

# Handbook of the Convention on Biological Diversity

*Secretariat of the  
Convention on Biological Diversity*



UNEP

Earthscan Publications Ltd, London and Sterling, VA

# Contents

<i>Foreword by Hamdallah Zedan</i>	<i>xI</i>
<i>How to use this Handbook</i>	<i>xiii</i>
<i>Introduction: The operation of the Convention on Biological Diversity</i>	<i>xvii</i>
<i>Acronyms and abbreviations</i>	<i>xxvii</i>
<b>I Convention on Biological Diversity</b>	<b>1</b>
<b>II Cartagena Protocol on Biosafety to the Convention on Biological Diversity</b>	<b>27</b>
<b>III Rules of procedure for meetings of the Conference of the Parties to the Convention on Biological Diversity</b>	<b>51</b>
<b>IV <i>Modus operandi</i> of the Subsidiary Body on Scientific, Technical and Technological Advice</b>	<b>67</b>
<b>Financial rules for the administration of the Trust Fund for the Convention on Biological Diversity</b>	<b>75</b>
<b>VI Guide to the decisions of the Conference of the Parties</b>	<b>81</b>
<b>Articles of the Convention on Biological Diversity</b>	<b>83</b>
Preamble	83
Article 1 Objectives	85
Article 2 Use of terms	85
Article 3 Principle	87
Article 4 Jurisdictional scope	87
Article 5 Cooperation	88
Article 6 General measures for conservation and sustainable use	89
Article 7 Identification and monitoring	93
Indicators	98
Taxonomy	101
Article 8 <i>In-situ</i> conservation	104
Protected areas (Article 8 (a)-(c))	108
Ecosystems, habitats and viable populations (Article 8 (d))	111
Buffer zones (Article 8 (e))	112
Rehabilitation of ecosystems and recovery of threatened species (Article 8 (f))	113
Biosafety (Article 8 (g))	115
Alien species (Article 8 (h))	117
Traditional knowledge (Article 8 (j) and related provisions)	120
Mitigation of threats (Article 8 (l))	129

Article 9	<i>Ex-situ</i> conservation	132
Article 10	Sustainable use of components of biological diversity	134
	Tourism	135
Article 11	Incentive measures	138
Article 12	Research and training	143
Article 13	Public education and awareness	145
Article 14	Impact assessment and minimizing adverse impacts	148
Article 15	Access to genetic resources	152
Article 16	Access to and transfer of technology	161
Article 17	Exchange of information	167
Article 18	Technical and scientific cooperation	169
	Capacity-building (Article 18 (1), (2), (4) and (5))	170
	Clearing-house mechanism (Article 18 (3))	173
Article 19	Handling of biotechnology and distribution of its benefits	179
	Participating in biotechnological research and promoting access to results and benefits (Article 19 (1) and (2))	179
	Consideration of the need for and modalities of a protocol on biosafety (Article 19 (3) and (4))	180
Articles 20, 21 & 39	Financial resources, financial mechanism and financial interim arrangements	186
Article 22	Relationship with other international conventions	197
Article 23	Conference of the Parties	198
Article 24	Secretariat	204
	Cooperation with other biodiversity-related conventions, processes and organizations	205
Article 25	Subsidiary Body on Scientific, Technical and Technological Advice	
Article 26	Reports	
Article 27	Settlement of disputes	
Article 28	Adoption of protocols	
Article 29	Amendment of the Convention or protocols	
Article 30	Adoption and amendment of annexes	
Article 31	Right to vote	
Article 32	Relationship between this Convention and its protocols	
Article 33	Signature	
Article 34	Ratification, acceptance or approval	
Article 35	Accession	
Article 36	Entry into force	
Article 37	Reservations	
Article 38	Withdrawals	
Article 40	Secretariat interim arrangements	
Article 41	Depositary	
Article 42	Authentic texts	
Annex I	Identification and monitoring	
Annex II	Arbitration and conciliation	

### **Thematic work programmes**

Forest biological diversity  
Inland water biological diversity  
Agricultural biological diversity  
Marine and coastal biological diversity

	Dry and sub-humid lands	250
	Ecosystem approach	254
<b>VII</b>	<b>Status of signature, ratification, accession, acceptance and approval - Convention on Biological Diversity and Cartagena Protocol on Biosafety</b>	<b>257</b>
<b>VIII</b>	<b>Declarations</b>	<b>265</b>
<b>IX</b>	<b>Nairobi Final Act of the Conference for the Adoption of the Agreed Text of the Convention on Biological Diversity</b>	<b>279</b>
<b>X</b>	<b>Decisions of the Conference of the Parties (with relevant SBSTTA recommendations)</b>	<b>291</b>
	<b>First meeting of the Conference of the Parties</b>	<b>293</b>
	Decision I/1 Rules of procedure for the Conference of the Parties	293
	Decision I/2 Financial resources and mechanism	293
	Decision I/3 Clearing-house mechanism for technical and scientific cooperation	297
	Decision I/4 Selection of a competent international organization to carry out the functions of the Secretariat of the Convention	297
	Decision I/5 Support to the Secretariat by international organizations	298
	Decision I/6 Financing of and budget for the Convention	298
	Decision I/7 Subsidiary Body on Scientific, Technical and Technological Advice	305
	Decision I/8 Preparation of the participation of the Convention on Biological Diversity in the third session of the Commission on Sustainable Development	307
	Decision I/9 Medium-term programme of work of the Conference of the Parties	310
	Decision I/10 Location of the Secretariat	314
	Decision I/I 1 Preparation for the second meeting of the Conference of the Parties	315
	Decision I/12 International Day for Biological Diversity	315
	Decision I/13 Tribute to the Government of the Commonwealth of the Bahamas	316
	<b>Second meeting of the Conference of the Parties</b>	<b>317</b>
	Decision II/1 Report of the first meeting of the Subsidiary Body on Scientific, Technical and Technological Advice	317
	Recommendation I/6 Global Biodiversity Outlook	318
	Decision II/2 Publication and distribution of scientific and technical information	318
	Decision II/3 Clearing-house mechanism	319
	Decision II/4 Ways and means to promote and facilitate access to, and transfer and development of technology	320
1£	Decision II/5 Consideration of the need for and modalities of a protocol for the safe transfer, handling and use of living modified organisms	321
	Decision II/6 Financial resources and mechanism	324
	Decision II/7 Consideration of Articles 6 and 8 of the Convention	326

Decision 11/8	Preliminary consideration of components of biological diversity particularly under threat and action which could be taken under the Convention	327
	Recommendation 1/3 Alternative ways and means in which the Conference of the Parties could start the process of considering the components of biological diversity particularly those under threat and the identification of action which could be taken under the Convention	328
Decision II/9	Forests and biological diversity	329
Decision 11/10	Conservation and sustainable use of marine and coastal biological diversity	332
Decision II/1 1	Access to genetic resources	338
Decision 11/12	Intellectual property rights	338
Decision 11/13	Cooperation with other biodiversity-related conventions	339
Decision 11/14	Convening of an open-ended inter-governmental workshop on cooperation between the Convention on Biological Diversity and other international conventions on related issues	340
Decision 11/15	FAO Global System for the Conservation and Utilization of Plant Genetic Resources for Food and Agriculture	341
Decision 11/16	Statement to the International Technical Conference on the Conservation and Utilization of Plant Genetic Resources for Food and Agriculture	341
Decision II/1 7	Form and intervals of national reports by Parties	344
	Recommendation 1/5 Scientific and technical information to be contained in the national reports	346
Decision 11/18	Medium-term programme of work of the Conference of the Parties for 1996-1997	349
Decision 11/19	Location of the Secretariat	351
Decision 11/20	Financing of and budget for the Convention	352
Decision 11/21	Venue and date of the third meeting of the Conference of the Parties	362
Decision 11/22	Convening of regional and subregional meetings for Parties to the Convention	363
Decision 11/23	Tribute to the Government and people of the Republic of Indonesia	363
<b>Third meeting of the Conference of the Parties</b>		<b>364</b>
Decision III/1	Pending issues arising from the work of the second meeting of the Conference of the Parties	364
Decision III/2	Report and recommendations of the second meeting of the Subsidiary Body on Scientific, Technical and Technological Advice	365
Decision 11/13	Use of languages in the meetings of the Subsidiary Body on Scientific, Technical and Technological Advice	365
Decision 11/14	Clearing-house mechanism to promote and facilitate technical and scientific cooperation	366
Decision III/5	Additional guidance to the financial mechanism	368
Decision III/6	Additional financial resources	370

Decision 111/7	Guidelines for the review of the effectiveness of the financial mechanism	371
Decision 111/8	Memorandum of understanding between the Conference of the Parties to the Convention on Biological Diversity and the Council of the Global Environment Facility	374
Decision III/9	Implementation of Articles 6 and 8 of the Convention	378
Decision III/10	Identification, monitoring and assessment	380
	Recommendation II/1 Assessment of biological diversity and methodologies for future assessments;	382
	Identification, monitoring and assessment of components of biological diversity and of processes that have adverse impacts;	382
	Review and promotion of indicators of biological diversity	382
	Recommendation II/2 Practical approaches for capacity-building for taxonomy	386
Decision III/1 1	Conservation and sustainable use of agricultural biological diversity	388
Decision III/1 2	Programme of work for terrestrial biological diversity: Forest biological diversity	398
Decision III/1 3	Future programme of work for terrestrial biological diversity: Dryland, mountain and inland water ecosystems	401
Decision III/14	Implementation of Article 8 (j)	402
Decision III/15	Access to genetic resources	405
Decision III/16	Ways to promote and facilitate access to and transfer and development of technology, as envisaged in Articles 16 and 8 of the Convention	407
	Recommendation 11/3 Ways and means to promote and facilitate access to, and transfer and development of technology, including biotechnology	407
Decision III/17	Intellectual property rights	408
Decision III/18	Incentive measures	410
	Recommendation 11/9 Economic valuation of biological diversity	412
Decision III/19	Special session of the General Assembly to review implementation of Agenda 21	413
Decision 111/20	Issues related to biosafety	418
	Recommendation II/5 Capacity-building for biosafety	419
Decision 111/21	Relationship of the Convention with the Commission on Sustainable Development and biodiversity-related conventions, other international agreements, institutions and processes of relevance	420
Decision 111/22	Medium-term programme of work for 1996-1997	422
Decision 111/23	Administrative matters	426
Decision 111/24	Budget of the Trust Fund for the Convention on Biological Diversity	426
Decision HI/25	Date and venue of the fourth meeting of the Conference of the Parties	437
Decision 111/26	Convening of regional and subregional meetings for Parties to the Convention	437
Decision 111/27	Tribute to the Government and people of the Argentine Republic	438

<b>Fourth meeting of the Conference of the Parties</b>	<b>439</b>	
Decision IV/1	Report and recommendations of the third meeting of the Subsidiary Body on Scientific, Technical and Technological Advice, and instructions by the Conference of the Parties to the Subsidiary Body on Scientific, Technical and Technological Advice	439
	Recommendation III/5 Current approaches to indicator development and recommendations for a preliminary core set of indicators of biological diversity, particularly those related to threats, and options for capacity-building in developing countries in the application of guidelines and indicators for subsequent national reports	445
Decision IV/2	Review of the operations of the clearing-house mechanism	448
Decision IV/3	Issues related to biosafety	451
Decision IV/4	Status and trends of the biological diversity of inland water ecosystems and options for conservation and sustainable use	452
Decision IV/5	Conservation and sustainable use of marine and coastal ecosystems, including a programme of work	464
Decision IV/6	Agricultural biological diversity	474
	Recommendation III/4 Review of ongoing activities on agricultural biological diversity	476
Decision IV/7	Forest biological diversity	478
Decision IV/8	Access and benefit-sharing	487
Decision IV/9	Implementation of Article 8 (j) and related provisions	489
Decision IV/10	Measures for implementing the Convention on Biological Diversity	493
Decision IV/11	Review of the effectiveness of the financial mechanism	498
Decision IV/12	Additional financial resources	500
Decision IV/13	Additional guidance to the financial mechanism	501
Decision IV/14	National reports by Parties	503
Decision IV/15	The relationship of the Convention on Biological Diversity with the Commission on Sustainable Development and biodiversity-related conventions, other international agreements, institutions and processes of relevance	504
Decision IV/16	Institutional matters and the programme of work	507
Decision IV/17	Programme budget for the biennium 1999-2000	510
	Administrative arrangements between the United Nations Environment Programme (UNEP) and the Secretariat of the Convention on Biological Diversity (CBD)	518
Decision IV/18	Date and venue of the fifth meeting of the Conference of the Parties	525
Decision IV/19	Tribute to the Government and people of the Slovak Republic	525
<b>First part of the first extraordinary meeting of the Conference of the Parties</b>	<b>527</b>	
Decision EM-1/1	Decision on the continuation of the first extraordinary meeting of the Conference of the Parties to the Convention on Biological Diversity	527
Decision EM-1/2	Tribute to the Government and people of Colombia	528

<b>Resumed session of the first extraordinary meeting of the Conference of the Parties</b>	<b>530</b>
Decision EM-I/3 Adoption of the Cartagena Protocol and interim arrangements	530
<b>Fifth meeting of the Conference of the Parties</b>	<b>534</b>
Decision V/1 Work plan of the Intergovernmental Committee for the Cartagena Protocol on Biosafety	534
Decision V/2 Progress report on the implementation of the programme of work on the biological diversity of inland water ecosystems	537
Decision V/3 Progress report on the implementation of the programme of work on marine and coastal biological diversity	539
Recommendation V/14, annex II Proposed terms of reference and duration of work for the ad hoc technical expert groups on marine and coastal protected areas, mariculture and forest biological diversity	545
Decision V/4 Progress report on the implementation of the programme of work for forest biological diversity	546
Decision V/5 Agricultural biological diversity: Review of phase I of the programme of work and adoption of a multi-year work programme	550
Decision V/6 Ecosystem approach	565
Decision V/7 Identification, monitoring and assessment, and indicators	571
Decision V/8 Alien species that threaten ecosystems, habitats or species	572
Decision V/9 Global Taxonomy Initiative: Implementation and further advance of the suggestions for action	580
Decision V/10 Global strategy for plant conservation	582
Decision V/11 Additional financial resources	583
Decision V/12 Second review of the financial mechanism	585
Decision V/13 Further guidance to the financial mechanism	587
Decision V/14 Scientific and technical cooperation and the clearing-house mechanism	589
Longer-term programme of work of the clearing-house mechanism	593
Decision V/15 Incentive measures	603
Decision V/16 Article 8 (j) and related provision <sup>^</sup>	604
Decision V/17 Education and public awareness	611
Decision V/18 Impact assessment, liability inri • .lie--	612
Decision V/19 National reporting	614
Decision V/20 Operations of the Conventi< >i	616
Decision V/21 Cooperation with other bodies	621
Decision V/22 Budget of the programme of work for the biennium 2001-2002	623
Decision V/23 Consideration of options for conservation and sustainable use of biological diversity in dryland, Mediterranean, arid, semi-arid, grassland and savannah ecosystems	632
Decision V/24 Sustainable use as a cross-cutting issue	641
Decision V/25 Biological diversity and tourism	643
Decision V/26 Access to genetic resources	653



Decision V/2 7	Contribution of the Convention on Biological Diversity to the ten-year review of progress achieved since the United Nations Conference on Environment and Development	660
Decision V/28	Tribute to the Government and people of Kenya	660
Decision V/29	Date and venue of the sixth meeting of the Conference of the Parties	661
<i>Index of key terms</i>		662
<i>Index of Articles, decisions and recommendations</i>		675