Which institutional measures are needed to address Nagoya Protocol compliance?

Legal entities and individuals can be users of genetic resources under Regulation (EU) No 511/2014. Academic institutions should review their existing structures and processes and take steps to ensure that individuals working for, visiting and studying at the institution are complying with access and benefit-sharing (ABS), due diligence and specific institutional measures.

Directors or university board

- Ensure staff are informed about legal obligations under Regulation (EU) No 511/2014
- Communicate the benefits of compliance and implications of non-compliance
- Adopt policies and guidelines that identify relevant actors, define responsibilities and provide the basis for action on ABS and due diligence
- May be responsible for signing ABS documents or delegate responsibilities to others



Management

Legal affairs

Institutional obligations

Individual obligations

- Provide advice on due diligence and ABS
- Support researchers with negotiations and drafting of contracts
- Check obligations in ABS documents
- Are informed about and support compliance checks by the competent authority



Research funding office

- Provide information to researchers about how national, EU and international funding agencies address ABS when grant applications are submitted
- Remind researchers about the submission of due diligence declarations when project financing periods end

Information, data and IT

 Develop or adapt information management systems to facilitate ABS management, including tracking incoming and outgoing material and ABS documents, storing information about country of origin, date of collection, users and research etc.



Administration

Graduate, post-doc and career development centres

 Organize regular and targeted awareness-raising events on ABS, due diligence and institutional measures in both **English and German**



Technology transfer office

 Check whether applications for intellectual property protection or proposed collaborations with commercial actors are in accordance with **ABS** documents



International cooperation and project management

 Inform scientists about potential relevance of ABS when initiating new international collaborations and projects



Collection managers

 Follow workflows and ensure ABS documents are transferred to researchers who receive material



Principal investigators (professors and senior scientists)

- Follow institutional policy and workflows when collecting, acquiring, using or transferring material
- Organize ABS documents
- May sign ABS documents or obtain signatures from authorized persons
- Ensure benefits are shared and reporting obligations in provider countries are met
- Have access to original ABS documents and ensure copies are transferred to researchers who receive material Submit due diligence declarations
- Provide information to the competent authority during user checks

Post-doctoral researchers, PhD, master and bachelor students

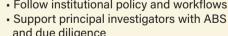
Heads of department

- Ensure workflows are implemented that account for different types of material, sourcing and research activities
- Ensure researchers have time, resources and support to fulfill their ABS obligations
- May be responsible for signing ABS documents or delegate responsibilities
- May organize archiving of original ABS documents at the departmental level, ensuring they are traceable and accessible independent of individual researchers



Research

Follow institutional policy and workflows and due diligence





Guest researchers

 Provide the host institution with ABS documents before material from their home country is used for research



Responsible person/s

- May be situated anywhere within the institutional structure. Responsibilities could be spread across several positions
- Serve as a point of contact for ABS and due diligence.
- May coordinate implementation of institutional measures, provide advice and support for researchers, and conduct awareness-raising













