



## Convention on Biological Diversity

Distr.  
LIMITED

UNEP/CBD/NP/COP-MOP/1/L.10  
16 October 2014

ORIGINAL: ENGLISH

CONFERENCE OF THE PARTIES TO THE CONVENTION  
ON BIOLOGICAL DIVERSITY SERVING AS THE  
MEETING OF THE PARTIES TO THE NAGOYA  
PROTOCOL ON ACCESS TO GENETIC RESOURCES  
AND THE FAIR AND EQUITABLE SHARING OF THE  
BENEFITS ARISING FROM THEIR UTILIZATION

First meeting

Pyeongchang, Republic of Korea, 13–17 October 2014

Agenda item 9

### MONITORING AND REPORTING (ARTICLE 29)

#### *Draft decision submitted by the Chair of Working Group I*

*The Conference of the Parties serving as the meeting of the Parties to the Nagoya Protocol*

1. *Agrees* to the guidelines and format for submission of the interim national report on the implementation of the Nagoya Protocol as contained in annex to the present decision;
2. *Requests* the Executive Secretary to make the guidelines and the format for the interim national report available through the Access and Benefit-sharing Clearing-House, taking into account the need to avoid duplication in the submission of information already made available through the ABS Clearing-House, and to include the option of submitting information offline in the appropriate format;
3. *Invites* Parties and non-Parties to provide feedback to the guidelines and the format for submission of the interim national report, taking into account further experiences gained in the implementation of the Nagoya Protocol;
4. *Requests* Parties to submit an interim national report on the implementation of their obligations under the Nagoya Protocol, and *welcomes* submissions of relevant information by non-Parties:
  - (a) In an official language of the United Nations;
  - (b) Through the Access and Benefit-sharing Clearing-House;
  - (c) Twelve months prior to the third meeting of the Conference of the Parties serving as the meeting of the Parties to the Nagoya Protocol;
5. *Requests* the Executive Secretary to assist Parties for which online submission of the interim national report through the Access and Benefit-sharing Clearing-House is technically not feasible in submitting their reports offline and to make them available on the Access and Benefit-sharing Clearing-House;
6. *Requests* the Executive Secretary to consolidate information contained in the interim national reports of Parties received and information published in the Access and Benefit-sharing Clearing-House for the consideration of the third meeting of the Conference of the Parties serving as the meeting of

the Parties to the Nagoya Protocol, as a contribution to the assessment and review of the effectiveness of the Protocol by the Conference of the Parties serving as the meeting of the Parties to the Nagoya Protocol, pursuant to Article 31, as well as to make submissions by non-Parties available for the information of the third meeting of the Conference of the Parties serving as the meeting of the Parties to the Nagoya Protocol;

7. *Decides* to consider the intervals for reporting at its third meeting and to keep the format of the national report under review, based on feedback received from Parties and the experience gained;

8. *Requests* the Executive Secretary, and *invites* Parties, non-Parties, and relevant organizations to make use of and to also take into account the interim national reports when carrying out capacity-building and development activities to support the implementation of the Nagoya Protocol, and to support capacity-building and development activities for submitting the interim national report.

*Annex***GUIDELINES FOR THE INTERIM NATIONAL REPORT ON THE IMPLEMENTATION OF THE NAGOYA PROTOCOL**

The following format for the preparation of the interim national report on implementation of the Nagoya Protocol on Access and Benefit-sharing called for under Article 29 of the Protocol is a series of questions based on those provisions of the Protocol that establish obligations for the Parties to the Protocol. These questions are identified as mandatory and are marked with an asterisk.

In addition, some questions are not strictly based on the provisions of the Protocol and are identified as voluntary. They are included in the reporting format to contribute to the assessment and review of the effectiveness of the Protocol in the context of Article 31 and to identify challenges and difficulties in implementing the Protocol, and of decisions adopted by the Conference of the Parties serving as the meeting of the Parties to the Nagoya Protocol (COP-MOP).

The interim national report can be a useful tool for both Parties and non-Parties to assess the level of implementation of the Nagoya Protocol, as well as gaps and needs in terms of capacity, and will assist the COP-MOP in reviewing, on a regular basis, the implementation of the Nagoya Protocol and to make, within its mandate, the decisions necessary to promote its effective implementation in accordance with Article 26, paragraph 4.

Information submitted through the interim national report could also serve to share experiences, challenges and solutions among countries in relation to the implementation of the Nagoya Protocol. In this regard, the interim national report can be a valuable tool for building and developing capacity to implement the Protocol and for designing capacity-building activities more effectively. The format is intended to minimize the reporting burden on countries and therefore questions are simple in nature (usually yes or no questions). Generally, these questions are followed by text entries where countries are encouraged to provide details on the measures taken as well as to report on difficulties and challenges to implement particular provisions of the Protocol and to provide further information on the issue by linking to existing Access and Benefit-sharing Clearing-House (ABS Clearing-House) records, websites or uploading documents. This is an opportunity to identify good practices and constraints in implementation of the Nagoya Protocol.

In order to avoid duplication in the submission of information and to make the best use of the information already made available through the ABS Clearing-House, countries would be given the possibility of linking existing national and reference ABS Clearing-House records published by the publishing authority to the different sections of the interim national report if they wish to do so, or else the Secretariat when consolidating information for consideration of the COP-MOP, in addition to the information contained in the interim national report will also include relevant information already published in the ABS Clearing-House.

Although there is no set limit on length of text, in order to assist with the review and synthesis of the information in the reports, respondents are invited to ensure that answers are as relevant and as succinct as possible.

Countries are invited to submit any other information in the section provided at the end of the reporting format. The Executive Secretary welcomes any comments on the adequacy of the questions and difficulties in completing the questions, and any further recommendations on how these reporting guidelines could be improved.

It is recommended that Parties involve all relevant stakeholders in the preparation of the report in order to ensure a participatory and transparent approach to its development.

Countries should use the online version of the format, unless technically not feasible, and to submit the report through the ABS Clearing-House while ensuring that the national information on the ABS Clearing-House is up-to-date.

Only if not technically feasible, Parties should resort to offline submissions to the ABS Clearing-House. Offline submissions should use the protected form, as provided for download on the ABS Clearing-House

in MS Word format. It is recommended that countries send the report via email to the Secretariat ([secretariat@cbd.int](mailto:secretariat@cbd.int)), and include a scanned copy of the last page signed by the ABS Clearing-House publishing authority. Subsequently, the Executive Secretary will assist Parties in making their report available on the ABS Clearing-House.

## Annex I

## Interim national report on the implementation of the Nagoya Protocol

| Country             |   |
|---------------------|---|
| 1. *Country:        | <Country name>  |
| General information |   |
| 2. *Contact person: | <p>&lt;clearing-house record number&gt;</p> <p>Please enter the CBD clearing-house record number containing this information or, if not registered, attach a "Contact details" common format.<sup>1</sup></p> |

| Institutional structures for the implementation of the Protocol  |   |
|--|---|
| 3. *Has your country made the information available to the ABS Clearing-House as provided in Article 14.2? | <p><input type="checkbox"/> Yes</p> <p>↳ If selected, please only fill in the respective summary of the main difficulties and challenges for questions 4 to 7.</p> <p>OR</p> <p><input type="checkbox"/> No</p> <p>↳ Please provide a summary of the main difficulties and challenges encountered and answer all the following questions.</p> <p>&lt;Text entry&gt;</p> <p>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</p> |
| 4. * Has your country taken legislative, administrative and policy measures on ABS?                        | <p><input type="checkbox"/> Yes</p> <p>↳ If selected, please provide further information.</p> <p>&lt;Text entry&gt;</p> <p>OR</p> <p><input type="checkbox"/> No</p> <p>↳ Please provide a summary of the main difficulties and challenges encountered in setting up these measures.</p>  |

<sup>1</sup> All ABS Clearing-House common formats are available at <http://absch.cbd.int>.

|  |  |
|--|--|
| <p>5. *Has your country designated a national focal point as provided in Article 13?</p>   | <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p><i>Please provide a summary of the main difficulties and challenges encountered for designating a national focal point.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Use the text entry to provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p>  |
| <p>6. *Has your country designated one or more competent national authorities as provided in Article 13?</p>   | <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p><i>Please provide a summary of the main difficulties and challenges encountered for designating one or more competent national authority.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Use the text entry to provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p>  |
| <p>7. *Has your country made available to the ABS Clearing-House permits or their equivalent issued at the time of access as evidence of the decision to grant prior informed consent (PIC) and of the establishment of mutually agreed terms (MAT)?</p> | <p><input type="checkbox"/> Not applicable, since no access requirements are in place<br/>OR<br/><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p><i>Please provide a summary of the main difficulties and challenges encountered for making this information available.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Use the text entry to provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p> |
| <p>8. Does your country make available to the ABS Clearing-House permits or their equivalent for the constitution of an internationally recognized certificate of compliance in accordance with Article 17.2?</p>  | <p><input type="checkbox"/> Not applicable, since no access requirement are in place<br/>OR<br/><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p><i>Use the text entry to provide further information.</i></p> <p>&lt;Text entry&gt;</p>   |

|  |   |
|--|---|
|  | <i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i>   |
| 9. *Has your country designated one or more checkpoints as provided in Article 17? | <input type="checkbox"/> Yes OR <input type="checkbox"/> No<br><br><i>Please provide a summary of the main difficulties and challenges encountered for designating one or more checkpoints:</i><br><Text entry><br><br><i>Use the text entry to provide further information.</i><br><Text entry><br><br><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i> |
| 10. Additional information:  | <i>Please provide a summary of the main difficulties and challenges</i><br><Text entry><br><br><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i><br><br><i>and/or &lt;URL and website name&gt;</i><br><br><i>and/or &lt;Attachment&gt;</i>  |

### Legislative, administrative or policy measures on access and benefit-sharing (ABS measures)

#### Access to genetic resources (Article 6)

|   |  |
|---|--|
| 11. * Is access to genetic resources subject to PIC as provided in Article 6.1?   | <input type="checkbox"/> Yes<br><br><i>↳If selected, please fill sections 11 to 17 below.</i><br><br>OR<br><br><input type="checkbox"/> No<br><br><i>↳If selected, please provide further information including indicating if there is any other system in place in relation to access to genetic resources.</i><br><br><Text entry><br><br><i>Use the text entry to provide further information.</i><br><Text entry><br><br><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i> |
| 12. * Does your country have fair and non-arbitrary rules and procedures on accessing genetic resources as provided in Article 6.3 (b)? | <input type="checkbox"/> Yes OR <input type="checkbox"/> No<br><br><i>Use the text entry to provide further information.</i><br><Text entry>   |

|   |   |
|---|---|
|   | <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p>  |
| <p>13. * Does your country provide information on how to apply for PIC as provided in Article 6.3(c)?</p>   | <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p><i>Use the text entry to provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p>  |
| <p>14. *Does your country provide for a clear and transparent written decision by a competent national authority as provided in Article 6.3 (d)?</p>                            | <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p><i>Use the text entry to provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p>  |
| <p>15. *Does your country provide for the issuance at the time of access of a permit or its equivalent as provided in Article 6.3 (e)?</p>                                      | <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p><i>Use the text entry to provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p>  |
| <p>16. Please provide the number of permits or their equivalents made available through the ABS-Clearing-House since the entry into force of the Protocol for your country.</p> | <p>&lt;number value&gt;</p> <p><i>Use the text entry to provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p>   |
| <p>17. *Does your country have rules and procedures for requiring and establishing MAT as provided in Article 6.3 (g)?</p>  | <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p><i>Use the text entry to provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p>  |
| <p>18. Benefits received since entry into force of the Protocol for your country from the utilization of:</p>   | <p><input type="checkbox"/> Genetic resources</p> <p style="padding-left: 40px;"><input type="checkbox"/> Monetary benefits: &lt;Text entry&gt;</p> <p style="padding-left: 40px;"><input type="checkbox"/> Non-monetary benefits: &lt;Text entry&gt;</p> <p><input type="checkbox"/> Traditional knowledge associated with genetic resources</p> <p style="padding-left: 40px;"><input type="checkbox"/> Monetary benefits: &lt;Text entry&gt;</p> <p style="padding-left: 40px;"><input type="checkbox"/> Non-monetary benefits: &lt;Text entry&gt;</p> |



|  |   |
|--|---|
|  | <p><i>Use the text entry to provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p>   |
| 19. Additional information:  | <p><i>Please provide a summary of the main difficulties and challenges</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p> <p><i>and/or &lt;URL and website name&gt;</i></p> <p><i>and/or &lt;Attachment&gt;</i></p> |
| <b>Fair and equitable benefit-sharing (Article 5)</b>  |   |
| 20. *Has your country taken legislative, administrative or policy measures to implement Article 5.1 that provides that benefits arising from the utilization of genetic resources as well as subsequent applications and commercialization are shared with the Party providing such resources that is the country of origin of such resources or a Party that has acquired the genetic resources in accordance with the Convention as provided in Article 5.3? | <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p><i>Use the text entry to provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p>                                      |
| 21. *Has your country taken legislative, administrative or policy measures with the aim of ensuring that the benefits from the utilization of genetic resources held by indigenous and local communities, in accordance with domestic legislation regarding the established rights of these indigenous and local communities over these genetic resources, are shared with the indigenous and local communities concerned as provided in Article 5.2?          | <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p><i>Use the text entry to provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p>                                      |
| 22. *Has your country taken legislative, administrative or policy measures in order that benefits arising from the utilization of traditional knowledge associated with genetic resources are shared with indigenous and local communities holding such knowledge as provided in Article 5.5?  | <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p><i>Use the text entry to provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p>                                      |
| 23. Additional information:  | <p><i>Please provide a summary of the main difficulties and challenges for putting measures in place: &lt;Text entry&gt;</i></p> <p><i>Please enter the clearing-house record number containing relevant</i></p>  |

|   |  |
|---|--|
|   | <p><i>information &lt;clearing-house record number&gt;</i><br/> <i>and/or &lt;URL and website name&gt;</i><br/> <i>and/or &lt;Attachment&gt;</i></p>   |
| <p><b>Compliance with domestic legislation or regulatory requirements on ABS (Article 15 and Article 16) and monitoring the utilization of genetic resources (Article 17)</b></p>   |  |
| <p>24. *Has your country taken appropriate, effective and proportionate legislative, administrative or policy measures to provide that genetic resources utilized within your jurisdiction have been accessed in accordance with PIC and that MAT have been established as required by the domestic ABS legislation or regulatory requirements of the other Party as provided in Article 15.1?</p>  | <p><input type="checkbox"/> Yes</p> <p>↳ <i>If selected, please indicate whether your country has taken measures to address situations of non-compliance with those measures as provided in Article 15.2?</i></p> <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p>↳ <i>Please provide further information on the measures taken, including when they entered into force.</i></p> <p>&lt;Text entry&gt;</p> <p>↳ <i>Please provide further information on cases of non-compliance</i></p> <p>&lt;Text entry&gt;</p> <p>↳ <i>Have there been specific cases in which your country cooperated with other Parties in cases of alleged violation of ABS measures as provided in Article 15.3?</i></p> <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p>↳ <i>Please provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p>OR</p> <p><input type="checkbox"/> No</p> <p><i>Use the text entry to provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p> |
| <p>25. *Has your country taken appropriate, effective and proportionate legislative, administrative or policy measures to provide that traditional knowledge associated with genetic resources utilized within your jurisdiction has been accessed in accordance with PIC or approval and involvement of indigenous and local communities and that MAT have been established as required by the domestic ABS legislation or regulatory requirements of the other Party where such indigenous and local communities are located as provided in Article 16.1?</p> | <p><input type="checkbox"/> Yes</p> <p>↳ <i>If selected, please indicate whether your country has taken measures to address situations of non-compliance with those measures as provided in Article 16.2?</i></p> <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p>↳ <i>Has your country cooperated in specific cases of alleged violation of ABS measures as provided in Article 16.3?</i></p> <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p><i>Please provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p>OR</p>  |

|   |   |
|---|---|
|   | <input type="checkbox"/> No<br><i>Use the text entry to provide further information.</i><br><Text entry><br><br><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i>   |
| 26. *Does your country require users of genetic resources to provide information related to PIC, to the source of the genetic resource, to the establishment of MAT and/or utilization of genetic resources at a designated checkpoint, as appropriate, as provided in Article 17.1 (a) (i) and (ii)? | <input type="checkbox"/> Yes<br><i>↳Please provide further information.</i><br><Text entry><br><i>↳If selected, has your country taken measures to address situations of non-compliance?</i><br><input type="checkbox"/> Yes<br><i>↳Please provide further information.</i><br><Text entry><br>OR<br><input type="checkbox"/> No<br><br>OR<br><input type="checkbox"/> No<br><i>Use the text entry to provide further information.</i><br><Text entry><br><br><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i> |
| 27. *Has your country provided the information referred to in Article 17.1 (a)(i) to relevant national authorities, to the Party providing PIC and to the ABS Clearing-House as provided in Article 17.1 (a)(iii)?  | <input type="checkbox"/> Yes<br><i>↳If selected, has your country made use of the checkpoint communique?</i><br><input type="checkbox"/> Yes OR <input type="checkbox"/> No OR <input type="checkbox"/> Other<br><i>↳Please provide further information.</i><br><Text entry><br><br><i>Please provide a summary of the main difficulties and challenges:</i><br><Text entry><br><br><i>Number of checkpoint communiqués available in the ABS Clearing-House, if applicable &lt;number value&gt;</i><br><i>and/or &lt;URL and website name&gt;</i><br><i>and/or &lt;Attachment&gt;</i>   |
| 28. *Has your country taken measures to encourage users and providers to include provisions in MAT to share information on the implementation of such terms as provided in Article 17.1(b)?   | <input type="checkbox"/> Yes OR <input type="checkbox"/> No<br><i>Use the text entry to provide further information.</i><br><Text entry><br><br><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i>   |

|  |   |
|--|---|
|  | <i>information</i> <clearing-house record number>   |
| 29. *Is your country encouraging the use of cost-effective communication tools and systems as provided in Article 17.1 (c)?  | <input type="checkbox"/> Yes<br><i>↳Please provide further information on how your country is encouraging the use of cost-effective communication tools and systems.</i><br><Text entry><br><br>OR<br><input type="checkbox"/> No<br><i>Use the text entry to provide further information.</i><br><Text entry><br><br><i>Please enter the clearing-house record number containing relevant information</i> <clearing-house record number> |
| 30. Additional information:  | <i>Please provide a summary of the main difficulties and challenges for putting measures in place:</i> <Text entry><br><br><i>Please enter the clearing-house record number containing relevant information</i> <clearing-house record number><br><br><i>and/or</i> <URL and website name><br><br><i>and/or</i> <Attachment>  |
| <b>Compliance with mutually agreed terms (Article 18)</b>  |   |
| 31. *Is your country encouraging the inclusion of provisions in MAT to cover dispute resolution as provided in Article 18.1 (a) (b) and (c)?                             | <input type="checkbox"/> Not applicable since no access requirement<br>OR<br><input type="checkbox"/> Yes OR <input type="checkbox"/> No<br><i>Use the text entry to provide further information.</i><br><Text entry><br><br><i>Please enter the clearing-house record number containing relevant information</i> <clearing-house record number>  |
| 32. *Does your country ensure that opportunity to seek recourse is available under your legal systems in cases of disputes arising from MAT as provided in Article 18.2? | <input type="checkbox"/> Yes OR <input type="checkbox"/> No<br><i>Use the text entry to provide further information.</i><br><Text entry><br><br><i>Please enter the clearing-house record number containing relevant information</i> <clearing-house record number>   |
| 33. *Has your country taken measures regarding the following points as provided in Article 18.3?   | Access to justice?<br><input type="checkbox"/> Yes OR <input type="checkbox"/> No<br><i>↳Please provide further information.</i><br><Text entry><br><br>AND   |

|                             |  |
|-----------------------------|--|
|                             | <p>Utilization of mechanisms regarding mutual recognition and enforcement of foreign judgements and arbitral awards?</p> <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p>↳ <i>Please provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p> |
| 34. Additional information: | <p><i>Please provide a summary of the main difficulties and challenges.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p> <p>and/or &lt;URL and website name&gt;</p> <p>and/or &lt;Attachment&gt;</p>   |

| <b>Special considerations (Article 8)</b>  |  |
|--|--|
| 35. *In the development and implementation of ABS legislation or regulatory requirements has your country: | <p>Created conditions to promote and encourage research which contributes to the conservation and sustainable use of biodiversity including through simplified measures on access for non-commercial research purposes, taking into account the need to address a change of intent for such research as provided in Article 8(a)?</p> <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p>↳ <i>Please provide further information</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p> <p>Paid due regard to cases of present or imminent emergencies that threaten or damage human, animal or plant health as provided in Article 8(b)?</p> <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p>↳ <i>Please provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p> <p>Taken into consideration the need for expeditious access to genetic resources and expeditious fair and equitable sharing of benefits arising out of the use of such genetic resources, including access to affordable treatments by those in need, especially, in developing countries as provided in Article 8(b)?</p> <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p>↳ <i>Please provide further information</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing</i></p> |

|                                    |   |
|------------------------------------|---|
|                                    | <p><i>relevant information</i> &lt;clearing-house record number&gt;</p> <p>Considered the importance of genetic resources for food and agriculture and their special role for food security as provided in Article 8 (c)?</p> <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p>↳ <i>Please provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information</i> &lt;clearing-house record number&gt;</p> |
| <p>36. Additional information:</p> | <p><i>Please provide a summary of the main difficulties and challenges for putting measures in place.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information</i> &lt;clearing-house record number&gt;</p> <p><i>and/or</i> &lt;URL and website name&gt;</p> <p><i>and/or</i> &lt;Attachment&gt;</p>  |

| <p><b>Provisions related to indigenous and local communities (Articles 6, 7 and 12)</b></p> |   |
|---|---|
| <p>37. *Does your country have indigenous and local communities?</p>                        | <p><input type="checkbox"/> Yes</p> <p>↳ <i>If selected, please proceed with the following questions in this section.</i></p> <p>OR</p> <p><input type="checkbox"/> No</p> <p>↳ <i>If selected, please skip this section.</i></p> <p><i>Use the text entry to provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information</i> &lt;clearing-house record number&gt;</p> |

|  |  |
|--|--|
| <p>38. *Do indigenous and local communities have the established right to grant access to genetic resources according to your domestic law? (Article 6.2)</p>  | <p><input type="checkbox"/> No<br/>OR<br/><input type="checkbox"/> Yes</p> <p><i>↳Please provide further information and reference to the domestic law establishing rights of indigenous and local communities to grant access to genetic resources.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p> <p><i>↳Does your country have measures in place with the aim of ensuring that the prior informed consent or approval and involvement of indigenous and local communities is obtained as provided in Article 6.2?</i></p> <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p><i>↳Please provide further information: &lt;Text entry&gt;</i></p> <p><i>↳Has your country set out criteria and/or process for obtaining prior informed consent or approval and involvement of indigenous and local communities for access to genetic resources in Article 6.3(f)?</i></p> <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p><i>↳Please provide further information: &lt;Text entry&gt;</i></p> <p><i>Use the text entry to provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p> |
| <p>39. *In accordance with domestic law has your country taken measures with the aim of ensuring that traditional knowledge associated with genetic resources that is held by indigenous and local communities within your country is accessed with the PIC or approval and involvement of these indigenous and local communities and that MAT have been established as provided in Article 7?</p> | <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p><i>Use the text entry to provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p>   |
| <p>40. *In implementing the Protocol and in accordance with your domestic law, is your country taking into consideration indigenous and local communities' customary laws, community protocols and procedures with respect to traditional knowledge associated with genetic resources as provided in Article 12.1?</p>   | <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p><i>Use the text entry to provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p>   |

|  |   |
|--|---|
| <p>41. *Has your country established mechanisms to inform potential users of traditional knowledge associated with genetic resources about their obligations as provided in Article 12.2?</p>                                    | <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p><i>Use the text entry to provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p>  |
| <p>42. *Is your country supporting the development by indigenous and local communities of the following tools as provided in Article 12.3?</p>   | <p><input type="checkbox"/> Community protocols</p> <p>    ↳ <i>Please provide further information on how your country is supporting the development of community protocols.</i></p> <p>    &lt;Text entry&gt;</p> <p>    <i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p> <p>AND</p> <p><input type="checkbox"/> Minimum requirements for mutually agreed terms</p> <p>    ↳ <i>Please provide further information on how your country is supporting the development of minimum requirements mutually agreed terms.</i></p> <p>    &lt;Text entry&gt;</p> <p>    <i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p> <p>AND</p> <p><input type="checkbox"/> Model contractual clauses</p> <p>    ↳ <i>Please provide further information on how your country is supporting the development of model contractual clauses.</i></p> <p>    &lt;Text entry&gt;</p> <p>    <i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p> |
| <p>43. *Has your country endeavoured not to restrict the customary use and exchange of genetic resources and associated traditional knowledge within and among indigenous and local communities as provided in Article 12.4?</p> | <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p><i>Use the text entry to provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p>  |
| <p>44. Additional information:</p>   | <p><i>Please provide a summary of the main difficulties and challenges for putting measures in place in relation to traditional knowledge associated with genetic resources: &lt;Text entry&gt;</i></p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p> <p><i>and/or &lt;URL and website name&gt;</i></p> <p><i>and/or &lt;Attachment&gt;</i></p>  |



| <b>Contribution to conservation and sustainable use (Article 9)</b>  |   |
|--|---|
| 45. *Is your country encouraging users and providers to direct benefits arising from the utilization of genetic resources towards the conservation of biological diversity and sustainable use of its components as provided in Article 9? | <input type="checkbox"/> Yes OR <input type="checkbox"/> No<br><i>Use the text entry to provide further information.</i><br><Text entry><br><br><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i>   |
| 46. Please indicate how the implementation of the Nagoya Protocol has contributed to conservation and sustainable use of biodiversity in your country:   | <Text entry><br><br><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i>   |
| 47. Additional information:  | <i>Please provide a summary of the main difficulties and challenges:</i><br><Text entry><br><br><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i><br><br><i>and/or &lt;URL and website name&gt;</i><br><br><i>and/or &lt;Attachment&gt;</i> |

| <b>Transboundary cooperation (Article 11)</b>   |   |
|---|---|
| 48. * Is your country endeavouring to cooperate, with the involvement of indigenous and local communities concerned, with a view to implementing the Protocol in instances where the same genetic resources are found <i>in situ</i> within the territory of more than one Party as provided in Article 11.1? | <input type="checkbox"/> Yes OR <input type="checkbox"/> No<br><br>If your country has indigenous and local communities, please provide further detail their involvement.<br><Text entry><br><br><i>Use the text entry to provide further information.</i><br><Text entry><br><br><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i> |

|   |  |
|---|--|
| <p>49. * Is your country endeavouring to cooperate with a view to implementing the Protocol in instances where the same traditional knowledge associated with genetic resources is shared by one or more indigenous and local communities in several Parties as provided in Article 11.2?</p> | <p><input type="checkbox"/> Not applicable, since there are no indigenous and local communities in my country</p> <p>OR</p> <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p><i>Use the text entry to provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p> |
| <p>50. Additional information:</p>  | <p><i>Please provide a summary of the main difficulties and challenges:</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p> <p><i>and/or &lt;URL and website name&gt;</i></p> <p><i>and/or &lt;Attachment&gt;</i></p>   |

**Model contractual clauses, codes of conduct, guidelines and best practices and/or standards (Article 19 and 20)**

|  |   |
|--|---|
| <p>51. *Is your country encouraging the development, update and use of model contractual clauses for MAT as provided in Article 19?</p>                            | <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p><i>Use the text entry to provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p>  |
| <p>52. *Is your country encouraging the development, update and use of codes of conduct, guidelines and best practices or standards as provided in Article 20?</p> | <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p><i>Use the text entry to provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p>  |
| <p>53. Additional information:</p>   | <p><i>Please provide a summary of the main difficulties and challenges:</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information: &lt;clearing-house record number&gt;</i></p> <p><i>and/or &lt;URL and website name&gt;</i></p> <p><i>and/or &lt;Attachment&gt;</i></p> |

**Awareness-raising and capacity (Article 21 and 22)**

54. \*Has your country taken measures to raise awareness of the importance of genetic resources and traditional knowledge associated with genetic resources and related access and benefit-sharing issues as provided in Article 21?

Yes

*↳If selected, has your country taken measures to implement the awareness-raising strategy for the Nagoya Protocol on ABS?<sup>2</sup>*

Yes

*↳Please provide a summary of the measures taken.*

<Text entry>

*↳Please enter the clearing-house record number containing relevant information: <clearing-house record number>*

OR

No

OR

No

*Use the text entry to provide further information.*

<Text entry>

*Please enter the clearing-house record number containing relevant information <clearing-house record number>*

<sup>2</sup> The awareness-raising strategy was recommended for adoption by the first COP-MOP by the Intergovernmental Committee in recommendation 2/6.

|  |  |
|--|--|
| <p>55. *Has your country taken measures to build and develop capacity and strengthening of human resources and institutional capacities to effectively implement the Protocol as provided in Article 22?</p> | <p><input type="checkbox"/> Yes</p> <p>↳ <i>If selected, has your country taken measures to implement the strategic framework for capacity-building and development to support effective implementation of the Nagoya Protocol on ABS?</i><sup>3</sup></p> <p><input type="checkbox"/> Yes</p> <p>↳ <i>Please provide a summary of the measures taken.</i></p> <p>&lt;Text entry&gt;</p> <p>↳ <i>Please enter the clearing-house record number containing relevant information: &lt;clearing-house record number&gt;</i></p> <p>OR</p> <p><input type="checkbox"/> No</p> <p>OR</p> <p><input type="checkbox"/> No</p> <p><i>Use the text entry to provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i></p> |
| <p>56. Has your country received external support for building and developing capacity for the implementation of the Nagoya Protocol?<sup>4</sup></p>  | <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p><i>Use the text entry to provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information: &lt;clearing-house record number&gt;</i></p>  |
| <p>57. Has your country provided external support for building and developing capacity for the implementation of the Nagoya Protocol?<sup>5</sup></p>  | <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p><i>Use the text entry to provide further information.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information: &lt;clearing-house record number&gt;</i></p>  |
| <p>58. Additional information:</p>   | <p><i>Please provide a summary of the main difficulties and challenges.</i></p> <p>&lt;Text entry&gt;</p> <p><i>Please enter the clearing-house record number containing relevant information: &lt;clearing-house record number&gt;</i></p> <p>and/or &lt;URL and website name&gt;</p>   |

<sup>3</sup> The strategic framework for capacity-building and development to support effective implementation of the Nagoya Protocol on ABS was recommended for adoption by the first COP-MOP by the Intergovernmental Committee in recommendation 3/5.

<sup>4</sup> The collection of this information could be useful for the evaluation of the effectiveness of the Nagoya Protocol under Article 31 on assessment and review, as well as for measuring progress and identifying difficulties and challenges in implementing the Protocol.

<sup>5</sup> The collection of this information could be useful for the evaluation of the effectiveness of the Nagoya Protocol under Article 31 on assessment and review, as well as for measuring progress and identifying difficulties and challenges in implementing the Protocol.

|  |                     |
|--|---------------------|
|  | and/or <Attachment> |
|--|---------------------|

| Technology transfer, collaboration and cooperation (Article 23)   |  |
|---|--|
| 59. *Is your country collaborating and cooperating in technical and scientific research and development programmes as a means to achieve the objective of the Protocol as provided in Article 23? | <input type="checkbox"/> Yes<br><i>↳Please provide a summary of the measures taken.</i><br><Text entry><br>OR<br><input type="checkbox"/> No<br><i>Use the text entry to provide further information.</i><br><Text entry><br><br><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i> |

| Optional additional information   |  |
|---|--|
| 60. Please provide a summary of the main difficulties and challenges encountered for becoming a Party to the Nagoya Protocol.   | <Text entry><br><br><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i>  |
| 61. Has your country established a mechanism for budgetary allocations of funds for the implementation of the Nagoya Protocol?  | <input type="checkbox"/> Yes<br><i>↳Please provide further information.</i><br><Text entry><br>OR<br><input type="checkbox"/> No<br><i>↳Please provide a summary of the main difficulties and challenges encountered.</i><br><Text entry><br><i>Use the text entry to provide further information.</i><br><Text entry><br><br><i>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</i>                |
| 62. Has your country made financial resources available to other Parties or received financial resources from other Parties or financial institutions for the purposes of implementation of the Protocol as provided in Article 25? | <input type="checkbox"/> Yes, financial resources have been made available<br><i>↳Please provide further information: &lt;Text entry&gt;</i><br>OR<br><input type="checkbox"/> Yes, financial resources have been received<br><input type="checkbox"/> From other Parties<br><i>↳Please provide further information: &lt;Text entry&gt;</i><br><input type="checkbox"/> From financial institutions<br><input type="checkbox"/> From the Global Environmental Facility |

|   |   |
|---|---|
|   | <p><input type="checkbox"/> From the Nagoya Protocol Implementation Fund</p> <p><input type="checkbox"/> From other sources</p> <p>↳ Please provide further information: &lt;Text entry&gt;</p> <p>OR</p> <p><input type="checkbox"/> No</p> <p>Use the text entry to provide further information.</p> <p>&lt;Text entry&gt;</p> <p>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</p>  |
| <p>63. Does your country have specific staff to administer functions directly related to the implementation of the Nagoya Protocol?<sup>6</sup></p> | <p><input type="checkbox"/> Yes</p> <p>If selected, please indicate how many:</p> <p><input type="checkbox"/> One</p> <p><input type="checkbox"/> Less than 5</p> <p><input type="checkbox"/> Less than 10</p> <p><input type="checkbox"/> 10 or more</p> <p>OR</p> <p><input type="checkbox"/> No</p> <p>Please provide a summary of the main difficulties and challenges encountered.</p> <p>&lt;Text entry&gt;</p> <p>Use the text entry to provide further information.</p> <p>&lt;Text entry&gt;</p> <p>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</p> |
| <p>64. Any other relevant information:<sup>7</sup></p>  | <p>&lt;Text entry&gt;</p> <p>Please enter the clearing-house record number containing relevant information &lt;clearing-house record number&gt;</p> <p>and/or &lt;URL and website name&gt;</p> <p>and/or &lt;Attachment&gt;</p>   |
| <p>65. Notes:<sup>8</sup></p>   | <p>&lt;Text entry&gt;</p>   |

**Comments in the reporting format**

<sup>6</sup> The collection of this information could be useful for the evaluation of the effectiveness of the Protocol under Article 31 on assessment and review as well as for measuring progress and identifying difficulties and challenges in implementing the Protocol.

<sup>7</sup> Please use this field to provide any other relevant information that may not have been addressed elsewhere in the report.

<sup>8</sup> The field “Notes” is for personal reference and can be seen only when the record is being edited.

|   |              |
|---|--------------|
| 66. Please provide any comment that you may have regarding the format of this report: | <Text entry> |
|---|--------------|

| <b>Record Validation</b> ( <i>offline submission only</i> )  |                |
|--|----------------|
| *Country:  | <Country name> |
| *Name of the ABS-CH clearing authority:  | <Text entry>   |
| *Date:   | <YYYY-MM-DD>   |
| <i>I hereby confirm that the above information is correct and agree to its inclusion in the ABS Clearing-House.</i>  |                |
| *Signature of the ABS-CH clearing authority:   |                |
| <p><b>Submission addresses:</b></p> <p>This form should be should be completed and sent <b><i>by email</i></b> to <a href="mailto:secretariat@cbd.int">secretariat@cbd.int</a></p> <p><i>or alternatively by</i></p> <ul style="list-style-type: none"> <li>• Fax at +1 514 288-6588; or</li> <li>• Postal mail to:</li> </ul> <p><b>Secretariat of the Convention on Biological Diversity<br/>413 rue Saint-Jacques, suite 800<br/>Montreal, Québec, H2Y 1N9<br/>Canada</b></p> |                |