

GLOBAL
ENVIRONMENT
FACILITY

OPERATIONAL CRITERIA FOR
ENABLING ACTIVITIES:
BIODIVERSITY

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BACKGROUND

1. The GEF Operational Strategy defines enabling activities in biodiversity as:¹

'[Activities] that prepare the foundation to design and implement effective response measures to achieve Convention objectives. They will assist recipient countries to develop national strategies, plans or programs referred to in Article 6 of the CBD, and to identify components of biodiversity together with processes and activities likely to have significant adverse impacts on conservation and sustainable use of biodiversity pursuant to Article 7 of the CBD. They will normally involve the review and assessment of information and will assist a recipient country to gain a better understanding of the nature and scope of its biodiversity assets and issues as well as a clearer sense of the options for the sustainable management and conservation of biodiversity. Enabling activities include supporting country-driven activities for taking stock of or inventorying biodiversity based on national programs and relying on studies, without new primary research; identifying options and establishing priorities to conserve and sustainably use biodiversity; preparing and developing biodiversity planning exercises, such as national strategies, action plans and sectoral plans; and disseminating of information through national communications to the CBD'.

2. In approving the GEF operational strategy at its October 1995 meeting, the GEF Council stressed that in preparing project proposals for enabling activities the guidance of the Conference of the Parties to the relevant conventions should be followed². It was also stressed that operational criteria, including an analysis of what specific actions should be addressed under enabling activities, should be prepared before the Council meeting in April 1996 in order to facilitate review and approval of enabling activities projects.

3. At its second meeting, the Conference of the Parties (COP) of the CBD approved additional guidance for the GEF in its capacity as the interim financial mechanism of the CBD. Some of the guidance is directly relevant to, and can be fulfilled through, enabling activities as defined in the operational strategy. Guidance which does not fall within the scope of enabling activities will be addressed through activities under operational programs or through short-term response measures.

4. Decision II/7: *Consideration of Articles 6 and 8 of the Convention*, requests the interim financial mechanism under the Convention to facilitate urgent implementation of Articles 6 and 8 of the Convention by availing to developing country Parties financial resources for projects in a flexible and expeditious manner.³ Article 6 activities are specifically referenced in the definition of enabling activities in the GEF operational strategy and these will be included within the operational criteria presented in this paper. Article 8 activities are being addressed through the GEF operational programs.

¹ GEF Operational Strategy, 1996, Chapter 2.

² Relevant guidance from the COP of the CBD set forth in Annex D.

³ UNEP/CBD/COP/2/19; decision II/7.

5. Article 6 of the CBD provides:

'Each Contracting Party shall, in accordance with its particular conditions and capabilities:

- (a) Develop national strategies, plans or programs for the conservation and sustainable use of biological diversity or adapt for this purpose existing strategies, plans or programs which shall reflect, *inter alia*, the measures set out in this Convention relevant to the Contracting Party concerned; and
- (b) Integrate, as far as possible and as appropriate, the conservation and sustainable use of biological diversity into relevant sectoral or cross-sectoral plans, programs and policies'.

6. Decision II/17: *Form and Intervals of National Reports by Parties* urges the financial mechanism under the Convention to make available financial resources to developing country Parties to assist in the preparation of their national reports.⁴ The decision also reflects the agreement of the COP to call for the first national reports to be submitted to the fourth meeting of the COP in 1997. The decision contains suggested guidelines for national reporting on the implementation of Article 6. Decision II/8: *Preliminary Consideration of Components of Biological Diversity Particularly Under Threat and Action Which Could Be Taken Under the Convention* encourages Parties, as part of their first national report, to identify priority issues specifically related to those components of biological diversity under threat.⁵

7. In order to respond to the request of the Convention in decision II/7 that financial resources be provided in a flexible and expeditious manner, and consistent with the decision of the GEF Council that operational criteria be developed before the April 1996 Council meeting in order to facilitate review and approval of enabling activities projects, the following operational criteria have been developed. As cited in the GEF Operational Strategy, the purpose of these operational criteria is:⁶

- '(a) to set out the scope, sequence, depth, frequency, and typical cost norms for various components of enabling activities;
- (b) to outline recommended processes to prepare, discuss, and implement enabling activities within a recipient country; and
- (c) to delineate the requirements for provision of GEF support, its complementarity to existing and ongoing support, and its focus on the task of preparing particular plans or communications in relation to the Convention'.

8. These criteria establish streamlined procedures for approving enabling activity project proposals that comply with these criteria. These procedures will incorporate the key elements of the GEF project cycle, but are designed to shorten the time required for project development and approval in cases where the requested enabling activities are consistent with these criteria.

⁴ UNEP/CBD/COP/2/19; decision II/17.

⁵ UNEP/CBD/COP/2/19; decision II/8.

⁶ GEF Operational Strategy, 1996, Chapter 2.

9. The present document outlines these streamlined procedures, and sets out the operational criteria for enabling activities in the biodiversity focal area.⁷ In accordance with the guidance from the Convention, for the period 1996 and 1997, these criteria are aimed at assisting eligible countries that so request to prepare or finalize their national biodiversity strategies and actions plans as set out in Article 6 of the Convention and to prepare their first national reports to be submitted in accordance with Article 26 of the Convention. Recognizing that most planning processes are by nature cyclical, it is anticipated that these criteria will need to be reviewed and revised once requests from eligible parties have been responded to under this phase.

ENABLING ACTIVITIES AND RELATED CONCEPTS

10. Enabling activities, as defined in the GEF Operational Strategy (see paragraph 1) and consistent with the guidance of the COP, include inventories, compilation of information, policy analysis, strategies and action plans. In response to the request of the second meeting of the Conference of the Parties to the Convention, for the period 1996-1997, they may also include financial assistance to facilitate the submission of information through national reports to the COP. The aim of these activities is to provide countries with the ability to formulate and manage sectoral or cross-sectoral programs to meet biodiversity objectives through a cost-effective approach within the context of national sustainable development efforts. Enabling activities should assist in the identification of additional capacity building needs and project concepts for further development. Enabling activities consistent with this definition will normally qualify for full cost funding.⁸

11. Proposals that do not comply with the operational criteria described in this document may be eligible for GEF support under regular GEF project cycle procedures. In some instances, national circumstances may justify support under the category of enabling activities that goes beyond that which is provided for in these criteria. These exceptions should be addressed through a project proposal developed in accordance with the GEF project cycle, and the proposal should provide justification for the exception to the operational criteria. Other proposals that are not concerned with enabling activities will be prepared and assessed in the context of an operational program or as a short-term response measure, and funded on the basis of agreed full incremental costs.

12. For example, the following activities would not qualify as enabling activities, but may be addressed through other GEF activities:

- (a) Project preparation. While enabling activities prepare the ground for project development and the implementation of national plans, actual project development is not an enabling activity. PDF funds may be requested to develop specific project ideas.

⁷ The criteria and procedures were developed by an informal task force comprised of representatives from the Implementing Agencies and the GEF Secretariat, in consultation with the Secretariat of the CBD and STAP.

⁸ GEF Operational Strategy, 1996, Chapter 1.

- (b) Targeted research. Enabling activities in the initial planning cycle addressed in this document should build on existing data. In some cases, this work may identify a need for more thorough field surveys and other research. Targeted research of this kind may be funded through an operational program.
- (c) GEF projects to implement operational program activities, including assistance in the establishment of biodiversity trust funds for the implementation of the national plan.
- (d) Additional capacity building that is needed for the successful implementation of GEF operational program activities.
- (e) Activities at the global level that support in-country enabling activities, such as tools and/or technology development. Such activities would be developed as specific proposals.

OPERATIONAL CRITERIA

13. In addition to the general operational principles set forth in the GEF Operational Strategy there are five operational criteria for biodiversity enabling activities:

- (a) Coverage without duplication;
- (b) Appropriate overall sequencing of activities;
- (c) Best practice;
- (d) Cost-effectiveness; and
- (e) Consistency of approach and procedures.

Criterion 1: Coverage without duplication

14. In assessing a country's need for enabling activities, existing planning capacity, as well as ongoing, planned and committed enabling activities will be fully taken into account. To avoid duplication, GEF projects will draw on existing capacity and will make use of existing information whenever possible. GEF enabling activities will complement parallel activities by concentrating on filling remaining gaps or, where justified, contributing to more in-depth work.

15. To assure the provision of sufficient coverage without duplication, an activity matrix will be compiled for all countries requesting assistance. The activity matrix will summarize:

- (a) existing planning capacity, plans and programs in a country,
- (b) results, products and information to be generated by ongoing, planned, and committed enabling activities,
- (c) results, products and information to be generated by the proposed enabling activity, and

- (d) any remaining tasks needed for a country to meet its obligations under Article 6 of the CBD.

Details on the activity matrix, and how it is constructed are provided in Annex A.

Criterion 2: Appropriate overall sequencing of activities

16. Enabling activities in biodiversity should initiate a *planning and consultative process* that results in the development of a national strategy and an action plan. Biodiversity planning is a process that is both adaptive and cyclical. As the main components are reiterated over several years, the process is expected to develop and appropriate changes may be made to these operational criteria.

17. A biodiversity planning process consists of several tasks. Even though there is no mandatory sequence in undertaking the planning process, enabling activities in the area of biodiversity planning may be comprised of any or all of the following four steps, depending on the needs of the recipient country (see Table B1 for a more detailed explanation of the four steps):⁹

- (a) Stocktaking of and inventorying biodiversity based on national programs and relying on studies, without new primary research;
- (b) Identification and analysis of options to conserve biodiversity, including cross-sectoral issues, and their linkage to national sustainable development;
- (c) Preparation of a national strategy or program, and an action plan for its implementation;
- (d) Preparation of a national report to the CBD in 1997 pursuant to decision II/17 of the COP.

18. It is recognized that the implementation of these steps will require flexibility based on the particular circumstances of the recipient country. For countries with few prior activities it is recommended that these tasks be undertaken in sequence. Countries that can build on prior activities may prefer to request assistance for only some of the steps; e.g., assistance may be requested only for the formulation of a strategy that should lead to an action plan, since the country has already completed its stocktaking and inventory.¹⁰

19. In the first planning cycle addressed by these criteria, enabling activities may include support for the preparation of a country's first national report to the COP, which will specifically focus on planning and measures taken for the implementation of Article 6 of the CBD.¹¹ For any later phase, a determination will need to be made as to whether it would be appropriate to finance the preparation of regular national reports to the COP.

⁹ see GEF Operational Strategy, 1996, Chapter 1, and WRI/UNEP/IUCN, 'National Biodiversity Planning: Guidelines Based on Early Country Experiences', Washington, DC, 1995.

¹⁰ Report of the Meeting of the Biodiversity Task Force, Nairobi, April 1995.

¹¹ see UNEP/CBD/COP/2/19; decision II/17.

20. While it is expected that enabling activities will lead to the identification of project ideas for further development, preparation and implementation of projects consistent with the GEF operational strategy and guidance from the COP need not await the completion of enabling activities during this initial phase. Such project proposals may be developed in parallel with enabling activities.

Criterion 3: Best practice

21. Enabling activity projects will be fully consistent with the guidance of the COP, and will follow established and widely accepted guidelines and methodologies. For example, the COP commended the guidance provided in the document "Guidelines for Preparation of Biodiversity Country Studies", prepared by the United Nations Environment Programme. It also commended the "National Biodiversity Planning: Guidelines Based on Early Country Experiences", prepared by the World Resources Institute, the United Nations Environment Programme and the World Conservation Union and its relevance in assisting Parties to implement Article 6 of the Convention and in the preparation of national reports. The COP has also approved suggested guidelines for national reporting on the implementation of Article 6.¹²

22. Furthermore, enabling activity projects will follow best practice when these:¹³

- (a) are country-driven, based on national priorities as well as in accordance and consistent with the country's particular conditions;
- (b) address the social issues of affected populations at the same time that biodiversity conservation requirements are met;
- (c) are conducted in a participatory manner, involving a broad range of stakeholders such as relevant government agencies, NGOs, affected communities, in particular, indigenous peoples, and the private sector;
- (d) are integrated into larger sustainable development initiatives, whenever possible;
- (e) become part of the country's normal decision making systems, and seek to integrate the conservation and sustainable use of biological diversity into relevant sectoral or cross-sectoral plans, programs and policies;
- (f) make use of regional and local expertise;
- (g) build cooperation at the subregional, regional and international level and make use of the facilities provided by the clearing house mechanism of the Convention.
- (h) promote the sustainability of project benefits and offer a potential contribution to experience in the conservation and sustainable use of biodiversity and its components, and when these encourage scientific excellence; and
- (i) facilitate access to other international, national and private sector funds and scientific and technical cooperation.

¹² see UNEP/CBD/COP/2/19; decision II/17.

¹³ see UNEP/CBD/COP/1/17, Annex I.

23. It is recognized that biodiversity planning is a long-term dynamic process, and that countries will be continuously seeking to improve their understanding and knowledge of their biodiversity. In providing assistance in this phase of planning, a pragmatic approach will be followed which takes into account the particular conditions and capabilities of the country, the GEF operational strategy and the guidance of the COP, as well as the capacity of the countries and the Implementing Agencies to provide and benefit from assistance in a timely manner. The enabling activities should facilitate the country's assessment of its capacity and existing knowledge, identification of gaps and measures to fill such gaps, and preparation of a strategy and an action plan to undertake the measures set out in the Convention relevant to the country. More detailed work to respond to identified gaps and to undertake capacity building or investment projects will be developed in accordance with the GEF operational strategy and the GEF project cycle.

Criterion 4: Cost-effectiveness

24. Enabling activity projects should adopt the least-cost means of providing assistance to countries. Enabling activities will be subject to the same operational guidelines on eligible expenditures and administrative costs as those that apply in the case of project development.¹⁴ In accordance with these rules, funds should be used to meet the in-country costs associated with an enabling activity.

25. To ensure their cost-effectiveness, projects are expected to follow two types of norms;

- (a) Activity norms that describe the list of the activities which may comprise an enabling activity (e.g., stock taking and compilation of an inventory);
- (b) Cost norms that describe the typical cost associated with each of these activities (e.g., cost of data assessment to produce an inventory).

Cost and activity norms are outlined in detail in Annex B.

Criterion 5: Consistency of approach and procedures

26. The operational criteria and norms outlined in this paper will apply to all biodiversity enabling activities financed by the GEF, whether they are financed through a freestanding one-country activity, a multi-country (regional) activity, or an enabling activity component attached to a larger project (such as a capacity building or an investment project). Regardless of the form of the project, the same assistance should be provided. The choice of approach will depend on the comparative advantage and cost effectiveness of such an approach for particular tasks in a specific country.

27. In the case of regional projects, the operational criteria would apply to each country subcomponent of the project.

28. In the case of enabling activities attached to an investment or capacity building proposal, the criteria and streamlined procedures outlined in this paper would apply only to the enabling

¹⁴ See GEF/C.3/6.

activity component of the proposal. The investment or capacity building component would be assessed in the context of an operational program and approval would follow the procedures described in the GEF project cycle.

SUBMISSION OF PROPOSALS

29. Enabling activity proposals submitted for inclusion in the work program would be discussed by an informal task force comprised of representatives from the Implementing Agencies, the GEF Secretariat and the Secretariat of the CBD prior to their submission to the GEF Operations Committee (GEFOP). The task force will review proposals for their conformity with the operational criteria, and make a recommendation to GEFOP. A scientific and technical review by an expert from the STAP roster will not be required for enabling activities proposals consistent with these criteria.

30. The task force will recommend for approval those proposals that are technically sound and consistent with these criteria. These proposals will then be discussed at GEFOP as a package. Proposals that do not conform to the criteria, or which are not recommended by the task force for other reasons, will be discussed at GEFOP individually and will receive more in-depth review. Enabling activities that are consistent with the criteria and are a component of a larger project (see paragraph 28) will be reviewed as if they were freestanding enabling activities proposals and an appropriate recommendation will be made by the task force on the project component concerned. The investment/capacity building component of such proposals will be discussed at GEFOP in the standard way.

31. Project proposals for enabling activities will normally be 3 to 5 pages long. They will contain for each participating country an activity matrix that shows how the project proposal builds on existing capacity and complements parallel efforts by other agencies. The proposal should also explain any deviations from cost and/or activity norms. If there is a significant deviation from these criteria, the project proposal should be reviewed in accordance with all the procedures of the GEF project cycle, including the requirement that the proposal be reviewed by an expert from the STAP roster. The reviewer in such a case should clearly address the proposed deviations.

32. Proposals will need to be accompanied by a letter of endorsement from the GEF operational focal point for each country that proposes to participate in the project. Through this endorsement, each recipient country is understood to have acknowledged the project goal, which is to provide sufficient capacity for those activities covered by the project and highlighted in the matrix. It is the responsibility of the Implementing Agency to clarify with the recipient country that no further GEF financing should be expected for enabling activities in this phase with respect to those areas covered in the project. The endorsement of the operational focal point should also confirm that the country's focal point for the CBD has been informed of the project proposal.

33. The GEF Secretariat, in consultation with the Implementing Agencies, will seek Council authorization to expedite further the procedures for approval of enabling activities project proposals.

34. The standard format for proposals is shown in Annex C.

REVISION

35. It is anticipated that these criteria will need to be reviewed and revised once requests from eligible parties concerning the first planning cycle have been fulfilled. Revisions may also be made on the basis of early implementation experience as necessary.

THE ACTIVITY MATRIX

1. The purpose of an activity matrix is to summarize, in a concise way, already accomplished enabling activity tasks and existing planning capacity, the improvement envisaged through the proposed project, and the gaps remaining after project completion.

1. DIMENSIONS OF ENABLING ACTIVITIES

2. As noted above, enabling activities in biodiversity should initiate a planning and consultative process that results in the development of a national strategy and an action plan. Two dimensions of the process can be distinguished. First, there are the different activities that may be covered by a project (e.g., planning to produce a national strategy and action plan). Second, there are the different types of capacity needed to perform these activities (e.g., know-how needed for biodiversity planning). Enabling activities include measures to build this capacity as and when necessary.

3. The types of activities to be covered in an enabling activity follow from the GEF Operational Strategy and are determined in detail by the guidance of the CBD. The list of activities envisaged in the first planning cycle is described in detail in the activity norms (see Annex B).

4. The type of capacity building measures supported by enabling activities include appropriate training, institutional strengthening and other measures that specifically aim at improving the capacity of countries to do biodiversity planning and to produce a national strategy and an action plan.

5. The dimensions of enabling activities span a matrix of three principal classes of capacity (output, capacity building, and public participation) and three principal types of activities. Table A1 shows the standard activity matrix. Each cell in the matrix refers to a specific activity. For example, the entry for "training" and "national plan" could refer to instruction courses in planning techniques. The cells of the activity matrix constitute the basic building blocks of enabling activities.

2. COMPILING THE MATRIX

6. The compilation of an activity matrix would normally be a by-product of project development and would not require additional input over and above what is called for by thorough project preparation. The matrix would be developed by the country in collaboration with the implementing agency, using information available from sources within the country, from other agencies and from international databases (e.g. that of the World Conservation Monitoring Center). It is expected that relevant information on previous and ongoing (including planned and committed) projects would also be available from the clearing-house mechanism to be implemented and maintained by the CBD Secretariat.

7. In identifying accomplished tasks and assessing the adequacy of existing capacity, the presumption would be that previous and ongoing enabling activities have achieved or will achieve their goal in the areas they deal with. That is, if an activity is already covered by other enabling

activities, the corresponding cell in the activity matrix would be ticked and no further activities undertaken in this area. Deviations from this rule would have to be justified in the project document, where it would have to be explained why the previous work does not fulfill the needs of an enabling activity (usually because of inadequacies identified in an independent evaluation of these activities).

8. Entries in the matrix would be binary. An entry would indicate an accomplished task or sufficient capacity, while no entry would denote incomplete activities or insufficient capacity. Cells marked 'x' would show the areas to be covered by the proposed enabling activity. Acronyms standing for other projects or programs would indicate areas covered by these projects. Remaining gaps would be represented by a '0', while 'NA' would indicate a non-applicable or nonsensical entry (e.g., inventory of coastal and marine ecosystems in a land-locked country). Bracketed items would indicate projects in progress.

TABLE A1: DIMENSIONS OF ENABLING ACTIVITIES (STANDARD ACTIVITY MATRIX)

Enabling Activity	Output	Capacity	Building	Public Participat. ^c	Comments
		Inst. Strength.	Training ^b		
Commitment ^a <i>Stocktaking and Assessment, based on Existing Information</i> - biodiversity and biological resources - cross-sectoral issues - policy and regulatory framework - institutional and human capacity - analysis of root causes of BD loss - technologies for conservation and sustainable use - activities with adverse impacts - existing measures and programs - preliminary statement of objectives - identification of gaps - assessment of existing needs					
<i>Identification and Analysis of Options to Meet the Objectives of the CBD</i> - strategies for conservation - strategies for sustainable use - strategies for benefit sharing					
<i>Planning and Preparation of a Strategy and Plan</i> - national strategy - national action plan					
<i>Preparation of the first National Report</i> - first national report					

^a see Annex B for a detailed description of activities;

^b including introduction to best practice methodologies, such as the WRI/UNEP/IUCN guidelines;

^c broad-based involvement of relevant stakeholders, including affected communities and indigenous people, consultations on the strategy, plan and national report;

COST AND ACTIVITY NORMS

1. To assure the cost effectiveness of enabling activities, projects are expected to be consistent with the following activity and cost norms.

1. ACTIVITY NORMS

2. Activity norms describe the set of activities that would typically be included in an enabling activity. They are derived directly from the GEF Operational Strategy and the guidance of the COP of the CBD. Article 6 of the CBD calls for countries to develop national strategies, plans and programs. These activities are to be carried out on the basis of existing information, without new primary research.¹⁵ In addition, the COP decided that the first national reports by Parties should focus in so far as possible on the measures taken for the implementation of Article 6 of the CBD, on 'General Measures for Conservation and Sustainable Use', as well as on information available from national biodiversity country studies. Under decision II/8, the COP also encouraged parties, as part of their first national report which will focus particularly on Article 6, to identify priority issues specifically related to those component of biological diversity under threat. The formulation of this first report, because it is directly related to Article 6, may be included as an enabling activity in the first planning cycle.

3. These provisions determine the types of activities that would normally be included in an enabling activity. Table B1 provides the standard set of activity norms that were derived from these provisions (the level of detail may sometimes vary depending on the project).

2. COST NORMS

4. Indicators of reasonable cost ranges for individual activities ensure cost-effectiveness in each activity. Each cost range describes the approximate expenditure that would on average be needed to perform a particular activity. Projects that do not cover the full range of activities would be expected to incur lower costs, in accordance with the cost norms (e.g. projects that only concern training for, but not the actual execution of, a task or projects to assist a country only in preparing its report to the COP since the other activities have been completed).

5. Table B2 provides the initial list of cost norms to be used. The typical enabling activity is expected to be within a cost range of \$200,000 to \$350,000. This range includes both product costs (the cost related to the actual plan or report) and process costs (the costs of stakeholder consultation and other measures to obtain broad ownership). Proposals at the upper end of the cost range would normally entail extensive public participation processes as a result of the specific national context. Since the majority of countries are already engaged in processes addressing some or all of the

¹⁵ See GEF Operational Strategy, 1996, Chapter 2.

above activities, including stakeholder consultation and participation, it is anticipated that many projects will fall in the lower end of the range.

3. DEVIATIONS FROM ACTIVITY AND/OR COST NORMS

6. In exceptional cases, proposals may deviate from the norms. The adequacy and cost-effectiveness of such proposals would be judged on a case-by-case basis. Deviations could occur either:

- (a) because a proposal envisages coverage that goes beyond activity norms and best practice; or
- (b) because of special circumstances that lead to higher costs for the provision of the usual coverage.

7. Proposals that deviate from the norms in a significant way will be treated as a project proposal outside the framework of these criteria and will be reviewed in accordance with the procedures of the GEF project cycle.

4. INELIGIBLE EXPENDITURES

8. The following expenditures would normally be excluded from GEF funding:¹⁶

- (a) costs associated with the work of specialized Implementing Agency staff or consultants retained by an Implementing Agency needed for a particular task (including those that are over and above those covered by the administrative budget); and
- (b) capital goods such as remote sensing equipment, cameras, computers, etc., other than those directly required for activities specified in the activity norms.

¹⁶ See the guidelines on eligible expenditures for PDF, document GEF/C.3/6.

TABLE B1: ACTIVITY NORMS

9. Stocktaking and Assessment: Evaluate existing information on the status, trends, and existing needs at the national level, of:

- (a) Biodiversity and biological resources, including ecosystems, species and genes;
- (b) Cross-sectoral issues, particularly those in the productive sectors of the economy (e.g., agriculture, forestry, fisheries, wildlife use, tourism, etc.);
- (c) Policy and regulatory framework that deals directly or affects directly and indirectly (e.g., land tenure laws, access to natural resources laws and regulations, etc.) biodiversity and biological resources;
- (d) Institutional and human capacity in place within government, NGOs, scientific institutions and centers of higher learning, and private sector;
- (e) Analysis of underlying causes of biodiversity loss;¹⁷
- (f) Technology for conservation and sustainable use of biodiversity;
- (g) Activities with adverse impact;
- (h) Programs and budgets of existing and on-going measures to protect and sustainably use biodiversity and biological resources. These include not only government programs but multilateral, bilateral, NGOs (national and international), private sector and local community initiatives;
- (i) Preliminary statement of goals and objectives;
- (j) Identify gaps and prepare a preliminary review of the ways to close the gaps;
- (k) Estimate costs and benefits and existing needs.

10. Identification and analysis of options to meet the objectives of the Convention.

- (a) Strategies for conservation, both *in-situ* and *ex-situ*;

¹⁷ See GEF Operational Strategy, 1996, paragraphs 2.32 to 2.34 , for major issues and identification of GEF-financed activities on this area.

- (b) Strategies for sustainable use of biological resources;
- (c) Strategies for benefit sharing.

11. Planning and preparation of a national strategy and action plan, including preparation of the first national report to the CBD¹⁸

- (a) Preparation of a national strategy: The strategy should 'summarize the gaps between the current situation in the country and the stated vision, goals and objectives. Summarize the strategic recommendations, including the activities, policies, and tasks that have been selected for implementation to cover the gaps. Assign relative priorities to each.'¹⁹ Refer also to WRI/UNEP/IUCN Guidelines for National Biodiversity Planning, page 11 for a definition of national strategy.
- (b) Preparation of an national action plan: 'The action plan spells out the steps needed to implement the selected strategy and addresses practical (operational) questions...'²⁰
- (c) Preparation of first national report: Form and intervals of national reports by parties and suggested guidelines for national reporting on implementation of Article 6 of the CBD have been agreed by the COP²¹.

¹⁸ Support for reporting is limited to the first report on planning and the implementation of CBD Art. 6

¹⁹ UNEP/CBD/COP/2/19, Annex to draft decision II/17.

²⁰ WRI/UNEP/IUCN, 'National Biodiversity Planning: Guidelines Based on Early Country Experiences', Washington, DC, 1995.

²¹ See documents: UNEP/CBD/COP/2/19, Decision II/17 and its annex

TABLE B2: COST NORMS FOR ENABLING ACTIVITIES IN BIODIVERSITY^a (IN \$)

	Product	Process	Total (\$)
	preparation and execution of an activity	stakeholder consultation, consensus building	(incl. overheads)
<i>Stocktaking and Inventory of Existing Information</i>	20 - 35,000	-	20 - 35,000
<i>Identification and Analysis of Options</i>	30 - 40,000	80 - 160,000	110 - 200,000
<i>Preparation of a Strategy and an Action Plan</i>	20 - 30,000	40 - 60,000	60 - 90,000
<i>First National Report</i>	10 - 15,000	0 - 10,000	10 - 25,000
Typical Total Cost Range (\$)	80 - 120,000	120 - 230,000	200 - 350,000 ^b

Notes:

^a the provided ranges of average expenditures should be applicable for most countries. Nevertheless, some countries may need less inputs, others may require more.

^b Proposals at the upper end of the cost range would normally entail extensive public participation processes as a result of the specific national context. Since the majority of countries are already engaged in processes addressing some or all of the above activities, including stakeholder consultation and participation, it is anticipated that many projects will fall in the lower end of the range.

STANDARD FORMAT FOR ENABLING ACTIVITY PROPOSALS IN BIODIVERSITY

Cover Page [1/2 page]

Country

Project Title

GEF Focal Area

Country Eligibility

GEF Financing

Government Contribution

GEF Implementing Agency

National Executing Agency

GEF Operational Focal Point

CBD Focal Point

Estimated Starting Date

Project Duration

Body of Proposal [2 - 3 pages]

Background/Context

Project objectives and short description

Activity matrix (for each participating country) and other information related to Criterion 1 (Coverage without duplication)

Time plan and other information related to Criterion 2 (appropriate sequencing)

Information related to Criterion 3 (best practice)

Project financing, budget, and other information related to Criterion 4 (cost-effectiveness)

Explanation for deviations from criteria and norms (where applicable)

Institutional framework and project implementation

Annexes

- Project endorsement by GEF operational focal points of each participating country, acknowledging project goal
- Technical Opinion (where required)

**DECISIONS OF THE CONFERENCE OF THE PARTIES
TO THE CONVENTION ON BIOLOGICAL DIVERSITY
RELEVANT TO ENABLING ACTIVITIES**

Annex I

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

I. Policy and Strategy

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

II. Eligibility Criteria

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

III. Programme Priorities

1. The conservation of biological diversity and sustainable use of its components is one of the key elements in achieving sustainable development and therefore contribute to combating poverty.
2. All the actions contemplated in the Convention will have to be carried out at the national and international level, as appropriate. However, for the purpose of giving direction to the interim structure operating the financial mechanism, a list of programme priorities is given in paragraph 4 below. The list may be revised by the Conference of the Parties, as necessary.
3. Programme priorities should promote utilization of regional and local expertise and be flexible to accommodate national priorities and regional needs within the aims of the Convention.
4. The programme priorities are as follows:
 - (a) Projects and programmes that have national priority status and that fulfil the obligations of the Convention;
 - (b) Development of integrated national strategies, plans or programmes for the conservation of biological diversity and sustainable use of its components in accordance with article 6 of the Convention;
 - (c) Strengthening conservation, management and sustainable use of ecosystems and habitats identified by national Governments in accordance with article 7 of the Convention;

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- (d) Identification and monitoring of wild and domesticated biodiversity components, in particular those under threat, and implementation of measures for their conservation and sustainable use;
- (e) Capacity-building, including human resources development and institutional development and/or strengthening, to facilitate the preparation and/or implementation of national strategies, plans for priority programmes and activities for conservation of biological diversity and sustainable use of its components;
- (f) In accordance with Article 16 of the Convention, and to meet the objectives of conservation of biological diversity and sustainable use of its components, projects which promote access to, transfer of and cooperation for joint development of technology;
- (g) Projects that promote the sustainability of project benefits; that offer a potential contribution to experience in the conservation of biological diversity and sustainable use of its components which may have application elsewhere; and that encourage scientific excellence;
- (h) Activities that provide access to other international, national and/or private sector funds and scientific and technical cooperation;
- (i) Innovative measures, including in the field of economic incentives, aiming at conservation of biological diversity and/or sustainable use of its components, including those which assist developing countries to address situations where opportunity costs are incurred by local communities and to identify ways and means by which these can be compensated, in accordance with article 11 of the Convention;
- (j) Projects that strengthen the involvement of local and indigenous people in the conservation of biological diversity and sustainable use of its components;
- (k) Projects that promote the conservation and sustainable use of biological diversity of coastal and marine resources under threat. Also, projects which promote the conservation of biological diversity and sustainable use of its components in other environmentally vulnerable areas such as arid and semi-arid and mountainous areas;
- (l) Projects that promote the conservation and/or sustainable use of endemic species;
- (m) Projects aimed at the conservation of biological diversity and sustainable use of its components which integrate social dimensions including those related to poverty.

Decision II/7: CONSIDERATION OF ARTICLES 6 AND 8 OF THE CONVENTION

The Conference of the Parties,

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

1. *Urges* all Parties and Governments and other interested stakeholders to exchange relevant information and share experience on measures taken for the implementation of Articles 6 and 8;
2. *Stresses* the importance of regional and international cooperation for the implementation of Articles 6 and 8 of the Convention;
3. *Requests* the Executive Secretary to make available through the clearing-house mechanism such information and lessons drawn from national experience and also to make available relevant information on the implementation of Articles 6 and 8 contained in national reports submitted by Parties in accordance with Article 26 of the Convention as well as decision II/17 adopted at its second meeting;
4. *Further requests* the Executive Secretary:
 - (a) To compile and disseminate that information as widely as possible, including experience of relevant conventions, United Nations bodies and intergovernmental and nongovernmental organizations in dealing with the provisions of Articles 6 and 8;
 - (b) To prepare, on the basis of available information, suggestions on how the collection and sharing of relevant information and experience might be enhanced;
5. *Encourages* Parties, in preparing and implementing their national strategies and action plans, to collaborate with relevant organizations and, if so desired, to take into consideration existing guidelines such as "National Biodiversity Planning" published by the United Nations Environment Programme, the World Resources Institute and the World Conservation Union (IUCN);
6. *Emphasizes* the importance of capacity-building as well as the availability of adequate financial resources to assist Parties in the implementation of Articles 6 and 8 of the Convention, and in this context requests the interim financial mechanism under the Convention to facilitate urgent implementation of Articles 6 and 8 of the Convention by availing to developing country Parties financial resources for projects in a flexible and expeditious manner;
7. *Also requests* the Executive Secretary to present to it a report on the implementation of this decision for consideration at its third meeting.

Decision II/8: PRELIMINARY CONSIDERATION OF COMPONENTS OF BIOLOGICAL DIVERSITY PARTICULARLY UNDER THREAT AND ACTION WHICH COULD BE TAKEN UNDER THE CONVENTION

The Conference of the Parties,

1. *Reaffirms* that the conservation and sustainable use of biological diversity and its components should be addressed in a holistic manner, taking into account the three levels of biological diversity and fully considering socio-economic and cultural factors. However, the ecosystem approach should be the primary framework of action to be taken under the Convention;
2. *Endorses* paragraphs 2, 4 and 5 of recommendation I/3 on preliminary consideration of components of biological diversity that are particularly under threat and the action that could be taken under the Convention, adopted by the first meeting of the Subsidiary Body on Scientific, Technical and Technological Advice, held in Paris, at the headquarters of the United Nations Educational, Scientific and Cultural Organization, from 4 to 8 September 1995;
3. *Stresses* that, as reflected in paragraph 3 of recommendation I/3, it is essential to identify the driving forces determining the status and trends of components of biological diversity, so that appropriate action can be taken to control them;
4. *Stresses* also the importance of making full use of existing knowledge and available expertise;
5. *Emphasizes* the need for capacity-building as well as adequate financial resources for the implementation of the tasks identified in this decision;
- 6.(i) *Encourages* Parties, as part of their first national report which will focus particularly on Article 6, to identify priority issues specifically related to those components of biological diversity under threat, based upon paragraphs 1, 2, 4 and 5 of recommendation I/3 of the report of the first meeting of the Subsidiary Body on Scientific, Technical and Technological Advice to the second meeting of the Conference of the Parties;
- (ii) *Requests* the Executive Secretary to prepare a paper which identifies issues of common concern in the context of examining the national reports;
- (iii) *Directs* the Subsidiary Body on Scientific, Technical and Technological Advice to consider the findings of the Executive Secretary's paper and to identify possible options for actions to be considered by the Conference of the Parties;
7. *Further requests* the Subsidiary Body at its second meeting to address the issue of the lack of taxonomists, who would be needed for the national implementation of the Convention, and to advise the Conference of the Parties at its third meeting on ways and means to overcome this problem, taking into account existing studies and ongoing initiatives while adopting a more practical direction of taxonomy linked to bio-prospecting and ecological research on conservation and sustainable use of biological diversity and its components.

Decision II/17: FORM AND INTERVALS OF NATIONAL REPORTS BY PARTIES

The Conference of the Parties,

1. *Takes note* of the note prepared by the Secretariat on form and intervals of national reports by Parties, document UNEP/CBD/COP/2/14;
2. *Endorses* recommendation I/5 on "Scientific and Technical Information to be contained in the national reports", adopted by the first meeting of the Subsidiary Body on Scientific, Technical and Technological Advice;
3. *Decides* that the first national reports by Parties will focus in so far as possible on the measures taken for the implementation of Article 6 of the Convention, "General Measures for Conservation and Sustainable Use", as well as the information available in national country studies on biological diversity, using as a guide the annex to this decision;
4. *Decides* that the first national reports will be due at the fourth meeting of the Conference of the Parties in 1997;
5. *Decides* that, at its fourth meeting in 1997, the Conference of the Parties will determine the intervals and form of subsequent national reports. This determination will be based on the experience of Parties in preparing their first national reports and taking into account the state of implementation of the Convention;
6. *Decides* that Parties shall submit their national reports in one of the working languages of the Conference of the Parties and, for the benefit of others, encourages Parties to also make available their reports electronically and, where possible, on the Internet;
7. *Decides* that national reports submitted by Parties will not be distributed as official documents of the Conference of the Parties, but will be made available to Parties, upon request, and in the language of submission;
8. *Requests* that the Subsidiary Body on Scientific, Technical and Technological Advice instruct any technical panels that it may establish on topical issues to comment on the feasibility and practicalities of developing technical guidelines for national reporting on the subject matter being considered by the panels, and report to the meeting of the Conference of the Parties in 1997;
9. *Requests* the Executive Secretary to prepare a report based on the synthesis of information contained in national reports and other relevant information and containing also suggested next steps, for consideration by the Conference of the Parties;
10. *Requests also* the Executive Secretary to make available to Parties, through the clearing-house mechanism for technical and scientific cooperation, relevant information contained in national reports submitted by Parties in accordance with Article 26 of the Convention;

11. *Urges* all Parties to submit their first national reports to the Secretariat no later than 30 June 1997 to allow consideration of this item by the Conference of the Parties at its fourth meeting;
12. *Urges* the financial mechanism under the Convention to make available financial resources to developing country Parties to assist in the preparation of their national reports;
13. *Commends* the guidance provided in the document "Guidelines for Preparation of Biodiversity Country Studies", prepared by the United Nations Environment Programme, and the document "National Biodiversity Planning: Guidelines Based on Early Country Experiences", prepared by the World Resources Institute, the United Nations Environment Programme and the World Conservation Union (IUCN), and its relevance in assisting Parties to implement Article 6 of the Convention and in the preparation of national reports.

Annex to decision II/17

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

- (a) **Executive summary:** a brief summary of the action plan report, stating succinctly the importance of biodiversity, the commitment to the Convention, the mandate, the participants list, the biotic wealth and national capacity, the goals and gaps, strategic recommendations and characteristics of the action (who will do what, when, where, with what means and funding).
- (b) **Introduction:** describe why biodiversity is important to the country and its local communities. Explain the Convention and the nation's commitment to its provisions. Present the aim of the national biodiversity action plan and specify to whom it is directed.
- (c) **Background:** describe the legal and policy framework that provides the mandate and instructions for preparing the action plan report. Provide a short summary of the nation's biotic assets, capacity (human resources, institutions, facilities, and funding) and ongoing programmes. Explain the institutional arrangements and responsibilities, with a view to informing people of the manner in which the strategic recommendations will be implemented.
- (d) **Goals and objectives:** state the vision for biodiversity and its place in the society, focusing on its protection, scientific understanding, sustainable use, and on the equitable sharing of its benefits and costs. The specific targets to meet the local, national, and international goals in terms of protecting, assessing, utilizing, and benefiting from biodiversity and its components need to be determined.
- (e) **Strategy:** summarize the gaps between the current situation in the country and the stated vision, goals and objectives. Summarize the strategic recommendations, including the activities, policies, and tasks that have been selected for implementation to cover the gaps. Assign relative priorities to each.

- (f) **Partners:** describe the public and private entities, communities and industries that have participated in the process and have agreed to be responsible for particular activities and investments.
- (g) **Action:** present the detailed activities, tasks and policies to be implemented. Explain which partner (Ministry, industry, indigenous group, NGO, or university) will implement each item, where, and what measures the partners will employ.
- (h) **Schedule:** present a timetable for the implementation of the various tasks, reflecting the priorities that have been assigned. Note signposts to help signal progress or delay.
- (i) **Budget:** provide the budget for the plan of action, showing funding requirements for operating expenses, capital purchases, transport, field costs, etc. List the personnel needed by category of skill or background, the facilities and services required, and possible international technical and financial cooperation.
- (j) **Monitoring and evaluation:** explain the measures to be used for tracking the results of the action plan and for monitoring changes in the economy, environment and society. Give the indicators that will be used. Present the individuals and organizations who will carry these responsibilities and how they were selected. Note the audience for the reports, along with the document's content and timing of implementation.
- (k) **Sharing of national experience:** present information and case studies which reflect the range of experiences of countries encountered in the implementation of Article 6, taking into account local and external factors.