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### INFORMAL ADVISORY COMMITTEE TO THE PILOT PHASE OF THE ACCESS AND BENEFIT-SHARING CLEARING-HOUSE

Montreal, 2-4 October 2013

Items 3 and 4 of the provisional agenda\*

### REPORT ON PROGRESS AND PRIORITIES FOR FUTURE IMPLEMENTATION OF THE PILOT PHASE OF THE ACCESS AND BENEFIT-SHARING CLEARING-HOUSE

#### I. INTRODUCTION

1. Article 14 of the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization establishes an Access and Benefit-sharing Clearing-House (ABS-CH) as part of the clearing-house mechanism under paragraph 3 of Article 18 of the Convention on Biological Diversity (CBD).

2. In accordance with recommendation 1/1 of the Ad Hoc Open-ended Intergovernmental Committee for the Nagoya Protocol (the Intergovernmental Committee), the Executive Secretary is currently implementing the pilot phase of the ABS Clearing-House based on the guidance set out in the annex to recommendation 1/1 and in recommendation 2/4. In addition, at its eleventh meeting, the Conference of the Parties (COP) to the Convention endorsed an indicative work plan and timeline for activities to take place until the first meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol (COP-MOP), as contained in document UNEP/CBD/COP/11/11 (decision XI/1 C, paragraph 2).

3. In paragraph 1 of decision XI/1 C, the Conference of the Parties established an informal advisory committee (IAC) to assist the Executive Secretary with the implementation of the ABS Clearing-House pilot phase and to provide technical guidance with respect to the resolution of technical issues arising from the ongoing development of the pilot phase of the ABS Clearing-House until the first meeting of the Parties to the Protocol. The decision provided that the IAC should be regionally balanced and composed of fifteen experts selected on the basis of nominations provided by Parties.

4. In paragraph 3 of decision XI/1 C, Parties decided that the IAC would hold one meeting, subject to the availability of financial resources, and informal online discussions, as needed, and report on the outcomes of its work to the third meeting of the Intergovernmental Committee.

5. Following the generous financial contribution of the European Union, a meeting of the IAC will be held from 2 to 4 October 2013, in Montreal, Canada.

6. The present document has been prepared to assist the IAC in its deliberations. Section II provides an overview of progress made in the implementation of the pilot phase of the ABS Clearing-House, including a description of the operational procedures being implemented and the common formats developed to facilitate the submission of information. Section III addresses the priority activities for

\* UNEP/CBD/ABS/IAC-CH/1/1.

future development of the ABS Clearing-House to be implemented until the first meeting of the Parties to the Protocol and includes a number of issues for consideration by the IAC.

7. In considering the issues highlighted in this paper, the IAC is invited to take into account the capacity-building needs of developing country Parties, Parties with economies in transition, and indigenous and local communities, in order for them to actively participate in the ABS Clearing-House during its development and operational phases. When providing technical advice, the IAC is also invited to take into consideration the resource implications of their advice.

## **II. PROGRESS REPORT ON THE IMPLEMENTATION OF THE PILOT PHASE OF THE ABS CLEARING-HOUSE**

8. In accordance with paragraph 1 of recommendation 1/1 of the Intergovernmental Committee, the ABS Clearing-House is being implemented in a phased manner, building up its functions and activities in response to clear and identified demand, taking into account ongoing feedback from users, in line with available resources, and recognizing the importance of reaching common understanding on issues unresolved in the Intergovernmental Committee for the Nagoya Protocol.

### ***A. The ABS Clearing-House website***

9. The ABS Clearing-House (ABS-CH) is accessible online through a dedicated website (at <http://absch.cbd.int>) and is administered by the Secretariat of the Convention on Biological Diversity.

10. As noted, the ABS-CH is established as part of the clearing-house mechanism (CHM) of the Convention. The CHM has been developed as a single and unified platform which also supports the dedicated clearing-houses of the Cartagena Protocol on Biosafety and the Nagoya Protocol. This single platform will allow users to do global searches across all clearing-houses within the CHM and to search for information in a specific clearing-house. In order to do that, common formats and rules of operation need to be compatible and, where possible, harmonized across the CHM. The common formats developed for the pilot phase of the ABS Clearing-House make use, as much as possible, of predefined text or controlled vocabularies that will be compatible with the controlled vocabularies of the CHM and the Biosafety Clearing-House (BCH).

11. The ABS-CH website includes a number of web pages providing an introduction and information about how to find and register information with the ABS Clearing-House. These include pages on “About the ABS Clearing-House”, “Finding information”, “Registering information” and “Resources”.

12. Most of the ABS Clearing-House web pages are publicly accessible (except the registration pages and special areas, such as dedicated forums). The information registered in the ABS Clearing-House will be accessible to all users through the search function.

13. The information contained in the ABS Clearing-House will be provided and published by Parties and relevant stakeholders. The Secretariat will also play an active role in publishing certain categories of information. All users must be registered and signed-in to their ABS-CH account in order to incorporate, modify or delete information. Once registered, users will be able to submit certain categories of information depending on their specific role. Access to special areas, such as collaborative portals or dedicated forums, may also be subject to the functions assigned to a user’s role.

### ***B. Registering records in the ABS Clearing-House***

14. The ABS Clearing-House provides a web-based facility which allows authorized users to create, publish and maintain records.

15. In order to register information, users will need to choose the category of information they wish to submit from a defined list. The categories of information that a registered user is able to submit depends on their designated role in the ABS Clearing-House.

16. The categories of information are divided into two main clusters: national records and reference records. The forms under the “national records” category will allow Parties to make information available relevant to the implementation of the Protocol and assist them in meeting their ABS Clearing-House related obligations under the Protocol. The forms under the “reference records” category will allow the submission of non-mandatory information relevant to the Protocol from any registered user (e.g. governments, representatives of indigenous and local communities, academia, non-governmental organizations, research institutions, business representatives, etc.) to the ABS Clearing-House.

17. To ensure that the national records published on the ABS Clearing-House are accurate and complete, a procedure for validating national records has been designed based on guidance provided by the Intergovernmental Committee as well as the experience gained under the Biosafety Clearing-House and is described in the section below. The Secretariat would be responsible for validating all reference records.

***C. Nomination and role of the national focal point, clearing authority and national authorized users***

18. Article 13 of the Protocol requires Parties to designate a national focal point on access and benefit-sharing to make information available on procedures for prior informed consent (PIC) and mutually agreed terms (MAT) and for liaising with the Secretariat. Parties are to notify the Secretariat of their contact information and of any changes in the designation or contact information.

19. In order to ensure that the national records published in the ABS Clearing-House are reliable, Parties will be required to nominate a clearing authority responsible for providing active clearance (or “validation”) of all national records prior to their publication on the ABS-CH. This function is referred to hereafter as “clearing authority”. According to the guidance provided by the Intergovernmental Committee, the duties of the national focal point (ABS NFP) could be expanded to incorporate some roles or responsibilities related to the ABS-CH, such as the role of clearing national records for publication in the ABS Clearing-House. The latter role could be assigned to another person. During the pilot phase, information will only be made public on the ABS Clearing-House following active clearance by the person designated to fulfil the role of the clearing authority.

20. The registration of an ABS NFP and the identification of who has the clearing authority can only be done by the Secretariat upon receipt of written communications addressed to the Executive Secretary and endorsed as follows:

(a) The designation of a national focal point on access and benefit-sharing must be endorsed by the national focal point for the Convention on Biological Diversity or by a direct expression of the Government (e.g. a Minister of State);

(b) If the clearing authority for the ABS Clearing-House is different from the ABS NFP, its designation must be endorsed by the ABS NFP.

21. A common format has been prepared to facilitate the designation of the national focal point and the identification of who has the clearing authority (see annex I below).

22. The clearing authority for the ABS Clearing-House also has the possibility of nominating additional national authorized users (NAU). National authorized users can create and manage draft records in all categories of national records (with the exception of the designation of national focal point and clearing authorities). However, all records created by national authorized users, as well as any modification they make to existing records, will be subject to validation by the clearing authority prior to publication. When a national authorized user has finalized introducing the information, the clearing authority will receive an e-mail requesting the clearance of the record in order to make it public through the ABS Clearing-House website. The national authorized user will receive an e-mail informing them when the information has been made public through the ABS Clearing-House.

23. Nonetheless, and with a view to facilitating the flow of information from the checkpoint to the ABS Clearing-House pursuant to paragraph 1 (a)<sup>1</sup> of Article 17, it is proposed that the checkpoint be given clearing authority for submitting information directly to the ABS-CH. Consequently, Parties, when designating checkpoints, need to provide the contact details of the person that will have the clearing authority to validate records before publication. The checkpoint clearing authority will also be able to appoint national authorized users.

24. Parties could decide to appoint competent national authorities as national authorized users in order to facilitate the registration of information, such as the permit or its equivalent constituting an internationally recognized certificate.

25. When the Secretariat receives a nomination for a national focal point, a clearing authority or a national authorized user, it will create a user account for logging in to the ABS-CH and for creating, modifying or deleting records.

26. In addition to clearing records for publication on the ABS Clearing-House, the national focal point or the clearing authority is likely to undertake the following roles and responsibilities in order to manage information in the ABS Clearing-House, as identified in paragraph 7 of the guidance for the pilot phase (annex I to recommendation 1/1 of the Intergovernmental Committee):

(a) Communicating with the Secretariat of the Convention on Biological Diversity on issues related to the ABS Clearing-House; and

(b) Facilitating networking and the building of capacity between competent national authorities, indigenous and local communities and other stakeholders that would make information available to the ABS Clearing-House.

#### ***D. Contributions of non-Parties***

27. Article 24 of the Protocol requires Parties to encourage non-Parties to adhere to the Protocol and to contribute appropriate information to the ABS Clearing-House. Non-Parties to the Protocol therefore have access to the ABS-CH and will be able to submit information.

#### ***E. Metadata and controlled vocabularies***

28. Metadata such as the owner of the record, the date of submission as well as the category of common format used, are created automatically when information is submitted to the ABS Clearing-House. In addition to the automatically generated metadata, the person registering the records will also be expected to supply additional metadata to describe the information in the records (for example, by selecting descriptive terms from a provided list of predefined keywords).

29. Although simple keyword searches are easy to implement and carry out, problems sometimes arise when retrieving the full range of results from the incorporation of information in various languages, the use of synonyms and inconsistent terminology and spelling. Therefore, in some instances, the ABS Clearing-House makes use of a controlled vocabulary, in order to facilitate the future ability to conduct searches in a number of different languages and return consistent search results. This is essentially a thesaurus of standardized words used to search and register information with the database in the ABS Clearing-House. As mentioned in paragraph 10 above, controlled vocabularies have been developed in harmony across the clearing-house mechanism, with a view to enabling searches of information across the different clearing-houses.

30. A list of terms in the controlled vocabulary used in the pilot phase is provided in annex IV below.

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<sup>1</sup> See subsection (c) of section H below for further information on the proposed common formats for the checkpoint and the checkpoint communiqué.

#### ***F. Confidentiality considerations***

31. According to paragraph 2 of Article 14, information should be made available to the ABS Clearing-House without prejudice to the protection of confidential information. Records published in the ABS-CH are publicly available, therefore Parties should not submit confidential information. Each Party would be responsible for identifying and appropriately protecting confidential information prior to making information available to the ABS Clearing-House.

#### ***G. Interoperability***

32. Effective participation at the national level will be important for the successful implementation of the ABS Clearing-House. To ensure an effective flow of information, the ABS Clearing-House is designed to allow other databases to retrieve information hosted by the ABS Clearing-House.

33. Under the Biosafety Clearing-House, interoperability solutions were developed to encourage national participation in the BCH. For example, a simple application, running on the servers of the Secretariat of the Convention, has been made available by the Secretariat for use on request by a Party to develop national biosafety clearing-houses websites which are completely interoperable with the BCH. This application, named “Hermes”, is a subset or scaled-down version of the BCH, with a similar interface, to display and search national BCH records as well as national information not hosted on the BCH Central Portal. The application allows countries to personalize and manage the content they wish to display.

34. Another BCH application, named “BCH Ajax Plug-in”, allows information registered on the BCH to appear on an existing national web page and/or national clearing-house. These simple applications increase interoperability between national systems and the BCH and provide means for countries with limited resources to develop national BCH information-exchange systems.

35. In light of the experience of the BCH with regards to interoperability with national websites, similar applications are under implementation for the ABS Clearing-House.

#### ***H. Common formats for making information available to the ABS Clearing-House***

36. In order to create a new record, registered users will need to choose the type of information they wish to submit by selecting an information category. Under each category, common formats are made available to assist users to submit information in a standardized manner, facilitating the registering and retrieval of information. The common formats will be available in both online and offline formats. The offline common formats are made available on the ABS Clearing-House for download in MS Word format to assist users to gather and organize their records prior to online submission.

37. Users with limited internet access will be allowed to fill out the Word versions of the common formats and submit them, duly signed, by mail, fax or as a scanned attachment to an e-mail sent to the Secretariat for registration on their behalf.

38. As described in section B above, common formats are organized in two clusters: those for national records and those for reference records. In the “national records” cluster, common formats have been developed with a view to assisting Parties in making national information available to the ABS Clearing-House; the following are shown in annex I below:

(a) Designation of ABS national focal points and clearing authorities for the ABS Clearing-House, as explained in section C above (MS Word offline format only);

(b) Competent national authority/ies (CNA);<sup>2</sup>

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<sup>2</sup> Article 13, paragraph 4, provides that “...where a Party designates more than one competent national authority, it must provide to the Secretariat relevant information on the respective responsibilities of those authorities along with its notification designating the authority. Where applicable, such information shall, at a minimum, specify which competent authority is responsible for the genetic resources sought...” The common format proposed takes this paragraph into account and includes a section on responsibilities.

- (c) Laws, regulations, guidelines, administrative or policy measures (see subsection (a) below);
- (d) Permit or its equivalent constituting an internationally recognized certificate of compliance (see subsection (b) below);
- (e) Designation of checkpoints (see subsection (c) below); and
- (f) Checkpoint communiqué (see subsection (c) below).

39. A common format on an Access and Benefit-sharing “Virtual Library resource” has also been developed in harmony with the virtual library under development on the clearing-house mechanism of the Convention (see list of terms in annex IV). National users and other stakeholders will be able to submit information through this common format to be published by the Secretariat.

40. Parties will also be able to submit information on national ABS websites and databases.<sup>3</sup>

**(a) *Laws, regulations, guidelines, administrative or policy measures***

41. Paragraph 2 of Article 14 of the Protocol provides that each Party shall make available to the ABS Clearing-House information on legislative, administrative and policy measures on ABS. A common format has been prepared with a view to assisting Parties to fulfil this obligation.

42. The Secretariat of the Convention already maintains a database on access and benefit-sharing measures, which includes measures taken by Parties in order to implement the ABS provisions of the Convention. The database covers a broad range of ABS measures including national, subnational and regional strategies, policies, legislation or regulations. Moreover, for each measure the database provides an overview of its main ABS elements, including the ABS NFP, CNA, scope, prior informed consent procedures, mutually agreed terms including benefit-sharing, compliance mechanisms, traditional knowledge associated with genetic resources, and other information. As of July 2013, this database incorporated 198 records from seven regional and subregional organizations and 57 countries.

43. However, the information in the ABS measures database was provided with respect to measures undertaken to implement the ABS provisions of the Convention. It has not been submitted in accordance with the requirements of the Nagoya Protocol, and therefore may or may not meet the standards required by the Protocol (e.g. it may not be in an appropriate format or language, and it may need to be validated by the national focal point to ensure it is still up to date). It is nonetheless a valuable resource that could be used to populate the ABS Clearing-House in its early stages.

44. These records have therefore been migrated into the new common format and will be made available to the clearing authorities and national authorized users as drafts to be updated and validated or deleted if no longer valid.

45. Countries wishing to publish records on ABS legislative, administrative or policy measures not currently found in the CBD Secretariat’s database on ABS measures would do so using the common format for this purpose. This common format (presented in annex I) builds on the elements and experience gained from the ABS measures database while including reference to the main provisions of the Protocol. This common format has also been developed in harmony with the CHM and the BCH with a view to sharing the common elements in relation to legislative, administrative and policy measures and allowing for better integration of data and controlled vocabularies within the CHM. It is envisaged that on the basis of the information registered through this common format, a matrix will be created displaying the elements of the ABS measure.

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<sup>3</sup> Information on the location and accessibility of national clearing-houses and databases would be valuable information to include in the ABS Clearing-House. Although there is no requirement that national clearing-houses be part of the ABS Clearing-House under the Protocol, it is likely that they would also wish to connect with the ABS Clearing-House.

**(b) *Permits or their equivalent constituting an internationally recognized certificate of compliance***

46. In accordance with paragraph 2 of Article 17, a permit or its equivalent issued in accordance with paragraph 3 (e) of Article 6, and made available to the ABS Clearing-House, shall constitute an internationally recognized certificate of compliance (“the certificate”). Paragraph 3 of Article 17 establishes that such certificates shall serve as evidence that the genetic resource which it covers has been accessed in accordance with prior informed consent and that mutually agreed terms have been established, as required by the domestic access and benefit-sharing legislation or regulatory requirements of the Party providing prior informed consent.

47. Paragraph 4 of Article 17 sets out the minimum information required for the internationally recognized certificate of compliance, when it is not confidential, which in turn dictates the minimum information that will be required to be reported to the ABS Clearing-House in this regard, namely:

- (a) Issuing authority;
- (b) Date of issuance;
- (c) The provider;
- (d) Unique identifier of the certificate;
- (e) The person or entity to whom prior informed consent was granted;
- (f) Subject-matter or genetic resources covered by the certificate;
- (g) Confirmation that mutually agreed terms were established;
- (h) Confirmation that prior informed consent was obtained; and
- (i) Commercial and/or non-commercial use.

48. A common format has been prepared to make information available to the ABS Clearing-House on the permit or its equivalent constituting an internationally recognized certificate of compliance (see annex I).

49. In addition to the online record, and in order to make available a printable reference to the internationally recognized certificate of compliance, a summary of the information registered and cleared for publication in the ABS Clearing-House by the clearing authority will be also made available as a downloadable file (in PDF format) (see annex II).

50. A courtesy copy of the internationally recognized certificate of compliance constituted from the information provided on the permit or its equivalent, will automatically be sent by electronic means to:

- (a) The national focal point and the competent national authority or authorities of the country issuing the permit or its equivalent; and
- (b) The person or entity to whom prior informed consent was granted.

*Modifying the permit or its equivalent constituting an internationally recognized certificate of compliance*

51. Paragraph 11 of the guidance for the pilot phase (annex I to recommendation 1/1 of the Intergovernmental Committee) provides that the ABS Clearing-House should allow Parties to amend or update submitted information in a way that preserves legal certainty, clarity and transparency in accordance with the Protocol, particularly in the case of the permit or its equivalent, if necessary and mutually agreed, to reflect new circumstances relating to the utilization of the genetic resource. In such instances, the original permit or its equivalent should be retained.

52. In light of this, the pilot phase provides the possibility to modify or update information in the record on the permit or its equivalent constituting an internationally recognized certificate of compliance. If such a record is modified or updated, a revised certificate will be constituted based on the information provided, which will be linked to the original certificate through references to its unique identifier, and

will also contain information outlining the reason for the update of the permit or its equivalent with a view to ensuring transparency and traceability.

53. Copies of all records will be maintained in the ABS Clearing-House during the pilot phase.

*Unique identifier of the certificate*

54. In accordance with paragraph 4 (d) of Article 17, an internationally recognized certificate of compliance must contain a “unique identifier”. However, the format of such an identifier is not described by the Nagoya Protocol. Despite being an element of the internationally recognized certificate of compliance, it will not be possible to adequately make this information available through the ABS Clearing-House until the structure and format of the unique identifier has been defined.

55. In order to assist Parties to develop a common understanding of the role of the unique identifier in the ABS Clearing-House, and to facilitate search and retrieval of certificates, it is proposed that a unique identifier be generated by the ABS Clearing-House upon submission of the required information for constituting an internationally recognized certificate of compliance. In addition, the ABS Clearing-House common format will also provide an opportunity for users to register additional unique identifiers for the permit or its equivalent that may be in use at the national or regional level.

56. A proposed procedure to generate the unique identifier is attached in annex V below.

*Subject matter or genetic resources covered by the certificate*

57. As outlined in paragraph 47 above, the minimum information required for an internationally recognized certificate of compliance, when the information is not confidential, includes the subject matter or genetic resources covered by the certificate. There are a number of ways in which this information may be recorded, for example as a taxon name of a species or higher taxonomic rank, such as family or kingdom. However, due to changes in taxonomic nomenclature resulting from new scientific research, or following changes in identification, these names may not be static and there is a risk that the name on the certificate will no longer accurately reflect the resource, reducing the evidentiary value of the certificate.

58. During the pilot phase of the ABS-CH, all subject matter or genetic resources covered by a certificate must be described via descriptive text entry when registering the permit or its equivalent constituting a certificate. In addition, an optional facility is provided to link to specimen data (e.g. link to a voucher specimen held in an appropriate facility); provide taxonomic information (e.g. link to a record in an external database such as the Global Biodiversity Information Facility or the Catalogue of Life); provide geographic coordinates; or any other relevant link.

*Information on third party transfers*

59. The Intergovernmental Committee in its guidance for the pilot phase identified as particularly valuable the need to provide, through the ABS Clearing-House, information on third party transfer arrangements, where it is available, to be incorporated into the internationally recognized certificate of compliance.<sup>4</sup>

60. Information and conditions on third party transfers would generally be addressed in mutually agreed terms, and there is no requirement in the Protocol to make such information available to the ABS Clearing-House. However, these conditions may be of value as part of the additional information to be made available on the permit or its equivalent constituting an internationally recognized certificate of compliance with a view to enhancing legal certainty. In light of this, a non-mandatory field on third party transfer has been included in the proposed common format.

*Document authenticity and security*

61. The ease with which digital documents can be modified or falsified may result in a need to verify the authenticity of an internationally recognized certificate of compliance.

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<sup>4</sup> Paragraph 4 (f) of annex I to recommendation 1/1 of the Intergovernmental Committee.



62. To aid in ensuring authenticity of the internationally recognized certificates of compliance, during the pilot phase it is proposed that all downloadable certificates will be protected and will include a link to the relevant online record which is maintained in the ABS Clearing-House for comparison purposes. The use of the ABS Clearing-House as a third party server that keeps an original copy of the document will therefore allow anyone utilizing the document to instantly confirm the authenticity of its contents.

(c) *Checkpoints and the checkpoint communiqué*

63. In accordance with paragraph 1 (a) (i) of Article 17 of the Protocol, Parties shall designate one or more checkpoints that will collect or receive relevant information related to prior informed consent, to the source of the genetic resource, to the establishment of mutually agreed terms, and/or to the utilization of genetic resources, as appropriate. Paragraph 1 (a) (iv) of Article 17 further provides that checkpoints should be relevant to the utilization of genetic resources, or to the collection of relevant information at, *inter alia*, any stage of research, development, innovation, pre-commercialization or commercialization.

64. Furthermore, paragraph 1 (a) (iii) of Article 17 provides that the information collected or received by checkpoints, including from internationally recognized certificates of compliance where they are available, will, without prejudice to the protection of confidential information, be provided to relevant national authorities, to the Party providing prior informed consent, and to the ABS Clearing-House, as appropriate.

65. In light of the above, a common format has been developed for the designation of checkpoints. An additional common format is proposed to assist in making the information collected or received by the checkpoint available to the ABS Clearing-House (“the checkpoint communiqué”).

66. Parties need to identify to which of their own national authority/ies the checkpoints should send the information collected or received pursuant to paragraph 1 (a) (iii) of Article 17. Consequently, the common format prepared for the designation of checkpoints includes a section on the designation of national authorities for the purposes of the checkpoint communiqué. The common formats for the checkpoint and the checkpoint communiqué are presented in annex I to this document.

67. It is proposed that following the submissions of information provided to the ABS Clearing-House by a checkpoint in accordance with Article 17 of the Protocol, a courtesy copy of the report of the record on the checkpoint communiqué would be automatically sent to the designated national authority/ies, the national focal point of the country providing prior informed consent, and the competent national authority responsible for issuing the permit or its equivalent.

68. A proposal for the report on the record of the checkpoint communiqué is presented in annex III.

**III. PRIORITIES FOR FUTURE DEVELOPMENT OF THE PILOT  
PHASE OF THE ABS CLEARING-HOUSE**

69. In accordance with the workplan and timeline contained in document UNEP/CBD/COP/11/11 and endorsed by the Conference of the Parties at its eleventh meeting and the guidance provided by the Intergovernmental Committee (recommendations 1/1 and 2/4), the following activities for implementing the pilot phase of the ABS Clearing-House will be undertaken until the first meeting of the Parties to the Protocol:

(a) Further developing content for the ABS-CH, including the possibility of developing additional common formats on a priority basis;

(b) Seeking feedback on the operation of the pilot phase of the ABS Clearing-House;

(c) Exploring opportunities for collaboration with partners. In document UNEP/CBD/ICNP/2/8, section III, the Executive Secretary, as requested by the Intergovernmental Committee (paragraph 4 of recommendation 2/4), prepared a list of relevant partners and data providers which have been identified in the guidance of the pilot phase and the report of the expert meeting on the

modalities of operation of the Access and Benefit-sharing Clearing-House. Their relevance to the ABS Clearing-House and possible partnership opportunities need to be further explored during the pilot phase;

- (d) Identifying capacity-building training needs; and
- (e) Revising the draft modalities of operation of the ABS Clearing-House.

70. The IAC is invited to provide advice on the following issues in relation to the priorities for future development of the pilot phase of the ABS Clearing-House.

**A. Additional common formats for making information available to the ABS Clearing-House**

71. The IAC is invited to consider which additional common formats, if any, could be developed, as a priority, to enable the inclusion of other categories of information in the pilot phase of the ABS Clearing-House which could be of assistance in preparation for the entry into force and implementation of the Protocol.

72. In accordance with paragraph 3 of Article 14, additional information to be made available to the ABS Clearing-House may include:

- (a) Relevant competent authorities of indigenous and local communities, and information as so decided;
- (b) Model contractual clauses;
- (c) Methods and tools developed to monitor genetic resources; and
- (d) Codes of conduct and best practices.

73. In addition, the text of the Protocol makes reference to other information to be made available through the ABS Clearing-House, including:

- (a) Measures to inform potential users of traditional knowledge associated with genetic resources about their obligations for access to and fair and equitable sharing of benefits arising from the utilization of such knowledge (Article 12, paragraph 2); and
- (b) Information on capacity-building and development initiatives at national, regional and international levels that should be shared through the ABS Clearing-House with a view to promoting synergy and coordination on capacity-building and development for access and benefit-sharing (Article 22, paragraph 6).

74. In its guidance, the Intergovernmental Committee (annex to recommendation 1/1) identified the following information as particularly valuable to be made available during the pilot phase:

- (a) Explanatory information about the legislative measures, such as explanatory memoranda, or flow charts that describe the national ABS processes;
- (b) Provision for information on the contribution made by access and benefit-sharing measures to sustainable use and conservation of biodiversity, poverty alleviation and the Millennium Development Goals; and
- (c) Affiliation of Parties to other agreements with regard to genetic resources at the sectorial, regional or subregional level.

75. In addition, paragraph 10 of the guidance also provides that each Party, as appropriate, could consider establishing indigenous and local community contact points for the ABS Clearing-House to facilitate effective participation of indigenous and local communities. Details of these contact points could also be made available through the ABS Clearing-House.

**B. Seeking feedback on the operation of the pilot phase**

76. In accordance with the phased implementation of the ABS-CH, which is to take into account ongoing feedback from users, members of the IAC could engage in a full testing of the pilot phase,

including by registering records. An online forum could be set up with a view to allowing the members of the IAC to discuss and provide feedback on the pilot phase of the ABS Clearing-House. In addition, Parties could be invited to participate in the testing of the pilot phase and to provide feedback to the Secretariat.

77. The IAC is invited to consider modalities and mechanisms through which the Secretariat can encourage users to participate in the pilot phase and to provide feedback in order to strengthen the development of the ABS-CH.

***C. Operation of the informal advisory committee during the pilot phase***

78. In accordance with decision XI/1 C, the IAC will hold one meeting as well as informal online discussions prior to reporting to the third meeting of the Intergovernmental Committee.

79. The IAC may wish to consider the use of e-mail exchanges, listservs, and/or online discussion boards to continue its deliberations until the first meeting of the Parties to the Protocol.

*Annex I*

**COMMON FORMATS FOR MAKING INFORMATION AVAILABLE TO THE  
ABS CLEARING-HOUSE**

*National Record Type: #ABSCH-NFP*

**Designation of ABS national focal point and ABS Clearing-House clearing authority<sup>5</sup>**

*Fields marked with an asterisk are mandatory. Failure to provide information for these fields may result in the record not being made available to the ABS Clearing-House*

**INTRODUCTION**

The Nagoya Protocol on Access and Benefit-sharing requests Parties to designate a national focal point (ABS NFP) to be responsible for liaising with the Secretariat (Article 13), and to make their contact details available and notify the Secretariat of any changes. The Secretariat will make the information received available through the Access and Benefit-sharing Clearing-House (ABS-CH).<sup>6</sup>

In order to operationalize the ABS Clearing-House, Parties also need to nominate a clearing authority for providing clearance of national records prior to publishing them in the ABS Clearing-House.<sup>7</sup> According to the guidance provided by the Open-ended Ad Hoc Intergovernmental Committee for the Nagoya Protocol on ABS, the duties of the ABS-NFP could be expanded to incorporate this responsibility or the role of clearing national records for publishing in the ABS-CH could be assigned to another person.

**How to designate a national focal point or a clearing authority**

The registration of an ABS NFP and the identification of who has the clearing authority to provide clearance of national records prior to publishing them in the ABS Clearing-House **can only be done by the Secretariat** upon receipt of written communications addressed to the Executive Secretary and endorsed by the following categories:

- The designation of a ***national focal point on access and benefit-sharing*** must be endorsed by the national focal point for the Convention on Biological Diversity (CBD NFP) or by a direct expression of the Government (i.e. a Minister of State).
- If the **clearing authority for the ABS-CH** is different from the ABS NFP, its designation must be endorsed by the national focal point on access and benefit-sharing.

*These designations may be sent to the Secretariat by postal mail, fax or as an attachment to an e-mail and must contain the complete contact details of the focal points with their respective endorsements.*

<sup>5</sup> The information submitted through this common format will be made available at <http://absch.cbd.int/xxx>.

<sup>6</sup> If the access and benefit-sharing national focal point also fulfils the role of the access and benefit-sharing competent national authority, a common format for the designation of the competent national authority should also be completed.

<sup>7</sup> The designated checkpoints will be able to make information on the checkpoint communiqué publicly available to the ABS Clearing-House.

<b>*Category nominated</b>	
<input type="checkbox"/> Access and benefit-sharing national focal point Is the ABS NFP the clearing authority for providing clearance of national records? <input type="checkbox"/> Yes OR <input type="checkbox"/> No <sup>8</sup>	
<input type="checkbox"/> ABS Clearing-House clearing authority	
<b>Contact details of the person to be nominated</b>	
1. Title:	<input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Mrs. <input type="checkbox"/> Prof. <input type="checkbox"/> Dr. <input type="checkbox"/> Other (specify): <Text entry>
2. Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female
3. *First name:	<Text entry>
4. Middle name:	<Text entry>
5. *Last or Family name:	<Text entry>
<b>Work related information</b>	
6. Job title:	<Text entry>
7. *Employer / Organization:	<Text entry>
8. Organization acronym: <sup>9</sup>	<Text entry>
9. Department / Division / Unit:	<Text entry>
<b>Coordinates</b>	
10. Address:	<Text entry>
11. *City:	<Text entry>
12. State or Province:	<Text entry>
13. *Country:	<Country name>
14. Postal or Zip code:	<Text entry>

<sup>8</sup> This common format should also be filled in for the nomination of an Access and Benefit-sharing Clearing-House clearing authority.

<sup>9</sup> Abbreviation of the long name of an organization. Examples: EA, SCBD.

15. *Phone number: <sup>10</sup>	<Text entry>
16. Fax number: <sup>11</sup>	<Text entry>
17. *E-mail address:	<Text entry>
18. Websites:	<URL and website name>
19. Photograph:	Please attach a recent photograph

### Timeframe for confirmation or updating of information

Please note that this category of information requires confirmation or updating after one year from the date of submission. After the deadline you will be asked to confirm or update the record within 3 months. After this period, if no confirmation has been received, the record will be marked as “Non-confirmed”.

### Additional information

20. Any other relevant information: <sup>12</sup>	<Text entry> <i>and/or</i> <URL and website name> <i>and/or</i> <Attachment>
21. Notes: <sup>13</sup>	<Text entry>

### Confirmation by Nominating Government

22. *Country:	<Country name>
23. *Name of Government Representative making the nomination:	<Text entry>
24. *Designation of Government Representative making the nomination:	<input type="checkbox"/> Minister ( <i>please specify the Ministry</i> ) <Text entry> <input type="checkbox"/> Convention on Biological Diversity national focal point for the (CBD NFP) <input type="checkbox"/> Access and benefit-sharing national focal point (ABS-NFP)

<sup>10</sup> Please use the following format: + [country code] [city code] [telephone number] [extension, if necessary]; Example: +1 514 288-2220 ext 221 (where 1 = North America, 514 = Montreal, 288-2220 = CBD Secretariat number, ext = extension).

<sup>11</sup> See footnote above (phone number format).

<sup>12</sup> Please use this field to provide any other relevant information that may not have been addressed elsewhere in the record.

<sup>13</sup> The field “Notes” is for personal reference and can be seen only when the record is being edited.

25. *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:	
<p><b>Submission addresses:</b></p> <p>This form should be completed and sent <b><i>by e-mail</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 413 rue Saint-Jacques, suite 800 Montreal, Québec, H2Y 1N9 Canada</b></p>	

National Record Type:<sup>14</sup> #ABSCH-CNA

**Competent national authority<sup>15</sup>**

*Fields marked with an asterisk are mandatory. Failure to provide information for these fields may result in the record not being made available to the ABS Clearing-House*

**INTRODUCTION**

Article 13 of the Nagoya Protocol on Access and Benefit-sharing requires the designation of one or more competent national authorities on access and benefit-sharing. This information shall be made available to the Access and Benefit-sharing Clearing-House (ABS-CH) in accordance with paragraph 2 (b) of Article 14 of the Protocol.

<b>General information</b>	
1. *Is this a new record or a modification to an existing record: <sup>16</sup>	<input type="checkbox"/> New record OR <input type="checkbox"/> Update of an existing record <clearing-house record number>
2. *Country:	<Country name>
3. *Name of the competent national authority:	<Text entry>
4. Website address: <sup>17</sup>	<URL>
<b>Contact details</b>	
5. Address:	<Text entry>
6. *City:	<Text entry>
7. State or Province:	<Text entry>
8. *Country:	<Text entry>

<sup>14</sup> National records contain information that is typically required to be reported as part of a Party's obligations under the Nagoya Protocol on Access and Benefit-sharing and must be validated by the ABS CH clearing authority prior to being made available in the ABS Clearing-House. The information submitted through this common format will be made available at <http://absch.cbd.int/xxx>.

<sup>15</sup> The Nagoya Protocol on Access and Benefit-sharing requests Parties to designate one or more competent national authorities (Article 13). Please note that to complete this form you may need to also download the following common format(s): Reference record no. 1 (Contact details). The information submitted through this common format will be made available at <http://absch.cbd.int/xxx>.

<sup>16</sup> Clearing-House record numbers can be found here: <http://absch.cbd.int/xxx>.

<sup>17</sup> Please provide the URL of the website (e.g. <http://absch.cbd.int/>) and the name of the website (e.g. "Access and Benefit-sharing Clearing-House").



9. Postal or Zip code:	<Text entry>
10. *Phone number: <sup>18</sup>	<Text entry>
11. Fax number: <sup>19</sup>	<Text entry>
12. *E-mail address:	<Text entry>
13. Website:	<Text entry>
<b>Additional contact information</b>	
14. *Contact person:	<p>&lt;clearing-house record number&gt;</p> <p><i>Please enter the CBD clearing-house record number containing this information or, if not registered, attach a "Contact details" common format.<sup>20</sup></i></p>
<b>Timeframe for confirmation or updating of information</b>	
<p>Please note that this category of information requires confirmation or updating after two years from the date of submission. After the deadline you will be asked to confirm or update the record within 3 months. After this period, if no confirmation has been received, the record will be marked as "Not confirmed".</p>	

<b>Responsibilities<sup>21</sup></b>	
15. Short description of responsibilities (maximum 500 words): <sup>22</sup>	<Text entry>
16. Area of jurisdiction:	<input type="checkbox"/> Genetic resources found under national jurisdiction <input type="checkbox"/> Genetic resources found under subnational jurisdiction (specify) ↳ Name of the subnational jurisdiction:     <Text entry>

<sup>18</sup> Please use the following format: + (country code) (city code) (telephone number) (extension, if necessary); Example: +1 514 288-2220 ext 221 (where 1 = North America, 514 = Montreal, 288-2220 = CBD Secretariat number, ext = extension).

<sup>19</sup> See footnote above (phone number format).

<sup>20</sup> All ABS Clearing-House common formats are available at <http://absch.cbd.int/xxx>.

<sup>21</sup> Article 13, paragraph 4 provides that "...Where a Party designates more than one competent national authority, it shall convey to the Secretariat, with its notification thereof, relevant information on the respective responsibilities of those authorities. Where applicable, such information, shall, at a minimum, specify which competent authority is responsible for the genetic resource sought..."

<sup>22</sup> Article 13, paragraph 2 provides that "Competent national authorities shall, in accordance with applicable national legislative, administrative or policy measures, be responsible for granting access or, as applicable, issuing written evidence that access requirements have been met and be responsible for advising on applicable procedures and requirements for obtaining prior informed consent and entering into mutually agreed terms."

17. Type of genetic resources	
According to the type of organism:	<input type="checkbox"/> Genetic resources from all types of organisms <input type="checkbox"/> Plants <input type="checkbox"/> Animals <input type="checkbox"/> Microbes <sup>23</sup> <input type="checkbox"/> Other (specify): <Text entry>
According to the area where the genetic resource is found: <sup>24</sup>	<input type="checkbox"/> Genetic resources from all biomes <input type="checkbox"/> Agricultural biomes <input type="checkbox"/> Dry and sub-humid biomes <input type="checkbox"/> Forest biomes <input type="checkbox"/> Inland waters biomes <input type="checkbox"/> Island biomes <input type="checkbox"/> Marine and coastal biomes <input type="checkbox"/> Mountain biomes <input type="checkbox"/> Protected areas <input type="checkbox"/> Other (specify): <Text entry>
Additional information	
18. Any other relevant information: <sup>25</sup>	<Text entry> <i>and/or</i> <URL and website name> <i>and/or</i> <Attachment>
19. Notes: <sup>26</sup>	<Text entry>

<sup>23</sup> This could include, among others, archaea, bacteria, fungi, chromista, protozoa and viruses.

<sup>24</sup> For further information on the biomes identified you can consult the specific thematic programmes of work of the CBD (<http://www.cbd.int/programmes>).

<sup>25</sup> Please use this field to provide any other relevant information that may not have been addressed elsewhere in the record.

<sup>26</sup> The field "Notes" is for personal reference and can be seen only when the record is being edited.

<b>Record validation (offline submission only)</b>	
*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:	
<b>Submission addresses:</b>  This form should be completed and sent <b><i>by e-mail</i></b> to <a href="mailto:secretariat@cbd.int">secretariat@cbd.int</a>  <i>or alternatively by</i>  <ul style="list-style-type: none"><li>• Fax at +1 514 288-6588; or</li><li>• Postal mail to:  <b>Secretariat of the Convention on Biological Diversity 413 rue Saint-Jacques, suite 800 Montreal, Québec, H2Y 1N9 Canada</b></li></ul>	

*National Record Type:*<sup>27</sup> #ABSCH-MEA

**Law, Regulation, Guidelines, Administrative  
or Policy Measures**<sup>28</sup>

*Fields marked with an asterisk are mandatory. Failure to provide information for these fields may result in the record not being made available to the ABS Clearing-House.*

**INTRODUCTION**

This common format is to be used for **legislative, administrative and policy measures** on access and benefit-sharing. This information shall be made available to the Access and Benefit-sharing Clearing-House (ABS-CH) in accordance with paragraph 2 (a) of Article 14 of the Nagoya Protocol on Access and Benefit-sharing.

Access and benefit-sharing measures may include national or regional strategies, policies, legislation or regulations. They may also include measures undertaken at the regional, national, subnational or community level.

<b>Country</b>	
1. *Country:	<Country name>
<b>General information</b>	
2. *Is this a new record or a modification to an existing record: <sup>29</sup>	<input type="checkbox"/> New record OR <input type="checkbox"/> Update of an existing record <clearing-house record number>
3. *Title of document/measure:	<Text entry>

<sup>27</sup> National records contain information that is typically required to be reported as part of a Party's obligations under the Nagoya Protocol on Access and Benefit-sharing and must be validated by the ABS CH clearing authority prior to being made available in the ABS Clearing-House. The information submitted through this common format will be made available at <http://absch.cbd.int/xxx>.

<sup>28</sup> Legislative, administrative and policy measures taken to implement the Protocol are made available to the ABS Clearing-House in accordance with Article 14, paragraph 2 (a) of the Protocol. Please note that to complete this form you may need to also download the following common format(s): Reference record no. 1 (Contact details). The information submitted through this common format will be made available at <http://absch.cbd.int/xxx>.

<sup>29</sup> Clearing-House record numbers can be found here: <http://absch.cbd.int/xxx>.

<p>4. *Jurisdiction:</p>	<p><input type="checkbox"/> Regional/Multilateral              ↳ &lt;Country name&gt; and/or              &lt;Geographical or political/economic group(s)&gt;</p> <p><input type="checkbox"/> National / Federal</p> <p><input type="checkbox"/> Subnational              ↳ Name of the subnational jurisdiction: &lt;Text entry&gt;</p> <p><input type="checkbox"/> Community              ↳ Name of the community: &lt;Text entry&gt;</p> <p><input type="checkbox"/> Other (specify): &lt;Text entry&gt;</p>
<p>5. *Type of document/measure:<sup>30</sup></p>	<p><input type="checkbox"/> Law</p> <p><input type="checkbox"/> Regulatory or administrative measures</p> <p><input type="checkbox"/> Guidelines</p> <p><input type="checkbox"/> Strategy/Action plan</p> <p><input type="checkbox"/> Policy document</p> <p><input type="checkbox"/> Explanatory information</p> <p><input type="checkbox"/> Other (specify) &lt;Text entry&gt;</p>
<p><b>Document details</b></p>	
<p>6. Document text (in its original language):</p>	<p>&lt;Select language&gt;</p> <p>Please provide document text:<sup>31</sup></p> <p>    &lt;Attachment&gt;</p> <p>    or &lt;URL and website name&gt;</p> <p>    or &lt;Text entry&gt;</p>

<sup>30</sup> A *law* is usually legislation (a statute) enacted by state government; a *regulatory or administrative measure* is usually an act or process of controlling by rule or restriction, having legal force, issued by an administrative agency or a local government; *guidelines* are usually a document by which to determine a course of action, sometimes aims to streamline particular processes according to a set routine or sound practice; a *strategy and/or action plan* provides direction for future activities. Other types of policy measures might include a set of principles, research subsidies and incentives, voluntary agreements, etc. *Explanatory information* may include explanatory memoranda, flow charts that describe national ABS processes, or summary of the national framework in place or being developed in a country.

<sup>31</sup> An attachment is preferred. Otherwise, provide the location of the document, i.e. web address including the URL of the website (e.g. <http://absch.cbd.int/>) and the name of the website (e.g. "Access and Benefit-sharing Clearing-House"). Only use text entry to provide details of how to obtain a copy of the document if it is not available as an attachment or online.

7. Translation:	<Select language> Please provide document text: <sup>32</sup> <Attachment> or <URL and website name> or <Text entry>  <input type="checkbox"/> Official translation <input type="checkbox"/> Courtesy translation
8. Current status of the measure:	<input type="checkbox"/> Draft <input type="checkbox"/> Adopted ↳ Please provide the date of adoption <YYYY-MM-DD> <input type="checkbox"/> Entered into force ↳ Please provide the date of entry into force <YYYY-MM-DD>
9. Amendments: <sup>33</sup>	<Text entry> or <clearing-house record number>  <i>Please insert the text of the amendment(s) or enter the clearing-house record number containing this information</i>
10. Relationship with other measures: <sup>34</sup>	<Text entry> or <clearing-house record number>
11. Any other relevant information:	<Attachment> or/and <URL and website name> Short description: <Text entry>
<b>Regulatory contact information</b>	
12. *Contact Institution:	<clearing-house record number>  Please enter the clearing-house record number containing this information or, if not registered, attach a “Contact details” common format. <sup>35</sup>

<sup>32</sup> An attachment is preferred. Otherwise, provide the location of the document, i.e. web address including the URL of the website (e.g. <http://absch.cbd.int/>) and the name of the website (e.g. “Access and Benefit-sharing Clearing-House”). Only use text entry to provide details of how to obtain a copy of the document if it is not available as an attachment or online.

<sup>33</sup> Please indicate if any amendments have been adopted to this document. Provide a cross-reference link if the amendments have been registered as a separate record.

<sup>34</sup> Please indicate if there is any relationship between this document/measure and other law, regulation, guidelines, administrative or policy measures by providing text with the information or/and by linking it to an existing clearing-house record.

<sup>35</sup> All ABS Clearing-House common formats are available at <http://absch.cbd.int/xxx>.



<input type="checkbox"/> Access and/or prior informed consent	<Text entry>
<input type="checkbox"/> To genetic resources	<Text entry>
<input type="checkbox"/> For commercial purposes	<Text entry>
<input type="checkbox"/> For non-commercial purposes	<Text entry>
<input type="checkbox"/> To traditional knowledge associated with genetic resources	<Text entry>
<input type="checkbox"/> For commercial purposes	<Text entry>
<input type="checkbox"/> For non-commercial purposes	<Text entry>
<input type="checkbox"/> Other (specify) <Text entry>	<Text entry>
<input type="checkbox"/> Benefit-sharing and/or mutually agreed terms	<Text entry>
<input type="checkbox"/> Monetary benefits	<Text entry>
<input type="checkbox"/> Non-monetary benefits	<Text entry>
<input type="checkbox"/> Other (please specify): <Text entry>	<Text entry>
<input type="checkbox"/> Compliance measures	<Text entry>
<input type="checkbox"/> Compliance with domestic legislation or regulatory requirements on ABS	<Text entry>
<input type="checkbox"/> Compliance with domestic legislation or regulatory requirements on ABS for traditional knowledge associated with genetic resources	<Text entry>
<input type="checkbox"/> Monitoring the utilization of genetic resources	<Text entry>
<input type="checkbox"/> Checkpoints	<Text entry>
<input type="checkbox"/> Permits or their equivalent	<Text entry>
<input type="checkbox"/> Compliance with mutually agreed terms	<Text entry>
<input type="checkbox"/> Other (please specify): <Text entry>	<Text entry>
<input type="checkbox"/> Transboundary cooperation	<Text entry>
<input type="checkbox"/> Awareness-raising and capacity-building	<Text entry>
<input type="checkbox"/> Other (please specify): <Text entry>	<Text entry>



<b>Timeframe for confirmation or updating of information</b>	
13. Should this information be confirmed or updated after two years from the date of submission? <sup>38</sup>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>Additional information</b>	
14. Any other relevant information: <sup>39</sup>	<Text entry> <i>and/or</i> <URL and website name> <i>and/or</i> <Attachment>
15. Notes: <sup>40</sup>	<Text entry>

<b>Record validation (offline submission only)</b>	
*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 completed and sent <b>by e-mail</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</b>  <b>413 rue Saint-Jacques, suite 800</b>  <b>Montreal, Québec, H2Y 1N9</b>  <b>Canada</b></p>	

<sup>38</sup> If the answer to this question is “Yes”, after two years from the date of submission you will be asked to confirm or update the record within 3 months. After this period, if no confirmation has been received, the record will be marked as “Not confirmed”.

<sup>39</sup> Please use this field to provide any other relevant information that may not have been addressed elsewhere in the record.

<sup>40</sup> The field “Notes” is for personal reference and can be seen only when the record is being edited.

*National Record Type:*<sup>41</sup> #ABSCH-IRCC

**Permits or their equivalent constituting an internationally recognized certificate of compliance**

*Mandatory information fields are marked with an asterisk. Failure to provide information for these fields may result in the permit or its equivalent not being made available to the ABS Clearing-House and consequently the internationally recognized certificate of compliance will not be constituted.*

## INTRODUCTION

This common format is to be used for registering **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) in accordance with paragraph 3 (e) of Article 6 of the Nagoya Protocol on Access and Benefit-sharing. This information is to be made available to the ABS Clearing-House in accordance with paragraph 2 (c) of Article 14.

In accordance with paragraph 2 of Article 17, a permit or its equivalent issued in accordance with paragraph 3 (e) of Article 6 and made available to the ABS Clearing-House, shall constitute an **internationally recognized certificate of compliance**.

Paragraph 3 of Article 17 further establishes that the internationally recognized certificate of compliance shall serve as evidence that the genetic resource which it covers has been accessed in accordance with prior informed consent and that mutually agreed terms have been established, as required by the domestic access and benefit-sharing legislation or regulatory requirements of the Party providing prior informed consent.

Paragraph 4 of Article 17 sets out the minimum information required for the internationally recognized certificate of compliance when it is not confidential, which in turn provides the minimum information to be reported to the ABS Clearing-House in this regard. This information includes:

- (a) Issuing authority;
- (b) Date of issuance;
- (c) The provider;
- (d) Unique identifier of the certificate;
- (e) The person or entity to whom prior informed consent was granted;
- (f) Subject-matter or genetic resources covered by the certificate;
- (g) Confirmation that mutually agreed terms were established;
- (h) Confirmation that prior informed consent was obtained; and
- (i) Commercial and/or non-commercial use.

On the basis of the information provided through this common format on the permit or its equivalent, the ABS Clearing-House will send a courtesy copy of the internationally recognized certificate of compliance constituted from information on the permit or its equivalent made available to the ABS Clearing-House by electronic means to:

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<sup>41</sup> National records contain information that is typically required to be reported as part of a Party's obligations under the Nagoya Protocol on Access and Benefit-sharing and must be validated by the ABS-CH clearing authority prior to being made available in the ABS Clearing-House. The information submitted through this common format will be made available at <http://absch.cbd.int/xxx>.

- (a) The national focal point and the competent national authority or authorities of the country responsible for issuing the permits or its equivalent; and
- (b) The person or entity to whom prior informed consent was granted.

<b>General Information</b>	
1. *Is this a new record or a modification to an existing record: <sup>42</sup>	<input type="checkbox"/> New record OR <input type="checkbox"/> Update of an existing record <clearing-house record number> AND The modification of this permit or its equivalent is been made as mutually agreed with the person or entity to whom prior informed consent was granted <input type="checkbox"/> Yes <input type="checkbox"/> No AND <span style="background-color: #e0e0e0;">[Provide a summary of the reason for the update of the record]</span>
2. *Country:	<Country name>
<b>Issuing Authority</b>	
3. *Competent national authority responsible for issuing the permit or its equivalent:	<clearing-house record number> <sup>43</sup> OR <span style="background-color: #e0e0e0;">&lt;Attach a “Competent national authority” common format&gt;</span> <sup>44</sup>
<b>Details of the permit or its equivalent</b>	
4. *Title / Reference number of the permit or its equivalent: <sup>45</sup>	<Text entry>
5. Additional national references or identifiers: <sup>46</sup>	<Text entry>

<sup>42</sup> If an existing record is being modified, please outline the reason for the modification of the record. Copies of previous permits will be maintained in the system during the pilot phase. Clearing-House record numbers can be found here: <http://absch.cbd.int/xxx>.

<sup>43</sup> Clearing-House record numbers can be found here: <http://absch.cbd.int/xxx>.

<sup>44</sup> Common formats for reporting information are available at: <http://absch.cbd.int/xxx>.

<sup>45</sup> This will appear as the title on the internationally recognized certificate of compliance constituted from information on the permit or its equivalent made available to the ABS Clearing-House.

<sup>46</sup> Please provide information on any national identifiers that may aid users to search and retrieve information on the permit or its equivalent.

6. *Date of issuance of the permit or its equivalent:	<YYYY-MM-DD>
7. *The provider: <sup>47</sup>	<clearing-house record number> OR <Attach a “Contact details” common format>
8. *Person or entity to whom prior informed consent was granted: <sup>48</sup>	<clearing-house record number> OR <Attach a “Contact details” common format>
9. *Subject-matter or genetic resources covered by the permit or its equivalent: <sup>49</sup>	<Text entry>
10. Optional additional subject-matter details: <sup>50</sup>	<input type="checkbox"/> Specimen data: <Link to a voucher specimen held in an appropriate facility> AND/OR <input type="checkbox"/> Taxonomy: <Link to record in external database, e.g. GBIF, Catalogue of Life> AND/OR <input type="checkbox"/> Geographic coordinates: <GIS data>
11. *Confirmation that prior informed consent was obtained or granted: <sup>51</sup>	<input type="checkbox"/> Yes OR <input type="checkbox"/> No

<sup>47</sup> Please provide the name and contact details of the person or entity that holds the right to grant access to the genetic resources in accordance with domestic legislation. If the person or entity has already been registered with the Clearing-House, provide the appropriate record number. Alternatively, please download and complete the following common format: Reference record no. 1 (Contact details). All ABS Clearing-House common formats are available at <http://absch.cbd.int/xxx>.

<sup>48</sup> Please provide the name and contact details of the person or entity to whom prior informed consent was granted. If the person or entity has already been registered with the Clearing-House, provide the appropriate record number. Alternatively, please download and complete the following common format: Reference record no. 1 (Contact details). All ABS Clearing-House common formats are available at <http://absch.cbd.int/xxx>.

<sup>49</sup> Please provide information on the subject matter or genetic resources covered by the permit. This could include biota at any taxonomic rank, which may carry a taxonomic name. It may also include a locality of collection of the material. It may also be possible to identify the genetic resource through reference to a voucher specimen or field notes held in an identified archive or collection.

<sup>50</sup> Providing details about the subject matter or genetic resource covered by the permit or its equivalent can provide additional legal certainty.

<sup>51</sup> Only one option may be selected. If the option NO is selected, the record cannot be posted in the ABS Clearing-House and, therefore, the internationally recognized certificate of compliance will not be constituted.

12. Additional information about the prior informed consent: <sup>52</sup>	<Text entry> AND/OR <Attachment>
13. *Confirmation that mutually agreed terms were established: <sup>53</sup>	<input type="checkbox"/> Yes OR <input type="checkbox"/> No
14. Additional information about the mutually agreed terms: <sup>54</sup>	<Text entry> AND/OR <Attachment>
15. *Indicate if the permit or its equivalent covers commercial and/or non-commercial use:	<input type="checkbox"/> Commercial AND/OR <input type="checkbox"/> Non-commercial.
16. Additional information about the uses covered by the permit or its equivalent or use restrictions: <sup>55</sup>	<Text entry>
17. Conditions for third party transfer: <sup>56</sup>	<Text entry> OR <input type="checkbox"/> Not applicable
18. Date of expiry of the permit or its equivalent:	<YYYY-MM-DD> OR <input type="checkbox"/> Not applicable

<sup>52</sup> If applicable, please provide any additional information about the prior informed consent. Detailed information may be provided in an attached document.

<sup>53</sup> Only one option may be selected. If the option NO is selected, the record cannot be posted in the ABS Clearing-House and, therefore, the internationally recognized certificate of compliance will not be constituted.

<sup>54</sup> If applicable, please provide any information about the mutually agreed terms. For example, this may include information on conditions for access and for benefit-sharing and other relevant information included in the mutually agreed terms. Detailed information may be provided in an attached document.

<sup>55</sup> If applicable, please provide any additional information about the specific uses or any use restrictions for the genetic resources covered by the permit or its equivalent.

<sup>56</sup> Where a permit or its equivalent covers the issue of third party transfer, making this information available through the ABS Clearing-House can enhance legal certainty.

<b>Documentation</b>	
19. Uploaded copy of permit or its equivalent, or other relevant open-access document: <sup>57</sup>	<URL and website name> AND/OR <Attachment> Short description: <Text entry>
<b>Additional information</b>	
20. Any other relevant information: <sup>58</sup>	<Text entry> <i>and/or</i> <URL and website name> <i>and/or</i> <Attachment>
21. Notes: <sup>59</sup>	<Text entry>

<b>Record validation (offline submission only)</b>	
*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	
<b>Submission addresses:</b>	
This form should be completed and sent <b>by e-mail</b> to <a href="mailto:secretariat@cbd.int">secretariat@cbd.int</a> <i>or alternatively by</i> <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</b>  <b>413 rue Saint-Jacques, suite 800</b>  <b>Montreal, Québec, H2Y 1N9</b>  <b>Canada</b></p>	

<sup>57</sup> Please use this field to upload a copy of the permit or its equivalent or other relevant document if desired, or provide a link to its equivalent on a national website. Include a short description of the link or attachment. Note that this information will be made publicly available through the ABS Clearing-House and therefore should not contain confidential information, nor links to information that has restricted access.

<sup>58</sup> Please use this field to provide any other relevant information that may not have been addressed elsewhere in the record.

<sup>59</sup> The field “Notes” is for personal reference and can be seen only when the record is being edited.

National Record Type:<sup>60</sup> #ABSCH-CKP

### Checkpoint

*Mandatory information fields are marked with an asterisk. Failure to provide information for these fields may result in the record not being made available to the ABS Clearing-House.*

## INTRODUCTION

This common format is to be used for registering contact details of **checkpoints** designated under paragraph 1 (a) of Article 17, who collect or receive, as appropriate, relevant information related to prior informed consent, to the source of the genetic resource, to the establishment of mutually agreed terms, and/or to the utilization of genetic resources.

General information	
1. *Country:	<Country name>
2. *Is this a new record or a modification to an existing record: <sup>61</sup>	<input type="checkbox"/> New record OR <input type="checkbox"/> Update of an existing record <clearing-house record number>
3. *Name of the checkpoint:	<Text entry>
4. Website address: <sup>62</sup>	<Text entry>
Contact details	
5. Address:	<Text entry>
6. *City:	<Text entry>
7. State or Province:	<Text entry>
8. *Country:	<Text entry>
9. Postal or Zip code:	<Text entry>

<sup>60</sup> National records contain information that is typically required to be reported as part of a Party's obligations under the Nagoya Protocol on Access and Benefit-sharing and must be validated by the ABS-CH clearing authority prior to being made available in the ABS Clearing-House. The information submitted through this common format will be made available at <http://absch.cbd.int/xxx>.

<sup>61</sup> Clearing-House record numbers can be found here: <http://absch.cbd.int/xxx>.

<sup>62</sup> Please provide the URL of the website (e.g. <http://absch.cbd.int/>) and the name of the website (e.g. "Access and Benefit-sharing Clearing-House").

10. *Phone number: <sup>63</sup>	<Country code> <city code> <telephone number>
11. Fax number: <sup>64</sup>	<Text entry>
12. *E-mail address:	<Text entry>
13. Website:	<Text entry>
<b>Clearing authority for the checkpoint communiqué</b>	
14. *Contact details of the person who has the clearing authority: <sup>65</sup>	<clearing-house record number> <i>Please enter the name and e-mail address that is registered in the ABS Clearing-House or, if not registered, attach a “Contact details” common format<sup>66</sup></i>
<b>Timeframe for confirmation or updating of information</b>	
Please note that this category of information requires confirmation or updating after two years from the date of submission. After the deadline you will be asked to confirm or update the record within 3 months. After this period, if no confirmation has been received, the record will be marked as “Non-confirmed”.	

<b>Responsibilities</b>	
15. Short description of responsibilities (maximum 300 characters): <sup>67</sup>	<Text entry>
16. Area of Jurisdiction	<input type="checkbox"/> National <input type="checkbox"/> Subnational ↳ Name of the subnational jurisdiction: <Text entry> <input type="checkbox"/> Other (specify): <Text entry>

<sup>63</sup> Please use the following format: + [country code] [city code] [telephone number] [extension, if necessary]; Example: +1 514 288-2220 ext 221 (where 1 = North America, 514 = Montreal, 288-2220 = CBD Secretariat number, ext = extension).

<sup>64</sup> See footnote above (phone number format).

<sup>65</sup> Please identify the person who has the clearing authority for making the checkpoint communiqué available to the ABS Clearing-House.

<sup>66</sup> All ABS Clearing-House common formats are available at <http://absch.cbd.int/xxx>.

<sup>67</sup> Article 17, paragraph 1 (a) (i) provides that designated checkpoints would collect or receive relevant information related to prior informed consent, to the source of the genetic resource, to the establishment of mutually agreed terms, and/or to the utilization of genetic resources, as appropriate; subparagraph (iv) provides that checkpoints should have functions relevant to the utilization of genetic resources, or to the collection of relevant information at, *inter alia*, any stage of research, development, innovation, pre-commercialization or commercialization.



<b>National authority/ies<sup>68</sup> to receive the information collected or received by the designated checkpoint</b>	
17. *National authority/ies to receive a courtesy copy of the checkpoint communiqué: <sup>69</sup>	<input type="checkbox"/> I would like to send a copy of the communiqué to all competent national authorities within my country OR Please select which competent national authority/ies from the list to whom you wish to send a copy of the communiqué <List of CNAs> OR/AND Please select any other national authority/ies to whom you wish to send a copy of the communiqué <clearing-house record number> Please enter the name and e-mail address that is registered in the ABS Clearing-House or, if not registered, attach a "Contact details" common format <sup>70</sup>
<b>Additional information</b>	
18. Any other relevant information: <sup>71</sup>	<Text entry> and/or <URL and website name> and/or <Attachment>
19. Notes: <sup>72</sup>	<Text entry>

<b>Record validation (offline submission only)</b>	
*Country:	<Country name>
*Name of the ABS-CH clearing authority:	<Text entry>

<sup>68</sup> In accordance with Article 17, paragraph 1 (a) (i) and (iii), of the Nagoya Protocol, the information collected or received by the checkpoint related to prior informed consent, to the source of the genetic resource, to the establishment of mutually agreed terms, and/or to the utilization of genetic resources, including from the internationally recognized certificate of compliance, needs to be provided to relevant national authorities, to the Party providing prior informed consent and to the ABS Clearing-House, as appropriate. A common format has been developed with a view to assisting checkpoints to fulfil their reporting obligations to the ABS Clearing-House and is available at <http://absch.cbd.int/xxx> as a checkpoint communiqué. On the basis of the information provided by the checkpoint, the ABS Clearing-House will issue a communiqué and automatically send a courtesy copy to the designated national authority/ies of your country.

<sup>69</sup> Please indicate to which national authority or contact person you wish to send the information collected or received by the designated checkpoint. For multiple authorities, please include multiple record numbers or contact details forms.

<sup>70</sup> All ABS Clearing-House common formats are available at <http://absch.cbd.int/xxx>.

<sup>71</sup> Please use this field to provide any other relevant information that may not have been addressed elsewhere in the record.

<sup>72</sup> The field "Notes" is for personal reference and can be seen only when the record is being edited.

*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:	
<b>Submission addresses:</b> This form should be completed and sent <b><i>by e-mail</i></b> to <a href="mailto:secretariat@cbd.int">secretariat@cbd.int</a>  <i>or alternatively by</i>  <ul style="list-style-type: none"><li>• Fax at +1 514 288-6588; or</li><li>• Postal mail to:  <b>Secretariat of the Convention on Biological Diversity 413 rue Saint-Jacques, suite 800 Montreal, Québec, H2Y 1N9 Canada</b></li></ul>	

National Record Type:<sup>73</sup> #ABSCH-CHC

**Checkpoint Communiqué**

*Mandatory information fields are marked with an asterisk. Failure to provide information for these fields may result in the record not being made available to the ABS Clearing-House.*

**INTRODUCTION**

This common format is to be used **by checkpoints** to provide relevant information related to prior informed consent, to the source of the genetic resource, to the establishment of mutually agreed terms, and/or to the utilization of genetic resources (Article 17, paragraph 1 (a) (i)), including from the internationally recognized certificate of compliance, when such a certificate is available. In accordance with paragraph 1 (a) (iii) of Article 17 of the Nagoya Protocol, such information collected by the checkpoint needs to be provided to relevant national authorities, to the Party providing prior informed consent and to the ABS Clearing-House, as appropriate.

On the basis of the information collected or received by the checkpoint and provided to the ABS Clearing-House, a courtesy copy of the report of the record on the communiqué containing the information provided by the checkpoint will be automatically sent by electronic means to the following entities, as appropriate:

- The designated national authority/ies; and
- The national focal point of the country and the competent national authority/ies of the country providing prior informed consent.

<b>General Information</b>	
1. *Country	<Country name>
2. *Is this a new record or a modification to an existing record:	<input type="checkbox"/> New record OR <input type="checkbox"/> Update of an existing record <clearing-house record number> <sup>74</sup>
3. *Checkpoint providing the information	<clearing-house record number> OR <Attach a “Checkpoint” common format> <sup>75</sup>

<sup>73</sup> National records contain information that is typically required to be reported as part of a Party’s obligations under the Nagoya Protocol on Access and Benefit-sharing and must be validated by the ABS-CH clearing authority prior to being made available in the ABS Clearing-House. The information submitted through this common format will be made available at <http://absch.cbd.int/xxx>.

<sup>74</sup> ABS-CH record numbers can be found <http://absch.cbd.int/xxx>.

<sup>75</sup> Common formats for reporting information are available at <http://absch.cbd.int/xxx>.

<b>Details of the internationally recognized certificate of compliance</b>	
4. *Reference number of the internationally recognized certificate of compliance that relates to this communiqué:	<Unique identifier of the internationally recognized certificate of compliance>
<b>If the internationally recognized certificate of compliance is not available, please fill in sections 5 to 9 below.</b>	
5. *Country/ies of origin of the genetic resources or Party that has acquired the genetic resources in accordance with the Convention:	<Country name>
6. *Competent national authority responsible for granting prior informed consent:	<clearing-house record number> OR <input type="checkbox"/> Not applicable
7. *Subject-matter or genetic resources relevant to the information collected or received: <sup>76</sup>	<Text entry>
8. Optional additional subject matter details: <sup>77</sup>	<input type="checkbox"/> Specimen data: <Link to a voucher specimen held in an appropriate facility> AND/OR <input type="checkbox"/> Taxonomy: <Link to record in external database, e.g. GBIF, Catalogue of Life> AND/OR <input type="checkbox"/> Geographic coordinates: <GIS data>
9. *User of the genetic resources: <sup>78</sup>	<clearing-house record number> <i>Please enter the clearing-house record number containing this information or, if not registered, attach a "Contact details" common format<sup>79</sup></i>

<sup>76</sup> Please provide information on the subject matter or genetic resources relevant to the information provided or received by the checkpoint. This could include biota at any taxonomic rank, which may carry a taxonomic name. It may also include a locality of collection of the material. It may also be possible to identify the genetic resource through reference to a voucher specimen or field notes held in an identified archive or collection.

<sup>77</sup> Providing details about the subject matter or genetic resource covered by the permit or its equivalent can provide additional legal certainty.

<sup>78</sup> Please provide the contact details of the person or entity using the genetic resources and which is relevant for the information collected or received by the checkpoint (e.g., the patent applicant, the author of the publication, etc.).

<sup>79</sup> All ABS Clearing-House common formats are available at <http://absch.cbd.int/xxx>.

<b>Documentation</b>	
10. *Title of the communiqué:	<Text entry>
11. *Short description of the information collected or received relevant to the utilization of genetic resources: <sup>80</sup>	<Text entry>
12. Date on which the information was collected or received:	<YYYY-MM-DD>
13. Linkages with other checkpoint communiqués, if applicable:	<clearing-house record number> <i>OR</i> <Text entry>
14. Upload a copy of relevant document or information:	Please provide document text: <sup>81</sup> <Attachment> or <URL and website name> or <Text entry>
<b>Additional information</b>	
15. Any other relevant information: <sup>82</sup>	<Text entry> <i>and/or</i> <URL and website name> <i>and/or</i> <Attachment>
16. Notes: <sup>83</sup>	<Text entry>

<b>Record validation (offline submission only)</b>	
*Country:	<Country name>
*Name of the ABS-CH clearing authority:	<Text entry>
*Date:	<YYYY-MM-DD>

<sup>80</sup> This could include information on utilization of genetic resources at, *inter alia*, any stage of research, development, innovation, pre-commercialization or commercialization.

<sup>81</sup> An attachment is preferred. Otherwise, provide the location of the document, i.e. web address including the URL of the website (e.g. <http://absch.cbd.int/>) and the name of the website (e.g. "Access and Benefit-sharing Clearing-House"). Only use text entry to provide details of how to obtain a copy of the document if it is not available as an attachment or online.

<sup>82</sup> Please use this field to provide any other relevant information that may not have been addressed elsewhere in the record.

<sup>83</sup> The field "Notes" is for personal reference and can be seen only when the record is being edited.

*I hereby confirm that the above information is correct and agree to its inclusion in the ABS Clearing-House.*

\*Signature of the ABS-CH clearing authority

**Submission addresses:**

This form should be should be completed and sent ***by e-mail*** to [secretariat@cbd.int](mailto:secretariat@cbd.int)

*or alternatively by*

- Fax at +1 514 288-6588; or
- Postal mail to:

**Secretariat of the Convention on Biological Diversity  
413 rue Saint-Jacques, suite 800  
Montreal, Québec, H2Y 1N9  
Canada**

*Annex II*

**INTERNATIONALLY RECOGNIZED CERTIFICATE OF COMPLIANCE CONSTITUTED  
FROM INFORMATION ON THE PERMIT OR ITS EQUIVALENT MADE AVAILABLE TO  
THE ABS CLEARING-HOUSE**

**Internationally recognized certificate of compliance constituted from information on the permit or its equivalent made available to the ABS Clearing-House**

In accordance with paragraph 2 of Article 17 of the Nagoya Protocol on Access and Benefit-sharing, a permit or its equivalent issued in accordance with paragraph 3 (e) of Article 6 and made available to the Access and Benefit-sharing Clearing-House, shall constitute an internationally recognized certificate of compliance.

**ABS Clearing-House unique identifier:** [automatically generated]

**Title/reference number of the permit or its equivalent:** [Section 4 #ABSCH-IRCC]

Additional national references or identifiers: [Section 5 #ABSCH-IRCC]

**Date of creation of the record** [automatically generated]

Date and reason of the update, if applicable: [automatically generated and section 1 #ABSCH-IRCC]

**Issuing authority:**

Country [Section 2 #ABSCH-IRCC]

Competent national authority responsible for issuing the permit or its equivalent: [Section 3 #ABSCH-IRCC]

**Date of issuance of the permit or its equivalent:** [Section 6 #ABSCH-IRCC]

**The provider:**

Contact details: [Section 7 #ABSCH-IRCC]

**The person or entity to whom prior informed consent was granted:**

Contact details: [Section 8 #ABSCH-IRCC]

**Subject-matter or genetic resources covered by the certificate:** [Section 9 #ABSCH-IRCC]

Additional information: [Section 10 #ABSCH-IRCC]

**Confirmation that prior informed consent was obtained:** YES

Additional information: [Section 12 #ABSCH-IRCC]

**Confirmation that mutually agreed terms were established:** YES

Additional information: [Section 14 #ABSCH-IRCC]

**Commercial and/or non-commercial use** [Section 15 #ABSCH-IRCC 5]

Commercial use: YES / NO

Non-commercial use: YES / NO

### Additional information

Additional information about the specified uses covered by the permit or its equivalent or use restrictions: [Section 16 #ABSCH-IRCC]

Conditions of third party transfer: [Section 17 #ABSCH-IRCC]

Date of expiry: [Section 18 #ABSCH-IRCC]

Copy of permit or its equivalent or other relevant document: [Section 19 #ABSCH-IRCC]

Any other relevant information: [Section 20 #ABSCH-IRCC]

The internationally recognized certificate of compliance constituted from information on the permit or its equivalent made available to the ABS Clearing-House can also be found on the Access and Benefit-sharing Clearing-House at <http://absch.cbd.int/xxx>.

### Further information

**Questions about the permit or its equivalent** constituting an internationally recognized certificate of compliance should be addressed to the competent national authority issuing the permit or its equivalent. Additional information about the permit or its equivalent may be available in the Access and Benefit-sharing Clearing-House at <http://absch.cbd.int/xxx>.

Questions about the **Nagoya Protocol on Access and Benefit-sharing** or the operation of the **Access and Benefit-sharing Clearing-House** may be directed to:

**Secretariat of the Convention on Biological Diversity**  
**413 rue Saint-Jacques, suite 800**  
**Montreal, Québec, H2Y 1N9**  
**Canada**

**Fax:** +1 514 288-6588

**E-mail:** [secretariat@cbd.int](mailto:secretariat@cbd.int)



*Annex III*

**REPORT ON THE RECORD OF THE CHECKPOINT COMMUNIQUÉ**

**Report of the record on checkpoint communiqué**

On the basis of the information collected or received by the checkpoint and provided to the ABS Clearing-House pursuant to Article 17 of the Nagoya Protocol, a courtesy copy of the report of the record on the communiqué will be automatically sent by electronic means to the designated national authority/ies, the national focal point of the country and the competent national authority/ies providing prior informed consent, as appropriate.

**Reference number/title of the communiqué:** [Section 12 #ABSCH-CKC]

**Date of creation of the record:** [automatically generated]

**Issuing authority:**

Country [Section 1 #ABSCH-CKC]

Checkpoint providing the information: [Section 3 #ABSCH-CKC]

Short description of checkpoint responsibilities: [Section 5 #ABSCH-CKP]

**Unique identifier of the internationally recognized certificate of compliance:** [Section 4 #ABSCH-CKC]

Title/reference number of the permit or its equivalent: [Section 4 #ABSCH-IRCC]

Additional national identifiers: [Section 5 #ABSCH-IRCC]

The internationally recognized certificate of compliance constituted from information on the permit or its equivalent made available to the ABS Clearing-House can also be found on the Access and Benefit-sharing Clearing-House at <http://absch.cbd.int/xxx>.

**Country of origin of the genetic resources or Party that has acquired the genetic resources in accordance with the Convention:** [Section 5 #ABSCH-CKC]

Competent national authority responsible for granting prior informed consent: [Section 6 #ABSCH-CKC]

**Subject-matter or genetic resources relevant to the information collected or received:** [Section 7 #ABSCH-CKC]

Optional additional subject matter details [Section 8 #ABSCH-CKC]

**User of the genetic resource:** [Section 9 #ABSCH-CKC]

**Short description of the information collected or received relevant to the utilization of genetic resources:** [Section 10 #ABSCH-CKC]

**Date on which the information was collected or received:** [Section 11 #ABSCH-CKC]

**Documentation:**

Relationship with other checkpoint communiqués: [Section 13 #ABSCH-CKC]

Relevant document or information: [Section 14 #ABSCH-CKC]

**Additional information:**

Any other relevant information: [Section 15 #ABSCH-CKC]

*This checkpoint communiqué is also available on the Access and Benefit-sharing Clearing-House at <http://absch.cbd.int/xxx>.*

#### **Further information**

**Questions about this communiqué** should be addressed to the issuing checkpoint. Additional information about the permit or its equivalent constituting an internationally recognized certificate of compliance relevant for this communiqué may be available in the Access and Benefit-sharing Clearing-House (<http://absch.cbd.int/xxx>).

Questions about the **Nagoya Protocol on Access and Benefit-sharing** or the operation of the **Access and Benefit-sharing Clearing-House** may be directed to:

**Secretariat of the Convention on Biological Diversity**  
**413 rue Saint-Jacques, suite 800**  
**Montreal, Québec, H2Y 1N9**  
**Canada**

**Fax:** +1 514 288-6588

**E-mail:** [secretariat@cbd.int](mailto:secretariat@cbd.int)

*Annex IV*

**LIST OF TERMS IN THE CONTROLLED VOCABULARY OF THE ABS CLEARING-HOUSE**

-Access to genetic resources (Article 15 of the Convention on Biological Diversity)

-Nagoya Protocol

- Scope
- Access (Prior informed consent)
- Benefit-sharing (Mutually agreed terms)
- Compliance
- Traditional knowledge associated with genetic resources
  - Community protocols
  - Customary laws and procedures
- Monitoring of genetic resources
  - Checkpoints
  - Internationally recognized certificate of compliance
- Global multilateral benefit-sharing mechanism
- Access and Benefit-sharing Clearing-House
- Model contractual clauses
- Codes of conduct, guidelines, and best practices and or/standards
- Awareness-raising
- Capacity
- Technology transfer, collaboration and cooperation

- ABS legislative, administrative or policy measures

- Type of genetic resources

- Type of organism:
  - Animal
  - Microbes
  - Plant
- Genetic resources from:
  - Agricultural biomes
  - Dry and sub-humid biomes
  - Forest biomes
  - Inland waters biomes
  - Island biomes
  - Marine and coastal biomes
  - Mountain biomes
  - Protected areas

-Users of genetic resources

- Commercial purpose
  - Agricultural sector
  - Botanical and horticultural sector
  - Food and beverage
  - Industrial biotechnology
  - Personal care and cosmetics
  - Pharmaceutical sector
- Non-commercial purpose
  - Academic research
  - Identification and taxonomy

-ABS agreements

-Intellectual property rights

-Relevant international agreements, instruments and organizations

- Antarctic Treaty System
- Food and Agriculture Organization
  - Commission on Genetic Resources for Food and Agriculture
  - International Treaty on Plant Genetic Resources for Food and Agriculture
- World Health Organization
- World Intellectual Property Organization
- World Trade Organization
- United Nations Convention on the Law of the Sea

*Annex V*

**PROPOSED PROCEDURE TO GENERATE A UNIQUE IDENTIFIER THROUGH  
THE ABS CLEARING-HOUSE**

1. A simple format for generating a unique identifier through the ABS Clearing-House could be as follows:

(a) A prefix indicating the unique identifier has been generated by the ABS Clearing-House, e.g. ABSCH;

(b) Two alphabetical digits to designate the country of submission according to ISO 3166-1 alpha-2 codes standard published by the International Organization for Standardization,<sup>84</sup> e.g. CA;

(c) Six numerical digits to identify the ABS-CH record, e.g. 012345;

(d) One numerical digit as a verification tool (this is intended to reduce errors by ensuring the integrity of the alphanumeric code), to be generated as elaborated below, e.g. 1.

A sample unique identifier generated according to this format would therefore appear as follows:  
ABSCH-CA-012345-1

2. The verification digit is made up of a single numerical digit. It is calculated by adding together the numerical values of the alphanumeric digits in the unique identifier (not including the prefix). The numerical value of each of the digits is from 0 to 9 for the numerical digits (0 to 9) and 1 to 26 for the alphabetical digits (A to Z). The total sum, if made up of several numerical digits, will be further calculated by adding the remaining digits together using the same rule, in an iterative process, until the final sum is a single numerical digit.

3. For example, the verification digit for the code CA-12345 would be calculated as follows:

(a) Step one:  $(3+1)+(0+1+2+3+4+5) = 19$ ;

(b) Step two:  $1+9 = 10$ ;

(c) Step three:  $1+0 = 1$ ; therefore the verification digit for this certificate is 1.

4. Therefore, the ABS Clearing-House unique identifier would be generated by combining the country code + 6 alphanumeric digits to identify the record + the verification digit, giving ABSCH-CA-012345-1.

5. Other unique identifiers that may be provided by users may make use of nationally generated identifiers, DNA barcodes, taxonomic data and/or voucher specimens.

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<sup>84</sup> Available at [http://www.iso.org/iso/country\\_codes/iso\\_3166\\_code\\_lists/country\\_names\\_and\\_code\\_elements.htm](http://www.iso.org/iso/country_codes/iso_3166_code_lists/country_names_and_code_elements.htm).