Country	
1. Member State:	Slovakia
General information	
2. Responsible authority:	Ministry of Environment of the Slovak Republic
3. Contributing agencies, organisations and other authorities:	Ministry of Environment of the Slovak Republic Slovak Inspectorate of the Environment
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:* <Text entry> OR ☐ No └ *Please provide a summary of the main difficulties and challenges encountered for becoming a Party to the Nagoya Protocol*: <Text entry>

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 Environment of the Slovak Republic, research funding agencies, The Central Controlling and Testing Institute in Agriculture, Institute for State Control of Veterinary Biologicals and Medicaments, Ministry of Economy of the Slovak Republic, Public Health Authority of the Slovak Republic, The State Institute for Drug Control, Slovak Inspectorate of the Environment └ *If selected*, please fill in also section 7

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

	OR ☐ 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 declarations2*:* Ministry of Environment of the Slovak Republic (Article 7(1) and 7(2)), research funding agencies (Article 7(1)), The Central Controlling and Testing Institute in Agriculture (Article 7(2)), Institute for State Control of Veterinary Biologicals and Medicaments (Article 7(2)), Ministry of Economy of the Slovak Republic (Article 7(2)), Public Health Authority of the Slovak Republic (Article 7(2)), The State Institute for Drug Control (Article 7(2)) └ *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 Environment of the Slovak Republic, research funding agencies, The Central Controlling and Testing Institute in Agriculture, Institute for State Control of Veterinary Biologicals and Medicaments, Ministry of Economy of the Slovak Republic, Public Health Authority of the Slovak Republic, The State Institute for Drug Control └ *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: Slovak Inspectorate of the Environment

2 In all point 7, if the first option is selected, it is sufficient to refer to a number/(s) corresponding to the authority indicated under point 6

	└ *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 Environment of the Slovak Republic (recognition), Slovak Inspectorate of the Environment (verification) └ *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: Ministry of Environment of the Slovak Republic, research funding agencies, The Central Controlling and Testing Institute in Agriculture, Institute for State Control of Veterinary Biologicals and Medicaments, Ministry of Economy of the Slovak Republic, Public Health Authority of the Slovak Republic, The State Institute for Drug Control └ *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 Environment of the Slovak Republic, └ *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	☐ Yes *If selected*, please indicate how many (person-months

related to the implementation of the Regulation?[3]	per year): <Text entry> Involved in enforcement of the Regulation (person-months per year[4]): <Text entry> Involved in other activities (cooperation, awareness-raising, capacity-building, reporting) (person-months per year): <Text entry> 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:* Slovakia has not specific staff. Employees that administer functions directly related to the implementation of the Regulation also perform other tasks that can result from unrelated legislation.
10. An estimate of external annual budget for implementation of the Regulation	An estimate for total external[5] annual budget for EU ABS Regulation implementation, including cooperation, awareness-raising, capacity-building, reporting: _____10000____ EUR It is very gross estimate, because many of processes that result from the EU ABS Regulation were included into existing processes.
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

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

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

[5] Such as public procurement procedures, consultancies, studies, outsourced communication campaigns, etc.

	☐ Criminal sanctions ☐ Others └ *If selected,* please specify: <Text entry>
14. What is the level of penalties established for breaches of the Regulation?	legal person or entrepreneur: 500 - 100000 EUR natural person: 100 – 2500 EUR For breaking mentioned provisions by legal person or entrepreneur, competent authority shall impose penalty that may vary from 500 to 100000 EUR, depending on the offense. For breaking mentioned provisions by natural person, competent authority shall impose penalty that may vary from 100 to 2500 EUR, depending on the offense. If legal or natural person breaks mentioned provisions repeatedly, competent authority shall impose penalty up to twice the upper limit of the fines that were established by our legislation. It means up to 200000 EUR (legal person) or 5000 EUR (natural person). Remedial actions can be ordered together with fines.
15. Additional information	*Please provide any additional relevant information, including – where relevant – a summary of the main challenges when putting penalty systems in place*: <Text entry> *Please provide link(s) to the relevant legislation:* https://www.slov-lex.sk/pravne-predpisy/SK/ZZ/2015/263/20151201

Administrative measures put in place for implementation of the Regulation	
Monitoring of user compliance (Article 7)	
16. 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>
17. How is the request under Article 7(1) made?	☒ By law or other legislative measures └*If selected, please provide reference to relevant legal provisions:* Act. No. 263/2015 Coll. on competences in area of the access to genetic resources and sharing of benefits araising from its utilization OR/ AND ☐ By direct requests to applicants for funding └ *If selected, specify which organization is responsible for making the request:* <Text entry> └*If selected, please indicate how many requests have been made so far:* <Text entry> 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:* <Text entry>
18. 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))	
19. 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:* <Text entry>
20. 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: suspicion that user conducts R&D based on genetic resources Please describe any other criteria: <Text entry>
21. Which period does the current plan cover? When and how often will the plan be revised?	The checks are conducted based on annual plan of checks. The current plan covers checks during 2017.
22. 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)[6]	
23. How many due diligence declarations have been received based on Article 7(1)?	*None*
24. How many due diligence declarations have been received based on Article 7(2)?	*None*
25. Number of checkpoint communiques transferred to the ABS Clearing House	*None*
26. Number of checkpoints communique transferred to the competent authority referred to in Article 13(2) of the Protocol for confidentiality reasons	*None*
27. 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)	
28. How many checks have been carried out during the reporting period?	18
29. What types of checks were carried out?	☐ Examination of documents provided upon request ☐ On-site visits ☒ Inspections ☐ Other └ *Please specify:* Slovak Inspectorate of the Environment prepares plan of its work in December every year and this plan is approved by Ministry of Environment of the Slovak Republic and based on this inspectorate also prepares their „internal“ Plan of checks. These checks are based on prevention approach (the checks are made regularly) or information that was received from institutions that play role of checkpoints (especially in case of private companies).

[6] 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.

30. 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>
31. In how many situations the checks were initiated due to substantiated concerns as referred to in Article 9(3)(b)?	None
32. In how many cases were shortcomings identified?	None
33. 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*: Implementation of Article 2 (4) of the EU Regulation does not allow differentiation between the same genetic resources from a party to the Nagoya protocol and a non-party to the Nagoya protocol.
Penalties (Article 11)	
34. 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>
35. 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>
36. Additional information:	*Please provide a summary of the main difficulties and challenges concerning enforcement measures (if any)*: No violation of national law and EU Regulation was recorded mainly because the used genetic resources were out of the temporal scope. Purpose of the first inspections were not only checks of compliance EU Regulation but also monitoring of research activities of stakeholders, awareness raising and monitoring of genetic resources that are used in R&D (the stakeholders had to submit list of genetic resources that they use in R&D). Especially monitoring

	of genetic resources is essential for next checks. It can serve as tool for distinguish genetic resources in and out of the temporal scope (for creation of baseline for the next checks). It can be also advantage for stakeholders to have official confirmation that they kept checked genetic resources before 12 October 2014 (legal certainty).
Register of collections (Article 5)	
37. 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
38. Number of applications received	None
39. Number of verifications carried out	None
40. Additional information	*Please provide any additional information, including on what might explain the level of interest in becoming a registered collection:* <Text entry>

Cooperation and complementary measures	
Cooperation (Article 12)	
41. Has your country[7] cooperated with competent authorities or other relevant organizations in other EU Member States?	☒ Yes └ *Please specify countries with which the cooperation was undertaken:* The Netherlands, Malta, Czech Republic and other EU Member States └ *Please provide examples of such cooperation:* Implementation of the Regulation, Second meeting of the Conference of the Parties to the CBD serving as the Meeting of the Parties to the Nagoya Protocol on Access and Benefit Sharing (COP-MOP 2), Meeting of the European Competent National Authorities OR ☐ No
42. 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:* <Text entry> └ *Please specify areas of cooperation:* <Text entry> 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)	
43. 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? [8]	☒ Yes └ Please specify type and number of activities carried out: Training sessions: <Text entry> Workshops: <Text entry> Conferences: <Text entry> Others: The purpose of the first checks is also awareness raising among stakeholders. └ 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.): <Text entry> OR ☐ No

7 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;

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

44. 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: <Text entry> └ Please estimate number of users that participated in the activities carried out/ that received assistance: <Text entry> OR ☒ No
45. 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