

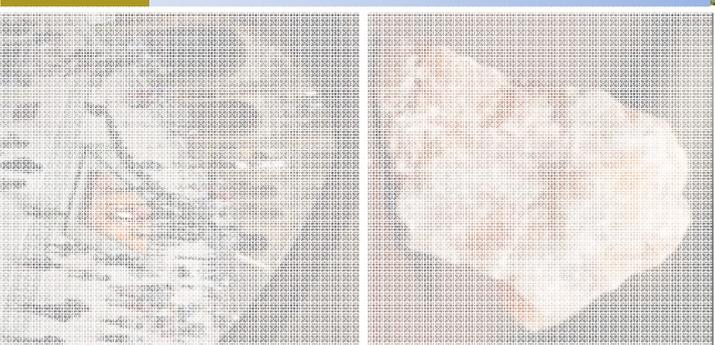
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# Workshop London 2018

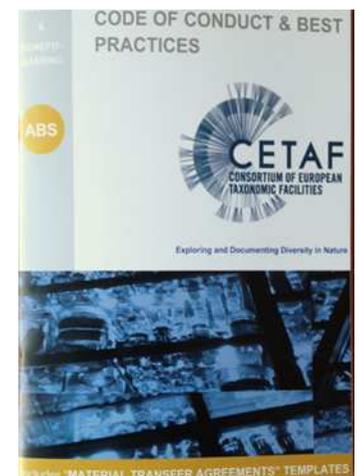
CETAF Legislation and Regulations Liaison Group

CETAF WORKSHOP ON ABS - London, 27 April 2018



# Introduction

- Nagoya Protocol in force since 2014
- EU Regulation on ABS in force since 2014
- CETAF L&R WG has produced tools to help members comply
- Held 2 training workshops
  - focus on exploring NP and EU Regulation
- Next steps we take together
  - Training to use tools
  - Sharing examples of successful policies and procedures in our institutions
- This is the first of a series of workshops to meet this objective



AC

# Introduction

- What do we hope to achieve today?
  - Exploration of the current legal framework and its application to us
  - Discuss practical solutions to ABS management
  - Share experiences, problems and solutions
  - Feedback to Legislation & Regulations Group



Johan Bodegård 1960 - 31 August 2017

AC

# EU Regulation on ABS – Current situation

- Regulation in place in all MS
- Many MS have national implementing legislation
- All should have National Competent Authorities (=Checkpoints)
- In principle users should be making *Declarations of Due Diligence*

# EU Regulation on ABS – Current situation

- Commission has produced Guidance Document
- Still in process of developing Sectorial Guidance, including for Public Research and Collection Holders
- CETAF members have:
  - been involved in drafting both of the latter
  - commented extensively on the other sectorial guidance documents
  - participated in Commission’s “Consultative Forum”
- The documents are currently being finalised
  - There is still uncertainty on some elements
  - these may influence internal ABS management requirements

H

# EU Regulation on ABS – Current situation

- Guidance documents – still not resolved:
  - R&D: the litmus test
  - Taxonomy and scope
  - Human microbiome
  - Unintentional access
  - Associated Traditional Knowledge

# Session 3

Practical Guidance and key workflow elements – practical examples, with discussion



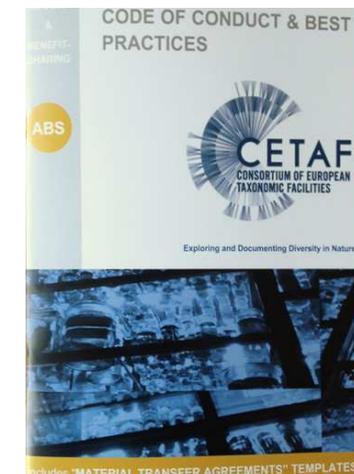
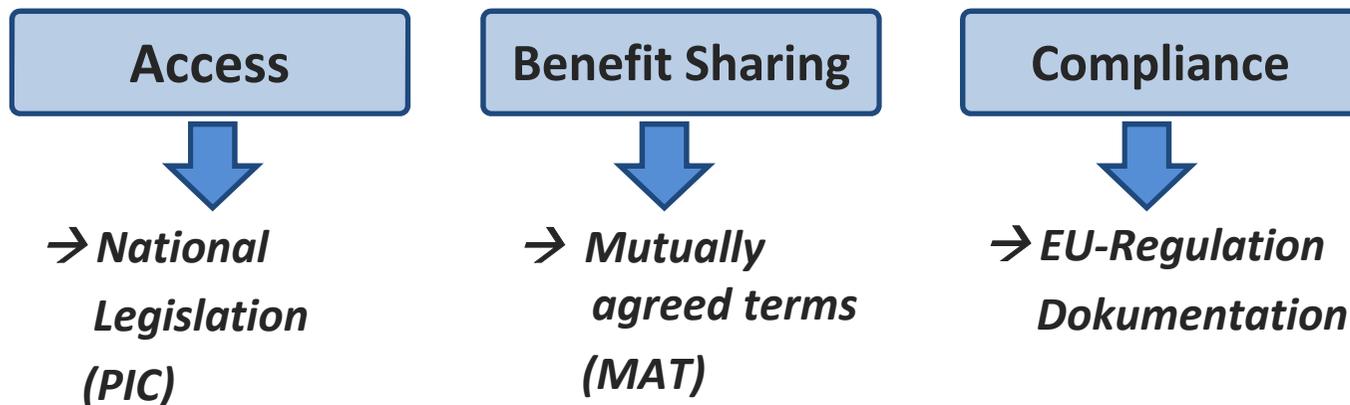
C

# CETAF Code of Conduct as a management tool

- The occasional complex language in the CoC is a response to legislators and EU-COM
- Best Practice: the Practical core
  - bottom-up approach;
  - builds strongly on common workflow elements already established in most collections
- Recognition of CoC & BP as ‘Best Practice’ by EU-COM and all EU member states will increase legal surety for what we are doing already anyway

# CETAF Code of Conduct as a management tool

Best Practice as central element of internal ABS  
management inside institution



→ Currently 3<sup>rd</sup> enhanced version includes adjusted Material Transfer Agreements and a practical advice section in Annex 5

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# CETAF Code of Conduct as a management tool

**CETAF Code of Conduct & BP = useful management  
tools**

Collection management



Permit management



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Consortium of European Taxonomic Facilities (CETAF)

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**Standard Material Transfer Agreement**  
for RECEIPT of MATERIAL without change in ownership

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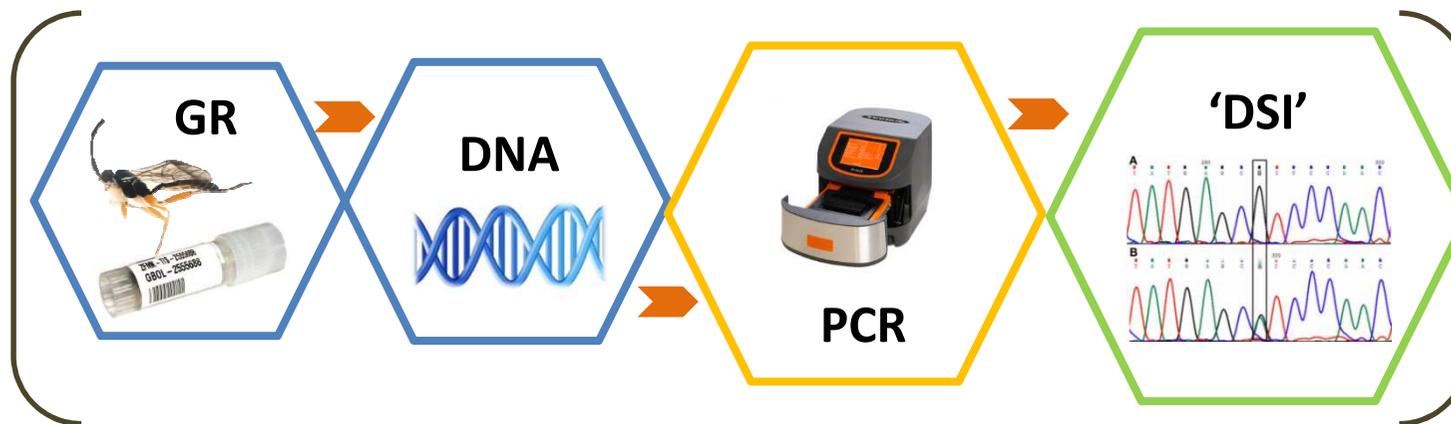
# CETAF Code of Conduct

## builds on common workflow elements

- The CoC is based on procedures and best practices already applied in our institutions
- Due diligence is what we do
  - not limited to NP material or EU Reg compliance

# CETAF Code of Conduct builds on common workflow elements

- Example: barcoding workflow



**GBOL: established User-Procedure**

**Standardised Processes for:**

- handling, processing and sample submission
- data acquisition and accessioning of specimens
- sample management
- decentralised sequencing

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# CETAF Code of Conduct

## builds on common workflow elements

- Example: barcoding workflow



### External experts (= user)

- > 260 amateurs
- > 25 research institutions

### processed samples (= GR)

- > 200.000 individuals
- > 25.000 species

### DNA-Barcodes (= DSI)

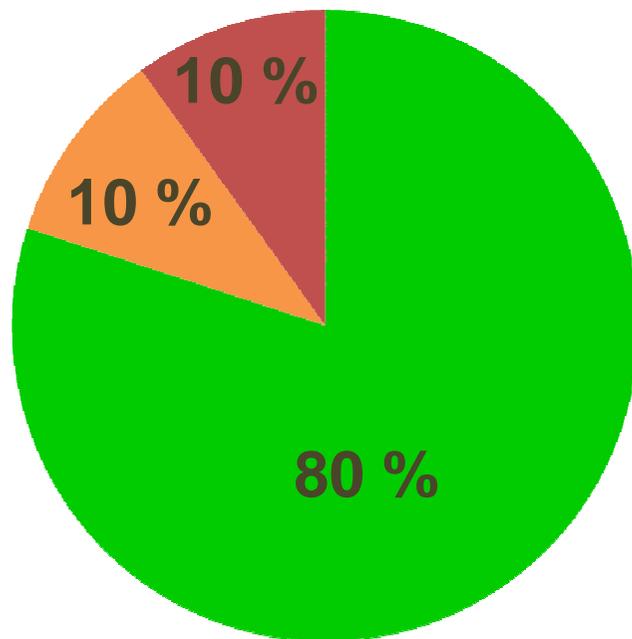
- > 115.000 individuals
- > 20.000 species

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# CETAF Code of Conduct

## builds on common workflow elements

### Information management



- Documentation of samples (where, who, when, etc.)
- Data and permit management (needs development)
- Reporting obligations (currently unclear)

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# Challenges of due diligence

## If I want to utilise ...?

... what are my due diligence obligations ?

- ✓ seek information on legal access and potential benefit sharing
- ✓ this information has to be managed so that
  - ✓ it remains linked to samples
  - ✓ can be shared at any time with third parties or users
- ! **Information refers to samples** (and not (only) to users or persons that obtained or negotiated this information) and thus has to be maintained independent of individual persons or computers.
- ! Period of safekeeping starts **20 years after end of utilisation**

**Who will be in this room in 20 years from now?**

# Supporting your staff

## Creating clear policies

- Some members have developed policies for ABS management (e.g. NHM, RBG Kew, SNSB, NRM)
- NHM made use of CETAF CoC in developing policies

## Developing set procedures

- Examples will be given in these presentations

## Understanding what your institution does

## Self-assessment tool for ABS Compliance by organizations

View

Edit

Revisions

Clone content

**ABS compliance in seven steps: guidance for organizations collecting, transferring, holding or using Genetic Resources**

*A tool developed by China Williams (RBG Kew) and Christopher H C Lyal (NHM)*

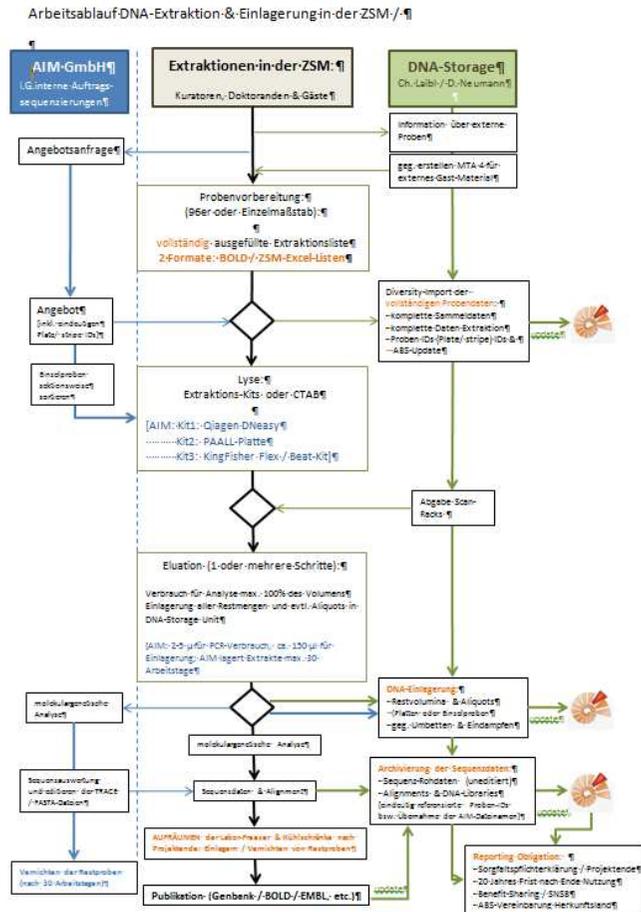
<http://nagoyaprotocol.myspecies.info/content/self-assessment-tool-abs-compliance-organizations>

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# Supporting your staff

## Example: ABS management at the Bavarian Natural History Collections, Munich

- clear workflow and responsibilities for the DNA-labs / extraction of samples



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# Supporting your staff

## Example: ABS management at the Bavarian Natural History Collections, Munich

- Designation of ABS representatives as communication points
- Uses Intranet to share information and guidance
- Introduced specific check-points to support due diligence of curators:
  - ✓ travel application
  - ✓ acquisition of material (partly using CETAF MTAs or contracts)
  - ✓ DNA-extraction
  - ✓ transfer and sharing of samples (CETAF MTAs 1-3)
  - ✓ visiting guest researchers (CETAF MTA 4)
- Collects information on shared benefits on annual basis

# Supporting your staff

## Information resources for staff

### People

- Designating ABS representatives as internal focal points
- Train 'superusers' (NHM)
- E.g. MNHN:
  - 'Nagoya Task Force' created as long-term structure at interface between directorates of collections and research;
  - supported by a Nagoya Committee;
  - ABS link person in research units.

### Intranet

- Some members developing internet or intranet resources (NHM, SNSB)

## die sns

[über uns](#) ▶

[organigramm](#)

[institutionen](#) ▶

[historie](#)

## ausstellungen

[aktuelle ausstellungen](#)

[zukünftige ausstellungen](#)

[adressen und öffnungszeiten](#)

## forschung

[staatssammlungen & garten](#) ▶

[kooperationsprojekte](#)

[access & benefit sharing](#) ▶

## intranet

[dienstreisen](#)

[logos](#)

[styleguide, vorlagen & web](#)

[abs](#)

## SNSB Intranet: ABS

Das Nagoya Protocol on Access and Benefit Sharing ([www.cbd.int/abs](http://www.cbd.int/abs)) gibt den rechtlichen Rahmen zur Bekämpfung der Biopiraterie in Herkunftsländern, und zur Möglichkeit der Strafverfolgung in Nutzerländern vor.

Die EU-Richtlinie 511/2014, die die Umsetzung in der EU regelt, finden Sie [hier](#).

Die DFG Richtlinie zu CBD und ABS finden Sie hier: [http://www.dfg.de/formulare/1\\_021/1\\_021.pdf](http://www.dfg.de/formulare/1_021/1_021.pdf)

Folgende Dokumente geben umfassende Informationen und Richtlinien für die SNSB zum Umgang mit Sammlungsmaterial, das nach dem Stichtag 12. Oktober 2014 außerhalb Deutschlands gesammelt oder erworben wurde:

[ABS - Einführung Nagoya und ABS \(pdf\)](#)

[ABS - ABS EU law & practical implications \(pdf\)](#)

[ABS & SNSB \(pdf\)](#)

[CETAF Code of Conduct](#)

[ABS- Schulungsunterlagen vom 1.10.2015](#)

[ABS-Clearing House](#) - länderspezifische Informationen zur aktuellen Rechtslage bzw. Kontakte zu National Focal Points

### ABS-Checklisten für Planung von Projekten:

[Planning a project & Grant proposal](#)

[Before starting field work](#)

[Before and during negotiations](#)

[During the field trip](#)

[Collection management & sample transfer \(MTA templates\)](#)

[Before extraction & sequencing of material](#)

[Prior to publication](#)

added as practical advice (Annex 5) to 3<sup>rd</sup> version of CETAF Coc

# Supporting your staff

The screenshot shows the homepage of the ABS Information Forum. At the top, there is a dark blue header with the site logo, navigation menu, search bar, and utility links. The main content area features a welcome message, a large image of pink flowers, and three columns of recent content. The navigation menu includes: HOME, ABS AND THE NAGOYA PROTOCOL, ABS REGULATIONS IN THE EU & UK, TOOLS & RESOURCES, GLOSSARY, TRAINING, PERMITS, 'BENEFIT-SHARING', ABS AND THE SEA, LITERATURE, ABS PROJECTS, MEDIA GALLERY, and ABOUT US. The search bar has a 'SEARCH' button and radio buttons for 'All' and 'Taxonomy'. The 'View' and 'Edit' buttons are visible above the main text. The main text reads: 'Welcome to ABS Information Forum. Natural history museums, botanical gardens and herbaria all collect plants and animals from countries around the world. For many years this has required obtaining permits, at least from some countries. In recent years there has been an increase in the importance of international agreements in this area, and terms such as Access and Benefit-Sharing, ABS and the Nagoya Protocol being used. Researchers and collection managers are aware they have to take note of these and comply with regulations, but it can be difficult to know where to begin. The contents of this site are designed to help. The site It is being developed by staff of the Natural History Museum, Royal Botanic Gardens Kew and Royal Botanic Gardens Edinburgh, to assist their staff and to support their implementation of the CETAF Code of Conduct and Best Practices for ABS. The site is currently under development, so some of the pages are incomplete, but our intent is to make all pages open at least to members of staff of our three institutions, and others who express an interest.' The large image shows pink flowers on a green leaf. To the right, there are three smaller images: a pink flower, a brown beetle, and a person in a lab coat working in a laboratory. Below the main text, there are three columns: 'RECENT PAGES' with a link to 'Acronyms', 'RECENTLY ADDED LITERATURE' with a link to 'Manual de solicitud del contrato de acceso a recursos genéticos y sus productos derivados en Colombia', and 'RECENTLY ADDED TAXON DESCRIPTIONS' with the text 'By adding content to your site, links to the latest content will appear here'.

# Workflows: Planning Fieldwork

## Example 1: Proposed barcoding project on Albanian beetles

- Has my institution already got contracts established with Albania? Where can I check the originals?
- If not: How can I get into contact with national authorities?
  - visit ABS-CH website, contact NFP
    - Institution might offer templates for colleagues for such contacts e.g. on Intranet
  - ask NFP if you have to consider additional permits or indigenous communities
- Document contact and responses (including no responses) with the NFP
  - SNSB colleagues have to add all relevant information to their travel application form

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# Workflows: Planning Fieldwork

## Text template for e-mails

Subject: Do I need PIC & MAT for tissues of [name of Providing Country & animal group]?

Dear xxx,

I am writing to you to obtain information about requirements for [xxx] tissue sampling in [xxx]: for a non-commercial research project on [example: the global phylogeny and biogeography of xxx], I want to access and utilize several [name of Providing Country, e.g. Norwegian] samples of [xxx] which would be collected with the necessary research permits, but for which I do not yet have information about ABS-utilization and documentation guidelines in your country, because the ABS-Clearinghouse website currently does not offer sufficient details on applicable [name of Providing Country, e.g. Norwegian] access legislation. Therefore I contact you directly with my question regarding [tissue] samples of specimens of the [xxx, e.g. family name & genera or species to be sampled] (amount of proposed sampling, e.g. 3 specimens each): To access and utilise these genetic resources, do I need specific ABS agreements (PIC & MAT), and if yes, whom do I have to contact to obtain those?

Voucher specimens, corresponding tissue & DNA should be stored as reference material for scientific comparison accessible in a public Natural History Collection; for further [morphological] comparison in our ongoing project, we would be happy to store this material in the Bavarian Natural History Collections [and Bavarian State collection of Zoology], if possible.

Research results and uploads of DNA sequence information will be published exclusively in the public domain, e.g. in respective research journals or online portals for DNA sequences, such as GenBank (<http://www.ncbi.nlm.nih.gov/genbank/>), EBML (<https://www.ebi.ac.uk/ena/about/data-repositories>) or BOLD (<http://www.boldsystems.org/>).

With kind regards

D

xxx

# Example 1: Proposed barcoding project on Albanian beetles

The screenshot shows the ABSCH website interface. At the top, there is a navigation bar with links: Home, About the ABSCH, Search, Submit, and Country Profiles. Below this is an interactive world map where countries are color-coded: purple for 'Parties', orange for 'Ratified, not yet Party', and grey for 'Non-Parties'. A callout box points to the map with the text: 'Interactive Map directly linking to States irrespective of their status'. Below the map is a table with columns for country names and various status indicators (NFP, CNA, MSR, NDB, IRCC, CP, CPC, NR). The table lists countries like Afghanistan, Albania, Algeria, and Andorra.

Interactive Map  
directly linking to States  
irrespective of their  
status

	All	Parties	Ratified, not yet Party	Non-Parties	NFP ⓘ	CNA ⓘ	MSR ⓘ	NDB ⓘ	IRCC ⓘ	CP ⓘ	CPC ⓘ	NR ⓘ
1	Afghanistan			NON-PARTY	NFP 1	CNA 0	MSR 0	NDB 0	IRCC 0	CP 0	CPC 0	NR 0
2	Albania			PARTY TO THE NAGOYA PROTOCOL ENTRY INTO FORCE: 12 OCT 2014	NFP 1	CNA 1	MSR 1	NDB 0	IRCC 0	CP 0	CPC 0	NR 0
3	Algeria			NON-PARTY SIGNATORY	NFP 1	CNA 0	MSR 0	NDB 0	IRCC 0	CP 0	CPC 0	NR 0
D4	Andorra			NON-PARTY	NFP 0	CNA 0	MSR 0	NDB 0	IRCC 0	CP 0	CPC 0	NR 0



# Albania

**Party Status:** Party to the Nagoya Protocol  
**Entered into force on:** 12 Oct 2014  
**Accession on:** 29 Jan 2013  
**Signatory:** No  
**CBD Country Profile:** [www.cbd.int/countries/?country=al](http://www.cbd.int/countries/?country=al)

## – ABS National Focal Point (NFP)

EXPORT

### ABS NATIONAL FOCAL POINT

Country

Albania

Name

Ms. Elvana Ramaj

Description

Head of Biodiversity Unit Directorate of Biodiversity and Protected Areas Ministry of Environment Bulevardi Zhan D'Ark, Nr. 23 Tirana

Organization

Ministry of Environment

Email

✉ [elvana.ramaj@moe.gov.al](mailto:elvana.ramaj@moe.gov.al)  
 ✉ [eramaj@moe.gov.al](mailto:eramaj@moe.gov.al)

Telephone

☎ +355 4 2270 630

Fax

☎ +355 4 2270 627

Treaties

- Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization to the Convention on Biological Diversity
- Convention on Biological Diversity

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# Workflows: Negotiating with National Competent Authority

- If successful will lead to issue of permit (PIC and MAT)
- It is important to establish roles of institution c.f. negotiating researcher
- Make use of a local collaborator
  - Some countries require this

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# Workflows: Negotiating with National Competent Authority

## Example 2: Proposed research in Peru

### Before starting negotiations with Competent National Authority

- example Peru:
  - NFP very selective with whom they want to collaborate
  - Personal contacts and MoUs with National History Museum required
  - no straightforward PIC & MAT but specific arrangements with different ministries required (e.g. agriculture for pest insects, forestry to sample trees, environment for flora and fauna, etc.)

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# Workflows: Negotiating with National Competent Authority

## During negotiations with Competent National Authority

- Make use of text templates for e-mails
- Keep track of correspondence – document responses / non-responses
- CETAF Use Statement

### The Natural History Museum London - Statement of Use of Biological Material

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This document sets out the typical ways in which biological material, accessioned into the collections of the Natural History Museum (NHM) may be used and genetic resources may be utilized. This includes use both in facilities managed or owned by the legal body and in facilities owned or managed by others but mandated for specific purposes (for example external DNA sequencing facilities). If Providers of biological material do not wish their material to be treated in this way or wish to place any specific restrictions, this needs to be expressly set out in writing when granting access, when donating or exchanging material, or providing unsolicited material such as for identification. If the Provider does not place any express written restrictions, then the material will be accessioned and used under the conditions set out below.

# Workflows: Negotiating with National Competent Authority

Consider benefit sharing

- NHM / Kew / Edinburgh
  - <http://nagoyaprotocol.myspecies.info/node/15>
  - general principles and outline
- SNSB
  - <http://www.snsb.mwn.de/index.php/en/allgemeines-zu-abs/snsb-benefit-sharing>
  - Examples from particular countries

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# Workflows: Negotiating with National Competent Authority

Document disambiguation:

*Prior Informed Consent (PIC)*

*Mutually Agreed Terms (MAT)*

*Permit*

*Internationally Recognised Certificate of  
Compliance (IRCC)*

# Workflows: Before starting fieldwork

## Institutional authorisation and checking systems

- Functions as part of travel authorisation
- Demonstrates due diligence
- RBG Kew has required authorisation by 'Fieldwork Committee' for some years
- [https://www.bgci.org/policy/abscasestudy\\_fieldwork1](https://www.bgci.org/policy/abscasestudy_fieldwork1)

Policy > Overseas fieldwork approval process at the Royal Botanic Gardens, Kew

Overseas fieldwork approval process at the Royal Botanic Gardens, Kew

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# Workflows: Before starting fieldwork

## Example: ABS management at the Bavarian Natural History Collections, Munich

- SNSB has to use travel application forms issued by the Bavarian State
- extended by additional from asking if
  - (6) import or export of GR is intended
  - (7) If the biological material will be utilised
  - (8) a collection should be picked
  - (9) calls for documents arising from contact with respective NFPs

6.	Ich beabsichtige genetisches Material (auch geringe Mengen) i.S.v. Art. 3 Ziff. 1 der Verordnung EU vom 16.4.2014 ein- oder auszuführen.	<input type="checkbox"/> ja <input type="checkbox"/> nein
7.	Dieses Material soll genutzt (vgl. Art. 3 Nr. 5 VO EU a.a.O.) werden.	<input type="checkbox"/> ja <input type="checkbox"/> nein
8.	Ich hole eine Sammlung oder Teile hiervon ab.	<input type="checkbox"/> ja <input type="checkbox"/> nein
9.	Für meine Sammeltätigkeit bzw. Export von biologischen Proben im Zusammenhang mit der beantragten Dienstreise werden vor Beginn der Sammeltätigkeit bzw. vor dem Export alle erforderlichen Genehmigungen der zuständigen (ausländischen) Stellen vorliegen. (bitte wenn bereits vorhanden, Kopien beifügen; falls nein, bitte erläutern)	<input type="checkbox"/> ja <input type="checkbox"/> nein

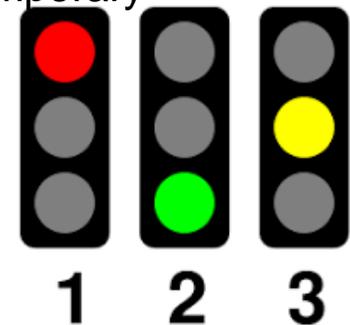
# Workflows: Before starting fieldwork

## MNHN-Paris : Combined Tools

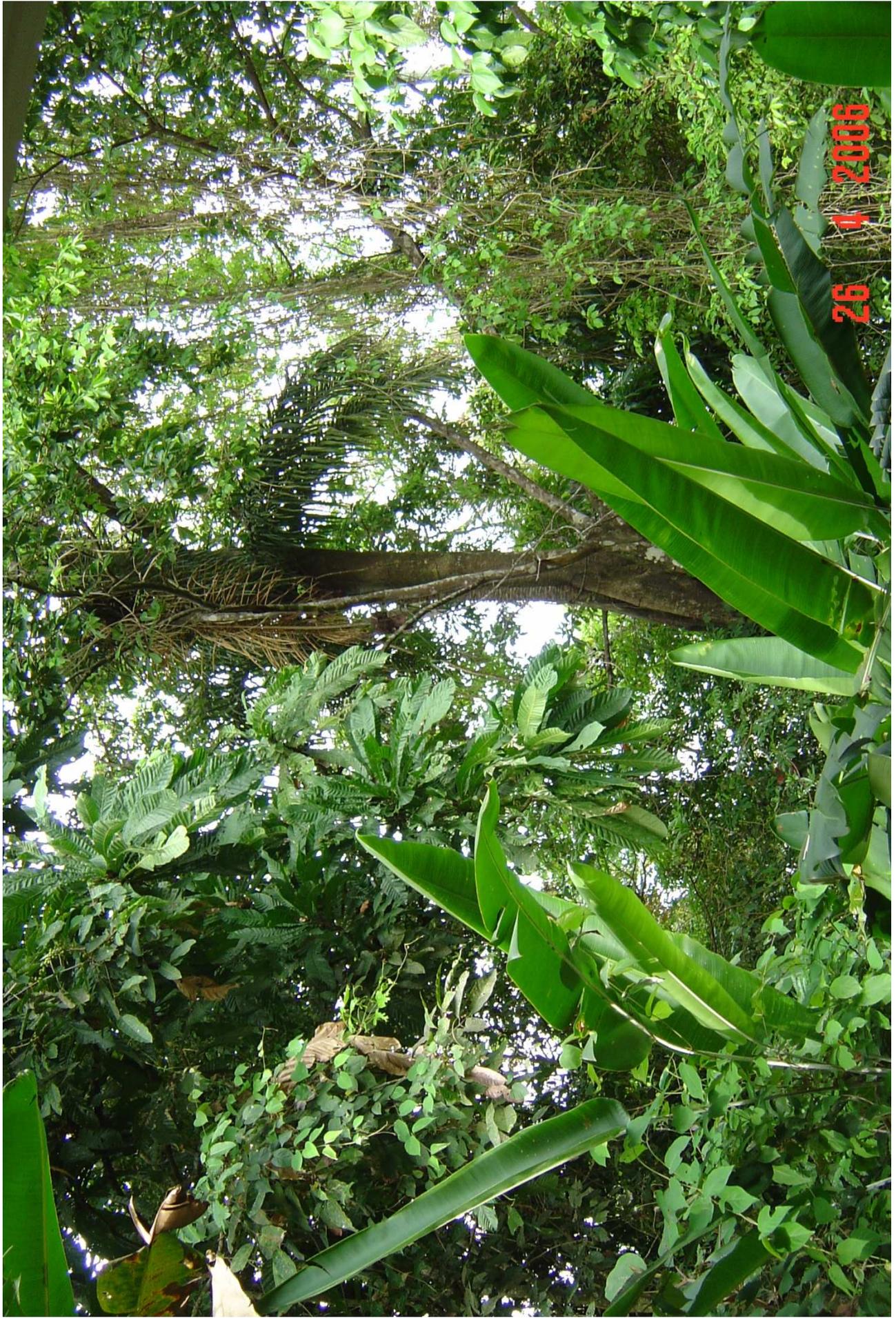
### Bambi-base – Base des Autorisations sur le Matériel Biologique Informatisées



- Relational database linked to collections databases
- Linked with next cloud to archive all permits, MTA, CITES etc
- Tracks all field collections + all deposits + all collections acquisition (entry)
- Facilitates exchange and dialog with researchers, following status of MTA+MAT etc
- Archives all ABS documentation
- Tracks benefit-sharing
- Records if TK element present
- Extracts all obligations, permitted actions (e.g. sampling, utilisation, loan/temporary transfer...)
- Automatically reports extracted actions and obligations on material
- Easily readable on collections databases ( red, green, or orange lights)



AN



# Workflows: During fieldwork

## Accessing GR under *in-situ* conditions in a Providing Country

- Record benefits delivered in country
  - All benefits resulting from joint collecting as collaborative venture with research organisations based in the providing country
    - *Include any practical, taxonomic, scientific or other training, education, capacity building, technology transfer, collaborative scientific work*
  - Payments
    - *Include direct and indirect such as coverage of accommodation costs, fees for permits, etc.*
- Try to foresee these to include them in the initial agreement

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# Workflows: During fieldwork

## Accessing GR under *in-situ* conditions in a Providing Country

- Be clear that the access is on behalf of the institution – and don't pick up other things!
- From Annex 5 of CoC: *"Any additional collecting, sampling or other acquisition of biological material for private or other use, including on behalf of or for sale to Third Parties is prohibited if not explicitly included in existing PIC & MAT"*

# Workflows: accessing GR from an *ex situ* source

## Belgium

- National policy
  - Competences on access are territorial
    - => regions (terrestrial) and federal (marine, collections)
    - => legislation may differ between competences
  - Competences on compliance not clear yet
- Institutional policy
  - Collections = national or regional patrimony
  - Post Oct 2014 collections: caretaker status?
  - ODA?
  - Adaptation of acquisition policy / collection & data management

# Workflows: accessing GR from an *ex situ* source

- France Law 8/8/2016+ decrees in 2017
  - + overseas areas except New Caledonia + Polynesia
- Covers French GR collected in French territories
- State as provider
- 2 procedures: declaration (online) or authorisation
- New concepts:
  - New utilisation
  - Inhabitants communities



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# Workflows: accessing GR from an *ex situ* source

- New Caledonia
- Exclusive economic area = NC government/ French State
- North Province
- South Province
- Iles Loyauté



AN

# Workflows: accessing GR from an *ex situ* source

- Lichen sampled in France 2011 and included in Austrian herbarium
- Received in Oslo, Norway 2012, from Austria and without any associated permits
  - Predates NP (2014)
  - Predates French leg. on ABS (2017)
- Single genetic marker sequenced for taxonomical identification 2018
  - Out of scope (EU regulation on ABS)
  - Within scope of Norwegian law (2009)

LE

# Workflows: Biological material entering the institution

- Necessary to receive and manage documentation
- Form to 'carry' such documentation and provide necessary text



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Consortium of European Taxonomic Facilities (CETAF)

**ANNEX 6.3 to the CETAF CoC for ABS**

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**MTA 3**

**Material Transfer Agreement for RECEIPT OF  
MATERIAL, with change in ownership**

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# Workflows: Biological material entering the institution

- Visiting researchers (including students) bringing material for utilisation
- Clarity on due diligence reporting needed



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Consortium of European Taxonomic Facilities (CETAF)

## **ANNEX 6.4 to the CETAF CoC for ABS**

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### **MATERIAL TRANSFER AGREEMENT -MTA 4**

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

# Workflows: Biological material entering the institution

## **NHM UK**

- Moving beyond simple 'Transfer of Title' form
- Form under development includes requirements for documentation
- Separate form for 'illegal' material (e.g. customs intercepts)
- Permits etc scanned into database with 'object entry' or 'acquisition' record
- Currently not extracting benefit-sharing conditions
- Currently not flagging specimens

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# Workflows: Biological material entering the institution

## **SNSB Munich**

- Material is accessioned as usual in different sections
- Any permit (travel, export, etc.) receives a document number by the responsible ABS representative and is filed
- MAT & PIC receive document numbers in central administration and are filed there (no digital copies)
- Curators reference document number to incoming material
- Respective document numbers must be entered into standardised Excel-sheets if material is extracted

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# Workflows: Biological material entering the institution

**SNSB Munich**

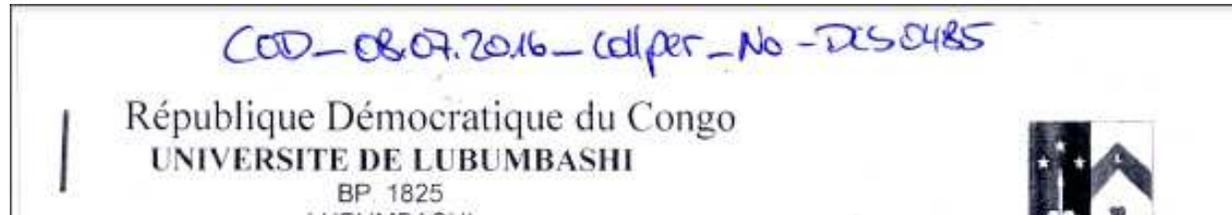


Remark	tissue subsamp	Permit
ZSM 45056 ex ZSM 44677 (2 now 1); det. Schedel: 30.12.2015; male		ZMB_05.10.2015_ExpPer
Loc. DRC 2016-10; alt.: 1075; method: gill net, rotenone, frame net, hand net; ZSM DNA tissue collection (fin samples), I		COD_08.07.2016_CollPer_No-DCS485_DRC Katanga 2016
Loc. DRC 2016-10; alt.: 1075; method: gill net, rotenone, frame net, hand net; ZSM DNA tissue collection (fin samples)		COD_08.07.2016_CollPer_No-DCS485_DRC Katanga 2016
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Loc. DRC 2016-10; alt.: 1075; method: gill net, rotenone, frame net, hand net; ZSM DNA tissue collection (fin samples)		COD_08.07.2016_CollPer_No-DCS485_DRC Katanga 2016
Loc. DRC 2016-10; alt.: 1075; method: gill net, rotenone, frame net, hand net		COD_08.07.2016_CollPer_No-DCS485_DRC Katanga 2016
Loc. DRC 2016-10; alt.: 1075; method: gill net, rotenone, frame net, hand net		COD_08.07.2016_CollPer_No-DCS485_DRC Katanga 2016
Loc. DRC 2016-10; alt.: 1075; method: gill net, rotenone, frame net, hand net; ZSM DNA tissue collection (fin samples)		COD_08.07.2016_CollPer_No-DCS485_DRC Katanga 2016
Loc. DRC 2016-10; alt.: 1075; method: gill net, rotenone, frame net, hand net		COD_08.07.2016_CollPer_No-DCS485_DRC Katanga 2016
Loc. DRC 2016-10; alt.: 1075; method: gill net, rotenone, frame net, hand net; ZSM DNA tissue collection (fin samples)		COD_08.07.2016_CollPer_No-DCS485_DRC Katanga 2016

D

# Workflows: Biological material entering the institution

## SNSB Munich



Orientation for name on tube	Tissue No.	Collecting Permit No.	Permit issued by	trade restrictions	ABS_MAT	ABS_PIC
Ab_B7	AB54002492	COD_08.08.2016_CollPer_N-REF-FAC-AGRO-100			not applicable, ratified but laws not ready [DN 02.Dez.2016]	n/a
Ab_B8	AB54002597	COD_08.08.2016_CollPer_N-REF-FAC-AGRO-100			not applicable, ratified but laws not ready [DN 02.Dez.2016]	n/a
Ab_B9	AB54002608	COD_08.08.2016_CollPer_N-REF-FAC-AGRO-100			not applicable, ratified but laws not ready [DN 02.Dez.2016]	n/a
Ab_B10	AB54002848	COD_08.08.2016_CollPer_N-REF-FAC-AGRO-100			not applicable, ratified but laws not ready [DN 02.Dez.2016]	n/a
Ab_B11	AB54002854	COD_08.08.2016_CollPer_N-REF-FAC-AGRO-100			not applicable, ratified but laws not ready [DN 02.Dez.2016]	n/a
Ab_B12	AB54002864	COD_08.08.2016_CollPer_N-REF-FAC-AGRO-100			not applicable, ratified but laws not ready [DN 02.Dez.2016]	n/a
AB_C1	AB54002870	COD_08.08.2016_CollPer_N-REF-FAC-AGRO-100			not applicable, ratified but laws not ready [DN 02.Dez.2016]	n/a
AB_C2	DRC-2008/0267				pre-NP, ABS not applicable	
AB_C3	DRC-2008/0332				pre-NP, ABS not applicable	
AB_C4	DRC-2008/0406				pre-NP, ABS not applicable	
AB_C5	DRC-2008/0624				pre-NP, ABS not applicable	
AB_C6	DRC-2009/0794				pre-NP, ABS not applicable	
AB_C7	DRC-2009/0857				pre-NP, ABS not applicable	
AB_C8	DRC-2009/0907				pre-NP, ABS not applicable	
AB_C9	DRC-2012/1213				pre-NP, ABS not applicable	
AB_C10	DRC-2012/1220				pre-NP, ABS not applicable	
AB_C11	DRC-2012/1224				pre-NP, ABS not applicable	
AB_C12	DRC-2012/1287				pre-NP, ABS not applicable	
Ab_D1	DRC-2012/1317				pre-NP, ABS not applicable	
Ab_D2	DRC-2012/1430				pre-NP, ABS not applicable	
Ab_D3	DRC-2013/1814				pre-NP, ABS not applicable	
Ab_D4	DRC-2016/4106	COD_08.07.2016_CollPer_No-DCS485_DRC Katanga 2016 UK FS				
Ab_D5	DRC-2016/4154	COD_08.07.2016_CollPer_No-DCS485_DRC Katanga 2016 UK FS				
Ab_D6	DRC-2016/4162	COD_08.07.2016_CollPer_No-DCS485_DRC Katanga 2016 UK FS				
Ab_D7	DRC-2016/4399	COD_08.07.2016_CollPer_No-DCS485_DRC Katanga 2016 UK FS				
Ab_D8	DRC-2016/4414	COD_08.07.2016_CollPer_No-DCS485_DRC Katanga 2016 UK FS				
Ab_D9	DRC-2016/4415	COD_08.07.2016_CollPer_No-DCS485_DRC Katanga 2016 UK FS				

# Workflows: Utilisation of GR, documentation and record keeping

- Standardised Excel sheets based on widely accepted and used GBOL-submission files
- Barcoding file got converted single worksheet (originally used several tabs)
- Additional fields for permits and extraction details (who, when, how much, etc.)
- Records failed extractions (also utilisation)
- Pure management of samples and documentation



D

# Workflows: Utilisation of GR, documentation and record keeping

Tissue No.	Collecting Permit No.	Permit issued by	trade restrictions	ABS_MAT	ABS_PIC	Authorised by	Blocked for wrapper	Blocked until	<b>BOLD sample ID</b>	DNA Bank No.	date extraction	kit used	storage medium of extracted DNA	extraction staff	DNA Konz. [extinction]
AB48930051	COD_16.08.2016_CollPer_H.Kat_REF			not applica	n/a	MRAC Tervuren				r419p1f1t94	07.12.2016	CTAB	AE Buffer	Emmanuel abwe	73.4
AB49131286	COD_16.08.2016_CollPer_H.Kat_REF			not applica	n/a	MRAC Tervuren				r419p2f1t94	07.12.2016	CTAB	AE Buffer	Emmanuel abwe	88.7
AB48930037	COD_16.08.2016_CollPer_H.Kat_REF			not applica	n/a	MRAC Tervuren				r419p3f1t94	07.12.2016	CTAB	AE Buffer	Emmanuel abwe	77.8
AB48949127	COD_16.08.2016_CollPer_H.Kat_REF			not applica	n/a	MRAC Tervuren				r419p4f1t94	07.12.2016	CTAB	AE Buffer	Emmanuel abwe	910
AB48949128	COD_16.08.2016_CollPer_H.Kat_REF			not applica	n/a	MRAC Tervuren				r419p5f1t94	07.12.2016	CTAB	AE Buffer	Emmanuel abwe	794.8
AB48949830	COD_16.08.2016_CollPer_H.Kat_REF			not applica	n/a	MRAC Tervuren				r419p6f1t94	07.12.2016	CTAB	AE Buffer	Emmanuel abwe	971
AB48949831	COD_16.08.2016_CollPer_H.Kat_REF			not applica	n/a	MRAC Tervuren				r419p7f1t94	07.12.2016	CTAB	AE Buffer	Emmanuel abwe	447.4
AB49128214	COD_08.08.2016_CollPer_N-REF-FA			not applica	n/a	MRAC Tervuren				r419p8f1t94	07.12.2016	CTAB	AE Buffer	Emmanuel abwe	88.4
AB49128225	COD_08.08.2016_CollPer_N-REF-FA			not applica	n/a	MRAC Tervuren				r419p9f1t94	08.12.2016	CTAB	AE Buffer	Emmanuel abwe	67.7
AB53923685	COD_07.06.2013_CollPer_No038-ICC			not applica	n/a	MRAC Tervuren				r419p10f1t94	08.12.2016	CTAB	AE Buffer	Emmanuel abwe	452.8
AB54001008	COD_08.08.2016_CollPer_N-REF-FA			not applica	n/a	MRAC Tervuren				r419p11f1t94	08.12.2016	CTAB	AE Buffer	Emmanuel abwe	222.7
AB54001026	COD_08.08.2016_CollPer_N-REF-FA			not applica	n/a	MRAC Tervuren				r419p12f1t94	08.12.2016	CTAB	AE Buffer	Emmanuel abwe	482.9
AB54001181	COD_08.08.2016_CollPer_N-REF-FA			not applica	n/a	MRAC Tervuren				r419p13f1t94	08.12.2016	CTAB	AE Buffer	Emmanuel abwe	641.8
AB54001183	COD_08.08.2016_CollPer_N-REF-FA			not applica	n/a	MRAC Tervuren				r419p14f1t94	08.12.2016	CTAB	AE Buffer	Emmanuel abwe	36.9
AB54002312	COD_08.08.2016_CollPer_N-REF-FA			not applica	n/a	MRAC Tervuren				r419p15f1t94	08.12.2016	CTAB	AE Buffer	Emmanuel abwe	907.4
AB54002318	COD_08.08.2016_CollPer_N-REF-FA			not applica	n/a	MRAC Tervuren				r419p16f1t94	08.12.2016	CTAB	AE Buffer	Emmanuel abwe	30.2
AB54002485	COD_08.08.2016_CollPer_N-REF-FA			not applica	n/a	MRAC Tervuren				r419p17f1t94	08.12.2016	CTAB	AE Buffer	Emmanuel abwe	143.9
AB54002491	COD_08.08.2016_CollPer_N-REF-FA			not applica	n/a	MRAC Tervuren				r419p18f1t94	08.12.2016	CTAB	AE Buffer	Emmanuel abwe	472.2
AB54002492	COD_08.08.2016_CollPer_N-REF-FA			not applica	n/a	MRAC Tervuren				r419p19f1t94	08.12.2016	CTAB	AE Buffer	Emmanuel abwe	46.1
AB54002597	COD_08.08.2016_CollPer_N-REF-FA			not applica	n/a	MRAC Tervuren				r419p20f1t94	08.12.2016	CTAB	AE Buffer	Emmanuel abwe	130.1
AB54002608	COD_08.08.2016_CollPer_N-REF-FA			not applica	n/a	MRAC Tervuren				r419p21f1t94	08.12.2016	CTAB	AE Buffer	Emmanuel abwe	22.9
AB54002848	COD_08.08.2016_CollPer_N-REF-FA			not applica	n/a	MRAC Tervuren				r419p22f1t94	08.12.2016	CTAB	AE Buffer	Emmanuel abwe	31.4

- Pure management of samples and documentation



D

# Workflows: Utilisation of GR, documentation and record keeping

Tissue No.	Collecting Permit No.	Permit issued by	trade restrictions	ABS_MAT	ABS_PIC	Authorised by	Blocked for wrapper	Blocked until	<b>BOLD sample ID</b>	DNA Bank No.	date extraction	kit used	storage medium of extracted DNA	extraction staff	DNA Konz. [extinction]
AB48930051	COD_16.08.2016_CollPer_H.Kat_REF			not applica	n/a	MRAC Tervuren				r419p1f1t94	07.12.2016	CTAB	AE Buffer	Emmanuel abwe	73.4
AB49131286	COD_16.08.2016_CollPer_H.Kat_REF			not applica	n/a	MRAC Tervuren				r419p2f1t94	07.12.2016	CTAB	AE Buffer	Emmanuel abwe	88.7
AB48930037	COD_16.08.2016_CollPer_H.Kat_REF			not applica	n/a	MRAC Tervuren				r419p3f1t94	07.12.2016	CTAB	AE Buffer	Emmanuel abwe	77.8
AB48949127	COD_16.08.2016_CollPer_H.Kat_REF			not applica	n/a	MRAC Tervuren				r419p4f1t94	07.12.2016	CTAB	AE Buffer	Emmanuel abwe	910
AB48949128	COD_16.08.2016_CollPer_H.Kat_REF			not applica	n/a	MRAC Tervuren				r419p5f1t94	07.12.2016	CTAB	AE Buffer	Emmanuel abwe	794.8
AB															971
AB	<b>Tissue No.</b>	<b>position extraction plate</b>	<b>Volume (Master)</b>	<b>removal / abstraction µl</b>	<b>Lab/ Cooling Chamber</b>	<b>Freezer (Master)</b>	<b>Tray (Master)</b>	<b>Rack (Master)</b>	<b>Position (Master)</b>	<b>Position No. master plate</b>	<b>Scan ID-DNA-Master</b>	<b>Genbank No 1</b>	<b>Genbank No 2</b>	<b>Genbank No 3</b>	
AB															447.4
AB															88.4
AB															67.7
AB	AB48930051	Ab_A1	20 µl			1	94	419	A01	1					452.8
AB	AB49131286	Ab_A2	20 µl			1	94	419	A02	2					222.7
AB	AB48930037	Ab_A3	20 µl			1	94	419	A03	3					482.9
AB	AB48949127	Ab_A4	20 µl			1	94	419	A04	4					641.8
AB	AB48949128	Ab_A5	20 µl			1	94	419	A05	5					36.9
AB	AB48949830	Ab_A6	20 µl			1	94	419	A06	6					907.4
AB	AB48949831	Ab_A7	20 µl			1	94	419	A07	7					30.2
AB	AB49128214	Ab_A8	20 µl			1	94	419	A08	8					143.9
AB	AB49128225	Ab_A9	20 µl			1	94	419	A09	9					472.2
AB	AB53923685	Ab_A10	20 µl			1	94	419	A10	10					46.1
AB	AB54001008	Ab_A11	20 µl			1	94	419	A11	11					130.1
AB	AB54001026	Ab_A12	20 µl			1	94	419	A12	12					22.9
AB	AB54001181	Ab_B1	20 µl			1	94	419	B01	13					31.4
	AB54001183	Ab_B2	20 µl			1	94	419	B02	14					
	AB54002312	Ab_B3	20 µl			1	94	419	B03	15					
	AB54002318	Ab_B4	20 µl			1	94	419	B04	16					



D

# Workflows: Reporting (to domestic authorities)

Be clear who is responsible

- NHMUK
  - individual researcher
  - Individuals will register with DECLARE
  - Registrar has oversight
- Joint research projects
  - Clarity in research agreements on who reports
- Contract work
  - Reporting responsibility stated in contract
- Core data for reporting (and 20 years)
  - Chris to provide content

c

# Workflows: Reporting (to domestic authorities)

- Core data for reporting (and 20 years)
- DECLARE FAQ <https://tinyurl.com/y7w76rrp>

*Description of the genetic resources and/or traditional knowledge utilised or unique identifier(s)*

*Reference number(s) of Internationally-Recognised Certificate of Compliance (IRCC)*

*Place of access (=Providing Country)*

*Date of Access*

*Subject matter of the research or identification code of the grant*

*Whether sourced from Registered collection, with registration code of the collection*

*Access permits, where applicable.*

*Funding source*

C

# Workflows: Transfer of GR to third parties

- Two MTAs available from CETAF
  - Transfer of ownership determines which MTA should be used
- Check boxes guide you through relevant decisions / points
- Original signatures are required before the material is transferred (no email scans, JPGs, etc.)
- Update traditional loan forms to prohibit destructive sampling (DNA extraction is consumptive, thus nothing can be loaned and returned)



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Consortium of European Taxonomic Facilities (CETAF)

**ANNEX 6.1 to the CETAF CoC for ABS**

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**MTA 1**

**Material Transfer Agreement for PROVISION OF MATERIAL, with no change in ownership**



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Consortium of European Taxonomic Facilities (CETAF)

**ANNEX 6.2 to the CETAF CoC for ABS**

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**MTA 2**

**Material Transfer Agreement for PROVISION OF MATERIAL, with change in ownership**

D

# Implementation of the EU Regulation in members' countries

What do we know?



H

# What are priorities for the ABS core team?

The Legislation & Regulations WG ABS core group is planning the following work – but what do you think we should do?

- Developing guidance on reporting Due Diligence under the EU Regulation
- Bringing together geographical interest groups to share experiences (e.g. Brazil, Ethiopia)
- Developing standard clauses for contracts / agreements
- Develop standards for sharing material
- Areas Beyond National Jurisdiction

P



## **ABS working group**

Ana Casino, Consortium of European Taxonomic Facilities (CETAF)

c/o Royal Belgian Institute of Natural Sciences, Brussels, Belgium

Chris Lyal, The Natural History Museum, London, Great Britain

Anne Nivart, Muséum national d'Histoire naturelle, Paris, France

China Williams, Royal Botanic Gardens Kew, Richmond, Great Britain

Peter Giere, Museum für Naturkunde Berlin, Berlin, Germany

Dirk Neumann, Bavarian State Collection of Zoology, München, Germany

Hendrik Segers, Royal Belgian Institute of Natural Sciences, Brussels, Belgium

Ole Seberg, Natural History Museum of Denmark, Copenhagen, Denmark

Lars Erik Johannessen, Natural History Museum, Oslo, Norway