



## Convention on Biological Diversity

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CONFERENCE OF THE PARTIES TO THE  
CONVENTION ON BIOLOGICAL DIVERSITY  
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Agenda item 14

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

#### *XII/3. Resource mobilization*

*The Conference of the Parties,*

*Recalling* that Parties agreed to consider all possible sources and means that can help to meet the level of resources needed, in accordance with Article 20 of the Convention and consistent with decisions X/3 and XI/4,

*Recalling* paragraph 2 of decision X/3 and taking note of the wide variety of ongoing initiatives and activities which support Parties in mainstreaming biodiversity into national planning and developing national resource mobilization strategies,

*Having reviewed* the progress towards the achievement of Aichi Biodiversity Target 20 with the aim of adopting final targets for resource mobilization, as per paragraph 22 of decision XI/4,

*Recalling* paragraph 3 (b) of decision X/2, and paragraph 13 of the Strategic Plan for Biodiversity 2011-2020,<sup>1</sup>

*Welcoming* the financial and in kind contributions of, in particular, the Governments of Brazil, Denmark, Ecuador, Germany, Japan, India, Norway, the Republic of Korea, Sweden, Switzerland, Uganda and the United Kingdom of Great Britain and Northern Ireland as well as the European Union, to initiatives, including the Quito dialogue seminar and other events, intended to contribute to the preparation of the review of the implementation of the strategy for resource mobilization,

*Recognizing* that resource mobilization for implementing the Strategic Plan for Biodiversity 2011-2020 and the Aichi Biodiversity Targets has an important role to play in the Financing For Development process, and the post-2015 United Nations Sustainable Development Agenda;

*Recalling* the preliminary targets on resource mobilization agreed by the Conference of the Parties at its eleventh meeting in Hyderabad, India, in decision XI/4, paragraphs 7(a) to 7(d));

*Recognizing also* the critical importance of domestic resource mobilization for implementing the Strategic Plan for Biodiversity 2011-2020, and *acknowledging* that, in many developing countries, domestic resources already cover the largest share of biodiversity-related resource mobilization;

<sup>1</sup> Decision X/2, annex.

***Targets for resource mobilization***

1. *Reaffirms* its commitment to an overall substantial increase in total biodiversity-related funding for the implementation of the Strategic Plan for Biodiversity 2011–2020 from a variety of sources,<sup>2</sup> and *adopts* the following targets for resource mobilization, under Aichi Target 20 of the Strategic Plan for Biodiversity 2011-2020, as follows:

(a) Double 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, using average annual biodiversity funding for the years 2006-2010 as a baseline, by 2015, and at least maintain this level until 2020, in accordance with Article 20 of the Convention, to contribute to the achievement of the Convention's three objectives, including through a country-driven prioritization of biodiversity within development plans in recipient countries;

(b) Endeavour for 100 per cent, but at least 75 per cent, of Parties to have included biodiversity in their national priorities or development plans by 2015, and to have therefore made appropriate domestic financial provisions;

(c) Endeavour for 100 per cent, but at least 75 per cent, of Parties provided with adequate financial resources to have reported domestic biodiversity expenditures, as well as funding needs, gaps and priorities, by 2015, in order to improve the robustness of the baseline;

(d) Endeavour for 100 per cent, but at least 75 per cent, of Parties provided with adequate financial resources to have prepared national financial plans for biodiversity by 2015, and that 30 per cent of those Parties have assessed and/or evaluated the intrinsic, ecological, genetic, socioeconomic, scientific, educational, cultural, recreational and aesthetic values of biological diversity and its components;

(e) Mobilize domestic financial resources from all sources to reduce the gap between identified needs and available resources at domestic level, for effectively implementing by 2020 Parties' national biodiversity strategies and action plans, in accordance with Article 20;

2. *Recalling* Article 20, *decides* that the targets in subparagraphs (a) to (e) above are to be considered mutually supportive;

3. *Further decides* to review, at the thirteenth meeting of the Conference of the Parties, progress towards the above targets, and their adequacy, and to consider the need for appropriate action, based on information provided by Parties through the Financial Reporting Framework, including their respective identified resource needs, and taking into account their absorption capacities;

4. *Urges* Parties and other Governments, with the support of international and regional organizations, to develop their national resource mobilization strategies or finance plans consistent with identified needs and priorities, using the targets for resource mobilization above as a flexible framework;

***Technical support and capacity-building***

5. *Welcomes* initiatives such as the Bio-Bridge Initiative as an important contribution to enhancing technical support and capacity-building for mobilizing resources for implementation of the Strategic Plan for Biodiversity 2011-2020 and its Aichi Biodiversity Targets;

6. *Recalls* paragraph 12 of decision X/3 and, in this context, *notes with appreciation* the ongoing work of the Development Assistance Committee of the Organisation for Economic Co-operation and Development to improve the Rio marker methodology;

7. *Recalls* paragraph 2 of decision X/3 and, in this context, *notes with appreciation* the work of the Biodiversity Finance Initiative of the United Nations Development Programme and other initiatives to support, encourage and facilitate the identification of funding needs, gaps and priorities, the development of national resource mobilization strategies and of financial reporting, by providing technical support and guidance, and

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<sup>2</sup> See decision XI/4, paragraph 7.

capacity-building to Parties, in particular developing country Parties, including small island developing States and countries with economies in transition, and *invites* the BIOFIN Initiative to continue and further upscale this work with interested Parties;

8. *Notes* with appreciation the work of relevant international organizations that support the work on resource mobilization and the programme of work on incentive measures, such as the Food and Agriculture Organization of the United Nations, the United Nations Conference on Trade and Development, the United Nations Development Programme, the United Nations Environment Programme and its initiative on the Economics of Ecosystems and Biodiversity, the Organisation for Economic Co-operation and Development, the International Union for Conservation of Nature (IUCN), the World Trade Organization, as well as other international organizations and initiatives, and *invites* these organizations and initiatives to continue and further upscale this work, and to provide technical support and capacity-building for implementing the modalities and milestones for Aichi Biodiversity Target 3;

9. *Encourages* Parties in a position to do so as well as national, regional and international funding institutions, to provide additional financial support to the capacity-building activities referenced in paragraphs 5 to 8 above, as well as to other capacity-building activities, based on needs expressed by Parties;

### ***Strategy for resource mobilization***

10. *Recognizing* the ongoing relevance of the strategy for resource mobilization in support of the achievement of the Convention's three objectives, as adopted by decision IX/11 B, decides to extend the strategy until 2020;

11. *Welcomes* the global monitoring report on the implementation of the strategy for resource mobilization and *encourages* Parties to consider its findings;

12. *Welcomes* the list of concrete and effective actions contained in annex IV to the present decision, as a flexible framework to complement the strategy for resource mobilization, and *encourages* Parties to make use of the strategy along with the list, as appropriate, for achieving Aichi Biodiversity Target 20 and associated financial targets;

13. *Welcomes* the second report of the High-level Panel on the Global Assessment of Resources for Implementing the Strategic Plan for Biodiversity 2011-2020, and *encourages* Parties to consider its findings and the implementation of its recommendations;

14. *Urges* Parties and other Governments to further develop and use various sources of funding, as appropriate, in accordance with national circumstances and conditions, including market and non-market based instruments and biodiversity financing mechanisms;<sup>3</sup>

15. *Adopts* the voluntary guidelines on safeguards in biodiversity financing mechanisms, as contained in annex III to the present decision;

16. *Urges* Parties, other Governments, business organizations and other stakeholders to 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, with a view to effectively harnessing their positive effects and avoiding or mitigating negative effects;

17. *Urges* Parties to consider undertaking, as appropriate, a review and assessment of existing legislation and policies governing biodiversity financing mechanisms, with a view to identifying opportunities for mainstreaming biodiversity and strengthening current policies and their complementary safeguards, and to make information on this work available to the Executive Secretary, including practical experiences and lessons learned;

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<sup>3</sup> The term 'biodiversity financing mechanisms' refers to 'new and innovative financial mechanisms' under Goal 4 of the strategy for resource mobilization, adopted by the Conference of the Parties at its ninth meeting (decision IX/11). New and innovative financial mechanisms are supplementary to and do not replace the Financial Mechanism established under the provisions of Article 21 of the Convention (see preamble to decision X/3).

18. *Requests* the Executive Secretary to compile a synthesis of the information provided by Parties pursuant to paragraph 17 above, for consideration by the Subsidiary Body for Implementation, at its first meeting;

***Modalities and milestones for Aichi Biodiversity Target 3***

19. *Welcomes* the analysis of the obstacles encountered in implementing options identified for eliminating, phasing out or reforming incentives that are harmful for biodiversity;<sup>4</sup>

20. *Takes note* of the modalities described in the note by the Executive Secretary on modalities and milestones for the full operationalization of Aichi Biodiversity Target 3 and obstacles encountered in implementing options identified for eliminating, phasing out or reforming incentives that are harmful for biodiversity<sup>5</sup> as a flexible framework for the full implementation of Aichi Biodiversity Target 3, in a manner that is consistent and in harmony with the Convention and other relevant international obligations, taking into account national socioeconomic conditions;

21. *Adopts* the milestones, as contained in annex I to the present decision, as a flexible framework for the full implementation of Aichi Biodiversity Target 3, in a manner that is consistent and in harmony with the Convention and other relevant international obligations, taking into account national socioeconomic conditions;

22. *Invites* Parties to report progress in achieving these milestones, as well as any additional milestones and timelines established at the national level, 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;

23. *Invites* Parties, in submitting to the Executive Secretary the information referred to in paragraph 28 below in their national reports, to include in particular information on practical experiences in the implementation of biodiversity-related positive incentives and lessons learned in applying options for overcoming obstacles encountered in implementing policies for addressing harmful incentives;

***Financial reporting, transparency and accessibility of information***

24. *Adopts* the revised Financial Reporting Framework, contained in annex II to the present decision;

25. *Requests* the Executive Secretary to make the revised financial reporting framework available online to Parties and other Governments no later than 1 June 2015, and *invites* Parties and other Governments to report thereon, using online reporting systems, where feasible, by 31 December 2015;

26. *Also requests* the Executive Secretary to integrate the financial reporting framework into the draft guidelines for the sixth national report, in a manner that maintains consistency between the formats for the fifth and sixth national reports as per paragraph 10 of decision X/10, in order to allow for long-term tracking of progress towards the achievement of all the Aichi Biodiversity Targets in an integrated and coordinated manner;

27. *Requests* the Executive Secretary to develop, for consideration by the Subsidiary Body on Implementation at its first meeting, options for strengthening systems of information on biodiversity-related international financial resource flows to developing countries, as well as on domestic resource flows, making use of the Financial Reporting Framework, with a view to further increasing transparency and accessibility of information to support the implementation of Article 20 of the Convention.

28. *Urges* Parties and other Governments to report on their contribution to the collective efforts to reach the global targets for resource mobilization, against the established baseline, in their sixth national reports as well as subsequent national reports;

29. *Recognizes*, in the financial reporting framework, the role of collective action, including by indigenous and local communities, and non-market-based approaches for mobilizing resources for achieving the

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<sup>4</sup> UNEP/CBD/WGRI/5/4/Add.1.

<sup>5</sup> UNEP/CBD/WGRI/5/4/Add.1.

objectives of the Convention, including approaches such as community-based natural resource management, shared governance or joint management of protected areas, or through indigenous and community conserved territories and areas, and *resolves* to include activities that encourage and support such approaches into reporting under the Convention;

30. *Takes note* of the report “Conceptual and Methodological Framework for Evaluating the Contribution of Collective Action to Biodiversity Conservation” and its summary, and *invites* Parties, other Governments, and relevant stakeholder organizations to consider the following steps for its further development:

(a) To evaluate the contribution of collective action to biodiversity conservation and resource mobilization, including by establishing pilot projects, making use of, and further developing, as appropriate, the “Conceptual and Methodological Framework for Evaluating the Contribution of Collective Action to Biodiversity Conservation”, and other experiences;

(b) To provide, within available resources, financial and technical assistance to developing country Parties and Parties with economies in transition for undertaking activities referred to in subparagraph (a) above;

(c) To provide, through the Financial Reporting Framework and other means, information on the contribution of collective action to biodiversity conservation, including on experiences and lessons learned in applying pertinent methodologies;

31. *Requests* the Executive Secretary, subject to the availability of resources, to facilitate the exchange of views and experiences on collective action of indigenous and local communities as referred to in paragraph 30 (c) above, and make this information available through the clearing-house mechanism of the Convention and to the Subsidiary Body on Implementation at its first meeting for its consideration for update and provision of relevant guidelines;

32. *Also requests* the Executive Secretary:

(a) To continue and further strengthen cooperation with relevant organizations and initiatives, with a view to catalysing and supporting the provision of technical guidance and capacity-building on financial reporting, the identification of funding needs, gaps, and priorities, and the development of national resource mobilization strategies, and, in line with the programme of work on incentive measures, on the implementation of the milestones for the full operationalization of Aichi Biodiversity Target 3, including, subject to the availability of financial resources, by organizing workshops on these matters;

(b) To initiate technical work, subject to the availability of resources and in close cooperation with Parties as well as relevant international organizations, such as the United Nations Development Programme and the World Bank, by organizing a technical expert workshop on identifying, accessing, compiling and aggregating domestic and international biodiversity-related investments and impacts, with a view to (i) presenting, sharing and reviewing existing national experiences; (ii) assessing experiences and methodologies applied in other sectors with a view to identifying opportunities for methodological transfer; and (iii) identifying options for convergence towards, and possible elements of, a common methodology;

(c) To make the report of the workshop referred in paragraph 32 (b) above available as an element of voluntary guidance for Parties, with a view to facilitating financial reporting on domestic expenditures and the development of national finance plans;

(d) To further update and populate the clearing-house mechanism of the Convention, with a view to sharing pertinent national programmes and initiatives and associated good practices and lessons learned, including the information submitted by Parties referred to in paragraph 31 above;

33. *Further requests* the Executive Secretary to include in the Global Monitoring Report on the Implementation of the Strategy for Resource Mobilization, available quantitative information on funding sources and flows as well as information on progress made in replicating and upscaling successful biodiversity financing mechanisms;

*Annex I***MILESTONES FOR THE FULL IMPLEMENTATION OF AICHI BIODIVERSITY TARGET 3**

Milestones and associated timelines:

1. *By 2015*: Development and inclusion of a national target reflecting Aichi Biodiversity Target 3 in revised national biodiversity strategies and the inclusion of pertinent action items in revised national biodiversity action plans.

Action items may include:

(a) Undertaking national analytical studies that identify candidates for elimination, phase-out or reform of incentives, including subsidies, harmful for biodiversity, and that identify opportunities to enhance the effectiveness of existing financial instruments for biodiversity and to promote the design and implementation of positive incentive measures;

(b) Based, as appropriate, on the analytical studies above, developing policy plans that (i) identify those harmful incentives that are candidates for removal, phase-out, or reform; (ii) provide for a prioritized list of measures leading to their eventual removal, phase-out, or reform; (iii) provide for a prioritized list of measures leading to the introduction, or strengthening, of positive incentives for the conservation and sustainable use of biodiversity; (iv) provide for associated timelines and milestones for implementation;

(c) In cases where incentives, including subsidies, are already known to have harmful effects and are already identified as candidates for elimination, phase-out or reform, foreseeing immediate policy action in form of their elimination or initiation of their phase-out or their reform;

2. *By 2016 (COP 13)*: In cases where harmful incentives that are candidates for elimination, phase-out or reform are already known, immediate policy or legislative action is being developed, in the form of their elimination or initiation of their phase-out or their reform;

3. *By 2016 (COP 13)*: Finalization of national analytical studies that identify harmful incentives that are candidates for elimination, phase-out or reform of incentives, including subsidies, harmful for biodiversity, and that identify opportunities to promote the design and implementation of positive incentive measures;

4. *By 2018 (COP 14)*: Finalization of policy plans, in line with revised national biodiversity strategies and action plans, that (i) identify those harmful incentives that are candidates for elimination, phase-out, or reform; (ii) provide for a prioritized list of measures leading to their eventual elimination, phase-out, or reform; (iii) provide for a prioritized list of measures leading to the introduction, or strengthening, of positive incentives for the conservation and sustainable use of biodiversity; (iv) provide for associated timelines and milestones;

5. The table below summarizes these milestones and the associated timelines. It reflects the possibility that a country may already know some candidates for immediate policy action (as per 1 (c) above) but may also wish to engage in the preparation of analytical studies (as per para. 1 (a) above) in order to obtain a more comprehensive picture.

<b>Timeline</b>	<b>Milestone</b>
2015	National target reflecting Aichi Biodiversity Target 3 and associated action items included in revised national biodiversity strategy and action plan (NBSAP)
2016	Policy or legislative action is being developed on incentives, including subsidies, already known to have harmful effects and already identified as candidates for elimination, phase-out or reform, in form of their elimination or initiation of their phase-out or their reform
2016	Finalization of national analytical studies that identify candidates for elimination, phase-out or reform of incentives, including subsidies, harmful for biodiversity, and that identify opportunities to promote the design and implementation of positive incentive

	measures
2018	Finalization of policy plans that (i) identify those harmful incentives that are candidates for elimination, phase-out, or reform; (ii) provide for a prioritized list of measures leading to their eventual elimination, phase-out, or reform; (iii) provide for a prioritized list of measures leading to the introduction, or strengthening, of positive incentives for the conservation and sustainable use of biodiversity; (iv) provide for associated timelines and milestones

*Annex II***FINANCIAL REPORTING FRAMEWORK****I. INTRODUCTION**

This framework is intended for use by Parties for providing baseline information and reporting on their contribution to reach the global financial targets, under Aichi Biodiversity Target 20, as adopted by the Conference of the Parties to the Convention at its twelfth meeting, in accordance with Article 20.

In completing the reporting framework, Parties are encouraged to interact with their respective statistical offices or other relevant departments when gathering information. Some of the information needed for this process is likely already available and it should be used where possible in order to reduce the reporting burden and the duplication of efforts. Where precise information is not available, respondents are encouraged to use their best estimates.

**II. REPORTING ON BASELINE AND PROGRESS TOWARDS 2015**

This section provides the framework for providing necessary baseline information and reporting progress against the 2015 targets.<sup>6</sup>

**Identification of respondent**

**Please complete the following table:**

Country:	Name of respondent:
Please indicate on whose behalf this is being completed:	<input type="checkbox"/> National Focal Point <input type="checkbox"/> Focal point for resource mobilization <input type="checkbox"/> Other. Please specify:
Title and Department of respondent:	
Organization of respondent:	
Email address:	
Telephone contact:	
Date of completion and submission of completed framework:	

**1. International financial resource flows**

**1.1 Please indicate the amount of resources provided by your country in support of biodiversity in developing countries, in particular least developed countries and small island developing States, as well as countries with economies in transition.**

Please indicate, as appropriate, the amount of financial resources provided by source as well as the total amount. Please also indicate your degree of confidence in the estimated amount or, alternatively, provide a range of estimates.

**1.1.1 Baseline information**

For the calculation of the baseline, please provide data for 2010 or the most recent year prior to that. If possible, provide data for the period 2006 to 2010. If specific annual data is not available, you may provide the best estimate of an average figure for 2006 to 2010.

<sup>6</sup> Reporting on this section will take place by 31 December 2015, in accordance with paragraph 25 of decision XII/3.



Currency:				
Year	ODA (1)	OOF (2)	Other flows (3)	Total
2006				
2007				
2008				
2009				
2010				
Average (baseline)				
<p>Methodological information:</p> <p>(4) ODA includes: ( ) bilateral; ( ) multilateral</p> <p>(5) ODA/OOF: ( ) commitments; ( ) disbursements</p> <p>(6) ODA/OOF includes: ( ) directly related; ( ) indirectly related</p> <p>Other flows include: ( ) directly related; ( ) indirectly related</p> <p>(7) As applicable, methodology used to identify official resource flows: ( ) OECD DAC 'Rio markers'; ( ) other (please specify): ( )</p> <p>(8) As applicable, coefficient used for resource flows indirectly related to biodiversity, when calculating total numbers: ( )%</p> <p>(9) (Average) confidence levels (please indicate high, medium, low):</p> <p>ODA: ( )</p> <p>OOF: ( )</p> <p>Other flows: ( )</p> <p>(10) Other methodological observations/comments, including sources of data: ( )</p>				

**Additional explanations:**

(1) Official Development Assistance (ODA) refers to flows of official financing administered with the purpose of promoting 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 per cent (using a fixed 10 per cent rate of discount). Where resources are provided or received for general budget support rather than for specific activities, an estimate of resources provided/received for biodiversity may be calculated from the proportion of the recipient country's budget devoted to such activities.

(2) Other official flows (OOF) 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 or Official Aid, either because they are not primarily aimed at development, or because they have a grant element of less than 25 per cent non-ODA public funding, that is, 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.

For the purpose of this reporting framework, information on resources provided by other, "non-donor" countries, i.e. through "South-South Cooperation", would also be included in this column, as appropriate.

- (3) Other flows refer to resources mobilized by the private sector as well as non-governmental organizations, foundations, and academia. If you do not have reliable data, please leave this row empty. See also question 1.2.
- (4) ODA can be bilateral or multilateral. Bilateral ODA refers to contributions of donor government agencies, at all levels, to developing countries. Multilateral ODA refers to funds provided through international financial institutions such as the Global Environment Facility, the World Bank and United Nations funds and programmes. Please include both categories as feasible. Please tick the appropriate box if ODA numbers provided include bilateral and/or multilateral ODA related to biodiversity. If the numbers include both categories, tick both boxes.
- (5) You may report on either ODA/OOF commitments or actual disbursements, but please apply the same category for all years, including when reporting progress.
- (6) Funding for biodiversity includes not only funding for direct actions to protect biodiversity but also funding related to actions across different sectors (e.g. agriculture, forestry, tourism) to promote biodiversity-friendly initiatives that have other primary purposes (e.g. ecosystem-based approaches to climate-change mitigation and adaptation). See section 5 below for a compilation of descriptions of activities that relate to biodiversity as provided in different methodological frameworks. Please tick the appropriate box if numbers provided include resources directly related or indirectly related to biodiversity.
- (7) In past reporting under the preliminary reporting framework, many Parties that are members of the OECD DAC used the ‘Rio markers methodology’ under the OECD CRS database, to report on ODA directly related to biodiversity (‘principal’ marker) and indirectly related to biodiversity (‘significant’ marker). Please indicate if you did apply this methodology and, if not, please provide a brief explanation on the methodology you applied.
- (8) If you provided a total amount that includes resources indirectly related to biodiversity, indicate the coefficient used to aggregate amounts directly and indirectly related to biodiversity. Please use the same coefficient for all years, including when reporting progress.
- (9) Please provide (average) confidence levels (high, medium, low).
- (10) You may provide any other methodological observations or comments here.

**1.1.2 Monitoring progress in mobilizing international financial flows**

**For the purposes of monitoring progress, please provide data for years after 2010:**

<b>Year</b>	<b>ODA</b>	<b>OOF</b>	<b>Other flows</b>	<b>Total</b>
<b>2011</b>				
<b>2012</b>				
<b>2013</b>				
<b>2014</b>				
<b>2015</b>				
<p><b>Methodological information:</b>  <b>(Average) confidence levels (please indicate high, medium, low):</b>  <b>ODA: ( )</b>  <b>OOF: ( )</b>  <b>Other flows: ( )</b></p>				

**1.2 Has your country taken measures to encourage the private sector as well as non-governmental organizations, foundations and academia to provide international support for the implementation of the Strategic Plan for Biodiversity 2011-2020?**

- (1) no ( )
- (2) some measures taken ( )
- (3) comprehensive measures taken ( )

**If you ticked (2) or (3) above, please provide additional information here.**

You may wish to provide cross-references, as applicable, to your reply to question 8 of the fifth national report guidelines, or to your report on progress in achieving Aichi Biodiversity Targets 1, 2, 3, 4, 16, 18, and 19, under question 10 of the fifth national report guidelines:

( )

**2. Inclusion of biodiversity in priorities and plans**

**Has your country included biodiversity in national priorities or development plans?**

- (1) Not yet started ( )
- (2) Some inclusion achieved ( )
- (3) Comprehensive inclusion ( )

**If you ticked (1) or (2) above, please provide additional information here.**

You may wish to provide cross-references, as applicable, to your reply to question 8 of the fifth national report guidelines:

( )

**3. Assessment and/or evaluation of values**

**Has your country assessed and/or evaluated the intrinsic, ecological, genetic, socioeconomic, scientific, educational, cultural, recreational and aesthetic values of biological diversity and its components?**

- (1) not yet started ( )
- (2) some assessments/evaluations undertaken ( )
- (3) comprehensive assessments/evaluations undertaken ( )

**If you ticked (2) or (3) above, please provide additional information here.**

You may wish to provide cross-references, as applicable, to your reply to question 8 of the fifth national report guidelines, or on your report in achieving Aichi Biodiversity Target 2, under question 10 of the fifth national report guidelines:

( )

**4. Reporting current domestic biodiversity expenditures**

**4.1 Please indicate the annual financial support provided to domestic biodiversity-related activities in your country.**

Please indicate the total amount of financial resources spent currently or in the recent past, before additional resource mobilization activities were undertaken. Please provide also an assessment of your confidence in the estimated amount (high, medium low; alternatively provide a range of estimates). Please cover as many sources as possible but provide at least central government budget outlays directly related to biodiversity. Use table 4.2 below to indicate which sources and expenditure categories were covered.

If possible, provide data for several years. If specific annual data is not available, you may provide the best estimate of an average figure for several years.

If your financial year does not correspond to the calendar year, please use the calendar year in which the financial year begins.

As this question specifically relates to domestic expenditures, please do not include any funding provided to other countries but please include expenditures that were financed by international sources.

Currency:

Year	Domestic expenditures	Overall confidence
2006		
20xx		
20xx		
20xx		
20xx		
Average		

#### 4.2 Information on sources and categories

Please indicate which sources and categories were covered under 4.1 above, by ticking the appropriate cells. For sources and categories not covered, please leave the cells empty.

Numbers above cover: (tick appropriate cells)	Expenditures directly related to biodiversity (1)	Expenditures indirectly related to biodiversity (1)
(2) Government budgets – central		
(2) Government budgets – state/provincial		
(2) Government budgets – local/municipal		
(3) Extra-budgetary		
(4) Private/market		
(5) Other (NGO, foundations, academia)		
(6) Collective action of indigenous and local communities		
(7) Additional methodological information, including sources of data: ( )		

#### *Additional explanations:*

(1) Funding for biodiversity includes not only funding for direct actions to protect biodiversity but also funding related to actions across different sectors (e.g. agriculture, forestry, tourism) to promote biodiversity-friendly initiatives that have other primary purposes (e.g. ecosystem-based approaches to climate-change mitigation and adaptation). Please tick the appropriate box if numbers provided include resources directly related or indirectly related to biodiversity.

(2) Government budgets include public money spent by government or government agencies to address domestic biodiversity issues. You are encouraged to include information from all relevant levels of government but provide central budget information at a minimum. When providing information relating to different

government levels, please ensure that funds transferred between the different levels of government are only counted once.

As the focus is on expenditures, budgetary support received by international flows should be included.

- (3) Extra-budgetary expenditures include project-related expenditures funded by ODA or OOF.
- (4) The private sector comprises private companies.
- (5) Other represents funding that is neither public sector nor private companies. Non-governmental organizations include non-profit organizations representing major groups and that are legally constituted organizations that operate independently from government. Foundations are non-profit organizations that typically either donate funds, provide support to other organizations, and/or directly provide funding for their own charitable purposes. Academia refers to all institutions aimed at advancing knowledge development, including educational and research institutions. The unifying factor between these three types of organizations is their not for profit status.
- (6) The contribution of collective action of indigenous and local communities towards biodiversity conservation and customary sustainable use, insofar as it can be appropriately measured and expressed in monetary terms, can be reported here. For instance, the Conceptual and Methodological Framework for Evaluating the Contribution of Collective Action to Biodiversity Conservation suggests performing a conversion of the total land area conserved by local communities to the equivalent in public funds spent on conserving an equivalent area within the government's protected areas. See also question 4.3 below.
- (7) Please provide information on the methodologies applied to estimate these numbers, in particular those on expenditures indirectly related to biodiversity and those outside of central government budgets. The Biodiversity Finance (BIOFIN) Workbook provides methodological guidance. In past reporting under the preliminary reporting framework, Parties made reference to public expenditure review methodologies, and also pointed to the environmental protection expenditure accounts, under their environmental economic accounting (EEA) system. One methodology for estimating subnational expenditures consists in calculating the ratio of biodiversity-related expenditures of a select sub-set of provincial governments or municipalities, and subsequent application of this ratio to total sub-national government budgets.

### 4.3 Role of collective action and non-market approaches

**4.3.1 Has your country assessed the role of collective action, including by indigenous and local communities, and non-market approaches for mobilizing resources for achieving the objectives of the Convention?**

- (1) no such assessment necessary ( )
- (2) not yet started ( )
- (3) some assessments undertaken ( )
- (4) comprehensive assessments undertaken ( )

**If you ticked (3) or (4) above, please provide additional information under question 4.3.2 below.**

**4.3.2** Please provide additional information on your assessment of the role of collective action undertaken by your country. Please provide also an assessment of your confidence in the estimation (high, medium low; alternatively provide a range of estimates). If possible, provide data for several years.

Measurement Unit (1):

Year	Contribution (1)	Overall confidence
20xx		
20xx		
20xx		
20xx		

20xx		
Average		
<p>Methodological information:</p> <p>As applicable, methodology used to assess the role of collective action and non-market approaches: ( ) Conceptual and Methodological Framework for Evaluating the Contribution of Collective Action to Biodiversity Conservation; ( ) other (please specify): ( ).</p> <p>Other methodological observations/comments, including experiences and lessons learned in applying methodologies, and on sources of data: ( )</p>		

**Additional explanations:**

(1) Please provide the selected measurement unit under your methodology. For instance, the Conceptual and Methodological Framework for Evaluating the Contribution of Collective Action to Biodiversity Conservation suggests using, amongst others, as a quantitative indicator, the total land area conserved by collective action within indigenous and local communities.

**5. Reporting funding needs, gaps, and priorities**

Please indicate your annual estimated funding need (for instance, based on your revised NBSAP) and calculate the estimated funding gap by subtracting estimated available resources. Indicate actions for priority funding.

Please start with the year which is most appropriate for your own planning purposes. Leave rows empty if not needed or if it is not yet possible to report thereon.

Currency:

Year	(1) Funding need	(2) Estimated available resources	(3) Estimated funding gap	(4) Actions for priority funding
2014				
2015				
2016				
2017				
2018				
2019				
2020				

Additional methodological observation/comments, including sources of data: ( )

**Additional explanations**

(1) The funding need could be calculated based on the revised national biodiversity strategy and action plan (NBSAP). You may wish to further differentiate into one-time investments and recurrent expenditures, and calculate annual resource requirements accordingly.

(2) For estimating future resource availability, you may wish to extrapolate the average number provided under question 4.1 above. In undertaking this extrapolation, please do not include the additional resource mobilization activities that were already undertaken, or are planned to be undertaken, pursuant to your national finance plan.<sup>7</sup>

(3) Estimate the funding gap by subtracting (2) from (1).

<sup>7</sup> The online version of the reporting framework could provide a tool for undertaking simple extrapolations using percentage increases, where percentage points could be freely chosen, and the resulting numbers would be inserted automatically.

- (4) Indicate actions, for instance from among those covered by the revised NBSAP, for priority funding.

## **6. National finance plans**

Please provide a brief synthesis of your finance plan, by indicating, in the table below, your **planned** resource mobilization, by source, and their respective **planned** contributions towards your identified finance gap.

Please add additional rows to the table as needed.

Please start with the year which is most appropriate for your own planning purposes. Leave columns empty if not needed or if it not yet possible to report thereon.

Currency:							
Year	2014	2015	2016	2017	2018	2019	2020
<b>(1) Expected funding gap</b>							
<b>(2) Domestic sources (total)</b>							
<i>Source 1</i>							
<i>Source 2</i>							
<i>Source 3</i>							
<b>(3) International flows (total)</b>							
<i>Source a</i>							
<i>Source b</i>							
<i>Source c</i>							
<b>(4) Remaining gap</b>							
Additional methodological information/comments, including sources of data: ( )							

### **Additional explanations**

(1) The expected funding gap would be taken from column (3) under question 5.<sup>8</sup>

(2) The **planned** contribution towards the identified funding gap by domestic sources. You may wish to further specify the planned sources that you wish to mobilize and their respective contribution. In this case, please replace the ‘placeholders’ and add more rows as needed. Possible domestic sources may include: (i) additional government allocations; (ii) earmarked funds from environmental fiscal reform, including new forms of environmental taxation or fee structures; (iii) earmarked funds from the elimination, phase out or reform of harmful incentives, including subsidies; (iv) various biodiversity funding mechanisms such as payments for ecosystem services, offsets, markets for green products, business-biodiversity partnerships, etc. (v); the mobilization of collective action by indigenous and local communities; etc.

Possible concrete actions for mobilizing domestic resources are provided in annex IV to decision XII/3.

(3) The **planned** contribution towards the identified finance gap by international sources. You may wish to further specify the sources and their respective expected contribution. In this case, please replace the ‘placeholders’ and add more rows as needed. Possible sources may include: (i) bi- and multilateral ODA/OOF; (ii) REDD+ or similar initiatives, including alternative policy approaches such as joint mitigation and adaptation approaches; (iii) ABS agreements, etc.

(4) The remaining gap is calculated by subtracting (3) and (2) from (1).<sup>9</sup>

<sup>8</sup> The online version of the reporting framework could carry over the pertinent numbers automatically.

**7. Has your country taken measures to encourage the private sector as well as non-governmental organizations, foundations and academia to provide domestic support for the implementation of the Strategic Plan for Biodiversity 2011-2020?**

- (1) no
- (2) some measures taken
- (3) comprehensive measures taken

**If you ticked (2) or (3) above, please provide additional information here.**

You may wish to provide cross-references, as applicable, to your reply to question 8 of the fifth national report guidelines, or to your report on progress in achieving Aichi Biodiversity Targets 1, 2, 3, 4, 16, 18, and 19 under question 10 of the fifth national report guidelines:

( )

### **8. Availability of financial resources for achieving targets**

Please tick the appropriate boxes.

**Did your country have adequate financial resources:**

- (1) to report domestic biodiversity expenditures? ( ) yes; ( ) no;
- (2) to report funding needs, gaps and priorities? ( ) yes; ( ) no;
- (3) to prepare national finance plans for biodiversity? ( ) yes; ( ) no.

### **III. REPORTING ON PROGRESS TOWARDS 2020**

This section provides the framework for reporting progress made in implementation of the financial targets until 2020.<sup>10</sup>

#### **Identification of respondent**

**Please complete the following table:**

Country:	Name of respondent:
Please indicate on whose behalf this is being completed:	<input type="checkbox"/> National Focal Point <input type="checkbox"/> Focal point for resource mobilization <input type="checkbox"/> Other. Please specify:
Title and Department of respondent:	
Organization of respondent:	
Email address:	
Telephone contact:	
Date of completion and submission of completed framework:	

<sup>9</sup> The online version of the reporting framework could undertake this calculation automatically.

<sup>10</sup> Reporting on this section will take place in conjunction with the sixth national reports, in accordance with paragraph 26 of decision XII/3.



## **1. Monitoring progress in mobilizing international financial flows**

### **1.1 Please indicate the amount of resources provided by your country in support of biodiversity in developing countries, in particular least developed countries and small island developing States, as well as countries with economies in transition.**

Please indicate, as appropriate, the amount of financial resources provided by source as well as the total amount. Please also indicate your degree of confidence in the estimated amount or, alternatively, provide a range of estimates.

In order to ensure data consistency and comparability, please make sure, as feasible, to apply the same methodology as under question 1.1 of section I above.

Currency:

Year	ODA (1)	OOF (2)	Other flows (3)	Total
2016				
2017				
2018				
2019				

#### Methodological information:

(4) ODA includes: ( ) bilateral; ( ) multilateral

(5) ODA/OOF: ( ) commitments; ( ) disbursements

(6) ODA/OOF includes: ( ) directly related; ( ) indirectly related

Other flows include: ( ) directly related; ( ) indirectly related

(7) As applicable, methodology used to identify official resource flows: ( ) OECD DAC 'Rio markers'; ( ) other (please specify): ( )

(8) As applicable, coefficient used for resource flows indirectly related to biodiversity, when calculating total numbers: ( ) %

(9) (Average) confidence levels (please indicate high, medium, low):

ODA: ( )

OOF: ( )

Other flows: ( )

(10) Other methodological observations/comments, including sources of data: ( )

#### **Additional explanations:**

(1) Official Development Assistance (ODA) refers to flows of official financing administered with the purpose of promoting 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 per cent (using a fixed 10 per cent rate of discount).

Where resources are provided or received for general budget support rather than for specific activities, an estimate of resources provided/received for biodiversity may be calculated from the proportion of the recipient country's budget devoted to such activities.

(2) Other official flows (OOF) 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 or Official Aid, either because they are not primarily aimed at development, or because they have a Grant Element of less than 25 per cent.

For the purpose of this reporting framework, information on resources provided by other, “non-donor” countries, i.e. through “South-South Cooperation”, would also be included in this column, as appropriate.

(3) ‘Other flows’ refer to resources mobilized by the private sector as well as non-governmental organizations, foundations, and academia. If you do not have reliable data, please leave this row empty. See also question 1.2.

(4) ODA can be bilateral or multilateral. Bilateral ODA refers to contributions of donor government agencies, at all levels, to developing countries. Multilateral ODA refers to funds provided through international financial institutions such as the Global Environment Facility, the World Bank and United Nations funds and programmes. Please include the categories that you used in completing question 1.1 under section I.

(5) You may report on either ODA/OOF commitments or actual disbursements. Please apply the same category as used in question 1.1 of section I above.

(6) Funding for biodiversity includes not only funding for direct actions to protect biodiversity but also funding related to actions across different sectors (e.g. agriculture, forestry, tourism) to promote biodiversity-friendly initiatives that have other primary purposes (e.g. ecosystem-based approaches to climate-change mitigation and adaptation). Please tick the appropriate box if numbers provided include resources directly related or indirectly related to biodiversity. Please apply the same category as used in question 1.1 of section I above.

(7) In past reporting under the preliminary reporting framework, many members of the OECD DAC used the ‘Rio markers methodology’ under the OECD CRS database, to report on ODA directly related to biodiversity (‘principal’ marker) and indirectly related to biodiversity (‘significant’ marker). Please indicate if you did apply this methodology and, if not, please provide a brief explanation on the methodology you applied.

(8) If you provided a total amount that includes resources indirectly related to biodiversity, indicate the coefficient used to aggregate amounts directly and indirectly related to biodiversity. Please use the same coefficient as used in question 1.1 of section I above.

(9) Please provide (average) confidence levels (high, medium, low).

(10) You may provide any other methodological observations or comments here.

**1.2 Has your country taken measures to encourage the private sector as well as non-governmental organizations, foundations and academia to provide international support for the implementation of the Strategic Plan for Biodiversity 2011-2020?**

**(1) no**

**(2) some measures taken**

**(3) comprehensive measures taken**

**If you ticked (2) or (3) above, please provide additional information here.**

You may wish to provide cross-references, as applicable, to the relevant sections of your sixth national report including your report on progress in achieving Aichi Biodiversity Targets 1, 2, 3, 4, 16, 18, and 19.<sup>11</sup>

( )

**2. Inclusion of biodiversity in priorities and plans**

**Has your country included biodiversity in national priorities or development plans?**

**(1) Not yet started ( )**

<sup>11</sup> This will be reflected in the guidelines for the sixth national reports in line with paragraphs 26 and 28 of decision XII/3.

- (2) Some inclusion achieved ( )  
 (3) Comprehensive inclusion ( )

**If you ticked (1) or (2) above, please provide additional information here.**

You may wish to provide cross-references, as applicable, to the relevant sections of your sixth national report:<sup>12</sup>

( )

### **3. Assessment and/or evaluation of values**

**Has your country assessed and/or evaluated the intrinsic, ecological, genetic, socioeconomic, scientific, educational, cultural, recreational and aesthetic values of biological diversity and its components?**

- (1) not yet started ( )  
 (2) some assessments/evaluations undertaken ( )  
 (3) comprehensive assessments/evaluations undertaken ( )

**If you ticked (2) or (3) above, please provide additional information here.**

You may wish to provide cross-references, as applicable, to the relevant sections of your sixth national report, including your report on progress in achieving Aichi Biodiversity Target 2:<sup>13</sup>

( )

### **4. Role of collective action and non-market approaches**

**4.1 Has your country assessed the role of collective action, including by indigenous and local communities, and non-market approaches for mobilizing resources for achieving the objectives of the Convention?**

- (1) no such assessment necessary ( )  
 (2) not yet started ( )  
 (3) some assessments undertaken ( )  
 (4) comprehensive assessments undertaken ( )

**If you ticked (3) or (4) above, please provide additional information under question 4.2 below.**

**4.2** Please provide information on the quantitative assessment of the role of collective action undertaken by your country. Please provide also an assessment of your confidence in the estimation (high, medium low; alternatively provide a range of estimates). If possible, provide data for several years.

Measurement Unit (1):

Year	Contribution (1)	Overall confidence
20xx		
20xx		
20xx		
20xx		
20xx		

<sup>12</sup> This will be reflected in the guidelines for the sixth national reports in line with paragraphs 26 and 28 of decision XII/3.

<sup>13</sup> This will be reflected in the guidelines for the sixth national reports in line with paragraphs 26 and 28 of decision XII/3.

Average		
Methodological information: As applicable, methodology used to assess the role of collective action and non-market approaches: ( ) Conceptual and Methodological Framework for Evaluating the Contribution of Collective Action to Biodiversity Conservation; ( ) other (please specify): ( ). Other methodological observations/comments, including sources of data: ( )		

**Additional explanations:**

(1) For instance, the Conceptual and Methodological Framework for Evaluating the Contribution of Collective Action to Biodiversity Conservation suggests using the total land area conserved by collective action within indigenous and local communities.

**5. Reporting progress in mobilizing resources**

**5.1 Please indicate, in the table below, the achieved resource mobilization for your country, by source, and their respective actual contribution towards your identified funding gap.**

This question refers to the implementation of your national finance plan as provided in question 6 of section I above.

Please add additional rows to the table as needed.

Currency:
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Year	2015	2016	2017	2018	2019	2020
<b>(1) Funding gap</b>						
<b>(2) Domestic sources (total)</b>						
<i>Source 1</i>						
<i>Source 2</i>						
<i>Source 3</i>						
<b>(3) International flows (total)</b>						
<i>Source a</i>						
<i>Source b</i>						
<i>Source c</i>						
<b>(4) Remaining gap</b>						
<b>(5) Has the gap been reduced?</b>						
<b>(6) Has the gap been reduced overall? ( ) no; ( ) yes, somewhat; ( ) yes, significantly</b>						
Additional methodological information/comments, including sources of data: ( )						

**Additional explanations**

(1) The expected funding gap would be taken from column (3) under question 5 of section I.<sup>14</sup> You may wish to update the estimates in light of additional information, including, for instance, a reduced funding need resulting from the elimination, phase out, or reform of harmful incentives.

<sup>14</sup> The online version of the reporting framework could carry over the pertinent numbers automatically.

- (2) The actual contribution towards the identified finance gap by domestic sources. You may wish to further specify the actual sources that were mobilized and their respective contribution. In this case, please replace the ‘placeholders’ and add more rows as needed.
- (3) The actual contribution towards the identified finance gap by international sources. You may wish to further specify the actual sources that were mobilized and their respective contribution. In this case, please replace the ‘placeholders’ and add more rows as needed.
- (4) The remaining gap is calculated by subtracting (3) and (2) from (1).<sup>15</sup>
- (5) Please provide your assessment as to whether the gap was reduced in the relevant year (no; yes, somewhat; yes, significantly)
- (6) Please provide your overall assessment as to whether the funding gap was reduced, by ticking one of the appropriate boxes.

**5.2 Has your country taken measures to encourage the private sector as well as non-governmental organizations, foundations and academia to provide domestic support for the implementation of the Strategic Plan for Biodiversity 2011-2020?**

- (1) no  
 (2) some measures taken  
 (3) comprehensive measures taken

**If you ticked (2) or (3) above, please provide additional information here.**

You may wish to provide cross-references, as applicable, to relevant sections of your sixth national reports, including your report on progress in achieving Aichi Biodiversity Targets 1, 2, 3, 4, 16, 18, and 19:<sup>16</sup>

( )

*Appendix*

**ACTIVITY CLASSIFICATIONS**

The following is an indicative list of possible classifications of activities related to biodiversity:

*Transforming Biodiversity Finance: The Biodiversity Finance (BIOFIN) Workbook for assessing and mobilizing resources to achieve the Aichi Biodiversity Targets and to implement National Biodiversity Strategies and Action Plans. Appendices I and J.*

<http://www.cbd.int/doc/meetings/fin/rmws-2014-04/other/rmws-2014-04-workbook-biofin-en.pdf>

*Aid targeting the objectives of the Convention on Biological Diversity. OECD Guidance on Rio markers:*

<http://www.oecd.org/dac/stats/46782010.pdf>

*The Multilateral Environmental Agreements and the Rio Markers. Information note prepared by EuropeAid E6 Unit – "Natural Resources", September 2010*

[http://capacity4dev.ec.europa.eu/system/files/file/15/01/2014\\_-\\_](http://capacity4dev.ec.europa.eu/system/files/file/15/01/2014_-_1445/eu_the_multilateral_environmental_agreementsand_the_rio_markers_en.pdf)

[\\_1445/eu\\_the\\_multilateral\\_environmental\\_agreementsand\\_the\\_rio\\_markers\\_en.pdf](http://capacity4dev.ec.europa.eu/system/files/file/15/01/2014_-_1445/eu_the_multilateral_environmental_agreementsand_the_rio_markers_en.pdf).

<sup>15</sup> The online version of the reporting framework could undertake this calculation automatically.

<sup>16</sup> This will be reflected in the guidelines for the sixth national reports in line with paragraphs 26 and 28 of decision XII/3.

*Annex III***VOLUNTARY GUIDELINES ON SAFEGUARDS IN BIODIVERSITY FINANCING MECHANISMS**

1. Both opportunities and risks need to be taken into account in selecting, designing and implementing mechanisms for financing biodiversity. The potential impacts of biodiversity financing mechanisms on different elements of biodiversity, as well as their potential effects on indigenous and local communities' rights and livelihoods, need to be effectively addressed, in accordance with national legislation.<sup>17</sup> Particular attention needs to be given to the impacts on, and contribution of, indigenous and local communities as well as women, and to their effective participation in the selection, design, and implementation of biodiversity financing mechanisms.

2. Safeguards in biodiversity financing mechanisms can help to promote the positive effects and avoid or mitigate unintended negative effects on biodiversity and livelihoods.

3. These guidelines are voluntary. Parties and stakeholders, when establishing safeguards in selecting, designing and implementing mechanisms for financing biodiversity, with a view to effectively avoiding or mitigating unintended impacts of biodiversity financing mechanisms and to maximizing their opportunities, may wish to take into account the following:

(a) The role of biodiversity and ecosystem functions for local livelihoods and resilience, as well as biodiversity's intrinsic values, should be recognized in the selection, design and implementation of biodiversity financing mechanisms;

(b) Rights and responsibilities of actors and/or stakeholders in biodiversity financing mechanisms should be carefully defined, at national level, in a fair and equitable manner, with the effective participation of all actors concerned, including the prior informed consent or approval and involvement of indigenous and local communities, taking into account, the Convention on Biological Diversity and its relevant decisions, guidance and principles and, as appropriate, the United Nations Declaration of the Rights of Indigenous Peoples;<sup>18</sup>

(c) Safeguards in biodiversity financing mechanisms should be grounded in local circumstances, be developed consistent with relevant country-driven/specific processes as well as national legislation and priorities, and take into account relevant international agreements, declarations and guidance, developed under the Convention on Biological Diversity and as appropriate, the United Nations Framework Convention on Climate Change, international human rights treaties and the United Nations Declaration of the Rights of Indigenous Peoples, among others;

(d) Appropriate and effective institutional frameworks are of utmost importance for safeguards to be operational and should be put in place, including enforcement and evaluation mechanisms that will ensure transparency and accountability, as well as compliance with relevant safeguards.

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<sup>17</sup> Noting that some countries recognize the rights of Mother Earth in their national legislation in the context of sustainable development.

<sup>18</sup> General Assembly resolution 61/295.

*Annex IV***PROPOSALS FOR CONCRETE AND EFFECTIVE ACTIONS FOR IMPLEMENTING AICHI BIODIVERSITY TARGET 20 AND ASSOCIATED FINANCIAL TARGETS****I. INTRODUCTION**

1. The concrete and effective actions enumerated below provide a flexible framework for Parties and other Governments, as well as relevant organizations and initiatives at all levels, including funding institutions, for achieving Aichi Biodiversity Target 20 and the associated financial targets adopted by the Conference of the Parties at its twelfth meeting, with a view to mobilizing adequate and predictable financial resources for the implementation of the Strategic Plan for Biodiversity 2011-2020 and its Aichi Biodiversity Targets by 2020. They complement the strategy for resource mobilization adopted by the Conference of the Parties in decision IX/11 B by identifying targeted actions required to achieve Aichi Biodiversity Target 20 and associated financial targets.
2. This proposal also takes note of the significant interlinkages and potential synergies between Aichi Biodiversity Target 20 and other elements of the Strategic Plan for Biodiversity 2011-2020, and in particular its Strategic Goal A, to address the underlying causes of biodiversity loss by mainstreaming biodiversity across government and society (Aichi Biodiversity Targets 1 to 4).<sup>19</sup>
3. Raising awareness of the values of biodiversity (Aichi Biodiversity Target 1) and integrating these values into national and local development and poverty reduction strategies and planning processes, including plans for sustainable production and consumption (Aichi Targets 2 and 4), are essential enabling conditions for the effective mobilization of resources from all sources.
4. Achieving Aichi Biodiversity Target 3 carries considerable potential to reduce negative pressures on biodiversity as well as to potentially mobilize resources for biodiversity. The elimination, phase-out or reform of harmful incentives, including subsidies, in a manner that is consistent and in harmony with the Convention and other relevant international obligations, taking into account national socioeconomic conditions, could mobilize significant resources and is therefore a high global priority, while the wider application of various biodiversity finance mechanisms and instruments, acting as incentives for the conservation and sustainable use of components of biodiversity, can also make important contributions.
5. Prioritizing and sequencing actions accordingly is thus likely to have particularly high returns, bearing in mind that such prioritizing and sequencing needs to take into account national circumstances and priorities.

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<sup>19</sup> Target 20: By 2020, at the latest, the mobilization of financial resources for effectively implementing the Strategic Plan for Biodiversity 2011-2020 from all sources, and in accordance with the consolidated and agreed process in the strategy for resource mobilization, should increase substantially from the current levels. This target will be subject to changes contingent to resource needs assessments to be developed and reported by Parties.

Target 1: By 2020, at the latest, people are aware of the values of biodiversity and the steps they can take to conserve and use it sustainably.

Target 2: By 2020, at the latest, biodiversity values have been integrated into national and local development and poverty reduction strategies and planning processes and are being incorporated into national accounting, as appropriate, and reporting systems.

Target 3: By 2020, at the latest, incentives, including subsidies, harmful to biodiversity are eliminated, phased out or reformed in order to minimize or avoid negative impacts, and positive incentives for the conservation and sustainable use of biodiversity are developed and applied, consistent and in harmony with the Convention and other relevant international obligations, taking into account national socio-economic conditions.

Target 4: By 2020, at the latest, Governments, business and stakeholders at all levels have taken steps to achieve or have implemented plans for sustainable production and consumption and have kept the impacts of use of natural resources well within safe ecological limits.

## II. POSSIBLE ACTIONS AND INDICATORS

### A. *General enabling actions*

6. Implement the provisions of the Monterrey Consensus on mobilizing international and domestic funding as related to biodiversity.<sup>20</sup>
7. Raise public awareness of the importance of biological diversity and the functions, goods and services that it provides at all levels in support of resource mobilization:<sup>21</sup>
- (a) Consider applying the guidance provided in the CEPA toolkit as well as the work under the CEPA programme of work.<sup>22</sup>

### B. *International financial flows*

#### *Indicators*

8. Aggregated international financial flows, in the amount and where relevant percentage, of biodiversity-related funding, per annum, for achieving the Convention's three objectives, in a manner that avoids double counting, both in total and in, inter alia, the following categories:<sup>23</sup>
- (a) Official development assistance (ODA);
- (b) Non-ODA public funding, including South-South cooperation initiatives;
- (c) Private sector, academia, foundations, non-governmental organizations (NGOs);
- (d) Trends in funding to the Global Environment Facility (GEF) and biodiversity-related programmes of other multilateral organizations.
9. Number of countries that have taken measures to encourage the private sector as well as non-governmental organizations, foundations, and academia to provide international support for the implementation of the Strategic Plan for Biodiversity 2011-2020, and volume of funding generated.<sup>24</sup>

#### *Actions*

10. Integrate considerations on biological diversity and its associated ecosystem functions and services into the strategies, programmes, and priorities, including sectoral and regional priorities, of bilateral and multilateral donor organizations, including the United Nations development system, as well as international financial institutions and development banks, taking into account the Paris Declaration on Aid Effectiveness and the Busan Partnership for Effective Development Cooperation.<sup>25</sup>
11. Increase official development assistance associated with biological diversity, where biodiversity is identified as a priority by developing country Parties in poverty reduction strategies, national development strategies, United Nations development assistance frameworks and other development assistance strategies and in accordance with priorities identified in national biodiversity strategies and action plans.<sup>26</sup>
12. Identify, engage and increase South-South cooperation as a complement to North-South cooperation to enhance technical, technological, scientific and financial cooperation.<sup>27</sup>

<sup>20</sup> <http://www.un.org/esa/ffd/monterrey/MonterreyConsensus.pdf>. See the strategy for resource mobilization (decision IX/11 B, annex), para 3.6 under goal 3.

<sup>21</sup> See the strategy for resource mobilization (decision IX/11 B, annex), para 8.1 under goal 8.

<sup>22</sup> <http://www.cbd.int/cepa/toolkit/2008/cepa/index.htm> ; <http://www.cbd.int/cepa/>.

<sup>23</sup> From the strategy for resource mobilization (decision IX/11 B, annex) and decision X/3, paragraph 7.

<sup>24</sup> See recommendation 5/10, annex II, paragraph 2 of the Ad Hoc Open-ended Working Group on Review of Implementation of the Convention.

<sup>25</sup> See Strategy for resource mobilization (decision IX/11 B, annex), para 5.1 and 5.3 under goal 5.

<sup>26</sup> Strategy for resource mobilization (decision IX/11 B, annex), para 3.2 under goal 3.

<sup>27</sup> Strategy for resource mobilization (decision IX/11 B, annex), para 6.2 under goal 6.



13. Take legislative, administrative or policy measures, as appropriate, to implement, or adhere to, the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization.<sup>28</sup>

14. Take legislative, administrative or policy measures, as appropriate, to encourage the private sector as well as non-governmental organizations, foundations, and academia to provide international support for the implementation of the Strategic Plan for Biodiversity 2011-2020:<sup>29</sup>

(a) Encourage the private sector to consider and disseminate criteria related to biodiversity and associated ecosystem functions and services in its purchasing decisions throughout international supply chains in accordance with the Convention and other relevant international obligations, taking into account the special circumstances and need for capacity-building of small and medium sized enterprises, in particular in developing countries;

(b) Encourage the private sector as well as non-governmental organizations, foundations, and academia to engage in resource mobilization for biodiversity and its associated ecosystem services through international project financing and other voluntary means;

(c) Consider establishing tax exemptions or tax credits for international biodiversity-related donations or activities, and encourage loans with preferential terms for international biodiversity-related activities.

15. Encourage the Parties to United Nations Framework Convention on Climate Change and its Kyoto Protocol to take biodiversity into account as a co-benefit in the criteria for funding mechanisms related to climate change and in the design of environmental safeguards.<sup>30</sup>

16. Explore the potential to include biological diversity in debt relief and conversion initiatives, including debt-for-nature swaps.<sup>31</sup>

17. Strengthen cooperation and coordination among funding partners at all levels, taking into account the Paris Declaration on Aid Effectiveness and the Busan Partnership for Effective Development Cooperation.<sup>32</sup>

### **C. Inclusion of biodiversity**

#### *Indicators*

18. Number of countries that have included biodiversity in their national priorities or development plans to ensure that other development activities do not harm biodiversity.

#### *Actions*

19. Integrate consideration of biological diversity and its associated ecosystem functions and services into economic and development plans, strategies and budgets.<sup>33</sup>

(a) Consider the information from available studies, such as the regional assessments conducted by the High-level Panel on Global Assessment of Resources for Implementing the Strategic Plan for Biodiversity 2011-2020,<sup>34</sup> to identify the linkages between biodiversity investments and solutions to wider problems and challenges of sustainable development (food security, water management, disaster risk reduction, livelihoods and poverty reduction etc.);

<sup>28</sup> See Strategy for resource mobilization (decision IX/11 B, annex), paras 7.1 and 7.2 under goal 7.

<sup>29</sup> See Strategy for resource mobilization (decision IX/11 B, annex), para 2.6 under goal 2 and 3.4 under goal 3.

<sup>30</sup> Strategy for resource mobilization (decision IX/11 B, annex), para 4.6 under goal 4.

<sup>31</sup> Strategy for resource mobilization (decision IX/11 B, annex), para 3.8 under goal 3.

<sup>32</sup> Strategy for resource mobilization (decision IX/11 B, annex), para 5.4 under goal 5.

<sup>33</sup> See Strategy for resource mobilization (decision IX/11 B, annex), para 5.2 under goal 5.

<sup>34</sup> See UNEP/CBD/COP/12/13/Add.2.

(b) Consider using, as appropriate and in accordance with national circumstances, the Chennai guidance for the integration of biodiversity and poverty eradication<sup>35</sup> and the CBD good practice guide on ecosystem goods and services in development planning,<sup>36</sup> or other related guidance.

***D. Reporting domestic expenditures as well as funding needs, gaps and priorities***

*Indicators*

20. Number of countries that have reported domestic biodiversity-related expenditures, as well as funding needs, gaps and priorities.

*Actions*

21. Consider taking steps to fully report on biodiversity-related domestic expenditures, as well as on funding needs, gaps and priorities, using methodological guidance such as, as appropriate, that of the United Nations Development Programme Biodiversity Finance Initiative (BIOFIN):

(a) Identify relevant actors and institutions, with particular regard to the potential roles of planning and finance agencies;

(b) Assess current biodiversity-related investments, from all sources and at all levels as appropriate;

(c) Identify funding needs for biodiversity, such as for implementation of the revised national biodiversity strategy and action plan (NBSAP), and determine the funding gap as well as priorities for closing the gap.

22. Compile and share national experiences in identifying and reporting domestic biodiversity expenditures, as well as funding needs, gaps and priorities, with a view to identifying good practices and lessons learned.

23. Fully utilize, as eligible, funding available from the Global Environment Facility for the revision of national biodiversity strategies and action plans, with a view to implementing the steps highlighted in paragraphs 21 and 22 above.

24. Consider providing bilateral and multilateral support to countries to implement the steps highlighted in paragraphs 21 and 22 above, including the establishment of support mechanisms with a view to accelerating implementation and replication.

***E. Financial plans and assessments of values***

*Indicators*

25. Number of countries that have prepared national financial plans.

26. Number of countries that have assessed and/or evaluated the intrinsic, ecological, genetic, socioeconomic, scientific, educational, cultural, recreational and aesthetic values of biological diversity and its components.

*Actions*

27. Prepare national financial plans in the context of national biodiversity strategies and action plans that can be implemented by local, national, regional and international stakeholders.<sup>37</sup>

(a) Based on work under subsection C above and on a mapping of current and potential funding sources and mechanisms, identify opportunities for scaling up funding from existing sources and for tapping new sources.

<sup>35</sup> Recommendation 5/8 (Biodiversity for poverty eradication and sustainable development), annex of the Ad Hoc Open-ended Working Group on Review of Implementation of the Convention.

<sup>36</sup> <http://www.cbd.int/development/doc/cbd-good-practice-guide-ecosystem-booklet-web-en.pdf>.

<sup>37</sup> Strategy for resource mobilization (decision IX/11 B, annex), para 2.2 under goal 2.

28. Consider undertaking national assessments to capture the broad range of biodiversity values in accounting and reporting systems.<sup>38</sup> As appropriate, these could be informed by the methodologies and results of the Economics of Ecosystems and Biodiversity (TEEB) initiative as well as by similar work at national or regional levels, such as the regional initiative of the United Nations Development Programme on the importance of biodiversity and ecosystems for sustained growth and equity in Latin America and the Caribbean, the Wealth Accounting and the Valuation of Ecosystem Services (WAVES) partnership, the ongoing development of statistical standards for environment, economic and ecosystem accounting, as well as the Conceptual and Methodological Framework for Evaluating the Contribution of Collective Action to Biodiversity Conservation,<sup>39</sup> and taking into account the High-level Panel's regional assessments, as well as future assessments under the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES).

#### ***F. Domestic resource mobilization***

##### *Indicators*

29. National budgets at all levels for biodiversity-related funding, per annum (amount and, where relevant, percentage), for achieving the Convention's three objectives in a manner that avoids double counting.

30. Number of countries that have taken measures to encourage the private sector as well as non-governmental organizations, foundations, and academia to provide domestic support for the implementation of the Strategic Plan for Biodiversity 2011-2020, and volume of funding generated.<sup>40</sup>

31. Number of countries that recognized, as appropriate and in accordance with national circumstances, the role of collective action, including by indigenous and local communities, and non-market-based approaches for mobilizing resources for achieving the objectives of the Convention.

##### *Actions*

32. Promote budgetary allocations for biological diversity and its associated ecosystem functions and services in national and relevant sectoral budgets:<sup>41</sup>

(a) Demonstrate that budgetary allocations for biological diversity and its associated ecosystem functions and services in national budgets are investments contributing to wider solutions to the challenges of food security, water management, disaster risk reduction, livelihoods, poverty reduction and inclusive economic growth, by integrating biodiversity outcomes in development programmes and projects.

33. Implement a wide range of country-specific biodiversity financing mechanisms to mobilize resources at domestic level, including those highlighted in the following paragraphs, and to apply relevant safeguards, as appropriate.<sup>42</sup>

34. Implement Aichi Biodiversity Target 3:<sup>43</sup>

(a) Consider using the milestones for the effective implementation of Aichi Biodiversity Target 3, contained in annex I, taking into account the modalities for effective implementation of Aichi Biodiversity Target 3, as contained in document UNEP/CBD/WGRI/5/4/Add.1, consistent and in harmony with the Convention and other relevant international obligations, taking into account national socioeconomic conditions;

(b) Consider, as appropriate and in accordance with national circumstances and legislation as well as with Aichi Biodiversity Target 3, the following possible actions in response to obstacles encountered in implementing options identified for removing, phasing out or reforming incentives, including subsidies, that are harmful for biodiversity: (i) increase transparency; (ii) change the terms of the policy debate by challenging

<sup>38</sup> See strategy for resource mobilization (decision IX/11 B, annex), para 1.2 under goal 1.

<sup>39</sup> UNEP/CBD/COP/12/13/Add.5.

<sup>40</sup> See recommendation 5/10, annex II, paragraph 2 of the Ad Hoc Open-ended Working Group on Review of Implementation of the Convention.

<sup>41</sup> From the strategy for resource mobilization (decision IX/11 B, annex), para 2.3 under goal 2.

<sup>42</sup> See UNEP/CBD/COP/12/13/Add.4.

<sup>43</sup> See strategy for resource mobilization (decision IX/11 B, annex), para 2.4 under goal 2.

misconceptions; (iii) make heard the voices of those who are disadvantaged by the status quo; (iv) recognize that a range of options is available to meet societal objectives; (v) better target existing subsidies and improve subsidy design (including possible conditional subsidies), consistent and in harmony with the Convention and other relevant international obligations, taking into account national socio economic conditions; (vi) seize and create windows of opportunity (e.g., policy reforms, legal and international obligations); (vii) accompanying or transitional measures.

35. Explore opportunities presented by environmental fiscal reforms including innovative taxation models and fiscal incentives for achieving the three objectives of the Convention,<sup>44</sup> such as, as appropriate and in accordance with national circumstances and legislation:

(a) Granting tax exemptions or tax credits in national income or corporate taxation systems for biodiversity-related donations or activities;

(b) Establishing ecological fiscal transfers as a means for burden sharing;

(c) Establishing reduced value added tax (VAT) rates for products that have less impact on biodiversity.

36. Encourage and support, as appropriate and in accordance with national circumstances, collective action, including by indigenous and local communities, and non-market-based approaches for mobilizing resources for achieving the objectives of the Convention:

(a) Consider promoting community-based natural resource management;

(b) Consider promoting indigenous and community conserved territories and areas.

37. Promote, where applicable and in accordance with national legislation, schemes for payments for ecosystem services, consistent and in harmony with the Convention and with other relevant international obligations, and apply safeguards as appropriate and in accordance with national circumstances.<sup>45</sup>

38. Take legislative, administrative or policy measures, as appropriate and in accordance with national circumstances, to encourage the private sector as well as community organizations, non-governmental organizations, foundations, and academia to provide domestic support, both financial and non-financial, for the implementation of the Strategic Plan for Biodiversity 2011-2020, including by establishing enabling conditions:<sup>46</sup>

(a) Promote business and biodiversity platforms, networks and/or partnerships, with a view to further engaging the private sector and to facilitate exchange of information and good practices between the private sector and other stakeholders, including community organizations;

(b) Consider establishing national ranking and/or top-runner lists of those private and public sector companies that dedicate resources to the conservation and sustainable use of biodiversity or to reducing impacts on biodiversity;

(c) Consider establishing enabling conditions for biodiversity offset or compensation mechanisms where relevant and appropriate and in accordance with national legislation, while ensuring that they respect the mitigation hierarchy, implement current levels of biodiversity protection in the planning system with the involvement of indigenous and local communities as applicable, and are not used to undermine unique components of biodiversity;<sup>47</sup>

(d) Consider, taking into account nationally defined priorities, inclusion of specific criteria on biodiversity in national procurement plans and policies, national strategies for sustainable consumption and

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<sup>44</sup> Strategy for resource mobilization (decision IX/11 B, annex), para 4.3 under goal 4.

<sup>45</sup> See strategy for resource mobilization (decision IX/11 B, annex), para 4.1 under goal 4;

<sup>46</sup> See strategy for resource mobilization (decision IX/11 B, annex), para 2.6 under goal 2 and 3.4 under goal 3.

<sup>47</sup> See strategy for resource mobilization (decision IX/11 B, annex), para 4.2 under goal 4.

production, and similar planning frameworks,<sup>48</sup> such as, for instance, policies that include avoided or reduced impact on biodiversity as a major procurement aspect, transparent information on procurement conditions, and fair procurement criteria;

(e) Support development of methods to promote science-based information on biodiversity in consumer decisions, for example through eco-labelling, as appropriate;<sup>49</sup>

(f) Support the development of tools to promote the consideration of biodiversity in business activities, including guidance to assist businesses in reporting their environmental impacts, in particular impacts on biodiversity, and in integrating biodiversity and associated ecosystem services into business accounting, as appropriate;

(g) Encourage and support research and development into products and production processes with lower impacts on biodiversity.

39. Continue to support, as appropriate, domestic environmental funds as essential complements to the national biodiversity resource base.<sup>50</sup>

### **G. Technical support and capacity-building**

#### *Actions*

40. Strengthen institutional capacities and provide technical support for effective resource mobilization and utilization, including strengthening capacities and further methodological work to:

(a) Make the case for including biodiversity and its associated ecosystem functions and services in discussions at national and international level with relevant financial institutions and aid agencies, including the assessment and/or evaluations of the broad range of values of biological diversity and its components;<sup>51</sup>

(b) Integrate biodiversity issues and its associated ecosystem functions and services into national and sectoral planning, accounting, as appropriate, and reporting systems;

(c) Implement, or adhere to, the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization (see Nagoya Protocol Meeting of the Parties decision on measures to assist in capacity-building and capacity development);<sup>52</sup>

(d) Undertake environmental fiscal reforms including taxation models and fiscal incentives for achieving the three objectives of the Convention;

(e) Implement a wide range of biodiversity financing mechanisms in accordance with national circumstances and legislation, including relevant safeguards;

(f) Apply and implement the modalities and milestones for the full implementation of Aichi Biodiversity Target 3, including options for overcoming obstacles encountered in implementing policies for addressing harmful incentives, consistent and in harmony with the Convention and other relevant international obligations, taking into account national socioeconomic conditions.

41. Promote, at all levels, the exchange of experience and good practice in financing for biological diversity, including sharing of knowledge and experience in developing effective policy instruments and mainstreaming, along the lines provided in the previous paragraph, and seek to enhance the role of South-South and North-South cooperation, as appropriate, and support therein.

42. Further update and populate the clearing-house mechanism of the Convention, with a view to sharing information on pertinent national programmes and initiatives and associated good practices and lessons learned.

<sup>48</sup> See decision XI/30, paragraph 7.

<sup>49</sup> See decision IX/6, paragraph 4 (b); strategy for resource mobilization (decision IX/11 B, annex), para 4.4 under goal 4.

<sup>50</sup> Strategy for resource mobilization (decision IX/11 B, annex), para 3.7 under goal 3.

<sup>51</sup> See strategy for resource mobilization (decision IX/11 B, annex), para 2.1 under goal 2.

<sup>52</sup> See UNEP/CBD/NP/COP-MOP/1/10.

43. Continue and intensify engagement with relevant regional and global development multilateral agencies to integrate biological diversity and associated ecosystem services into their strategies and programmes, in particular (i) regional development banks and United Nations Economic Commissions and (ii) the United Nations Environment Management Group for strengthening, as appropriate, biodiversity considerations in national United Nations Development Assistance Framework (UNDAF) processes.

*Delivery and support mechanisms providing technical support and capacity-building, including on good practices and lessons learned in applying financial tools and instruments and in enhancing their effectiveness*

44. The list below provides an indicative overview of initiatives and work processes that provide technical support and capacity-building for resource mobilization. Individual products of these initiatives and processes, such as methodological guidance manuals or compilations of good practice and lessons learned, are included in the catalogue of capacity-building and technical support instruments intended to inform policy development from a toolkit of options that Parties can consider to use to address their resource mobilization needs.

- The Biodiversity Finance Initiative (BIOFIN) of the United Nations Development Programme (UNDP) ([www.biodiversityfinance.net](http://www.biodiversityfinance.net))
  - The work programme of the OECD Joint ENVIRONET and WP-STAT Task Team to Improve Rio Markers, Environment and Development Finance Statistics (<http://www.oecd.org/dac/environment-development/statistics.htm#taskteam>)
  - Work of the Leading Group on Innovative International Financing for Development (<http://www.leadinggroup.org>)
  - Work of the Finance Initiative of the United Nations Environment Programme, including on the Natural Capital Declaration (<http://www.unepfi.org/>; <http://www.naturalcapitaldeclaration.org/>)
  - Work of the Intergovernmental Committee of Experts on Sustainable Development Financing (<http://sustainabledevelopment.un.org/index.php?menu=1558>)
  - 10-Year Framework of Programmes for Sustainable Consumption and Production (<http://www.unep.org/resourceefficiency/Policy/SCPPoliciesandthe10YFP/The10YearFrameworkProgrammesonSCP.aspx>)
  - GEF-6 biodiversity focal area strategy program 10
  - Phase three of the Economics of Ecosystems and Biodiversity initiative (TEEB) (<http://www.teebweb.org/>)
  - ABS Capacity Development Initiative (<http://www.abs-initiative.info/>)
  - Conceptual and Methodological Framework for Evaluating the Contribution of Collective Action to Biodiversity Conservation (UNEP/CBD/COP/12/13/Add.5)
  - Clearing-house mechanism
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