



Convention on Biological Diversity

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

First meeting

Pyeongchang, Republic of Korea, 13–17 October 2014

Item 9 of the provisional agenda*

MONITORING AND REPORTING (ARTICLE 29)

Note by the Executive Secretary

I. INTRODUCTION

1. Article 29 of the Nagoya Protocol requires Parties to monitor implementation of their obligations under the Protocol, at intervals and in the format to be determined by the Conference of the Parties serving as the meeting of the Parties to the Protocol (COP-MOP), and to report to the COP-MOP on measures taken to implement the Protocol.
2. At its eleventh meeting, the Conference of the Parties in paragraph 6 (a) of decision XI/1 A, decided that the item “Monitoring and reporting (Article 29)” should be considered by the Open-ended Ad Hoc Intergovernmental Committee for the Nagoya Protocol (the Intergovernmental Committee) at its third meeting in preparation for the first meeting of the Parties to the Nagoya Protocol.
3. The third meeting of the Intergovernmental Committee considered the issue¹ and requested the Executive Secretary, to prepare a draft format for an interim national report for consideration by the first meeting of the Parties to the Protocol, taking into account the need for clear and simple reporting requirements (recommendation 3/7, paragraph 1). It also recommended that the draft format should:
 - (a) Avoid duplication in relation to the submission of information already made available through the Access and Benefit-sharing Clearing-House and national reports under the Convention on Biological Diversity;
 - (b) Consist of simple structured questions allowing for flexibility to respond to checkboxes, as well as to provide narrative information, in particular on difficulties encountered in implementing the Nagoya Protocol;
 - (c) Allow for submission of information through the Access and Benefit-sharing Clearing-House, including the option to submit information offline.
4. In light of the above, the Executive Secretary has prepared the present note. Section II, pursuant to the guidance provided by the Intergovernmental Committee (recommendation 3/7), further explains the suggested criteria for developing and making use of the interim national report; section III includes issues

* UNEP/CBD/NP/COP-MOP/1/1.

¹ See document UNEP/CBD/ICNP/3/9 for further information.

for consideration by COP-MOP and the annex contains the draft guidelines and format for the interim national report for the consideration and adoption by COP-MOP.

II. CRITERIA FOR DEVELOPING AND MAKING USE OF THE INTERIM NATIONAL REPORT

A. Avoiding duplication in relation to the submission of information already made available through the ABS Clearing-House

5. In order to avoid duplication in the submission of information and make the best use of the information already made available through the ABS Clearing-House, it is proposed that the interim national report complements the information already contained in the ABS Clearing-House. Countries would be given the possibility of linking existing national and reference ABS Clearing-House records published by the publishing authority² to the different sections of the interim national report. When consolidating information for consideration by the COP-MOP, the Secretariat, in addition to the information contained in the interim national report, will also include relevant information already published in the ABS Clearing-House, inter alia:

- (a) National focal points (NFP);
- (b) Competent national authority/ies (CNA);
- (c) Checkpoints (CP);
- (d) The number of permits or its equivalents constituting an internationally recognized certificate of compliance (IRCC);
- (e) The number of checkpoints communiqués (CPC).

6. Countries, when preparing the interim national report, could take the opportunity to ensure that all relevant national information has been made available to the ABS Clearing-House and that the current ABS Clearing-House records are up to date. The Secretariat could contact countries in cases of discrepancies between information from records available in the ABS Clearing-House and information submitted through the interim national report.

B. Consisting of simple structured questions as well as to allow the provision of narrative information

7. The draft interim reporting format proposed in the annex to this document provides for simple structured yes/no questions on implementation of the obligations of the Protocol while giving flexibility for countries to provide narrative information.

8. Questions that are based on Parties' obligations under the Protocol are identified as mandatory and are marked with an asterisk. In addition some questions are not strictly based on the provisions of the Protocol and are identified as voluntary.

9. At the end of each subsection, a field for additional information is provided where countries have the opportunity to describe the main challenges and difficulties encountered in implementing the related obligations set out by the Protocol and to link existing ABS Clearing-House records, websites or to upload documents.

² The Intergovernmental Committee at its third meeting invited Parties to designate a publishing authority and one or more national authorized users with a view to having a fully functional Access and Benefit-sharing Clearing-House by the time of entry into force of the Nagoya Protocol (recommendation 3/4, paragraph 3). Accordingly, by notification 2014-045 (SCBD/ABS/BG/aba/83333) of 21 March 2014 and reminder of 27 May 2014, the Executive Secretary invited Parties to designate a publishing authority, and one or more national authorized users if they so wished. Document UNEP/CBD/NP/COP-MOP/1/2/Add.1 on draft modalities of operation of the ABS Clearing-House proposes that the national focal point on access and benefit-sharing shall communicate to the Secretariat the designation of the publishing authority for the ABS Clearing-House. One of the suggested functions of the publishing authority is to authorize the publication of all national records registered on the ABS Clearing-House. For further information please see also the report on progress made and feedback received in the implementation of the pilot phase of the Access and Benefit-Sharing Clearing-House (UNEP/CBD/NP/COP-MOP/1/2).

C. *Allow for submission of information through the Access and Benefit-sharing Clearing-House, including the option to submit information offline*

10. Countries are encouraged to submit the interim national report online through the ABS Clearing-House, however countries would be given the possibility for submitting information offline and the Secretariat would make the information available online on their behalf.

D. *Avoiding duplication in relation to the submission of information already made available through the national reports under the Convention on Biological Diversity*

11. Parties to the Convention were requested to submit their fifth national report by 31 March 2014 for their consideration by the twelfth meeting of the Conference of the Parties (COP). National reports are currently submitted offline. Meanwhile, a voluntary online reporting tool is being developed in response to paragraph 10 of decision VIII/14 and paragraph 3 (e) of decision X/2. This tool allows Parties to the Convention to report on progress towards implementation of national and Aichi Biodiversity Targets. This tool is expected to be operational after the twelfth meeting of the Conference of the Parties and to be made available through the clearing-house mechanism (CHM),³ pursuant to a decision to be made at the twelfth meeting of the Conference of the Parties as recommended by the fifth meeting of the Ad Hoc Open-ended Working Group on Review of Implementation of the Convention (WGRI).

12. The Ad Hoc Open-ended Working Group on Review of Implementation of the Convention, at its fifth meeting, recommended to the Conference of the Parties to request the Executive Secretary to prepare, on the basis of the experiences and lessons learned from the preparation of the fifth national report and the use of the voluntary online reporting tool, proposals for the sixth national report to facilitate streamlined reporting on issues covered by the Convention and its Protocols as well as any further improvement that may be needed to the online reporting tool, for consideration by the Ad Hoc Open-ended Working Group on Review of Implementation of the Convention at its sixth meeting or by the subsidiary body on implementation that may be established (paragraph 12 of recommendation 5/2).⁴

13. Therefore the following proposals are made with a view to avoiding duplications, and taking into account the current status of national reports under the Convention as well as the voluntary online reporting tool, without prejudice that further linkages could be explored at later stage.

14. Against this background, it is proposed that common and relevant information be made available through the CHM and the ABS Clearing-House, in particular:

(a) The interim national reports on the implementation of the Nagoya Protocol submitted through the ABS Clearing-House could be made available in the country information on voluntary online reporting tool included in the CHM of the Convention as “other reports”;

(b) Information submitted about national targets and indicators related to Aichi Biodiversity Target 16 through the voluntary online reporting tool could be made available through the ABS Clearing-House as part of the country profile;

(c) Information submitted through the common format on implementation activities through the voluntary online reporting tool of the CHM could be made available in the ABS Clearing-House and countries could provide a link to these records in the interim national report on the implementation of the Nagoya Protocol if they wish to do so.

E. *Interim national report as a tool to support implementation of the Nagoya Protocol*

15. The interim national report could be a useful tool for both Parties and non-Parties to the Nagoya Protocol to assess the level of implementation of the Nagoya Protocol, as well as gaps, and needs in terms

³ For more information please see: <https://chm.cbd.int/management/national-reporting>

⁴ The COP, at its twelfth meeting, will also consider the terms of reference for a possible subsidiary body on implementation to replace the Ad Hoc Open-ended Working Group on Review of Implementation of the Convention with the mandate set out in the terms of reference in annex y to this decision.

of capacity. Information submitted through the interim national report could also serve to share experiences, challenges, solutions and best practices among countries in relation to the implementation of the Nagoya Protocol. In this regard, the interim national report can be a valuable tool for building and developing capacity to implement the Nagoya Protocol and for designing capacity-building activities more effectively.

16. The interim national report could be made available as part of the country profile in the ABS Clearing-House. In addition, the search function could also allow for searches within the interim national reports.

17. The third meeting of the Intergovernmental Committee recommended that the interim national report should be submitted twelve months before the third meeting of the COP-MOP (approximately by the end of 2017). An early submission of the interim national report could assist countries to assess the level of preparedness for implementing the Nagoya Protocol, as well as to identify gaps, and needs in terms of capacity and could assist in establishing a baseline for monitoring progress in implementation. In order to optimize the potential benefits of using this tool in support of the effective implementation of the Protocol, countries could be encouraged to submit the interim national report as soon as the facility is made available in the ABS Clearing-House and to update it at regular intervals until twelve months before the third meeting of the COP-MOP.

18. The first interim national report could serve as a baseline and each subsequent report submitted, will be, in fact, a new report, which will allow for monitoring progress made in implementation over time.

19. In order to facilitate this process, the Executive Secretary and partners could be invited to make use of and to take into account the interim national reports when carrying out capacity-building and development activities to support the implementation of the Nagoya Protocol.

III. ELEMENTS FOR A DRAFT DECISION

20. The COP-MOP may wish to consider and adopt the draft guidelines and format for submission of the interim national report on the implementation on the Nagoya Protocol contained in annex to this document.

21. The COP-MOP may wish to also consider the following draft decision recommended by the Intergovernmental Committee in recommendation 3/7, paragraph 2:

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

1. *Requests* the Executive Secretary to make the format for the interim national report annexed hereto available through the Access and Benefit-sharing Clearing-House, including the option to submit information offline;

2. *Invites* Parties and other Governments to submit an interim national report on the implementation of their obligations under the Nagoya Protocol:

- (a) In an official language of the United Nations;
- (b) Through the Access and Benefit-sharing Clearing-House;
- (c) Twelve months prior to the third meeting of the Conference of the Parties serving as the meeting of the Parties to the Nagoya Protocol.

3. *Requests* the Executive Secretary to consolidate information contained in the interim national reports received and information published in the Access and Benefit-sharing Clearing-House for the consideration of the third meeting of the Conference of the Parties serving as the meeting of the Parties to the Nagoya Protocol, as a contribution to the assessment and review of the effectiveness of the Protocol by the Conference of the Parties serving as the meeting of the Parties to the Nagoya Protocol, pursuant to Article 31;

4. *Invites* the Global Environment Facility to make financial resources available, with a view to assisting eligible Parties to prepare their national reports;

5. *Decides* to consider the intervals for reporting at its third meeting;
 6. *Also decides* to keep the format of the national report under review, based on feedback received from Parties and the experience gained.
22. In addition, the Conference of the Parties serving as the meeting of the Parties to the Nagoya Protocol, taking into account section II of this document, may wish to consider:
- (a) To request the Executive Secretary, in light of the outcomes of the Conference of the Parties serving as the meeting of the Parties to the Protocol and developments on the Access and Benefit-sharing Clearing-House, to review the format for the interim national report contained annexed hereto and to make it available as soon as possible through the Access and Benefit-sharing Clearing-House, taking into account the need to avoid duplication in relation to the submission of information already made available through the ABS Clearing-House and the clearing-house mechanism;
 - (b) To encourage Parties and other Governments to submit the interim national report as soon as the format is made available through the ABS Clearing-House in order to establish a baseline, and to update it at regular intervals until twelve months prior to the third meeting of the Conference of the Parties serving as the meeting of the Parties to the Nagoya Protocol;
 - (c) To request the Executive Secretary and invite Parties, other Governments and relevant organizations to make use of and to take into account the interim national reports when carrying out capacity-building and development activities to support the implementation of the Nagoya Protocol.

Annex

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

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

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

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

Information submitted through the interim national report could also serve to share experiences, challenges and solutions among countries in relation to the implementation of the Nagoya Protocol. In this regard, the interim national report can be a valuable tool for building and developing capacity to implement the Protocol and for designing capacity-building activities more effectively. Countries are encouraged to update the interim report at regular intervals and each subsequent report submitted, will be, in fact, a new report, which would allow for the monitoring progress made in implementation over time.

The format is intended to minimize the reporting burden on countries and therefore questions are simple in nature (yes or no questions). Generally, these questions are followed by text entries where countries are invited to report on difficulties and challenges to implement particular provisions of the Protocol and to provide further information on the issue by linking to existing Access and Benefit-sharing Clearing-House (ABS Clearing-House) records, websites or uploading documents. This is an opportunity to identify good practices and constraints in implementation of the Nagoya Protocol.

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

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

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

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

Countries are encouraged to use the online version of the format and to submit the report through the ABS Clearing-House and to use the opportunity to update and review the accuracy of existing national information on the ABS Clearing-House.

For offline submissions to the ABS Clearing-House, please use the protected form in MS Word format. It is recommended that countries send the report via email to the Secretariat secretariat@cbd.int, together with a scanned copy of the last page signed by the ABS Clearing-House publishing authority.

Interim national report on the implementation of the Nagoya Protocol

Country	
1. *Country:	<Country name>
General information	
2. *Is this a new record or a modification to an existing record: ⁵	<input type="checkbox"/> New record OR <input type="checkbox"/> Update of an existing record <clearing-house record number>
3. *Contact person:	<clearing-house record number> <i>Please enter the CBD clearing-house record number containing this information or, if not registered, attach a "Contact details" common format.⁶</i>

Parties to the Nagoya Protocol on Access and Benefit-sharing	
4. Is your country a Party to the Nagoya Protocol?	<input type="checkbox"/> Yes OR <input type="checkbox"/> No <p style="margin-left: 40px;">↳ <i>If selected, please indicate if there is any national process in place towards becoming a Party?</i></p> <p style="margin-left: 80px;"><input type="checkbox"/> Yes</p> <p style="margin-left: 80px;">↳ <i>Please provide a summary of the status of the process:</i> <Text entry></p> <p style="margin-left: 40px;">OR</p> <p style="margin-left: 80px;"><input type="checkbox"/> No</p> <p style="margin-left: 40px;">↳ <i>Please provide a summary of the main difficulties and challenges encountered for becoming a Party to the Nagoya Protocol:</i> <Text entry></p>

Institutional structures for the implementation of the Protocol

⁵ Clearing-House record numbers can be found here: <http://absch.cbd.int>.

⁶ All ABS Clearing-House common formats are available at <http://absch.cbd.int>.

<p>5. *Has your country designated a national focal point as provided in Article 13?</p>	<p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p>↳ Please provide a summary of the main difficulties and challenges encountered for designating a national focal point: <Text entry></p>
<p>6. *Has your country designated one or more competent national authorities as provided in Article 13?</p>	<p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p>↳ Please provide a summary of the main difficulties and challenges encountered for designating one or more competent national authorities: <Text entry></p>
<p>7. *Has your country designated one or more checkpoints as provided in Article 17?</p>	<p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p>↳ Please provide a summary of the main difficulties and challenges encountered for designating one or more checkpoints: <Text entry></p>
<p>8. Has your country established a mechanism for budgetary allocations of funds for the implementation of the Nagoya Protocol?⁷</p>	<p><input type="checkbox"/> Yes ↳ Please provide further information: <Text entry> OR <input type="checkbox"/> No</p> <p>↳ Please provide a summary of the main difficulties and challenges encountered: <Text entry></p>
<p>9. Does your country have specific staff to administer functions directly related to the implementation of the Nagoya Protocol?⁸</p>	<p><input type="checkbox"/> Yes</p> <p>If selected, please indicate how many:</p> <p><input type="checkbox"/> One <input type="checkbox"/> Less than 5 <input type="checkbox"/> Less than 10 <input type="checkbox"/> 10 or more</p> <p>OR <input type="checkbox"/> No</p> <p>↳ Please provide a summary of the main difficulties and challenges encountered: <Text entry></p>

⁷ The collection of this information would be useful for the evaluation of the effectiveness of the Protocol under Article 31 on assessment and review as well as for measuring progress and identifying difficulties and challenges in implementing the Protocol.

⁸ The collection of this information could be useful for the evaluation of the effectiveness of the Protocol under Article 31 on assessment and review as well as for measuring progress and identifying difficulties and challenges in implementing the Protocol.

Legislative, administrative or policy measures on access and benefit-sharing (ABS measures)⁹	
10. * Has your country put ABS measures in place to implement the Nagoya Protocol?	<input type="checkbox"/> Yes <input type="checkbox"/> Full domestic framework to implement the Protocol is in place <input type="checkbox"/> Some measures to implement the Protocol are in place <i>↳ Please provide further information: <Text entry></i> OR <input type="checkbox"/> No <i>↳ Please provide a summary of the main difficulties and challenges encountered for putting the measures in place : <Text entry></i>
Access to genetic resources (Article 6)	
11. * Is access to genetic resources subject to prior informed consent (PIC) as provided in Article 6.1?	<input type="checkbox"/> Yes <i>↳ If selected, please fill sections 12 to 16 below.</i> OR <input type="checkbox"/> No <i>↳ If selected, please indicate if there is any other system in place in relation to access to genetic resources <Text entry></i>
12. * Does your country have fair and non-arbitrary rules and procedures on accessing genetic resources as provided in Article 6.3 (b)?	<input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent OR <input type="checkbox"/> No <i>↳ If selected, please provide further information: <Text entry></i>
13. * Does your country provide information on how to apply for PIC as provided in Article. 6.3 (c)?	<input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent OR <input type="checkbox"/> No
14. *Does your country provide for a clear and transparent written decision by a competent national authority as provided in Article 6.3 (d)?	<input type="checkbox"/> Yes <i>↳ If selected, is the written decision provided in a cost effective manner?</i> <input type="checkbox"/> Yes OR <input type="checkbox"/> No <i>↳ Is the written decision provided within a reasonable time period?</i>

⁹ This section of the format takes account of the provisions of the Protocol which require Parties to take “legislative, administrative or policy measures”.

	<input type="checkbox"/> Yes OR <input type="checkbox"/> No <i>↳Please provide further information on average timeframes for providing a written decision: <Text entry></i> OR <input type="checkbox"/> No
15. *Does your country provide for the issuance at the time of access of a permit or its equivalent as provided in Article 6.3 (e)?	<input type="checkbox"/> Yes OR <input type="checkbox"/> No
16. *Does your country have rules and procedures for requiring and establishing mutually agreed terms (MAT) as provided in Article 6.3 (g)?	<input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent OR <input type="checkbox"/> No
17. Additional information:	<i>Please provide a summary of the main difficulties and challenges <Text entry></i> <i>Please enter the clearing-house record number containing relevant information <clearing-house record number></i> <i>and/or <URL and website name></i> <i>and/or <Attachment></i>
Fair and equitable benefit-sharing (Article 5)	
18. *Has your country taken ABS measures to share benefits arising from the utilization of genetic resources as well as subsequent applications and commercialization as provided in Article 5.1?	<input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent OR <input type="checkbox"/> No
19. *Has your country taken ABS measures to ensure that benefits arising from the utilization of traditional knowledge associated with genetic resources with indigenous and local communities holding such knowledge are shared as provided in Article 5.5?	<input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent OR <input type="checkbox"/> No
20. Additional information:	<i>Please provide a summary of the main difficulties and challenges for putting measures in place: <Text entry></i> <i>Please enter the clearing-house record number containing relevant information <clearing-house record number></i> <i>and/or <URL and website name></i> <i>and/or <Attachment></i>

Access to and benefit-sharing from genetic resources of indigenous and local communities	
<p>21. *Do indigenous and local communities have the established right to grant access to genetic resources according to your domestic law? (Article 6.2)</p>	<p><input type="checkbox"/> Not applicable</p> <p style="padding-left: 40px;">↳ <i>Please provide further information:</i> <Text entry></p> <p>OR</p> <p><input type="checkbox"/> No</p> <p>OR</p> <p><input type="checkbox"/> Yes</p> <p style="padding-left: 40px;">↳ <i>If selected, has your country set out criteria and/or processes for obtaining PIC or approval and involvement of indigenous and local communities for access to genetic resources as provided in Article 6.3 (f)?</i></p> <p style="padding-left: 40px;"><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p style="padding-left: 40px;">↳ <i>Does your country have measures in place with the aim of ensuring that the prior informed consent or approval and involvement of indigenous and local communities is obtained as provided in Article 6.2?</i></p> <p style="padding-left: 40px;"><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p style="padding-left: 40px;">↳ <i>Does your country have measures with the aim of ensuring that benefits from the utilization of genetic resources held by indigenous and local communities are shared with the communities concerned in as provided in Article 5.2?</i></p> <p style="padding-left: 40px;"><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p>
<p>22. Additional information:</p>	<p><i>Please provide a summary of the main difficulties and challenges for putting measures in place:</i> <Text entry></p> <p><i>Please enter the clearing-house record number containing relevant information</i> <clearing-house record number></p> <p><i>and/or</i> <URL and website name></p> <p><i>and/or</i> <Attachment></p>

Special considerations (Article 8)	
<p>23. *In the development and implementation of ABS measures has your country:</p>	<p>Created conditions to promote and encourage research which contributes to the conservation and sustainable use of biodiversity as provided in Article 8(a)?</p> <p><input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent OR <input type="checkbox"/> No</p> <p>↳ <i>Please provide further information:</i> <Text entry></p> <p>Paid due regard to cases of present or imminent emergencies that threaten or damage human, animal or plant health as provided in Article 8(b)?</p> <p><input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent OR <input type="checkbox"/> No</p> <p>↳ <i>Please provide further information:</i> <Text entry></p> <p>Considered the importance of genetic resources for food and agriculture and their special role for food security as provided in Article 8 (c)?</p> <p><input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent OR <input type="checkbox"/> No</p> <p>↳ <i>Please provide further information:</i> <Text entry></p>
<p>24. Additional information:</p>	<p><i>Please provide a summary of the main difficulties and challenges for putting measures in place:</i> <Text entry></p> <p><i>Please enter the clearing-house record number containing relevant information</i> <clearing-house record number></p> <p><i>and/or</i> <URL and website name></p> <p><i>and/or</i> <Attachment></p>
Compliance with domestic legislation or regulatory requirements on ABS (Article 15)	
<p>25. *Has your country taken ABS measures to provide that genetic resources utilized within its jurisdiction have been accessed in accordance with PIC and that MAT have been established as required by the ABS measures of the other Party as provided in Article 15.1?</p>	<p><input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent</p> <p>↳ <i>If selected</i>, please indicate whether your country has taken measures to address situations of non-compliance with those measures as provided in Article 15.2?</p> <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p>↳ Has your country cooperated with other Parties in cases of alleged violation of ABS measures as provided in Article 15.3?</p> <p><input type="checkbox"/> Yes</p> <p>↳ <i>Please provide further information:</i> <Text entry></p> <p>OR</p> <p><input type="checkbox"/> No</p> <p>OR</p> <p><input type="checkbox"/> No</p>

<p>26. Additional information:</p>	<p><i>Please provide a summary of the main difficulties and challenges for putting measures in place: <Text entry></i></p> <p><i>Please enter the clearing-house record number containing relevant information <clearing-house record number></i></p> <p><i>and/or <URL and website name></i></p> <p><i>and/or <Attachment></i></p>
<p>Compliance with domestic legislation or regulatory requirements on ABS for traditional knowledge associated with genetic resources (Article 16)</p>	
<p>27. *Has your country taken ABS measures to provide that traditional knowledge associated with genetic resources utilized within your jurisdiction has been accessed in accordance with PIC or approval and involvement of indigenous and local communities and that MAT have been established as required by the ABS measures of the other Party where such indigenous and local communities are located as provided in Article 16.1?</p>	<p><input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent</p> <p>↳ <i>If selected, please indicate whether your country has taken measures to address situations of non-compliance with those measures as provided in Article 16.2?</i></p> <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p>↳ <i>Has your country cooperated in cases of alleged violation of ABS measures as provided in Article 16.3?</i></p> <p><input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p>OR</p> <p><input type="checkbox"/> No</p>
<p>28. Additional information:</p>	<p><i>Please provide a summary of the main difficulties and challenges for putting measures in place: <Text entry></i></p> <p><i>Please enter the clearing-house record number containing relevant information <clearing-house record number></i></p> <p><i>and/or <URL and website name></i></p> <p><i>and/or <Attachment></i></p>

<p>Traditional knowledge associated with genetic resources (Article 7 and 12)</p>	
<p>29. *Has your country taken measures to ensure that traditional knowledge associated with genetic resources that is held by indigenous and local communities within your country is accessed with the PIC or approval and involvement of these indigenous and local communities and that MAT have been established as provided in Article 7?</p>	<p><input type="checkbox"/> Not applicable</p> <p>↳ <i>Please provide further information: <Text entry></i></p> <p>OR</p> <p><input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent</p> <p>↳ <i>Please provide further information: <Text entry></i></p> <p>OR</p> <p><input type="checkbox"/> No</p>
<p>30. *In implementing the Protocol, is your country taking into consideration indigenous and local communities' customary laws, community protocols and procedures with respect to traditional knowledge associated with genetic resources as provided in Article 12.1?</p>	<p><input type="checkbox"/> Not applicable</p> <p>OR</p> <p><input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent</p> <p>↳ <i>Please provide further information: <Text entry></i></p> <p>OR</p> <p><input type="checkbox"/> No</p>

<p>31. *Has your country established mechanisms to inform potential users of traditional knowledge associated with genetic resources about their obligations as provided in Article 12.2?</p>	<p><input type="checkbox"/> Not applicable</p> <p>OR</p> <p><input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent</p> <p style="padding-left: 40px;"><i>↳Please provide further information: <Text entry></i></p> <p>OR</p> <p><input type="checkbox"/> No</p>
<p>32. *Is your country supporting the development by indigenous and local communities of the following tools as provided in Article 12.3?</p>	<p><input type="checkbox"/> Not applicable</p> <p>OR</p> <p><input type="checkbox"/> Community protocols</p> <p style="padding-left: 40px;"><i>↳ Please provide further information: <Text entry></i></p> <p>AND</p> <p><input type="checkbox"/> Minimum requirements for mutually agreed terms</p> <p style="padding-left: 40px;"><i>↳Please provide further information: <Text entry></i></p> <p>AND</p> <p><input type="checkbox"/> Model contractual clauses</p> <p style="padding-left: 40px;"><i>↳Please provide further information: <Text entry></i></p>
<p>33. *Has your country endeavoured not to restrict the customary use and exchange of genetic resources and associated traditional knowledge within and among indigenous and local communities as provided in Article 12.4?</p>	<p><input type="checkbox"/> Not applicable</p> <p>OR</p> <p><input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent</p> <p style="padding-left: 40px;"><i>↳Please provide a summary of the measures taken: <Text entry></i></p> <p>OR</p> <p><input type="checkbox"/> No</p>
<p>34. Additional information:</p>	<p><i>Please provide a summary of the main difficulties and challenges for putting measures in place in relation to traditional knowledge associated with genetic resources: <Text entry></i></p> <p><i>Please enter the clearing-house record number containing relevant information <clearing-house record number></i></p> <p><i>and/or <URL and website name></i></p> <p><i>and/or <Attachment></i></p>

Access and Benefit-sharing Clearing-House (Article 14)	
35. *Has your country made the following information available to the ABS Clearing-House as provided in Article 14.2?:	<p>Legislative, administrative and policy measures on ABS <input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p>Information on the national focal point <input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p>Information on competent national authority/ies <input type="checkbox"/> Yes OR <input type="checkbox"/> No</p> <p>Permits or their equivalent issued at the time of access as evidence of the decision to grant PIC and of the establishment of MAT <input type="checkbox"/> Yes OR <input type="checkbox"/> No</p>
36. Additional information:	<p><i>Please provide a summary of the main difficulties and challenges for making information available to the ABS Clearing-House: <Text entry></i></p> <p><i>Please enter the clearing-house record number containing relevant information <clearing-house record number></i></p> <p><i>and/or <URL and website name></i></p> <p><i>and/or <Attachment></i></p>

Contribution to conservation and sustainable use (Article 9)	
37. *Is your country encouraging users and providers to direct benefits arising from the utilization of genetic resources towards the conservation of biological diversity and sustainable use of its components as provided in Article 9?	<p><input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent <i>↳Please provide further information: <Text entry></i></p> <p>OR</p> <p><input type="checkbox"/> No</p>
38. Additional information:	<p><i>Please provide a summary of the main difficulties and challenges: <Text entry></i></p> <p><i>Please enter the clearing-house record number containing relevant information <clearing-house record number></i></p> <p><i>and/or <URL and website name></i></p> <p><i>and/or <Attachment></i></p>

Transboundary cooperation (Article 11)	
39. * Is your country cooperating with a view to implementing the Protocol in instances where the same genetic resources are found <i>in situ</i> within the territory of more than one Party as provided in Article 11.1?	<p><input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent <i>↳Please provide further information: <Text entry></i></p> <p>OR</p> <p><input type="checkbox"/> No</p>

<p>40. * Is your country cooperating with a view to implementing the Protocol in instances where the same traditional knowledge associated with genetic resources is shared by one or more indigenous and local communities in several Parties as provided in Article 11.2?</p>	<p><input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent <i>↳Please provide further information: <Text entry></i></p> <p>OR</p> <p><input type="checkbox"/> No</p>
<p>41. Additional information:</p>	<p><i>Please provide a summary of the main difficulties and challenges: <Text entry></i></p> <p><i>Please enter the clearing-house record number containing relevant information <clearing-house record number></i></p> <p><i>and/or <URL and website name></i></p> <p><i>and/or <Attachment></i></p>

Monitoring the utilization of genetic resources (Article 17)

<p>42. *Does your country requires users of genetic resources to provide information related to PIC, to the source of the genetic resource, to the establishment of MAT and/or utilization of genetic resources at a designated checkpoint, as appropriate, as provided in Article 17.1 (a) (i) and (ii)?</p>	<p><input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent <i>↳Please provide further information: <Text entry></i></p> <p><i>↳If selected, has your country taken measures to address situations of non-compliance?</i></p> <p><input type="checkbox"/> Yes <i>↳Please provide further information: <Text entry></i></p> <p>OR</p> <p><input type="checkbox"/> No</p> <p>OR</p> <p><input type="checkbox"/> No</p>
<p>43. *Has your country provided the information referred to in Article 17.1 (a)(i) to relevant national authorities, to the Party providing PIC and to the ABS Clearing-House as provided in Article 17.1 (a)(iii)?</p>	<p><input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent OR <input type="checkbox"/> No</p>
<p>44. *Has your country taken measures to encourage users and providers to include provisions in MAT to share information on the implementation of such terms as provided in Article 17.1(b)?</p>	<p><input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent <i>↳Please provide further information: <Text entry></i></p> <p>OR</p> <p><input type="checkbox"/> No</p>

<p>45. *Is your country encouraging the use of cost-effective communication tools and systems as provided in Article 17.1 (c)?</p>	<p><input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent <i>↳Please provide further information: <Text entry></i></p> <p>OR</p> <p><input type="checkbox"/> No</p>
<p>46. Additional information:</p>	<p><i>Please provide a summary of the main difficulties and challenges: <Text entry></i></p> <p><i>Please enter the clearing-house record number containing relevant information <clearing-house record number></i></p> <p><i>and/or <URL and website name></i></p> <p><i>and/or <Attachment></i></p>

<p>Compliance with mutually agreed terms (MAT) (Article 18)</p>	
<p>47. *Is your country encouraging the inclusion of provisions in MAT to cover dispute resolution as provided in Article 18.1 (a) (b) and (c)?</p>	<p><input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent <i>↳Please provide further information: <Text entry></i></p> <p>OR</p> <p><input type="checkbox"/> No</p>
<p>48. *Is your country ensuring that opportunity to seek recourse is available under your legal systems in disputes arising from MAT as provided in Article 18.2?</p>	<p><input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent <i>↳Please provide further information: <Text entry></i></p> <p>OR</p> <p><input type="checkbox"/> No</p>
<p>49. *Has your country taken measures regarding the following points as provided in Article 18.3?</p>	<p>Access to justice?</p> <p><input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent OR <input type="checkbox"/> No <i>↳Please provide further information: <Text entry></i></p> <p>AND</p> <p>Utilization of mechanisms regarding mutual recognition and enforcement of foreign judgements and arbitral awards?</p> <p><input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent OR <input type="checkbox"/> No <i>↳Please provide further information: <Text entry></i></p>
<p>50. Additional information:</p>	<p><i>Please provide a summary of the main difficulties and challenges: <Text entry></i></p> <p><i>Please enter the clearing-house record number containing relevant information <clearing-house record number></i></p> <p><i>and/or <URL and website name></i></p> <p><i>and/or <Attachment></i></p>

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

Awareness-raising and capacity (Article 21 and 22)	
54. *Has your country taken measures to raise awareness of the importance of genetic resources and traditional knowledge associated with genetic resources and related access and benefit-sharing issues as provided in Article 21?	<input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent <i>↳If selected, has your country taken measures to implement the awareness-raising strategy for the Nagoya Protocol on ABS?¹⁰</i> <input type="checkbox"/> Yes <i>↳Please provide a summary of the measures taken:</i> <Text entry> <i>↳Please enter the clearing-house record number containing relevant information:</i> <clearing-house record number> OR <input type="checkbox"/> No OR <input type="checkbox"/> No

¹⁰ The awareness-raising strategy was recommended for adoption by the first COP-MOP by the Intergovernmental Committee in recommendation 2/6.

<p>55. *Has your country taken measures to build and develop capacity and strengthening of human resources and institutional capacities to effectively implement the Protocol as provided in Article 22?</p>	<p><input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent</p> <p><i>↳If selected, has your country taken measures to implement the strategic framework for capacity-building and development to support effective implementation of the Nagoya Protocol on ABS?¹¹</i></p> <p><input type="checkbox"/> Yes</p> <p><i>↳Please provide a summary of the measures taken: <Text entry></i></p> <p><i>↳Please enter the clearing-house record number containing relevant information: <clearing-house record number></i></p> <p>OR</p> <p><input type="checkbox"/> No</p> <p>OR</p> <p><input type="checkbox"/> No</p>
<p>56. Has your country received external support for building and developing capacity for the implementation of the Nagoya Protocol?¹²</p>	<p><input type="checkbox"/> Yes</p> <p><i>↳Please provide further information: <Text entry></i></p> <p>OR</p> <p><input type="checkbox"/> No</p>
<p>57. Has your country provided external support for building and developing capacity for the implementation of the Nagoya Protocol?¹³</p>	<p><input type="checkbox"/> Yes</p> <p><i>↳Please provide further information: <Text entry></i></p> <p>OR</p> <p><input type="checkbox"/> No</p>
<p>58. Additional information:</p>	<p><i>Please provide a summary of the main difficulties and challenges: <Text entry></i></p> <p><i>Please enter the clearing-house record number containing relevant information: <clearing-house record number></i></p> <p>and/or <URL and website name></p> <p>and/or <Attachment></p>

Technology transfer, collaboration and cooperation (Article 23)

<p>59. *Is your country collaborating and cooperating in technical and scientific research and development programmes as a means to achieve the objective of the Protocol as provided</p>	<p><input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent</p> <p><i>↳Please provide a summary of the measures taken: <Text entry></i></p> <p>OR</p>
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¹¹ The strategic framework for capacity-building and development to support effective implementation of the Nagoya Protocol on ABS was recommended for adoption by the first COP-MOP by the Intergovernmental Committee in recommendation 3/5.

¹² The collection of this information could be useful for the evaluation of the effectiveness of the Nagoya Protocol under Article 31 on assessment and review, as well as for measuring progress and identifying difficulties and challenges in implementing the Protocol.

¹³ The collection of this information could be useful for the evaluation of the effectiveness of the Nagoya Protocol under Article 31 on assessment and review, as well as for measuring progress and identifying difficulties and challenges in implementing the Protocol.

in Article 23?	<input type="checkbox"/> No
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Financial mechanism and resources (Article 25)	
60. *Has your country made financial resources available to other Parties or received financial resources from other Parties or financial institutions for the purposes of implementation of the Protocol as provided in Article 25?	<input type="checkbox"/> Yes, financial resources have been made available <i>↳Please provide further information: <Text entry></i> OR <input type="checkbox"/> Yes, financial resources have been received <input type="checkbox"/> From other Parties <i>↳Please provide further information: <Text entry></i> <input type="checkbox"/> From financial institutions <input type="checkbox"/> From the Global Environmental Facility <input type="checkbox"/> From the Nagoya Protocol Implementation Fund <input type="checkbox"/> From other sources <i>↳Please provide further information: <Text entry></i> OR <input type="checkbox"/> No
61. Has your country mobilized resources for the Protocol in accordance with strategy of resource mobilization in support of the achievement of the three objectives of the Convention? ¹⁴	<input type="checkbox"/> Yes OR <input type="checkbox"/> Yes, to some extent <i>↳Please provide further information: <Text entry></i> OR <input type="checkbox"/> No
62. Additional information:	<i>Please provide a summary of the main difficulties and challenges: <Text entry></i> <i>Please enter the clearing-house record number containing relevant information: <clearing-house record number></i> and/or <URL and website name> and/or <Attachment>

Information on impact of the implementation of the Nagoya Protocol¹⁵	
63. Number of permits or their equivalents issued before entry into force of the Protocol for your country:	<Number value>
64. Number of permits or their equivalents issued since entry into force of the Protocol for your country:	<Number value>

¹⁴ The eleventh meeting of the Conference of the Parties decided by decision XI/4 section II “to include consideration of resource mobilization for the Nagoya Protocol in the implementation of the strategy for resource mobilization in support of the achievement of the three objectives of the Convention for the period 2008-2015”

¹⁵ The collection of this information could be useful for the evaluation of the effectiveness of the Nagoya Protocol under Article 31 on assessment and review, as well as for measuring progress and identifying difficulties and challenges in implementing the Nagoya Protocol.

65. Number of permits or its equivalents made available to the ABS Clearing-House constituting an internationally recognized certificate of compliance:	<Number value>
66. Number of agreements concluded for access to traditional knowledge associated with genetic resources and benefit-sharing from the utilization since entry into force of the Protocol:	<Number value>
67. Number of checkpoint communiqués issued:	<Number value>
68. Benefits received before entry into force of the Protocol for your country from the utilization of:	-Genetic resources -Monetary benefits: <Text entry> -Non-monetary benefits: <Text entry> -Traditional knowledge: -Monetary benefits: <Text entry> -Non-monetary benefits: <Text entry>
69. Benefits received since entry into force of the Protocol for your country from the utilization of:	-Genetic resources -Monetary benefits: <Text entry> -Non-monetary benefits: <Text entry> -Traditional knowledge: -Monetary benefits: <Text entry> -Non-monetary benefits: <Text entry>
70. Please indicate how the implementation of the Nagoya Protocol has contributed to conservation and sustainable use of biodiversity:	<Text entry>
71. Please provide other information on impacts of the implementation of the Nagoya Protocol in your country:	<Text entry>

Additional information	
72. Any other relevant information: ¹⁶	<Text entry> <i>and/or</i> <URL and website name> <i>and/or</i> <Attachment>
73. Notes: ¹⁷	<Text entry>

Comments in the reporting format

¹⁶ Please use this field to provide any other relevant information that may not have been addressed elsewhere in the report.

¹⁷ The field “Notes” is for personal reference and can be seen only when the record is being edited.

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