parties to present relevant information to the Secretariat in a timely manner.

The present draft Survey 2012 has been prepared to facilitate the presentation by Parties of relevant information to the Secretariat, on the basis of the draft methodological guidance, implementation guidelines, baselines and effective reporting framework prepared by the Secretariat. While developing responses to the Survey 2012, Parties are encouraged to consult the document entitled Guide to Indicators for the Strategy for Resource Mobilization: Methodological Guidance, Implementation Guidelines, Baselines and Effective Reporting Framework.

The draft Survey 2012 contains two parts. The first part provides a questionnaire on information required to calculate all the fifteen indicators at the global level. The fifteen indicators were adopted in decision X/3, and elaborated in the draft methodological guidance on indicators for the Convention's strategy for resource mobilization.

The second part of the draft Survey 2012 offers relevant technical instructions on how responses to the draft questionnaire should be developed as well as explanations on definitions and methods necessary for answering the questionnaire. More in-depth discussions on the indicator information are provided in the Guide to Indicators for the Strategy for Resource Mobilization.

Responding to the draft Survey 2012 is expected to be a process of constant interactions between Parties and the Secretariat. The Secretariat is expected to provide technical consensus on potential indicator issues that require further clarification at the global level.

The prerequisite for successfully responding to the 2012 questionnaire on indicators for resource mobilization 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.

Part I: 2012 Questionnaire on indicators for resource mobilization

Identification of respondent

Please complete the following table:

Country:	
Name of respondent:	
Organization of respondent:	
Designated person for data validation with the Secretariat:	
Email address:	
Telephone contact:	
Date of completion and submission:	

1. Information on the financial flows to biodiversity

Please indicate the domestic and international financial flows to biodiversity in your country. For a developed country, international financial flows refer to outflow of resources to developing countries. For a developing country or country with economies in transition, international financial flows refer to inflows of external resources to your country. Please give amounts in national currency in current prices.

Year: 2010 (please reproduce the table for 2006, 2007, 2008, and 2009)

	Conservation	Sustainable use	Mitigation of direct pressures and underlying causes	Policy administration and others	Total
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					
Aggregated financial flows					

2. Information on the measures being taken to implement the strategy for resource mobilization by 2012

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

Measures	Status	Further information	Funding and capacity building support received
2.1 Assessment of values of biodiversity	No <input type="checkbox"/> Yes <input type="checkbox"/>		
2.2 Identification and reporting funding needs	No <input type="checkbox"/> Yes <input type="checkbox"/>		
2.3 Identification and reporting funding gaps	No <input type="checkbox"/> Yes <input type="checkbox"/>		
2.4 Identification and reporting funding priorities	No <input type="checkbox"/> Yes <input type="checkbox"/>		
2.5 Development of national financial plans for biodiversity	No <input type="checkbox"/> Yes <input type="checkbox"/>		
7.1 Integrated consideration of biodiversity and ecosystem services in development plans and strategies	No <input type="checkbox"/> Yes <input type="checkbox"/>		N.A.
7.2 Integrated consideration of biodiversity and ecosystem services in national budgets	No <input type="checkbox"/> Yes <input type="checkbox"/>		N.A.
5. Decisions from governing bodies of biodiversity-related legal instruments, and other international, regional, national or sub-national entities, both public and private, of which your country is a member, to support other financial institutions that promote replication and	N.A.		N.A.

scaling-up of relevant successful financial mechanisms and instruments			
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3. Information on special initiatives related to resource mobilization for the period 2011-2012

Please indicate the relevant special initiatives and programmes related to resource mobilization. Please give amounts in national currency in current prices.

Type of initiative	Number	Amount	Description
8. South-South cooperation initiatives for biodiversity financed by your country		N.A.	
9.1 South-South technical cooperation financed by your country			
9.2 South-South capacity building initiatives financed by your country			
9.3 North-South technical cooperation financed by your country			
9.4 North-South capacity building initiatives financed by your country			
10. Global initiatives that heighten awareness on the need for resource mobilization for biodiversity, financed by your country		N.A.	
13. Resources mobilized from the removal, reform or phase-out of incentives, including subsidies, harmful to biodiversity			
14.1 Payment for ecosystem services initiatives that your country has been engaged			
14.2 Biodiversity offset mechanisms initiatives that your country has been engaged			
14.3 Environmental fiscal reforms initiatives that your country has been engaged			
14.4 Initiatives on market for green products that your country has been engaged			
14.5 Initiatives on business-biodiversity partnership that your country has been engaged			
14.6 Initiatives on new forms of charity that your country has been engaged			
14.7 Initiatives integrating biodiversity and ecosystem services in the development of new and innovative sources of international development finance, that your country has been engaged			
14.8 Initiatives considering biodiversity and ecosystem services in funding mechanisms for climate change, that your country has been engaged			
15. Access and benefit sharing initiatives and mechanisms		N.A.	

Part II: Technical instructions on responding to the 2012 questionnaire on indicators for resource mobilization

Identification of respondent (effective reporting)

1. The prerequisite for successfully responding to the 2012 questionnaire on indicators for resource mobilization 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. With this requirement in mind, 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.

1. Information on the financial flows to biodiversity

Methodological guidance

2. 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. 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 of the Guide to Indicators for the Strategy for Resource Mobilization.

3. 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.

4. 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.

5. 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.

6. 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.

7. 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.

8. 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 of the Guide to Indicators for the Strategy for Resource Mobilization.

9. 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 of the Guide to Indicators for the Strategy for Resource Mobilization.

10. 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.

11. South-South Cooperation describes the exchange of resources, technology, and knowledge between developing countries, and 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, 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”.

12. 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.

Implementation guidelines

13. Counting everything that should be counted. The term “biodiversity activity” refers to all deliberate and organized activities designed to meet biodiversity objectives and to bring about biodiversity outcomes. The global understanding of biodiversity activity 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, a classification of biodiversity activities is contained in Annex 2.2 of the Guide to Indicators for the Strategy for Resource Mobilization, including:

1 Conservation

1.1 In-situ conservation (1.1.1-Protected areas; 1.1.2-Conservation of threatened species; 1.1.3-Conservation of genetic diversity)

1.2 Ex-situ conservation

1.3 Restoration of degraded ecosystems

2 Sustainable use

(2.1-Sustainable agriculture; 2.2-Sustainable aquaculture; 2.3-Sustainable forestry; 2.4-Sustainable fisheries; 2.5-Sustainable tourism)

3 Mitigation of the direct pressures on biodiversity, and prevention of the underlying causes of biodiversity loss

3.1 Anti-pollution

3.2 Safe management of invasive alien species

3.3 Safe management of living modified organisms

3.4 Mitigation of climate change or ocean acidification

3.5 Sustainable production and consumption

4 Policy administration and other activities

4.1 Biodiversity planning and policy

4.2 Incentive measures

4.3 Access and benefit sharing related to genetic resources

4.4 Participation of indigenous and local communities

4.5 Education and public awareness

4.6 Research and development

4.7 Technology cooperation

14. Avoiding double counting. Institutional mapping is an effective 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. Based on the flow of finance and statistical convenience, “entities of biodiversity financing” can be established for those entities with identifiable budgets for biodiversity, and be used as basic statistical units for tracking financial flows. End-user approach is then used for assembling and aggregating final financial data.

15. Conscious of cost-effectiveness. Information availability differs in various countries, and a wide range of information sources may be used as long as they provide reasonable assurance for data reliability. Domestic information sources may include budgets, survey data, analysis of reports, information obtained directly from the funding sources, and so on. 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 Rio markers, and can be an important source of information on foreign assistance for biodiversity.

16. Quality control. Data precision may evolve over time. Normally observed data may not be subject to further change, or only be revised once in a year to two. Estimated data are vulnerable to further revisions as more information becomes available. It is important that data systems be marked in terms of degree of certainty.

2. Information on the measures being taken to implement the strategy for resource mobilization by 2012

17. 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.

18. 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.

19. 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.

20. 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. Development plans and strategies may take various forms in different countries, such as national poverty reduction strategies or national sustainability strategies. This survey only refers to the most comprehensive or master plan for economic growth and development in a country. Budgets are contained in the annual budget document approved by a national legislative body, for instance, national parliament, national congress or national assembly.

21. The phrase “Other financial institutions” refers to multilateral and regional development banks, national development banks and financing agencies such as export development agencies other than the Global Environment Facility. 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. 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.

3. Information on special initiatives related to resource mobilization for the period 2011-2012

22. South-South Cooperation describes the exchange of resources, technology, and knowledge between developing countries. 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.

23. 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. Capacity building initiatives comprise capacity assessment, capacity building and capacity development activities. 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.

24. 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.

25. 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. As the survey focuses on the government's intention rather than on the effect of any subsidy, there is no clear limit on the activities and purposes that might be used to define harmful subsidies, and thus no definition for the phrase "incentives, including subsidies, harmful to biodiversity" is provided. Subsidies redirected to biodiversity objectives are those subsidies received by non-governmental entities of biodiversity financing 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 of the Guide to Indicators for the Strategy for Resource Mobilization.

26. 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. Technical explanations of these mechanisms are available in a compilation and presentation on innovative financial mechanisms requested in decision X/3. 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.

27. 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 is whether an initiative or mechanism is aimed at enhancing resource mobilization. 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.