

## **Consortium of European Taxonomic Facilities (CETAF)**

## ANNEX 6.4 to the CETAF CoC for ABS

## MATERIAL TRANSFER AGREEMENT - MTA 4

# Agreement for guest researchers BRINGING BIOLOGICAL MATERIAL to facilitate their own research at hosting institutions

### **Preamble**

1.	This AGREEMENT is between [Institution ] (the HOSTING INSTITUTION) and an external			
	researcher <sup>1</sup> not employed by or otherwise working for [Institution] and using RESEARCH			
	MATERIALs containing GENETIC RESOURCES			
☐ for research that does not include UTILISATION in the sense of the Nagoya Protocol <sup>2</sup> ☐ for UTILISATION in the sense of the Nagoya Protocol <sup>3</sup>				

It grants permission to conduct RESEARCH in the labs of the HOSTING INSTITUTION.

- 2. The Activities of the HOSTING INSTITUTION are guided by the *Convention on Biological Diversity* (CBD)<sup>4</sup> and the *Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their utilization* (ABS)<sup>5</sup> and the CETAF Code of Conduct, the CETAF Use Statement and CETAF Best Practice on use and utilisation of objects containing GENETIC RESOURCES. Researchers bringing and using any MATERIAL must be compliant with international laws and conventions as well with established internal procedures and policies when using our facilities. The HOSTING INSTITUTION reserves the right not to grant allowance to bring MATERIAL into the institution if its use would be contrary to our institutional ABS policies and/or is not consistent with provisions of the CBD, the NP or other relevant laws.
- **3.** Definitions of terms are provided in the Annex to this AGREEMENT.

<sup>1</sup> Including students from institutions other than the HOSTING INSTITUTION

<sup>2</sup> such as morphological investigation, stable isotope analysis, ct-scanning, 3-d reconstructions, etc.

<sup>3</sup> such as DNA-extractions and any sequencing activities or investigations on the genomes of biological materials

<sup>4</sup> http://www.cbd.int/convention/text/

<sup>5</sup> http://www.cbd.int/abs/doc/protocol/nagoya-protocol-en.pdf



Parties to AGREEMENT				
GUEST RESEARCHER (name and institution):		HOSTING INSTITUTION (name and Department):		
USER OF THE GR (name and institution):	1	RESPONSIBLE PROJECT LEADER <sup>6</sup>		

For the purposes of this AGREEMENT RESEARCH MATERIALs and/or DERIVATIVES would include tissues, samples, subsamples, and GENETIC RESOURCES such as, inter alia, DNA and/or PCR products. The MATERIAL/DERIVATIVES I am transporting into [enter name of research facility]

The MATERIAL/DERIVATIVES (SPECIMENS) I am transporting into [Institution] (the HOSTING INSTITUTION) as stated on the attached list (attached as **List A** and hereinafter referred to as "RESEARCH MATERIAL") are for the specific and limited purpose of study and analysis.

 $<sup>^6</sup>$  person that may have or is appointed with ABS-reporting obligations CETAF MTA 4 developed jointly by The Smithsonian Institute (USA) and the CETAF Legislations and Regulations core team



# Warranty for bringing external research materials for analytical purposes to the facilities of the HOSTING INSTITUTION

In consideration of the opportunity to study and analyse these RESEARCH MATERIALs in this research institution, I make, on behalf of myself and my institution, the following representations and warranties:

I am $\square$ / I am not $\square$ bringing in unregistered BIOLOGICAL MATERIAL <sup>7</sup>			
I am ☐ / I am not ☐ bringing in registered BIOLOGICAL MATERIAL <sup>8</sup>			
I am $\square$ / I am not $\square$ authorized to have custody of and to conduct RESEARCH upon the RESEARCH MATERIALs in my possession			
I am $\square$ / I am not $\square$ using BIOLOGICAL MATERIAL of the HOSTING INSTITUTION			
I am $\square$ /I am not $\square$ bringing in MATERIAL/DERIVATIVES for UTILISATION in the sense of th NP.			
I am □ / I am not □ not bringing in sequence / genomic data.			

#### AND,

To my knowledge, all applicable laws and regulations regarding the collection, possession, transportation, exportation and importation of these research specimens have been observed and fully satisfied in all relevant jurisdictions; I acknowledge that I have full responsibility ensuring that this has been done.

I take the responsibility for submitting, as a result of my research activities, any due diligence declaration or other report under Nagoya Protocol / ABS compliance laws or regulations, including Regulation 511/2014 of the European Parliament and Council of 16 April 2014 on compliance measures for users from the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their UTILISATION in the Union.

### **Agreement**

I understand that I am expected to take any external RESEARCH MATERIALs (original and/or newly generated) with me when I leave the facilities of the HOSTING INSTITUTION.

If any external RESEARCH MATERIALs remain at the HOSTING INSTITUTION with permission of the HOSTING INSTITUTION, I understand that I am ceding authority for acquiring or disposing of the RESEARCH MATERIALs at the institution's discretion, according to terms of the applicable Collections Management and ABS Policies. I further represent and warrant that I am fully authorized to make these decisions regarding use or disposal of these MATERIALs.

se decisions regarding use or disposal of these MATERIALs.			
☐ I agree to abide by institutional policies including ABS policies and procedures of the HOSTING INSTITUTION.			
☐ I agree to forward information on the MATERIAL on request of the HOSTING INSTITUTION and relevant national authorities.			

<sup>&</sup>lt;sup>7</sup> e.g. field samples not registered in any institutional collection

<sup>&</sup>lt;sup>8</sup> e.g. material accessioned into or registered by an institutional collection CETAF MTA 4 developed jointly by The Smithsonian Institute (USA) and the CETAF Legislations and Regulations core team



### **Duration of the Agreement and applicable law**

1.	Neither party may assign or otherwise transfer this AGREEMENT and the rights acquired
	hereunder without the written consent of the other party. Any permitted assignee must agree in
	writing to be bound by the terms of this AGREEMENT.

2. Each party will ensure that its officers, employees and agents comply with the obligations imposed on it by this AGREEMENT as if personally bound by those obligations.

3.	Thi	is AGREEMENT will terminate on the earlies	st of the following occasions <sup>9</sup> :						
		On completion of the GUEST RESEARCHER'S current research at the HOSTING INSTITUTION							
		☐ On the departure of the GUEST RESEARCHER from the HOSTING INSTITUTION							
		☐ On a thirty (30) day written notice by either party to the other							
	☐ On the predetermined closure date of this AGREEMENT [date: DD/MM/YYYY].								
The expiration or termination of this AGREEMENT, shall not affect other legal obligations of the GUEST RESEARCHERS entered into with the HOSTING INSTITUTION. This AGREEMENT is governed be and shall be construed in accordance with the law of the home country of the HOSTING INSTITUTION.									
Na	ime (	(in block letters)	signature Guest Researcher:						
The following signatures grant permission to utilise genetic resources and conduct research at:									
Name of HOSTING INSTITUTION									
Confirmed by:									
Date:									

Place:

<sup>9</sup> multiple selections possible CETAF MTA 4 developed jointly by The Smithsonian Institute (USA) and the CETAF Legislations and Regulations core team



### **ANNEX A to MTA 3. DEFINITION OF TERMS**

ACCESS: Acquisition of GENETIC RESOURCES with permission as granted by the country that has sovereign right over those resources (PROVIDING COUNTRY), or other relevant entity. Note that this term has not been defined in the Convention on Biological Diversity or the Nagoya Protocol, and may be used differently by some countries or organizations. An agreed definition should be included in all legal documents.

The EU Regulation defines ACCESS as 'the acquisition of GENETIC RESOURCES or of traditional knowledge associated with GENETIC RESOURCES in a Party to the Nagoya Protocol'.

AGREEMENT: this document.

- <u>BIOLOGICAL MATERIAL</u> All specimens and samples of or subsamples from living or dead organisms, regardless if they contain 'functional units of heredity' or not.
- COMMERCIALISATION, COMMERCIALISE, COMMERCIAL PURPOSES: Applying for, obtaining or transferring intellectual property rights or other tangible or intangible rights by sale or license or in any other manner, commencement of product development, conducting market assessments, and seeking pre-market approval and/or the sale of any resulting product based on UTILISATION of the original GENETIC RESOURCE or screening of compound libraries. Also the sale, lease, or license of MATERIAL, PROGENY, or DERIVATIVES; or USEs of MATERIAL, PROGENY, or DERIVATIVES by any organization, including the RECIPIENT, to screen compound libraries in order to produce or manufacture products for general sale. Handling fees (e.g. for providing DNA samples), analytical cost recovery, entrance charges etc., fall under the scope of management and/or administration of public facilities, do not involve the UTILISATION of GENETIC RESOURCES, and are not considered as a commercialization of RESEARCH activity on GENETIC RESOURCES.
- <u>DERIVATIVE:</u> Means a naturally occurring biochemical compound resulting from the genetic expression or metabolism of biological or GENETIC RESOURCES, even if it does not contain functional units of heredity (definition from Nagoya Protocol Art 2).
- <u>EU REGULATION</u> Where used in this document, this refers to Regulation (EU) No 511/2014 of the European Parliament and of the Council of 16 April 2014 on compliance measures for users from the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilisation in the Union, which entered into force for Europe on 6 Jun 2014.
- <u>GENETIC MATERIAL</u>: Any material of plant, animal, microbial or other origin containing functional units of heredity (definition from Article 2 of the Convention on Biological Diversity).
- <u>GENETIC RESOURCES:</u> GENETIC MATERIAL of actual or potential value (definition from Nagoya Protocol, repeated from Article 2 of the Convention on Biological Diversity).
- GLOBAL GENOME BIODIVERSITY NETWORK (GGBN): A global network of well-managed COLLECTIONs of genomic tissue samples from across the Tree of Life, benefiting society through biodiversity RESEARCH, and long-term conservation of the archived materials. This network will foster collaborations among BIODIVERSITY BIOBANKS in order to ensure quality standards, improve best practices, secure interoperability, and harmonize transfer of GENETIC RESOURCES, of material in accordance with national laws and best practices.

MATERIAL: Refers to the items listed on the reverse of this AGREEMENT.

MATERIAL TRANSFER AGREEMENT (MTA): An agreement between two institutions stipulating the terms and conditions for transferring SPECIMENs or samples, including GENETIC MATERIAL.

METADATA: Any data associated with the MATERIAL that describes the origin or identifies the original CETAF MTA 4 developed jointly by The Smithsonian Institute (USA) and the CETAF Legislations and Regulations core team

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provenience of the MATERIAL.

MODIFICATIONS: Substances created by the RECIPIENT by using the MATERIAL which are not the ORIGINAL MATERIAL, PROGENY, or UNMODIFIED DERIVATIVES and which have new properties. MODIFICATIONS include, but are not limited to, recombinant DNA clones.

MUTUALLY AGREED TERMS (MAT): An agreement reached between the PROVIDING COUNTRY of GENETIC RESOURCES and users on the conditions of ACCESS and USE and the benefits to be shared between both parties.

ORIGINAL MATERIAL: That which was originally supplied to the SUPPLIER by the depositor.

<u>OWNERSHIP:</u> Property of a person or institution including all legal rights associated with that property; in some countries also indicated by Transfer of Title or similar documents confirming legal transfer.

PRIOR INFORMED CONSENT (PIC): The permission given by the Competent National Authority of a PROVIDING COUNTRY to a user prior to accessing GENETIC RESOURCES, in line with an appropriate national legal and institutional framework, i.e. what a user can and cannot do with the material.

PROGENY: Unmodified descendant (e.g. subculture or replicate) from the MATERIAL.

PROVIDING COUNTRY / PROVIDER OF MATERIAL: (or "Country providing GENETIC RESOURCES") Means the country supplying GENETIC RESOURCES collected from in-situ sources, including populations of both wild and domesticated species, or taken from ex-situ sources, which may or may not have originated in that country (Definition from CBD Art 2).

<u>RECIPIENT</u>: The organization to whom the SUPPLIER sends the MATERIAL.

<u>RESEARCH</u>: The systematic investigation into and study of materials and sources in order to establish facts and reach new conclusions. This does not include any development of commercial or non-commercial applications.

RESPONSIBLE PROJECT LEADER: The person that has the obligation to carry out due diligence and any reporting on the UTILISATION including under the EU ABS regulation.

SAMPLE: See SPECIMEN.

<u>SPECIMEN:</u> This includes any type of biological material. The term "SPECIMEN" is usually synonymous with "material" or "sample" or "subsample" in this context. The concept can include associated SPECIMENs or materials such as but not limited to parasites and gut content.

SUPPLIER: The party supplying the MATERIAL.

TRANSFER: To convey MATERIAL temporarily or permanently from one person or institution to another.

<u>UNMODIFIED DERIVATIVES</u>: Replicates or substances which constitute an unmodified functional subunit or product expressed by the MATERIAL, such as, but not limited to, purified or fractionated subsets of the MATERIAL, including expressed proteins or extracted or amplified DNA/RNA.

<u>USE:</u> The purposes to which samples and SPECIMENs (biological and genetic material) are put, including but not limited to 'UTILISATION' in the sense of the Nagoya Protocol.

<u>USER:</u> Person or institution that uses (including through subcontracting) of samples, specimens and MATERIAL including but not limited to 'UTILISATION' in the sense of the Nagoya Protocol.

<u>UTILISATION (OF GENETIC RESOURCES)</u>: To conduct RESEARCH and development on the genetic and/or biochemical composition of GENETIC RESOURCES, including through the application of biotechnology as defined in Article 2 of the Convention (definition from the Nagoya Protocol).