Country	
1. Member State:	SLOVENIA
General information	
2. Responsible authority:	Ministry of the Environment and Spatial Planning
3. Contributing agencies, organisations and other authorities:	Inter-Ministerial Working Group (IMWG) for Implementation of Regulation (EU) No. 511/2014 consisting of: - Ministry of Agriculture, Forestry and Food - Ministry of Health - Ministry of Science and Education - The Slovenian Intellectual Property Office
4. Reporting period	*12 October 2014 – 31 August 2017*

Parties to the Nagoya Protocol on Access and Benefit-sharing	
5. Is your country a Party to the Nagoya Protocol?	☐ Yes OR ☒ No └ *If selected*, please indicate if there is any national process in place towards becoming a Party? ☐ Yes └ *Please provide a summary of the status of the process:* It is anticipated that the ratification process could be concluded in 2018. Translation of the text of the Protocol has been completed and redaction process is to be initiated by the Ministry of Foreign Affairs. This will be followed by the governmental and parliamental procedures. Currently, there are no activities towards ratification. OR ☐ No └ *Please provide a summary of the main difficulties and challenges encountered for becoming a Party to the Nagoya Protocol*:

Institutional structures and resources for the implementation of the Regulation	
6. Has your country designated one or more competent authorities as provided in Article 6?	☒ Yes └ *Please identify the designated competent authority/-ies1:* **Ministry of the Environment and Spatial Planning** (competent for genetic resources of **species of wild flora and fauna +**

1 If more than one competent authority established, please number them in point 6.

	associated research/programme funding and use of traditional knowledge) **(for due diligence declarations)** Dunajska 48 1000 Ljubljana Tel.: +386 1 478 70 00 e-mail: gp.mop@gov.si Website: http://www.mop.gov.si/en/ **Ministry of Agriculture, Forestry and Food** (competent for genetic resources for **agriculture, forestry and food +** associated research/programme funding and use of traditional knowledge) Dunajska 22 1000 Ljubljana Tel.: +386 1 478 00 00 e-mail: gp.mkgp@gov.si Website: http://www.mkgp.gov.si/en/ **Ministry of Health** (competent for genetic resources for **pharmaceuticals and health +** associated research/programme funding and use of traditional knowledge) Stefanova 5 1000 Ljubljana Tel.: +386 1 478 6001 e-mail: gp.mz@gov.si Website: http://www.mz.gov.si/en/ **Slovenian Research Agency (ARRS)** (competent for research/programme funding on genetic resources and use of traditional knowledge associated with genetic resources) Bleiweisova cesta 30, 1000 Ljubljana Tel.: +386 1 400 5910 Fax: +386 1 400 5957 e-mail: GlavnaPisarna@arrs.si Website: www.arrs.gov.siOR ☐ No └ *Please provide explanation why not:* <Text entry> └ *If selected,* please move to section 8
7. Is (one of) the competent authority (authorities) in your country responsible for: - receiving due diligence declarations under Article 7(1) and 7(2)	☒ Yes OR ☐ No └ *If yes and more than one competent authority established,* please indicate which institution is responsible for receiving due diligence declarations*:* - Ministry of the Environment and Spatial Planning └ *If no,* please indicate which other institution is responsible for receiving due diligence declarations*:* <Text entry>
- transmitting information to the ABS Clearing House under Article 7(3)	☒ Yes OR ☐ No └ *If yes and more than one competent authority established,* please indicate which institution is responsible for

	transmitting information to ABS CH: - Ministry of the Environment and Spatial Planning └ *If no,* please indicate which other institution is responsible for transmitting information: <Text entry>
- carrying out checks on compliance in line with Article 9	☒ Yes OR ☐ No └ *If yes and more than one competent authority established,* please indicate which institution is responsible for carrying out checks: - Ministry of the Environment and Spatial Planning - Ministry of Agriculture, Forestry and Food - Ministry of Health - Slovenian Research Agency - The Slovenian Intellectual Property Office On the basis of Art. 4 of the National Decree on the Implementation of the Regulation (EU) 511/2014, the competent authorities shall carry out checks referred to in Article 9 in a coordinated manner. Regular checks on user compliance shall be carried out at least once every two years from the entry into force of National Decree. Following a compliance check, the competent authority shall draw up a record of findings. If any shortcomings are found during a check, the competent authority shall caution the user and call upon them to take remedial action. If the user does not remedy the shortcomings within the specified deadline for so doing, the competent authority shall inform the competent inspection service thereof. └ *If no,* please indicate which other institution is responsible for checking compliance: <Text entry>
- recognition and verification of registered collections	☒ Yes OR ☐ No └ *If yes and more than one competent authority established,* please indicate which institution is responsible for recognition and verification of collections: - Ministry of the Environment and Spatial Planning - Ministry of Agriculture, Forestry and Food - Ministry of Health - Slovenian Research Agency - The Slovenian Intellectual Property Office On the basis of Art. 5 of the National Decree on the Implementation of the Regulation (EU) 511/2014, the competent authorities shall carry out verifications referred to in Article 5(4). The regular checks on registered collections shall be carried out at least once a year; the first check shall be carried out one year after the entry into force of this Decree. └ *If no,* please indicate which other institution is responsible for recognizing and verifying registered collections: <Text entry>
- cooperation with third countries under Article 7(3)	☒ Yes OR ☐ No └ *If yes and more than one competent authority established,* please indicate which institution is responsible for cooperation

	with third countries: In accordance with Article 6(2) of the national Decree on the Implementation of the Regulation (EU) No. 511/2014, the Ministry of the Environment and Spatial Planning shall be responsible for cooperation with other countries and the ABS Clearing House. Other competent authorities shall, without delay, provide any information relevant to the implementation of Regulation 511/2014/EU to the Ministry of the Environment and Spatial Planning. └ *If no,* please indicate which other institution is responsible for the cooperation: <Text entry>
- implementation of complementary measures under Article 13 (awareness raising, training activities, guidance to users etc.)	☒ Yes OR ☐ No └ *If yes and more than one competent authority established,* please indicate which institution is responsible for implementation of complementary measures: - Ministry of the Environment and Spatial Planning - Ministry of Agriculture, Forestry and Food - Ministry of Health - Slovenian Research Agency - The Slovenian Intellectual Property Office The implementation of complementary measures under Art. 13 is defined by the Decision of the Government of the Republic of Slovenia of 13 November 2015 on the Establishment of IMWG. The decision determines that the members of the IMWG shall, in carrying out their tasks, cooperate and coordinate, in particular in preparation of proposals for information, awareness and training activities of stakeholders and instructions to users of genetic resources. └ *If no,* please indicate which other institution is responsible for implementation of complementary measures: <Text entry>
8. Has your country designated any checkpoints beyond those envisaged in Article 7(1) –7(2) of the Regulation?	☒ No OR ☐ Yes └ *Please provide information about the additional checkpoints:* <Text entry>
9. Does your country have specific staff to administer functions directly related to the implementation of the Regulation?[2]	☒ Yes *If selected,* please indicate how many (person-months per year): - Ministry of the Environment and Spatial Planning – one person at 25% - Other institutions (summarised total) – one person at 10% Involved in enforcement of the Regulation (person-months per year3): - None within the reporting period. Involved in other activities (cooperation, awareness-raising, capacity-building, reporting) (person-months per year):

[2] This information could be useful for the evaluation of the effectiveness of the Regulation under Article 16.

3 Note that this information can be provided in a aggregated format (average per year for the reporting period);

	- App. one person at 5 % (summarised total for all institutions) OR ☐ No └ *Please provide a summary of the main difficulties and challenges encountered in assigning specific staff to administer functions related to the implementation of the Regulation:* <Text entry>
10. An estimate of external annual budget for implementation of the Regulation	An estimate for total external[4] annual budget for EU ABS Regulation implementation, including cooperation, awareness-raising, capacity-building, reporting: ___None_____ EUR
11. Additional information	*Please provide any additional relevant information, including – where relevant – a summary of the main difficulties and challenges encountered when establishing the institutional structure for the implementation of the Regulation:* <Text entry>

Legislative measures	
Penalties (Article 11)	
12. Has your country set up a penalty system as required by Article 11?	☒ Yes └ *If selected,* please fill in sections 13-15 OR ☐ No └ *If selected,* please explain why not and provide a timetable for adoption of penalties: <Text entry>
13. What are the types of penalties foreseen for infringements of Article 4 and 7 of the Regulation?	☒ Notice of remedial action ☒ Administrative fines ☐ Criminal sanctions ☐ Others └ *If selected,* please specify:

4 Such as public procurement procedures, consultancies, studies, outsourced communication campaigns, etc.

- What is the level of penalties established for breaches of the Regulation?	**Major offences** - A fine of between EUR 10,000 and EUR 50,000 shall be imposed on a legal person - A fine of between EUR 4,000 and EUR 20,000 shall be imposed on a sole trader or a self-employed person - A fine of between EUR 1,000 and EUR 2,000 shall also be imposed on the responsible person of a legal person, the responsible person of a sole trader, the responsible person of a self-employed person, or the responsible person of a state authority or a self-governing local community - A fine of between EUR 200 and EUR 1,000 shall be imposed on a natural person **Offences** - A fine of between EUR 2,000 and EUR 10,000 shall be imposed on a legal person - A fine of between EUR 1,000 and EUR 4,000 shall be imposed on a sole trader or a self-employed person - A fine of between EUR 400 and EUR 1,000 shall also be imposed on the responsible person of a legal person, the responsible person of a sole trader, the responsible person of a self-employed person, or the responsible person of a state authority or a self-governing local community - A fine of between EUR 100 and EUR 300 shall be imposed on a natural person **Minor offences** - A fine of between EUR 1,000 and EUR 2,000 shall be imposed on a legal person - A fine of between EUR 200 and EUR 1,000 shall be imposed on a sole trader or a self-employed person - A fine of between EUR 200 and EUR 400 shall also be imposed on the responsible person of a legal person, the responsible person of a sole trader, the responsible person of a self-employed person, or the responsible person of a state authority or a self-governing local community - A fine of between EUR 40 and EUR 100 shall be imposed on a natural person *Please provide examples for penalties applicable to offences that are considered to be severe, medium, and of lower importance.* Penalties have been developed within the range for sanctions under the existing legislative frame (Nature Conservation Act). Sanctions are ranked as minor offences, offences and major offences. Here are the examples of penalties according to the national Decree on the Implementation of the Regulation (EU) No 511/2014 (see link below). **Major offences:** - not ascertaining with due diligence whether genetic resources or traditional knowledge associated with genetic resources which they utilise have been accessed in accordance with applicable access and benefit-sharing legislation (Article 4(1) of Regulation 511/2014/EU), - utilising genetic resources or traditional knowledge associated with genetic resources in a manner that is not in accordance with mutually agreed terms (Article 4(2) of Regulation 511/2014/EU)

14. Additional information	*Please provide any additional relevant information, including – where relevant – a summary of the main challenges when putting penalty systems in place*: The Criminal Code of the Republic of Slovenia currently does not provide direct basis for processing criminal acts in relation to access and utilisation of genetic resources. The IMWG will make efforts to include genetic resources when the Criminal Code of the RS is revised. *Please provide link(s) to the relevant legislation:* http://www.pisrs.si/Pis.web/pregledPredpisa?id=URED7237 http://www.pisrs.si/Pis.web/pregledPredpisa?id=ZAKO1600

Administrative measures put in place for implementation of the Regulation	
Monitoring of user compliance (Article 7)	
15. Has your country put in place measures to ensure that a request is made to all recipients of research funding involving utilisation of genetic resources and traditional knowledge associated with genetic resources, to declare that they exercise due diligence?	☒ Yes └*If selected,* please fill in section 17 below OR ☐ No └*If selected, please explain why not and indicate if there is any other way of ensuring compliance with Article 7(1):* <Text entry>
16. How is the request under Article 7(1) made?	☒ By law or other legislative measures └*If selected, please provide reference to relevant legal provisions:* All competent authorities have the authority to request recipients of research funding involving the utilisation of genetic resources and traditional knowledge associated with genetic resources to declare that they exercise due diligence in accordance with Regulation (EU) 511/2014. Under Article 2 (2) of the national decree, the competent authorities are responsible for research and programmes that fall under their area of competence and which are financed by themselves. The Ministry of the Environment and Spatial Planning shall ensure the coordinated action of the authorities. OR/ AND ☒ By direct requests to applicants for funding └ *If selected, specify which organization is responsible for making the request:* One of the competent national authorities, The Slovenian Research Agency (ARRS) is an independent public funding organisation which performs tasks related to the National Research and Development Programme and the European Research Area. ARRS can make requests under Article 7(1) for programmes and projects that it finances and which fall under the scope of Regulation (EU) No. 511/2014.

	└*If selected, please indicate how many requests have been made so far:* None OR/ AND ☐ By means of a website └*If selected, please provide URL and explain the reasons for the choice of that site:* <Text entry> OR/ AND ☐ By other means └*If selected, please specify:*
17. Additional information	*Please provide any additional relevant information, including – where relevant – a summary of the main difficulties related to implementing a request referred to in Article 7(1):* <Text entry>
Risk-based plan for checks on user compliance (Article 9(3)(a))	
18. Has your country developed a plan as referred to in Article 9(3)(a)?	☐ Yes └*If selected,* please fill in sections 20 to 22 below OR ☒ No └ *Please explain why not and provide a timeline for when the plan is expected to be developed:* According to Art 4(1) of the national decree, the competent authorities shall carry out checks referred to in Article 9 of Regulation 511/2014/EU in a coordinated manner and in accordance with the plan referred to in Article 9(3)(a) of Regulation 511/2014/EU. In the absence of such a plan, regular checks on user compliance shall be carried out at least once every two years from the entry into force of this Decree. Development of such a plan is a task of IMWG. During the reporting period the IMWG didn't perceive uses of genetic resourses under the scope of Reg. 511/2014 and therefore no such plan has been developed.
19. What are the risk factors applied in the preparation of the plan and any other criteria considered in its development?	Please describe the risk factors: <Text entry> Please describe any other criteria: <Text entry>
20. Which period does the current plan cover? When and how often will the plan be revised?	<Text entry>
21. Additional information concerning development of the plans	*Please provide any additional relevant information, including – where relevant – a summary of the main difficulties and challenges when preparing the plan*: <Text entry> *Please provide link to the plan:* <URL and website name> *and/or* <Attachment>

Enforcement and compliance measures	
Monitoring of user compliance (Article 7)[5]	
22. How many due diligence declarations have been received based on Article 7(1)?	None
23. How many due diligence declarations have been received based on Article 7(2)?	None
24. Number of checkpoint communiques transferred to the ABS Clearing House	None
25. Number of checkpoints communique transferred to the competent authority referred to in Article 13(2) of the Protocol for confidentiality reasons	None
26. Additional information	*Please provide a summary of the main difficulties related to monitoring of user compliance as per Article 7(1), if any: <Text entry>* *Please provide a summary of the main difficulties and challenges in relation to implementation of Article 7(2), if any: <Text entry>*
Checks on users (Article 9)	
27. How many checks have been carried out during the reporting period?	None
28. What types of checks were carried out?	☐ Examination of documents provided upon request ☐ On-site visits ☐ Inspections ☐ Other └ *Please specify:* <Text entry>

[5] With regard to Questions 23 to 25, information needs to be provided for the current reporting period, while in the future it will need to be provided only if the DECLARE system was not used.

29. Were all the checks carried out in line with the plan developed based on Article 9(3)(a)?	☐ Yes OR ☐ No └ *Please specify what were the reasons/triggers for carrying out the other checks:* <Text entry>
30. In how many situations the checks were initiated due to substantiated concerns as referred to in Article 9(3)(b)?	<Text entry>
31. In how many cases were shortcomings identified?	<Text entry>
32. Additional information	*Please provide a summary of the main types of shortcomings identified:* <Text entry> *Please provide a summary of the main difficulties and challenges in relation to checks*: <Text entry>
Penalties (Article 11)	
33. Penalties imposed during the reporting period	*Please specify if your country imposed any penalties* ☐ Notice of remedial action └ *If selected,* please specify how many: <Text entry> ☐ Fines └ *If selected,* please specify how many: <Text entry> ☐ Criminal sanctions └ *If selected,* please specify how many: <Text entry> ☐ Others └ *If selected,* please specify how many: <Text entry>
34. If penalties were applied during the reporting period, which types of infringements were penalised?	Infringement of duties stemming from: ☐ Article 4 – due diligence ☐ Article 7 – duty to file due diligence declaration ☐ Other └ *Please specify:* <Text entry>
35. Additional information:	*Please provide a summary of the main difficulties and challenges concerning enforcement measures (if any)*: <Text entry>
Register of collections (Article 5)	
36. Are you aware of any interest by institutions in your country to become a registered collection?	☐ Yes └ *Please indicate how many collections expressed their*

	interest: <Text entry> OR ☒ No
37. Number of applications received	None
38. Number of verifications carried out	None
39. Additional information	*Please provide any additional information, including on what might explain the level of interest in becoming a registered collection:* Representatives of relevant collections, particularly the ones under sectors were majority of the users of genetic resources were recognised in Slovenia (agriculture, forestry, food and biotechnology sectors) have been informed directly through workshops and mailing lists on provisions for registered collections under Art. 5 of Reg. 511/2014. Notices with invitation to workshops organized by the European Commission for the preparation of sectoral guidelines for holders (managers) of collections and research organizations were transmitted to possible candidates. Despite numerous attempts by the competent authorities the response was very weak.

Cooperation and complementary measures	
Cooperation (Article 12)	
40. Has your country6 cooperated with competent authorities or other relevant organizations in other EU Member States?	☒ Yes └ *Please specify countries with which the cooperation was undertaken:* Cooperation has mostly been carried out with DE, IT, HR, HU. However, contacts have been developed with colleagues from majority of the MS during and at the edge of the meetings of the Expert Group, consultation Forum and other meetings in Brussels and elsewhere. └ *Please provide examples of such cooperation:* - Preparation of national legislation (DE, HR, HU) - Exchange of information on possible access measures (IT) Other organisations: - AT (Department of Botany and Biodiversity Research University of Vienna) - BE (Royal Belgian Institute of Natural Sciences) - DE (Bavarian Natural History Collections) - ES (Institut de Biologia Evolutiva - CSIC-UPF) - IT (International Centre for Genetic Engineering and Biotechnology - ICGEB) - NL (CSK Food Enrichment) - NL (Rijk Zwaan Zaadteelt en Zaadhandel) - UK (CRODA) OR ☐ No

6 When reference to "country" is made in this part, it shall be understood as covering activities carried out by the authorities, or carried out on their behalf;

41. Has your country cooperated with (third countries') competent national authorities referred to in Article 13(2) of the Protocol?	☒ Yes └ *Please specify the countries with which the cooperation was undertaken:* - Japan - USA - National Clonal Germplasm Repository (USDA) └ *Please specify areas of cooperation:* Requests to ABS NFP re information on any existing or foreseen national access measures. Was the cooperation related to any identified shortcomings? ☐ Yes OR ☒ No └ *If yes, please specify the shortcomings:* <Text entry> OR ☐ No
Complementary measures (Article 13)	
42. Has your country carried out any training and awareness-raising activities to assist the stakeholders and interested parties in building understanding of their obligations arising from the EU ABS Regulation and relevant provisions of the Protocol and the Convention? 7	☒ Yes └ Please specify type and number of activities carried out: Training sessions: - Lecture on Nagoya protocol and EU ABS Regulations at Consultation on the conservation and sustainable use of plant genetic resources, 12.05. 2016, Biotechnical Faculty, Ljubljana, Slovenia - Lecture on Nagoya protocol and EU ABS Regulations for users of genetic resources in plant breeding and forestry and users in the field of selection in animal husbandry, Ministry for agriculture, Forestry and Food, 13. 09. 2016, Ljubljana, Slovenia - Lecture on Nagoya protocol and EU ABS Regulations at third consultation on the conservation and sustainable use of plant genetic resources, 01. 06. 2017, Žalec, Slovenia - Lecture on EU ABS Regulations at 34th meeting of the Scientific Committee for Deliberate Release of GMOs into the Environment and Placing of Products on the Market, 06. 06. 2017, Ministry of the Environment and Spatial Planning, Ljubljana, Slovenia Workshops: Users of genetic resources, mainly researchers participated at the following EU – wide events: - European workshop preparing the first meeting of the Ad Hoc Technical Working Group on Access and Benefit-Sharing for Genetic Resources for Food and Agriculture of the CGRFA, Bonn, 27-28 June 2012 - Workshop on the EU ABS regulation Budapest, 10 February 2017

7 See also response to question 54 from the Nagoya Protocol reporting format

	Conferences: <Text entry> Others: <Text entry> └ Please estimate the number of users that participated in the activities carried out or that received other assistance (e.g. in the form of responses to requests for clarification etc.): - App. 100 participants in total. OR ☐ No
43. Has your country organized any activities addressed specifically to academic, university and non-commercial researchers, and small and medium enterprises?	☐ Yes └ Please specify type and number of activities carried out: Training sessions: <Text entry> Workshops: <Text entry> Conferences: <Text entry> Others: All activities listed under 44 were addressed to academic, university and non-commercial researchers and some enterprises. └ Please estimate number of users that participated in the activities carried out/ that received assistance: - App. 100 participants in total. OR ☐ No
44. Have any complaints been received from users in relation to implementation of the EU ABS Regulation?	☐ Yes └Please summarise the nature of complaints received: <Text entry> OR ☐ No

Submission addresses:

This form should be completed and sent ***by email*** *to* ENV-F3-NAGOYA-ABS@ec.europa.eu