

ANNEX I

QUESTIONNAIRE ON DOMESTIC NEEDS AND PRIORITIES FOR CAPACITY-BUILDING AND DEVELOPMENT IN SUPPORT OF THE IMPLEMENTATION OF THE NAGOYA PROTOCOL ON ACCESS AND BENEFIT-SHARING

1. KEY AREAS FOR CAPACITY-BUILDING AND DEVELOPMENT

Article 22, paragraph 4, of the Nagoya Protocol provides the following indicative list of key areas for capacity-building and development in support of the effective implementation of the Protocol:

- (a) Capacity to implement, and to comply with the obligations of the Protocol;
- (b) Capacity to negotiate mutually agreed terms;
- (c) Capacity to develop, implement and enforce domestic legislative, administrative or policy measures on access and benefit-sharing; and
- (d) Capacity of countries to develop their endogenous research capabilities to add value to their own genetic resources.

In addition to the key areas listed above, please indicate any other key area for capacity-building and development in relation to your domestic needs and priorities in support of the implementation of the Protocol, taking into account the capacity needs and priorities of indigenous and local communities and relevant stakeholders.

- (1) Educational and research institutions, e.g. Universities of Life Sciences, to develop or extend curriculum/syllabus related to genetic resources
- (2) Extension & Education programmes for indigenous and local communities and relevant stakeholders through mass meetings, pamphlets, posters as well as by providing them with suitable incentives

2. MEASURES TO BUILD OR DEVELOP CAPACITY UNDER EACH OF THE KEY AREAS AND PREFERRED MECHANISMS FOR THEIR IMPLEMENTATION.

A. Measures to build or develop capacity under each of the key areas for capacity-building and development

Article 22, paragraph 5, of the Nagoya Protocol provides an indicative list of measures on which to build or develop capacity. In addition to that list, other possible measures have been identified by Parties, international organizations, indigenous and local communities and relevant stakeholders in the submissions of views and information in relation to capacity-building and development (UNEP/CBD/ICNP/1/INF/3) and during the capacity-building workshop on access and benefit-sharing held in Montreal 4-5 June 2011 (UNEP/CBD/ICNP/1/INF/6).

The following table takes into account the list of measures included in Article 22, paragraph 5, as well as the measures identified in the above mentioned documents to build or develop capacity under each of the key areas included in section 1 above.

On the basis of the tables provided below:

1. Please rank as high, medium or low priority your domestic capacity- building and development needs for each of the measures listed.

2. Please **indicate the time frame** within which you wish your domestic capacity-building and development needs to be addressed: short, medium or long term.²
3. Please **indicate any additional measures** you wish to include under each of the key areas.
4. For each measure, please **indicate your preferred mechanism**,, taken from the list below, which could assist in addressing the capacity needs related to that measure.

Mechanisms:

- (1) Education and training
- (2) Funding support
- (3) Tools and reference materials
- (4) Conferences and workshops
- (5) On-the-job training
- (6) Networks/ Professional associations/information exchange fora
- (7) Exchange programmes
- (8) Legal/technical assistance
- (9) Scientific and technical cooperation
- (10) Others (please specify)

(a) Capacity to implement, and to comply with the obligations of the Protocol	Priority level (high, medium, low)	Time frame (short, medium long term)	Mechanism to address the capacity needs
<i>E.g Legal and institutional development</i>	<i>High</i>	<i>Short term</i>	<i>2 (funding support)</i>
Legal and institutional development (Art. 22.5)	High	Short term	2(funding support)
Establishing mechanisms for interagency coordination	Medium	Short term	6(Networks/....)
Mapping of relevant actors and existing expertise for the implementation of the Nagoya Protocol	High	Short term	3(Tools & reference materials)
Employment of best available communication tools and Internet-based systems for access and benefit-sharing activities (Art. 22.5)	Medium	Short term	8(Legal/technical assistance)
Providing information to the Access and Benefit-sharing Clearing-House	High	Medium term	6(Networks/....)
Monitoring the utilization of genetic resources, including the designation of one or more checkpoints	High	Short term	5(on-the-job training)
The monitoring and enforcement of compliance (Art.22.5)	High	Short term	9(scientific)
Developing measures regarding access to justice	High	Medium term	5(on-the-job....)
Raising-awareness of the importance of genetic resources and traditional knowledge associated with genetic resources, and related access and benefit-sharing issues	High	Short term	1(Education & Training) 2(Funding support)
Enhancement of the contribution of access and benefit-sharing activities to the conservation of biological diversity and the sustainable use of its components (Art. 22.5)	High	Short term	2(Funding support) 4(Conferences...)
Establishing mechanisms to address transboundary situations	High	Medium term	8(Legal/....)
Mobilising new and innovative financial resources to implement the Nagoya Protocol	High	Short term	2(Funding support)
Special measures to increase the capacity of relevant stakeholders in relation to ABS (Art. 22.5)	High	Medium term	2(Funding support) 4(Conferences&workshops) 7(Exchange programmes)
Special measures to increase the capacity of indigenous and local communities with emphasis on enhancing the capacity of women within those communities in relation to access to genetic resources and/or traditional knowledge associated with genetic resources (Art. 22.5)	High	Medium term	1(Education & Training) 2(Funding support) 5(On-the-job training) 7(Exchange programmes)

² These time frames are to be understood as follows: (a) short term: within 2 years; (b) medium term: within 2 to 5 years; and (c) long term: more than 5 years.

Other (please specify)	-	-	-
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(b) Capacity to negotiate mutually agreed terms	Priority level (high, medium, low)	Time frame (short, medium, long term)	Mechanism to address the capacity needs
Promotion of equity and fairness in negotiations, such as training to negotiate mutually agreed terms (Art.22.5)	High	Short term	1(Education & Training)
Supporting the development of model contractual clauses	High	Short term	1(Education&Training)
Developing and implementing pilot access and benefit-sharing agreements	High	Short term	1(Education & Training) 2(Funding support)
Development and use of valuation methods (Art.22.5)	High	Short term	1(Education&Training) 2(Funding support)
Other (please specify)	-	-	-

(c) Capacity to develop, implement and enforce domestic legislative, administrative or policy measures on access and benefit-sharing	Priority level (high, medium, low)	Time frame (short, medium, long-term)	Mechanism to address the capacity needs
Taking stock of domestic measures relevant to access and benefit-sharing in light of the obligations of the Nagoya Protocol	High	Medium term	2(Funding support) 5(On-the-job-training)
Developing a policy framework on access and benefit-sharing	High	Short term	2(Funding support)+ 8 (Legal/....)
Setting-up new or amended access and benefit-sharing legislative, administrative or policy measures with a view to implementing the Nagoya Protocol	High	Medium term	2(Funding support) 3(Tools & reference materials)
Other (please specify)	-	-	-

(d) Capacity of countries to develop their endogenous research capabilities to add value to their own genetic resources	Priority level (high, medium, low)	Time frame (short, medium, long term)	Mechanism to address the capacity needs
Bioprospecting, associated research and taxonomic studies (Art. 22.5)	High	Medium term	1(Education & Training)+ 2(Funding support)+ 4 (Conference&workshops)+7(Ex...)
Development and use of valuation methods (Art. 22.5)	High	Short term	1(Education....)+ 2(Funding support)
Technology transfer and infrastructure and technical capacity to make such technology transfer sustainable (Art. 22.5)	High	Medium term	1(Education...)+ 2(Funding...)+ 4(Conference....)+ 7(Exchange programmes)
Other (please specify)	-	-	-

Please **indicate any additional key area(s)** for capacity-building and development you have identified and please **specify measures** to build or develop capacity under any new key area identified.

Other key area(s) for capacity-building and development (please indicate any additional key area identified in section 1 above)	Priority level (high, medium, low)	Time frame (short, medium long term)	Mechanism to address the capacity needs
(please specify related measures)			
Curriculum development on the importance of genetic resources in the basic high school- and university-level education	High	Medium term	1 (Education & Training)
			2 (Funding support)
			7 (Exchange programmes)

Other key area(s) for capacity-building and development (please indicate any additional key area identified in section 1 above)	Priority level (high, medium, low)	Time frame (short, medium, long term)	Mechanism to address the capacity needs
(please specify related measures)			
Training workshop programmes and academic exchange programmes among ASEAN countries plus postgraduate study programmes in the ASEAN-network universities	High	Medium & long term	1(Education & Training)
			2(Funding support)
			4(Conferences & workshops)
			6(Networks/Professional...)
			7(Exchange programmes)

B. Particular capacity needs and priorities of indigenous and local communities and relevant stakeholders

In accordance with Article 22, paragraph 3, indigenous and local communities and relevant stakeholders are invited to provide views and information on measures, in addition to those listed above, needed to address their particular capacity needs and priorities to support implementation of the Nagoya Protocol.

On the basis of the table provided below:

1. Please **rank as high, medium or low priority** your domestic capacity needs for each of the measures listed.
2. Please **indicate the time frame** within which you wish your domestic capacity-building and development needs to be addressed: **short, medium or long term**³.
3. Please **indicate any additional measures** you wish to include
4. For each measure, please **indicate your preferred mechanism**, taken from the list below, which could assist in addressing the capacity needs related to that measure.

Mechanisms:

- (1) Education and training
- (2) Funding support
- (3) Tools and reference materials
- (4) Conferences and workshops
- (5) On-the-job training
- (6) Networks/ Professional associations/information exchange fora

³ These time frames are to be understood as follows: (a) short term: within 2 years; (b) medium term: within 2 to 5 years; and (c) long term: more than 5 years.

- (7) *Exchange programmes*
- (8) *Legal/technical assistance*
- (9) *Scientific and technical cooperation*
- (10) *Others (please specify)*

Particular measures to build or develop capacity of indigenous and local communities and relevant stakeholders	Priority level <i>(high, medium, low)</i>	Time frame <i>(short, medium long-term)</i>	Mechanism to address the capacity needs
<i>E.g Participating in legal, policy and decision-making processes</i>	<i>High</i>	<i>Short term</i>	<i>1 (education and training)</i>
Participating in legal, policy and decision-making processes	High	Short term	1(Education & Training)
Understanding the obligations under the Nagoya Protocol	High	Short term	1(Education & Training)
Developing capacity to negotiate mutually agreed terms	High	Short term	1(Education & Training)
Managing traditional knowledge associated with genetic resources	High	Short and Medium term	1(Education & Training) 2(Funding support)
Developing community protocols in relation to access to traditional knowledge associated with genetic resources and the fair and equitable sharing of benefits arising out of the utilization of that knowledge	High	Short and Medium term	1(Education & Training) 2(Funding support) 4(Conferences & workshops) 5(On-the-job training)
Developing minimum requirements for mutually agreed terms to secure the fair and equitable sharing of benefits arising from the utilization of traditional knowledge associated with genetic resources	High	Short term	1(Education & Training) 2(Funding support) 6(Networks/Professional associations/information exchange fora)
Developing model contractual clauses for benefit-sharing arising from the utilization of traditional knowledge associated with genetic resources	High	Short term	1(Education & Training) 2(Funding support) 3(Tools & reference materials)
Other <i>(please specify)</i>			
-	-	-	-

C. Preferred mechanisms to address capacity needs

With a view to identifying the most appropriate capacity-building and development mechanisms to address the needs identified above:

1. Please **rank as high, medium or low priority** your preferred broad categories of mechanisms to address your capacity needs for the implementation of capacity-building and development measures.
2. For each of the broad categories **select up to three mechanisms**, as proposed below, which in your opinion are the most appropriate to address your capacity needs and priorities.
3. Please **indicate any additional mechanisms** you may wish to include.
4. For each of the mechanisms selected, please **indicate whether these are to be implemented at multiple levels, at the international level, at regional and subregional levels or at national level.**

Broad categories of mechanisms	Priority level (high, medium, low)	Mechanisms to address the capacity needs	Select by placing a cross (X) (max 3)	Level of implementation (multiple, international, regional and sub-regional, national)
1. Education and training	High	Academic (degree) programmes	X	multiple
		Professional training (customised short-courses)	X	international & regional
		E-learning modules	X	international
		Other (please specify)		
2. Funding support	High	Project/programme support	X	international
		Scholarships/fellowships	X	international & regional
		Research grants	X	international
		Other (please specify)		
3. Tools and reference materials	Medium	Training manuals	X	multiple
		Technical guidelines/toolkits/"how-to manuals"		
		Technical studies		
		Publications		
		Best practices/lessons learned/case studies	X	international
		Awareness-raising materials (e.g. audiovisuals and films, posters, bulletins, etc.)	X	international & regional
		Other (please specify)		
4. Conferences and workshops	High	Awareness-raising seminars		
		Discussion forums		
		Fairs/exhibitions/poster sessions		
		National/regional/international conferences	X	multiple
		Training workshops	X	international
		Symposia/scientific meetings		
		Policy dialogues		
		Multi-stakeholders workshops	X	regional
Other (please specify)				
5. Networks/ associations/ information exchange fora	High	Online discussion fora	X	multiple
		Professional associations (Membership subscriptions)		
		Expert (peer-to-peer) networks	X	international
		Policy networks	X	regional
		Journal subscriptions		
		Other (please specify)		
6. Exchange programmes	High	Staff exchange/attachment/secondments	X	multiple
		Study tours/exchange visits	X	international
		Twinning programmes	X	regional
		Fellowships		
		Other (please specify)		
7. On-the-job training	High	Apprenticeships, internships	X	international
		Coaching/mentoring	X	sub-regional
		Structured staff training programmes	X	national

		Other (<i>please specify</i>)		
8. Legal/technical assistance	High	Advisory/consultancy (expatriate) services	X	multiple
		Information services		
		Institutional support (Infrastructure development)	X	national
		Policy/legal support	X	national
		Project/programme development		
		Other (<i>please specify</i>)		
9. Scientific and technical cooperation	High	Collaborative research	X	multiple
		Exchange of scientific and technical information		
		Joint training programmes	X	international
		Joint projects/technical activities	X	sub-regional
		Technology transfer		
		Sharing of infrastructure/equipment		
		Other (<i>please specify</i>)		
10. Other (<i>please specify</i>)	-	(<i>please specify</i>)		
		-	-	-

ANNEX II

QUESTIONNAIRE ON PROPOSED ELEMENTS OF THE STRATEGIC FRAMEWORK FOR CAPACITY-BUILDING AND DEVELOPMENT UNDER THE NAGOYA PROTOCOL ON ACCESS AND BENEFIT-SHARING

Please provide your views and suggestions for each of the proposed elements of the strategic framework.

1. OBJECTIVES

In accordance with Article 22 of the Nagoya Protocol, the objective of the strategic framework is to assist Parties in the capacity-building, capacity development and strengthening of human resources and institutional capacities in developing country Parties, in particular the least developed countries and small island developing States among them, and Parties with economies in transition to effectively implement the Protocol.

Please provide any views on the possible objective(s) for the strategic framework.

One of the possible objectives should be to provide technical and financial assistance to the basic and high level educational infrastructure inclusively information and knowledge about genetic resources with their translation into official and local languages.

2. EXPERIENCE AND LESSONS LEARNED FROM PAST AND ONGOING ACCESS AND BENEFIT-SHARING CAPACITY-BUILDING AND DEVELOPMENT INITIATIVES.

Please provide a short description of your experience and lessons learned from past and ongoing access and benefit-sharing capacity-building and development initiatives which could contribute to the development and implementation of the strategic framework.

1. Awareness-raising campaigns should be conducted in each administrative units.
2. Curriculum and syllabus in basic level education should include appropriate and selective matters on genetic resources and related themes.
3. Knowledge and information about genetic resources and ABS should be widely disseminated through public media.

3. GUIDING PRINCIPLES AND APPROACHES TO CAPACITY-BUILDING AND DEVELOPMENT

The preamble of the recommendation 1/2 of the Intergovernmental Committee provides a preliminary list of principles and approaches to guide capacity-building and development in support of the implementation of the Nagoya Protocol, as follows:

- a) To be demand-driven, based on the needs and priorities identified through national self-assessments;
- b) To take note of experiences and lessons learned from past and on-going ABS capacity-building initiatives;
- c) To emphasize the role of bilateral and multilateral cooperation;
- d) To ensure full involvement of indigenous and local communities and relevant stakeholders, including women, in capacity-building and development initiatives; and
- e) To recognize the usefulness and cost-effectiveness of subregional and regional approaches to capacity-building and development in particular where countries have similar biological resources and common capacity-building needs.

The table below contains the GEF operational principles for effective capacity-building.⁴

Please indicate from this list which of these principles and approaches could be reflected in the strategic framework to guide capacity-building and development initiatives under the Nagoya Protocol by **placing a cross (X)** in the right column.

Possible guiding principles and approaches	Select by placing a cross (X)
Ensure national ownership and leadership	
Ensure multi-stakeholder consultations and decision-making	X
Base capacity building efforts in self-needs assessment	X
Adopt a holistic approach to capacity-building	
Integrate capacity-building in wider sustainable development efforts	X
Promote partnerships	
Accommodate the dynamic nature of capacity-building	
Adopt a learning-by-doing approach	X
Combine programmatic and project-based approaches	X
Combine process as well as product-based approaches	
Promote regional approaches	X
Other (please specify)	
Strengthen the legal/policy framework for national capacity building schemes	X

4. KEY AREAS FOR CAPACITY-BUILDING AND DEVELOPMENT AND MEASURES TO BUILD OR DEVELOP CAPACITY UNDER THE KEY AREAS

This element of the strategic framework will be based on the responses to the questionnaire on domestic needs and priorities (Annex I).

5. MECHANISMS FOR THE IMPLEMENTATION OF CAPACITY-BUILDING AND DEVELOPMENT MEASURES

This element of the strategic framework will be based on the responses to the questionnaire on domestic needs and priorities (Annex I).

⁴ GEF/C.22/8 “Strategic Approach to Enhancing Capacity Building” (2003). Definitions of the operational principles can be found in the annex to the document.

6. COORDINATION MECHANISM

Article 22, paragraph 6, of the Protocol provides that information on capacity-building and development initiatives at national, regional and international levels should be provided to the Access and Benefit-sharing Clearing-house with a view to promoting synergy and coordination on capacity-building and development for access and benefit-sharing.

In addition to reporting to the Access and Benefit-sharing Clearing-House, other possible elements for a coordination mechanism are listed below. Please indicate which of these, in your opinion, could be useful element(s) for a coordination mechanism to promote synergy and coordination on capacity-building and development under the Nagoya Protocol by placing a cross (X) in the right column.

Possible elements for a coordination mechanism	Select by placing a cross (X)
Liaison group providing advice to the SCBD on ways to improve coordination	
Coordination meetings of government agencies, donors and relevant organizations involved with capacity-building	x
Online forums and networks linking government agencies, donors and relevant organizations involved with capacity-building through internet-based tools	
Other (please specify) -	

Please provide views regarding a coordination mechanism for capacity-building and development under the Nagoya Protocol.

Bilateral or multilateral study tour programmes for various stakeholders among the participating countries, especially 'youth exchange programmes'.

7. COOPERATION AMONG PARTIES AND WITH RELEVANT PROCESSES AND PROGRAMMES

Please provide views or information on possible or existing cooperation among Parties and with relevant processes and programmes which could support the implementation of the strategic framework.

Programmes of educational and technical cooperation should be established by internships or short courses on ABS in the ASEAN network universities.

8. MONITORING AND REVIEW

Please provide views on how the strategic framework could be monitored and reviewed.

The strategic framework could be biannually monitored and reviewed. It could also be assessed and evaluated annually and updated every two years. The government agencies, donors, NGOs and independent experts should involve in the evaluating team/board.

Please indicate whether, in your opinion, the development of a set of indicators to facilitate the monitoring and review of the strategic framework would be useful.

Of course, the development of a set of indicators to facilitate the monitoring and review of the strategic framework would be useful. National focal points, respective ministries and technical experts should be participants to implement it.

If you think the development of indicators could support the monitoring and review of the strategic framework, please indicate whether, in your opinion, it would be most appropriate to develop the indicators at the national and/or international level. If possible, please also provide examples of such indicators (e.g existence of a legislative framework to implement the Protocol).

It would be most appropriate to develop the indicators at the national level. Unfortunately, there are no such indicators developed for this purpose yet.

9. POSSIBLE SEQUENCE OF ACTIONS FOR THE IMPLEMENTATION OF THE STRATEGIC FRAMEWORK

Please provide your views and/or information regarding possible sequence of actions for the implementation of the strategic framework, including a possible roadmap of activities to assist countries in defining their priorities and corresponding timelines. This could include actions at the international, regional and national levels.

1. Legal/Policy framework should be adopted as immediately as possible. For this, relevant line ministries, NGOs and national and/or international experts should participate in the respective meetings, workshops and conferences.
2. Respective notifications should be issued and made known to the public through media.
3. Advisory/Administrative board should be organized within the possibly shortest period.
4. Checkpoints/Inspection stations should be designated and located appropriately.

10. FINANCIAL AND OTHER RESOURCE REQUIREMENTS

Please provide your views and/or information regarding financial and resource requirements in relation to the implementation of the strategic framework.

- (1) National, regional and international financial contribution are essential.
- (2) Human Resource Development is necessary in every corner in this respect. Education, Training, Seminar, Workshop, Conference, Research and Tour programmes are vital as well.

11. OTHER POSSIBLE ELEMENTS

Please provide a short description of any other element that you wish to see reflected in the strategic framework.

Awareness-raising campaigns in remote areas are effective tools. Equally, socio-economic development of rural communities is important. Therefore, food security programmes and promoting their livelihood options should be included in the strategic framework.