



Convention on Biological Diversity

Distr.
GENERAL

CBD/COP/DEC/XIII/20
15 December 2016

ORIGINAL: ENGLISH

CONFERENCE OF THE PARTIES TO THE
CONVENTION ON BIOLOGICAL DIVERSITY
Thirteenth meeting
Cancun, Mexico, 4-17 December 2016
Agenda item 11

DECISION ADOPTED BY THE CONFERENCE OF THE PARTIES TO THE CONVENTION ON BIOLOGICAL DIVERSITY

XIII/20. Resource mobilization

The Conference of the Parties,

Taking note of the report of the International Technical Expert Workshop on Identifying, Accessing, Compiling and Aggregating Domestic and International Biodiversity-related Investments and Impacts,¹ held in Mexico City from 5 to 7 May 2015, as well as the report of the co-chairs of the Dialogue Workshop on Assessment of Collective Action of Indigenous Peoples and Local Communities in Biodiversity Conservation and Resource Mobilization,² held in Panajachel, Guatemala, from 11 to 13 June 2015,

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

Recognizing the impact of the financial gap on progress of Parties in achieving the Aichi Biodiversity Targets,

Recalling decision XII/3, in particular the targets referred to in paragraphs 1(a) to (e) and 2,

Stressing the need for continued efforts for effective mobilization and utilization of resources for biodiversity from all sources,

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

¹ [UNEP/CBD/SBI/1/INF/20](#).

² [UNEP/CBD/SBI/1/INF/6](#).

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

Recognizing the importance of biodiversity mainstreaming for resource mobilization and the effective use of financial resources, because it encourages a more efficient use of existing resources,

Recognizing also that support by the Biodiversity Finance Initiative has been instrumental in mainstreaming activities related to the Aichi Biodiversity Targets in countries supported by the Biodiversity Finance Initiative,

Recognizing further that existing approaches for the monitoring and assessment of the contribution of collective action of indigenous peoples and local communities require development of specific methodologies, including case studies, pilot projects and associated studies, to refine methodologies, and *recalling*, in this connection, paragraph 30 of decision XII/3,

Recognizing the potential contribution of implementing Aichi Biodiversity Target 3 for the mobilization of financial resources,

Financial reporting

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

2. *Takes note* of the analysis of the information provided by Parties through the financial reporting framework, in particular the progress towards the targets adopted in decision XII/3, and the need to assess the financial resources provision in further detail, in line with the financial reporting framework and in the context of Article 20;

3. *Takes note with concern* of the insufficient information gathered from the financial reporting frameworks submitted by Parties, which limits the basis for a comprehensive assessment of progress towards achieving the targets, bearing in mind that the targets are to be considered mutually supportive, and, in this context, takes note:

(a) Of the progress made by reporting Parties in achieving targets 1 (a), 1 (b) and 1 (c) of decision XII/3, as well as in reporting on their assessment and/or evaluations of the intrinsic, ecological, genetic, socioeconomic, scientific, educational, cultural, recreational and aesthetic values of biological diversity and its components, pursuant to target 1 (d);

(b) Of the limited progress made by reporting Parties in reporting their funding needs, gaps and priorities, pursuant to target 1 (c), and in reporting their national finance plans, pursuant to target 1 (d);

4. *Emphasizes* that limited progress in achieving targets 1 (c) and 1 (d) could negatively affect assessment of progress towards achieving target 1 (e) and 1 (a);

5. *Urges* Parties to increase their efforts to achieve the targets, including the doubling of total biodiversity-related international financial resource flows to developing countries, in particular least developed countries and small island developing States as well as countries with economies in transition, as stated in target 1(a), bearing in mind that the targets are considered to be mutually supportive;

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

7. *Urges* Parties that have finalized the revision and updating of their national biodiversity strategies and action plans to identify their funding needs, gaps, and priorities, on the basis, as appropriate, of the revised national biodiversity strategies and action plans and other complementary information, and to develop

and implement their national finance plans for the effective implementation of revised national biodiversity strategies and action plans, as a matter of priority, and to report thereon by 1 July 2017, where feasible;

8. *Requests* the Executive Secretary, in line with paragraphs 26 and 28 of decision XII/3, to make the financial reporting framework for the second round of reporting³ available online by 1 July 2017, and invites Parties to report, using the online financial reporting framework, on their further contribution to the collective efforts to reach the global targets for resource mobilization, against the established baseline, in conjunction with their sixth national reports, by 31 December 2018;

9. *Also requests* the Executive Secretary to prepare a stocktake and an updated analysis of financial reports received in order to provide a more comprehensive picture on the global overall progress towards the global targets, including an analysis of differences across methodological approaches, for consideration by the Subsidiary Body on Implementation at its second meeting, in order to submit recommendations to the Conference of the Parties at its fourteenth meeting;

Capacity-building and technical support

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

11. *Welcomes* the establishment of the CBD-BIOFIN regional nodes as a means to provide technical support for interested Parties which have not been supported by the Biodiversity Finance Initiative in assessing their funding needs, gaps and priorities and in developing their national finance plan; and *invites* developing country Parties, in particular least developed country Parties and small island developing States, and countries with economies in transition, to indicate their interest, as appropriate, to the Biodiversity Finance Initiative, and *encourages* the Biodiversity Finance Initiative to take into consideration the conceptual framework of IPBES on biodiversity and ecosystem services in its future work;

12. *Invites* Parties, other Governments and donors in a position to do so to provide financial and technical support to capacity-building for the identification of funding needs, gaps and priorities; the development and implementation of national resource mobilization strategies; and for financial reporting, inter alia through the second phase of the Biodiversity Finance Initiative and other initiatives;

Strengthening biodiversity finance information systems

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

14. *Takes note* of the work of multilateral development banks, to track and report multilateral biodiversity finance flows, and encourages them to expedite this work;

15. *Encourages* Parties to establish, as appropriate, or improve cooperation with national or regional statistical offices and authorities, with a view to generating synergies with national information generation processes, and to contribute to the collection and reporting of financial data, in order to avoid duplication of work;

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

17. *Requests* the Executive Secretary:

³ [Decision XII/3](#), annex II, section III.

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

(b) To update, as appropriate, the guidance provided in the report of the Mexico workshop with any new methodological information received pursuant to paragraph 16 above and other relevant sources, with a view to providing Parties with up-to-date voluntary guidance in order to facilitating financial reporting, as foreseen in paragraph 32(c) of decision XII/3;

Collective action of indigenous peoples and local communities

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

19. *Invites* Parties, other Governments, and relevant stakeholder organizations to consider establishing pilot projects on the contribution of collective action of indigenous peoples and local communities by making use of existing work processes such as the work on indicators relevant to traditional knowledge and customary sustainable use⁴ or the implementation of the plan of action on customary sustainable use,⁵ and *further invites* Parties to submit related information through the financial reporting framework to the Executive Secretary;

20. *Invites* Parties, other Governments and relevant organizations to consider the inclusion, as appropriate, of collective action of indigenous peoples and local communities for the conservation and sustainable use of biodiversity into the development and implementation of national finance plans for the effective implementation of revised national biodiversity strategies and action plans;

21. *Requests* the Executive Secretary to compile and analyse the information on collective action received by Parties through the financial reporting framework and other relevant sources, and, taking into account the guiding principles in the annex to the present decision as well as the report of the Guatemala workshop,⁶ to develop elements of methodological guidance for identifying, monitoring, and assessing the contribution of indigenous peoples and local communities to the achievement of the Strategic Plan for Biodiversity 2011-2020 and the Aichi Biodiversity Targets, for consideration by the Ad Hoc Open-ended Working Group on Article 8(j) and Related Provisions at its tenth meeting, and with a view to finalizing the methodological guidance at the second meeting of the Subsidiary Body on Implementation and adopting it at the Conference of the Parties at its fourteenth meeting;

Milestones for the full implementation of Aichi Biodiversity Target 3

22. *Urges* Parties and other Governments to implement measures for the implementation of Aichi Biodiversity Target 3, taking into account, as a flexible framework, the milestones adopted by the Conference of the Parties at its twelfth meeting, consistent and in harmony with the Convention and other relevant international obligations, and taking into account national socioeconomic conditions;⁷

23. *Recalls* its invitation to Parties to report progress in achieving these milestones, as well as any additional milestones and timelines established at the national level, in the context of national circumstances, policies and capabilities, through their national reports or, as appropriate, through the online reporting framework on implementing the Strategic Plan for Biodiversity 2011-2020 and the Aichi Biodiversity Targets, and *invites* Parties to also include information on national analytical studies that identify candidates for elimination, phase-out or reform of incentives, including subsidies, that are harmful for biodiversity, and that identify opportunities to promote the design and implementation of positive incentive measures, such as

⁴ [Decision XII/12 A](#), paras. 6-9.

⁵ [Decision XII/12 B](#), para. 1.

⁶ [UNEP/CBD/SBI/1/INF/6](#).

⁷ [Decision XII/3](#), para. 21 and annex I.

appropriate recognition and support for indigenous peoples and local communities that conserve territories and areas, and other effective community conservation initiatives;

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

25. *Requests* the Executive Secretary to compile and analyse relevant information, including the information submitted pursuant to paragraph 23 above as well as relevant studies from international organizations and initiatives, including an analysis of how the implementation of Aichi Biodiversity Target 3 also contributes to the implementation of Aichi Biodiversity Target 20, and to submit the compilation and analysis to the Subsidiary Body on Implementation for consideration at its second meeting;

Safeguards in biodiversity financing mechanisms

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

27. *Also requests* the Executive Secretary to make the information requested in paragraph 26 above available to the Ad Hoc Open-ended Working Group on Article 8(j) and Related Provisions at its tenth meeting, with a view to developing recommendations, for consideration by the Subsidiary Body on Implementation at its second meeting, on how the application of safeguards can ensure that the potential effects of biodiversity financing mechanisms on the social and economic rights and livelihoods of indigenous peoples and local communities are addressed effectively;

28. *Requests* the Subsidiary Body on Implementation, at its second meeting to consider the analysis compiled under paragraph 26 and the recommendation of the Ad Hoc Open-ended Working Group on Article 8(j) and Related Provisions, and to develop recommendations for the implementation of the voluntary guidelines on safeguards, adopted in decision XII/3, to address effectively the potential impacts of biodiversity financing mechanisms on different elements of biodiversity, as well as their potential effects on the rights and livelihoods of indigenous peoples and local communities, for consideration by the Conference of the Parties at its fourteenth meeting.

Annex

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

1. *Importance of collective action.* The collective action of indigenous peoples and local communities contributes to achieving the Strategic Plan for Biodiversity 2011-2020 and the Aichi Biodiversity Targets. In particular, traditional knowledge provides an important contribution to decision-making and reporting processes. It is important for the ways and means of holding and transmitting traditional knowledge to be recognized and fully included when reporting on the contribution of collective action by indigenous peoples and local communities.

2. *Context specificity.* The monitoring and assessment of the contribution of collective action is highly context specific, requiring a broad range of methodological approaches which can be applied in a tailored manner in accordance with local circumstances. An indicative, non-exhaustive list of possible methodological approaches is provided in the appendix below.

3. *Multiplicity of values.* The multiple perspectives and world views on value, as articulated through social roles and social-biological relationships that are specific to each territory and knowledge system need to be recognized in assessing the contribution of collective action.

4. *Methodological pluralism and complementarity.* Different methodologies may generate different data which can be used as complementary sources of information. Bridging methodologies could bring together data on larger scales with bottom-up assessments that transmit significant aspects of the local cultural contexts and world views. Pilot projects could be established to test multiple methodologies.
5. *Process orientation.* Indigenous peoples and local communities need to be fully and effectively involved in the process of developing and applying methodologies for assessing their collective actions.
6. *Linkages to work on customary sustainable use.* Recognizing and assessing the contribution of collective action can contribute to protect and promote the intergenerational transfer of traditional knowledge, innovations and practices, as this transfer is based on collective actions related to customary sustainable use and the conservation of biodiversity.

Appendix

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

- (a) The “Conceptual and Methodological Framework for Evaluating the Contribution of Collective Action to Biodiversity Conservation”, developed by the Government of Bolivia with the support of the Amazon Cooperation Treaty Organization (ACTO), proposes a three-module approach, linking geospatial modelling, institutional analysis and ecological assessment;⁸
- (b) The Multiple Evidence Base approach sets out a process of knowledge mobilization that can bring together scientific and traditional knowledge systems;
- (c) Community-Based Monitoring and Information Systems (CBMIS) are a bundle of methods, developed by local communities based on their own monitoring needs, which is used for monitoring the indicators for traditional knowledge under the Convention;
- (d) The Indigenous and Community Conserved Areas (ICCA) Consortium has many tools and methods for capturing the contribution of collective action, such as participatory mapping and GIS, video and photo stories, bio-cultural community protocols, and toolkits for environmental monitoring and assessment of threats to indigenous and community conserved areas.

⁸ See [UNEP/CBD/COP/12/INF/7](#).