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PROGRESS REPORT ON THE NAGOYA PROTOCOL ON ACCESS TO GENETIC RESOURCES AND THE FAIR AND EQUITABLE SHARING OF BENEFITS ARISING FROM THEIR UTILIZATION AND RELATED DEVELOPMENTS

Note by the Executive Secretary

I. BACKGROUND

1. In paragraph 1 of decision X/1, the Conference of the Parties (COP) at its tenth meeting adopted the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization to the Convention on Biological Diversity.
2. In paragraph 8 of decision X/1, the Conference of the Parties decided to establish an Open-ended Ad Hoc Intergovernmental Committee for the Nagoya Protocol (the Intergovernmental Committee) with a view to undertaking the preparations necessary for the first meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol (COP-MOP), at which time it will cease to exist. In paragraph 12, the Conference of the Parties endorsed a work plan for the Intergovernmental Committee, as contained in annex II to decision X/1.
3. The first meeting of the Intergovernmental Committee was held in Montreal, Canada, from 6 to 10 June 2011 and the second meeting in New Delhi, India from 2 to 6 July 2012. The recommendations of the first and second meetings of the Intergovernmental Committee are available in the meeting reports (UNEP/CBD/COP/11/5 and 6).
4. At its second meeting, the Intergovernmental Committee recommended draft decisions with respect to a number of issues contained in its work plan for the consideration of the Conference of the Parties to the Convention at its eleventh meeting. These draft decisions are available in document UNEP/CBD/COP/11/1/Add.2.

* UNEP/CBD/COP/11/1.

5. The present note was prepared by the Executive Secretary to assist the Conference of the Parties in its consideration of item 2 of its agenda. Section II provides a report on progress towards the early entry into force of the Nagoya Protocol; section III provides a synthesis of information provided by Parties on additional issues that may need to be addressed in preparation for the first meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol; and section IV contains a report on progress in the implementation of the pilot phase of the Access and Benefit-sharing Clearing-House.

6. In addition, for the information of the eleventh meeting of the Conference of the Parties, the Executive Secretary prepared an overview of the status of issues for consideration of the Intergovernmental Committee, as set out in its work plan in annex II of decision X/1, in the annex of document UNEP/CBD/COP/11/INF/24. In addition, the Executive Secretary has prepared a compilation of information submitted by Parties on steps taken towards ratification and implementation of the Protocol in document UNEP/CBD/COP/11/INF/23.

II. REPORT ON PROGRESS TOWARDS THE EARLY ENTRY INTO FORCE OF THE NAGOYA PROTOCOL

7. Article 33 of the Protocol provides that the Protocol will enter into force on the ninetieth day after the date of deposit of the fiftieth instrument of ratification, acceptance, approval or accession by States or regional economic integration organizations that are Parties to the Convention. As of 6 September 2012, the following five countries had ratified the Nagoya Protocol: Gabon, Jordan, Mexico, Rwanda and Seychelles.

8. In accordance with its Article 32, the Protocol was opened for signature from 2 February 2011 to 1 February 2012 at the United Nations Headquarters in New York by Parties to the Convention. A total of 92 countries have signed the Nagoya Protocol.¹

9. The following section reports on progress made towards the early entry into force of the Protocol. Sub-section A presents a synthesis of information provided by Parties with respect to steps taken towards ratification and implementation of the Protocol. Sub-section B provides a summary of outcomes and activities carried out under the Global Environment Facility (GEF) Medium-sized project on capacity-building for the early entry into force of the Protocol.

A. *Synthesis of the information submitted on steps taken towards ratification and implementation of the Protocol*

10. At its second meeting, the Intergovernmental Committee, in recommendation 2/8, paragraph 1, invited Parties to submit information to the Executive Secretary with respect to the steps taken towards ratification and implementation of the Nagoya Protocol. In paragraph 2 of the same recommendation, the Executive Secretary was requested to compile this information and to make it available to the eleventh meeting of the Conference of the Parties.

11. In accordance with recommendation 2/8, the Executive Secretary invited Parties, through notifications 2012-106 and 2012-118 (Reminder) of 11 July 2012 and 23 August 2012, respectively, to submit information on this topic no later than 1 September 2012, as detailed above, to the Secretariat.

12. As of 4 September 2012, the Executive Secretary had received submissions in response to this invitation from Bangladesh, Brazil, Colombia, Costa Rica, Comoros, Ethiopia, Guinea Bissau, Honduras, Japan, Morocco, Mozambique, Nigeria, Switzerland, Tanzania and Thailand. All submissions are available on the following webpage: <http://www.cbd.int/cop11/abs/submission/>. In addition, document UNEP/CBD/COP/11/INF/24 provides a compilation of the information received by the Executive Secretary. The following paragraphs present key conclusions based on the information provided by Parties.

¹ See list of signatures and ratifications at: <https://www.cbd.int/abs/nagoya-protocol/signatories/>

Information received on national processes undertaken to ratify and implement the Nagoya Protocol

13. Several Parties submitted information related to the procedures and processes being undertaken at the national level towards the ratification of the Protocol. Although Parties appear to be at different stages in their national ratification processes, the submissions clearly demonstrate their commitment towards ratification and the timely entry into force of the Protocol.

14. At least eight Parties² have reported having sent a request to their respective authority(ies) for the approval of the relevant instrument of ratification or are in the process of preparing such a request. Brazil reported that the Protocol was sent to the National Congress in June 2012, that the text had been distributed to the specific commissions within the Chambers of Deputies and will then be submitted to the Senate for its consideration. Comoros is planning to make a request for ratification at the next legislature of its National Assembly in October 2012. Costa Rica sent a draft bill for the approval of the Protocol to its National Assembly. Morocco reported that they were in the final stages of their ratification process with a view to publishing the Protocol in the official gazette. Mozambique indicated that their Parliament could be in a position to ratify the Protocol in 2013. Switzerland has elaborated a draft ratification message to Parliament and additional draft legal ABS-measures and reported that a decision by Parliament on whether to approve the Protocol and to adopt the new legal measures could be expected at the earliest in autumn 2013.

15. Ethiopia and Nigeria indicated that an instrument of ratification has been sent to their relevant representatives with a view to its official submission to the Depository for the Nagoya Protocol at the United Nations Treaty Section³ in New York.

16. At least six Parties³ submitted information related to the adoption and/or revision of national measures on access and benefit-sharing following the adoption of the Protocol. Some Parties, such as Bangladesh indicated that, they were in the process of adopting and/or revising legislation to implement the Protocol prior to submitting their relevant instrument of ratification, in accordance with their national ratification procedures.

17. Bangladesh and Switzerland reported having prepared draft legislation with a view to ratify and implement the Protocol. Ethiopia indicated having the necessary legislative and regulatory framework in place to implement the Protocol with the exception of small gaps in its access law⁴ that need to be filled in line with the Protocol.

18. Thailand has approved new regulations on ABS (i.e. access to biological resources and associated traditional knowledge) to be implemented among government agencies and organizations. The regulations shall be used as a framework to assist agencies in setting up their own specific criteria and regulations on ABS.

19. Eight Parties⁵ indicated that they are conducting consultations, meetings and/or establishing working groups and committees with relevant government agencies and stakeholders to take stock of domestic measures and/or institutional reform needed to implement the Protocol.

20. Thailand reported having entered into an agreement with universities to develop academic ABS regulations to promote and build awareness of the academic community on the importance of biodiversity and ABS issues.

21. Morocco indicated working on the development of studies to evaluate the state of knowledge on genetic resources in the country, and on the development of a roadmap for implementing the Protocol.

² Brazil, Comoros, Costa Rica, Ethiopia, Morocco, Nigeria, Switzerland and Tanzania.

³ Bangladesh, Brazil, Japan, Nigeria, Switzerland and Thailand.

⁴ The Proclamation on Access to Genetic Resources and Community Knowledge and Community Right (Proclamation No. 482/2006).

⁵ Bangladesh, Colombia, Costa Rica, Honduras, Japan, Mozambique, Switzerland and Tanzania.

22. Guinea-Bissau indicated that the Protocol had been translated in the national official language in order to allow its official approval for ratification.

23. Honduras submitted information with regards to a proposal to establish a new institution to support the ratification and implementation of the Protocol

Challenges identified with respect to ratifying the Protocol

24. Bangladesh, Colombia, Mozambique and Tanzania indicated that more financial and/or human resources were needed for them to ratify the Protocol. Notably, they stressed the need for resources to conduct broad consultations with stakeholders regarding the implementation of the Protocol. Colombia specifically highlighted the challenge of involving indigenous and local communities in the decision-making process.

25. Bangladesh indicated that it would not be in a position to ratify the Protocol before establishing the necessary legislative and institutional framework to address ABS. It further noted the need for specific legislation, regulations or policies to effectively implement the Protocol.

Information on ABS activities carried-out following the adoption of the Protocol

26. Ethiopia indicated having developed three ABS agreements with foreign companies in light of its legal provisions on ABS and Nigeria reported having received two applications for a Material Transfer Agreement/ABS permit.

27. Honduras, Morocco and Switzerland provided information with respect to ongoing capacity-building and awareness-raising activities on ABS. Notably, they reported having organized workshops and/or seminars to increase the level of awareness and capacity of relevant stakeholders on the Protocol and related ABS issues and Switzerland has updated its voluntary guidelines and best practice tools on ABS.

B. GEF Medium Sized Project on capacity-building for the early entry into force of the Nagoya Protocol on Access and Benefit-sharing

28. In paragraph 13 of decision X/1, the Executive Secretary was requested to provide technical assistance to Parties, subject to the availability of financial resources, to support the early ratification and implementation of the Nagoya Protocol on Access and Benefit-sharing.

29. In paragraph 14 of the same decision, the Conference of the Parties invited the GEF to provide financial support to Parties to assist with the early ratification of the Nagoya Protocol and its implementation.

30. Against this background, the Chief Executive Officer of the GEF provided one million US dollars in financial support for a Medium-sized Project implemented by the United Nations Environment Programme and executed by the Secretariat in order to support the early ratification and entry into force of the Nagoya Protocol. The Japan Fund is providing co-finance for the GEF project.

31. The objective of the project is to assist GEF-eligible CBD Parties to prepare for the ratification and the early entry into force of the Nagoya Protocol on ABS through targeted awareness-raising and capacity-building activities. The project has been fully operational since March 2011 and will run until the end of March 2013. The following paragraphs provide a summary of the main outcomes and activities carried out to date under the project.

Capacity-building workshops

32. Three capacity-building workshops have been co-organized with the Secretariat of the International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA) and have been held back to back with official meetings of the Convention on Biological Diversity (ICNP-1, Working Group on Article 8(j) and ICNP-2). These workshops each brought together over 100 participants, including national focal points and representatives from indigenous and local communities. The first and second capacity-building workshops were respectively aimed at identifying the needs and priorities of Parties and

indigenous and local communities for implementing the Nagoya Protocol. The third capacity-building workshop focused on facilitating discussions, exchange of views and experiences in view of identifying possible capacity-building strategies and options to address the identified needs and priorities for implementing the Nagoya Protocol.⁶

Briefings for Parliamentarians and decision-makers

33. Briefings on the Nagoya Protocol for national Parliamentarians and decision-makers were organized in the following regions: Africa, Asia, Caribbean, Latin America and the Pacific.

34. Furthermore, briefings on the Nagoya Protocol were delivered during events and meetings organized by various inter-parliamentary and regional bodies. The following provides the main outcomes of these briefings:

(a) The East African Legislative Assembly adopted a resolution on 27 May 2011 urging East African Community partner states to sign and ratify the Nagoya Protocol as a matter of urgency;

(b) The Pan African Parliament adopted a recommendation on 28 July 2011 calling upon the African States to ratify the Nagoya Protocol;

(c) The Asia Pacific Parliamentary Forum in their resolution on Environment and Climate Change at their 20th annual meeting resolved on 12 January 2012 to promote steady implementation of the outcomes of COP-10 and COP-MOP-5 including the Nagoya Protocol;

(d) The Caribbean Community Secretariat (CARICOM) Council for Economic Trade and Development issued a recommendation on 18 April 2012 encouraging the ratification of the Nagoya Protocol by CARICOM member states; and

(e) The Rio+20 Globe World Summit of Legislators adopted a Legislator's Protocol on 17 June 2012, which urged Governments to ratify the Nagoya Protocol.

Briefings during National Biodiversity Strategies and Action Plans Workshops (NBSAPs)

35. Briefings on the Nagoya Protocol have been included as a component in NBSAPs workshops carried out in the following regions: Southern Africa, West Africa, Central Africa, Eastern Africa, Pacific, Caribbean and Mesoamerica.

Awareness-raising material

36. As part of the project, the Secretariat developed and disseminated new awareness-raising materials and updated existing materials. The following provides a list of the materials produced:

(a) Document on the rationale for ratification;

(b) A factsheet on the Nagoya Protocol;

(c) A general factsheet on access and benefit-sharing;

(d) An access and benefit-sharing information kit (update); and

(e) PowerPoint presentations on the Nagoya Protocol.

37. Additional awareness-raising materials are being developed in the context of a partnership between the Secretariat and the United Nations Institute of Advanced Studies (UNU-IAS). These materials will include factsheets and policy briefs, which will provide an overview of the types of activities carried out in different sectors (i.e. pharmaceuticals, agriculture, industrial biotech, cosmetics, botanicals and food and beverage) and an analysis on the relevance/impact of the Nagoya Protocol for these sectors in light of recent trends and practices.

⁶ The outcomes of the three workshops were made available as documents UNEP/CBD/ICNP/1/INF/6, UNEP/CBD/ICNP/2/INF/1, and UNEP/CBD/ICNP/2/INF/9.

38. These materials will be designed to provide convincing arguments in support of the Nagoya Protocol for users of genetic resources operating in different sectors. They also aim to inform Governments of developments in the use of genetic resources by various sectors with a view to assist in the development of national measures for the implementation of the Protocol.

39. All awareness-raising materials can be found on the online portal for the Nagoya Protocol developed under the framework of the project.⁷

Partnerships

40. With a view to promoting the ratification and entry into force of the Nagoya Protocol, the following partnerships have been developed under the project:

(a) Partnership with GLOBE International to cooperate in the organization of a series of awareness-raising activities designed to engage GLOBE's extensive network of legislators around the world; and

(b) Partnership with the UNU-IAS to raise awareness among parliamentarians and other relevant decision-makers in the Asia, Pacific and Latin American regions.

41. The project also collaborates closely with the ABS Capacity Development Initiative by delivering presentations on the Nagoya Protocol during meetings organized by the ABS Initiative with a view to promoting the ratification of the Nagoya Protocol and jointly organizing back to back ABS workshops with NBSAP workshops in the African, Caribbean and Pacific regions.

III. ADDITIONAL ISSUES IDENTIFIED BY PARTIES THAT MAY NEED TO BE ADDRESSED IN PREPARATION FOR THE FIRST MEETING OF THE CONFERENCE OF THE PARTIES SERVING AS THE MEETING OF THE PARTIES TO THE PROTOCOL

42. The Intergovernmental Committee in recommendation 2/8, paragraph 4, invited Parties to submit information to the Executive Secretary on additional issues that may need to be addressed in preparation for the first meeting of the COP-MOP and requested the Executive Secretary to compile this information and make it available to the eleventh meeting of the Conference of the Parties.

43. In accordance with recommendation 2/8, the Executive Secretary invited Parties, through notifications 2012-106 and 2012-118 of 11 July 2012 and 23 August 2012, respectively, to submit information on this topic no later than the 1 September 2012, as detailed above, to the Secretariat.

44. As of 4 September, the Executive Secretary had received submissions on this issue from Bangladesh, Ethiopia, Guinea-Bissau and Switzerland. All submissions are available at: <http://www.cbd.int/cop11/abs/submission/>. The following paragraphs provide a synthesis of the information received by the Executive Secretary on this issue.

A. Additional issues identified

45. Bangladesh was of the view that in its consideration of the operational arrangements between the Convention and the GEF Council, COP-MOP should address the possibility of establishing and operationalizing a fast-track financial mechanism to accelerate the implementation of the Protocol with a view to assisting developing and least developed country Parties in fulfilling their commitments under the Nagoya Protocol.

46. Ethiopia was of the view that issues related to genetic resources accessed before the Convention on Biological Diversity should be considered as an agenda item for discussion.

⁷ See: <http://www.cbd.int/abs/awareness-raising/>

47. Based on a successful example of a traditional practice, Guinea-Bissau's submission seemed to suggest that COP-MOP could address how customary use of biodiversity could best support the implementation of the Protocol.

48. Finally, while Switzerland believes that the workplan set out in annex II to COP decision X/1 covers all issues that are relevant for the preparation of the first meeting of COP-MOP, it considers that there may be a need to address certain issues related to the ABS Clearing-House in more detail in preparation for the first meeting of COP-MOP. In particular, issues related to making a permit or its equivalent available to the ABS Clearing-House as well as internationally recognized certificates of compliance need to be further considered.⁸ Furthermore, additional issues as presented in paragraph 7 of the report of the Expert Meeting on the modalities of operation of the ABS Clearing-House (UNEP/CBD/ABS/EM-CH/1/4) could also be addressed when further considering the modalities of operation of the ABS Clearing-House.

IV. REPORT ON PROGRESS IN THE IMPLEMENTATION OF THE PILOT PHASE OF THE ACCESS AND BENEFIT-SHARING CLEARING-HOUSE

49. The Intergovernmental Committee, at its second meeting, considered the report on the progress made in the implementation of the pilot phase of the ABS Clearing-House, the suggested mechanisms and applications to be developed during the pilot phase (document UNEP/ICNP/2/8) and the draft modalities of operation of the ABS Clearing-House (document UNEP/ICNP/2/9).

50. The Intergovernmental Committee took note of the suggested mechanisms and applications put forward by the Executive Secretary, and in its recommendation 2/4, paragraph 5, requested the Executive Secretary to prepare a report on progress in the implementation of the pilot phase of the ABS Clearing-House, including an indicative work plan and timeline for activities to take place until the first COP-MOP, as well as an updated estimate of resource requirements for the consideration of Parties at the eleventh meeting of the Conference of the Parties.

51. Furthermore, the Intergovernmental Committee, in recommendation 2/4, paragraph 7 recommended that the Conference of the Parties, at its eleventh meeting, adopt a decision which includes the establishment of an informal advisory committee (IAC) to provide technical guidance to the Executive Secretary for the implementation of the ABS Clearing-House and that the IAC would hold one meeting. It is also requested that the Executive Secretary further refine the draft modalities of operation and submit them for the consideration of Parties at a future meeting of the Intergovernmental Committee and/or the first COP-MOP.

52. The draft decisions with respect to the ABS Clearing-House put forward by the Intergovernmental Committee at its second meeting are available in document UNEP/CBD/COP/11/1/Add.2.

53. Against this background and in accordance with recommendation 2/4 of the Intergovernmental Committee, the following section provides a tentative workplan and timeline for activities to take place until the first COP-MOP, an updated estimate of resource requirements as well as a report on progress in the implementation of the pilot phase of the ABS Clearing-House.

54. In addition, the Secretariat is organizing a side event during the eleventh meeting of the Conference of the Parties in order to provide a visual overview of the mechanisms and applications being developed for the pilot phase, and provide further details with regards to its indicative work plan for activities in preparation for the first meeting of COP-MOP.

⁸ See submission of Switzerland for further detail.

A. *Work plan and timeline for activities***Proposed workplan and timeline for the implementation of the pilot phase of the ABS Clearing-House and the adoption of the modalities of operation of the ABS Clearing-House**

Activities		Period
1	Commencement of ABS Clearing-House project officer and programmer/database developer	July, August 2012
2	Performing a systems analysis The aim is to define the system architecture of the central portal, (such as its structure, sections, pages, menus and linkages) together with technical specifications, and to identify any additional resource requirements with a view to developing a phased implementation as recommended by the Intergovernmental Committee in recommendation 1/1 (UNEP/CBD/ICNP/1/8).	August – October 2012
3	Defining specifications for the prototype version Activities 3,4,5: The prototype platform is being built as a “proof of concept”, concentrating on the core functions of the management Centre (such as registering information and user management – see Activity 10), developing and implementing common formats and demonstrating the conceptual relation of other elements, including the incorporation of relevant sections of the Nagoya Protocol portal.	July–August 2012
4	Developing and implementing draft common formats The aim is to develop selected draft common formats (i.e. Legislative, administrative and policy measures on ABS, national focal point and competent national authority(ies), and national ABS website or database) for implementation in the prototype version in accordance with Article 14, paragraph 2 of the Protocol, and the guidance provided at ICNP-1.	August – September 2012
5	Developing the prototype version	August – September 2012
6	Testing prototype version	October 2012
Milestone: Demonstration of prototype version at COP 11		October 2012
7	Further defining modalities for testing the functionality and usability of the central portal including the solicitation of feedback The aim is to define the modalities and appropriate timing for the engagement of Parties throughout the pilot phase (such as soliciting feedback on development) with a view to facilitating their active participation.	October - November 2012
8	Developing design elements (look and feel) of central portal The aim is to provide design concepts (e.g. mockups and wireframes) of the different areas of the central portal, and to define stylistic conventions (e.g. use of fonts, colours, graphics) to ensure consistency throughout the portal.	October – December 2012
9	Implementing page templates, search forms and reporting, special features The aim is to create the necessary page templates, search forms and report masks in the system according to the phased implementation identified in the system analysis (Activity 2) and the design concepts developed in Activity 8. The search forms are to be tailored for each type of information to be searched to make the search intuitive, flexible, reliable and efficient.	September – December 2012
10	Implementing the Management Centre The Management Centre is a restricted and secure area of the central portal where registered users (such as National Focal Points) can add new, and/or amend existing information. The aim is to develop the Management Centre building on the experiences gained from implementing core functions in the prototype version (Activities 3,4,5).	September – December 2012
11	Developing content for central portal (static pages) The aim is to develop the content for static pages of the portal as defined in the system analysis (Activity 2) and initiated in the prototype version (Activities 3,4,5).	November – December 2012
12	Verifying functionality and links The aim is to ensure the functioning of elements developed to date prior to the meeting of the Informal Advisory Committee (IAC).	January 2013

13	Further developing draft common formats and controlled vocabularies	October – December 2012
The aim is to further develop the draft common formats (i.e. for sharing information on permits or their equivalent) in accordance with Article 14, paragraph 2 of the Protocol, and prepare controlled vocabularies according to the phased implementation identified in the system analysis (Activity 2) and building on experiences gained in the development of the prototype version (Activities 3,4,5) for their review by the IAC.		
14	Establishment of the informal advisory committee (IAC)	October – December 2012
The establishment of an IAC is included in the draft decision for consideration by COP 11 as recommended by the Intergovernmental Committee (recommendation 2/4). An agenda and suggested issues for consideration by the IAC are to be prepared, including the review of the draft common formats and controlled vocabularies developed in Activity 13.		
Milestone: Informal Advisory Committee: review of draft common formats and controlled vocabularies; review of central portal functionalities		February 2013
15	Reviewing and implementing the common formats following guidance from the IAC and developing additional draft common formats in accordance with Article 14, paragraph 3, of the Protocol and the guidance provided at ICNP-1.	February – May 2013
16	Implementing remaining functional modules on central portal	February – April 2013
17	Further developing content for the central portal	February – May 2013
Activities 15,16,17: The aim is to implement additional elements according to the implementation plan from the system analysis (Activity 2) and in the light of feedback from the IAC. This also includes the development of help material and FAQ sheets.		
18	Defining specifications for the multi-site CMS	January – February 2013
19	Developing multi-site CMS	February – May 2013
Paragraph 3 (d) of the draft modalities of operation of the ABS Clearing-House (UNEP/CBD/ICNP/2/9 Annex) foresees the development of national, regional, sub-regional and institutional nodes that are interlinked with the central portal. The aim of developing a “multi-site” content management system (CMS) is to provide the building blocks for constructing national clearing houses using the components developed in the ABS Clearing-House but in an environment customizable to the particulars of each national clearing house. This will build on the experiences from the Biosafety Clearing-House in the development of the <i>Hermes</i> CMS.		
20	Beta testing of central portal and multi-site CMS	May – August 2013
21	Describing and implementing changes from beta testing	August – September 2013
Activities 20, 21: Parties will be consulted on the implementation of both the central portal and multi-site CMS and with a view to further developing networking opportunities and future modalities for cooperation. Separate beta testing of the central portal and multi-site CMS will be carried out which aims to test thoroughly their functionality and usability. This will inform the final debugging and polishing (Activity 23) prior to full operationalization of the ABS Clearing-House.		
22	Defining modalities for generating ongoing feedback on the ABS Clearing-House	August – September 2013
23	Debugging and polishing the central portal and multi-site CMS	August – October 2013
24	Making the system live; final diagnostic testing of central portal and multi-site CMS	October – November 2013
It is common practice to develop systems in a production environment on a test server; the aim of this step is to make the central portal and multi-site CMS live by transferring them from the production environment and carry out final diagnostic testing.		
25	Security audit of central portal and multi-site CMS	October 2013
The aim of a security audit for the central portal and multi-site version is, inter alia, to determine any network vulnerabilities of the systems and the adequacy of backup and disaster recovery provisions.		
26	Full operational version finalized	November 2013
Milestone: Launch of the operational version of the central portal (possibly at ICNP 3)		December 2013
27	Explore opportunities for collaboration with partners	January – October 2014
28	Assisting participating Parties	January – October 2014

Once the pilot phase is fully operational, it is anticipated that Parties may need assistance on an <i>ad hoc</i> basis for fully participating and contributing to the pilot phase of the ABS Clearing-House. It is anticipated that this will help guide changes which need to be addressed in the central portal and multi-site CMS as well as assist in identifying capacity-building (training) needs.		
29	Consolidate pilot phase based on feedback received	July – September 2014
30	Identifying capacity building (training) needs for Parties	June – August 2014
31	Developing a multi-year programme of work	July – September 2014
Building on the ABS Clearing-House draft modalities of operation and the experiences gained to date in the pilot phase, a multi-year programme of work will be developed which will underpin and support the flourishing of the ABS Clearing-House and which will additionally consider capacity building, outreach, collaboration with partners and data providers, and communication management issues. This programme of work could be approved at the COP/MOP meeting.		
32	Revising the draft modalities of operation	July – September 2014
In the light of the experience acquired during the pilot phase and comments provided by ICNP-3, the draft modalities of operation will be revised for their consideration and adoption by COP-MOP 1.		
Milestone 4: First meeting COP-MOP. Adopt modalities of operation of the ABS Clearing-House, approval of multi-year programme of work		October 2014

B. Updated estimate of resource requirements

55. As initially planned, a period of 18 months will be needed to make the pilot phase of the ABS Clearing-House fully operational. As it started in earnest in July 2012, the pilot phase is expected to be fully operational by December 2013.

56. Generous financial contributions provided by Germany, the European Commission and Switzerland have enabled the Secretariat to hire two staff members respectively at P-2 and P-3 level for this period. An amount of 20 000\$ has also been set aside to cover additional costs related to information and technology (IT) developments, as well as hardware and software.

57. In accordance with the proposed workplan, with a view to ensure continuity in the further development of the pilot phase of the ABS Clearing-House after December 2013 in preparation for the first meeting of COP-MOP, the establishment of a P-3 and a P-2 post have been requested for 2014 onwards as indicated in document UNEP/CBD/COP/11/10 on the proposed budget for the programme of work of the Convention for the next biennium. In addition, the establishment of a General Service post was also proposed to support the development, implementation and maintenance of the ABS Clearing-House as of 2013.

C. Report on progress

58. The following provides a progress report on work underway on the pilot phase since ICNP-2, in particular work undertaken with a view to demonstrate a prototype version at the eleventh meeting of the Conference of the Parties.

Central Portal

59. As a minimum, the central portal of the ABS Clearing-House, will need to allow Parties to exchange information as provided in paragraph 2 of Article 14 of the Nagoya Protocol, and as far as possible, also allow the exchange of information as provided in paragraph 3 of Article 14 and in the guidance for the development of the pilot phase of the ABS Clearing-House (recommendation 1/1).

60. A number of technical approaches are being examined for the development of the central portal and Management Centre of the ABS Clearing-House with a view to developing a robust, modular system which is straightforward to manage, navigate and use; supports multiple users and access controls; is customizable; allows extension of functionality through external plug-ins; and has a system architecture which supports current and anticipated future demands including multiple users languages, interoperability and information exchange.

61. A prototype platform (<http://absch.cbd.int>) containing data for demonstration purposes has been built as a “proof of concept” for realizing some of the core functions of the Management Centre (including user management and registering information) foreseen in the pilot phase and showing the conceptual relation of other elements, including the incorporation of relevant sections from the Nagoya Protocol portal (<http://www.cbd.int/abs/>).

62. The prototype has been built by extending the core components of the Biosafety Clearing House portal. It is structured around a Management Centre located under the menu item “Registering Information”. The Management Centre is a restricted and secure area where registered users (such as National Focal Points) can add new, and/or amend existing information.

63. Other sections developed include “Finding information” which has a dynamic user interface, and the static pages “Resources”, “Nagoya Protocol” and “Capacity Building”. The principles used in the conceptual organization of the menus is modeled on those used for the CBD website (<http://www.cbd.int>) whereas the design template has been based on that used for the portal of the sixth meeting of the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety (COP-MOP 6) <https://bch.cbd.int/mop6/>.

64. The search function under “Finding information” queries the database for records defined to date (namely, National Focal Points, Competent National Authorities, Legislative, Administrative and Policy Measures, and National Databases or Websites).

65. A number of default reporting masks have been developed on the basis of the draft common formats. It is envisaged that the number of reporting masks will be expanded in future with the increase in common formats implemented and the need for flexible reporting.

66. For the time being (and for illustrative purposes), the information contained in Legislative, Administrative and Policy Measures has been populated from the existing ABS Measures Database <http://www.cbd.int/abs/measures/>. Similarly, data for illustrative purposes has been imported from the CBD databases for the National Focal Points and Competent National Authorities.

Management Centre

67. A core functionality of the pilot which has been realized in the prototype is the Management Centre (accessible from the “Registering Information” menu item). The Management Centre is a web-based mechanism which enables authorized users (such as National Focal Points) according to pre-defined permissions, the ability to enter and/or modify records to be published in the ABS Clearing-House. This has been set up with a simple workflow for clearing records for publication.

68. The main functions accessible by registered users from the menus are “Register a new record”, “Edit a new record” and “Edit a draft record” and “Record status”, the latter showing those records which are pending validation as part of the workflow. Registered users can also change their profile details, any changes made results in a notification being sent to the registered email address.

69. The Management Centre also contains an Administration Centre for managing users of the system. The user management module, which has been partially implemented in the Prototype, classifies users according to their role and defines appropriate permissions for registering, modifying or deleting information in the system. Thus, the type of information that can be registered or modified by a particular user will depend on their designated role; this is intimately linked to the simple workflow procedure for authorizing records for publication. The precise set up of the user permissions and workflows in the central portal will be developed for the central portal following experience gained with the prototype.

70. As part of the proposed timeline for the implementation of the pilot phase, modalities are being defined for testing the functionality and usability of the central portal and the solicitation of feedback.

Development of common formats

71. A number of common formats are being developed in accordance with paragraph 2 of Article 14 of the Protocol. These common formats promote a standardized way of describing data, a ‘universal

language' with well-defined terms which simplifies the data recording, updating, modification, as well as improving the ease of reporting and accessing information in the ABS Clearing-House.

72. The draft formats under development are as follows: National Focal Points, Competent National Authority, Legislative, Administrative and Policy Measures, and National Databases or Websites. It is envisaged that the development of the draft common format to allow the exchange of information on permits or their equivalent will begin prior to the meeting of the IAC.

73. A number of fields in the common formats will be designated as mandatory fields to ensure that a minimum level of information is recorded in the ABS-Clearing-House. An indicative timeframe will also be included concerning the periodicity of updating of the submitted records.

74. For the purposes of the development of the prototype, draft common formats have been implemented in the prototype. It is envisaged that these draft common formats once further developed would be revised by the Informal Advisory Committee. The Secretariat has also worked on "off-line" versions of the common formats so that records can be submitted to the ABS Clearing-House as an email attachment.
