

# WIPO



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**WORLD INTELLECTUAL PROPERTY ORGANIZATION**  
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## **WIPO GENERAL ASSEMBLY**

**Thirty-Second (17<sup>th</sup> Ordinary) Session**  
**Geneva, September 26 to October 5, 2005**

**PARTICIPATION OF INDIGENOUS AND LOCAL COMMUNITIES:  
ESTABLISHMENT OF A VOLUNTARY FUND:  
RECOMMENDATION OF THE INTERGOVERNMENTAL COMMITTEE ON  
INTELLECTUAL PROPERTY AND GENETIC RESOURCES, TRADITIONAL  
KNOWLEDGE AND FOLKLORE**

*Document prepared by the Secretariat*

1. The WIPO General Assembly at its thirty-seventh session decided, inter alia, that the Intergovernmental Committee on Intellectual Property and Genetic Resources, Traditional Knowledge and Folklore (the 'Committee') "should consider suitable further mechanisms, as appropriate, for facilitating the involvement of representatives of indigenous and local communities in its work" (A/37/14, paragraph 290).
2. The Committee has considered a range of measures for facilitating the involvement and enhancing the participation of indigenous and local communities since its first meeting (since its seventh session, 'participation of indigenous and local communities' has been a separate agenda item). Following is a brief outline of this work:
3. At its second session, the Delegation of Belgium, speaking on behalf of the European Community and its Member States, proposed that funding be made available for 'the active participation of indigenous and local communities' (WIPO/GRTKF/IC/2/16).
4. At its subsequent sessions, the Committee requested and considered a series of studies, including a survey of practice in other international fora (WIPO/GRTKF/IC/4/12, WIPO/GRTKF/IC/5/11, WIPO/GRTKF/IC/6/10 and WIPO/GRTKF/IC/7/12. Document WIPO/GRTKF/IC/5/11 set out the results of the survey commissioned by the Committee, and included details of the United Nations Voluntary Fund for Indigenous Populations.

5. At its fifth session, the Committee considered the report it had commissioned on enhanced participation (WIPO/GRTKF/IC/5/11) and decided that:

“There was an unanimous view that the participation of local and indigenous communities is of great importance for the work of the Committee and that all appropriate measures should be undertaken to facilitate that participation. It was considered that Member States should make every effort to include representatives of these communities in their national delegations. It was also considered that both WIPO and Member States should increase their efforts to implement the practical measures for enhancing participation as set out in paragraphs 10 and 11 of the document under discussion.

“Furthermore, the Secretariat should establish a web site for publishing submissions by NGO observers, particularly those representing local and indigenous communities, on issues relating to the issues under the discussion in the Committee.

“As regards the source of the funding of participation of local and indigenous communities, there was no consensus in the Committee. Most delegations that spoke, however, favored funding on the basis of a voluntary fund scheme. In view of the differing opinions expressed concerning such a scheme, the Secretariat would, before the next meeting of the Intergovernmental Committee or any other body with similar tasks, further develop, in consultation with existing funding programs, a proposal for a voluntary fund and transparent selection mechanisms for funding the participation of representatives of accredited indigenous and local organizations, based on the principles set out in the document and the issues raised during the session.”<sup>1</sup>

6. At its sixth session, the Committee considered the further proposal it had requested on the issue (WIPO/GRTKF/IC/6/10) and agreed:

“(i) to note the existing informal consultative processes and voluntary funding initiatives that contribute to the enhanced involvement of Indigenous and local communities in its work;

(ii) to welcome the creation of an informal consultative forum for Indigenous and local representatives in advance of sessions of the Committee, based on the elements in paragraph 11 of document WIPO/GRTKF/IC/6/10;

(iii) to encourage voluntary donors to support the immediate participation of representatives of accredited observers in any such consultative forum and in the Committee’s sessions; and

(iv) on the basis of an updated proposal, to continue its consideration and elaboration of possible establishment of formal structures for a Voluntary Fund, depending upon the overall direction set for the Committee or other bodies within WIPO.”

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<sup>1</sup> Report of the fifth session of the Committee, document WIPO/GRTKF/IC/5/15, paragraphs 206 to 209.

7. At its seventh session, the Committee considered the “updated proposal” it had requested (WIPO/GRTKF/IC/7/12), and decided that “on the basis of document WIPO/GRTKF/IC/7/12 and the comments made upon it, a formal proposal for a Voluntary Fund be prepared for its consideration at its eighth session; and encouraged continuing voluntary funding of representatives of indigenous and local communities, and other forms of enhancing their participation in the Committee and other related WIPO activities.”

8. At its eighth session, the Committee considered and commented on a formal proposal for a Voluntary Fund (WIPO/GRTKF/IC/8/3) that had been prepared and submitted in line with the Committee’s decision at its seventh session: this draft proposal drew on the guidance provided by Member States and other Committee participants in previous sessions, and on models provided elsewhere in the international system, such as the United Nations Voluntary Fund and the Convention on Biological Diversity. At the eighth session, the “Chair took note of the comments made on the draft proposal and observed that broad general support for the proposal had been expressed in the Committee. The Chair proposed, and the Committee agreed, that: (i) a revised draft of document WIPO/GRTKF/IC/8/3, taking account of the comments made within the Committee, would be prepared by the Secretariat and published by June 17, 2005; (ii) Committee participants would be invited to provide comments on that revised draft to the Secretariat by July 15, 2005; and (iii) a third version of the proposal would be prepared and published by the end of July for consideration by the General Assembly at its next session”.

9. A revised draft of document WIPO/GRTKF/IC/8/3 was published as provided for in the Committee’s decision, as document WIPO/GRTKF/IC/8/3 Rev 1. The current document contains, as its Annex, the third version of the proposal that takes into account the comments on the revised draft that were provided. In accordance with the decision of the Committee, this third version of the proposal is submitted for consideration by the General Assembly.

*10. The General Assembly is invited to consider and adopt the revised draft proposal for a Voluntary Contribution Fund contained in the Annex, with any amendments as appropriate.*

[Annex follows]

ANNEX

Recommendation from the Intergovernmental Committee  
on Intellectual Property and Genetic Resources,  
Traditional Knowledge and Folklore to the General Assembly  
for the Establishment of a Voluntary Contribution Fund

*Resolved* to take appropriate measures to facilitate and encourage the participation of indigenous and local communities, and other customary holders or custodians of traditional knowledge and traditional cultural expressions, in the work of the World Intellectual Property Organization (WIPO) concerning intellectual property relating to genetic resources, traditional knowledge and folklore;

*Recognizing* that the effectiveness of these measures depends in particular on appropriate financial support;

*Recognizing* moreover that the existence of an appropriate coordinated framework aimed at financing this participation would encourage such contributions;

*If* the WIPO General Assembly decides to renew the mandate of the Intergovernmental Committee on Intellectual Property and Genetic Resources, Traditional Knowledge and Folklore in its current form or in a different form, or if the Assembly decides to create a new body responsible for the matters within the Intergovernmental Committee's remit in its current form (these possible bodies being designated hereinafter by the generic term "the Committee")

*then* in that event it is recommended that the Assembly should decide to create a voluntary contribution fund, the name, objective, criteria for support and operation of which would be as follows:

Name

1. The Fund will be known as the "WIPO Voluntary Fund for Accredited Indigenous and Local Communities", hereinafter the "Fund".

Objective and scope

2. The Fund is established exclusively to finance the participation in the work of the Committee and other related activities of WIPO of the nominated representatives of accredited observers which represent indigenous or local communities, or otherwise represent customary holders or custodians of traditional knowledge or traditional cultural expressions.
3. Since participation in the Committee's work is restricted by its rules of procedure to its members and accredited observers, and in order to ensure their capacity to participate fully in the Committee's work, the funded representatives should only be the nominated representatives of observers which are duly and previously accredited to the Committee, either as *ad hoc* observers accredited by the Committee itself, or as observers accredited to WIPO.

4. The creation of the Fund and its operation will not prejudice other established procedures, in particular by the general WIPO Rules of Procedure (WIPO 399 (FE) Rev. 3) implemented in document WIPO/GRTKF/IC/1/2 for the accreditation of indigenous and local communities and other observers, or to organize the effective participation of their members in the sessions. The operation of the Fund shall not pre-empt or override decisions by members of the Committee regarding accreditation and participation in the work of the Committee. It is understood that other direct contributions and other possible forms of direct assistance, either existing or in the future, designed to finance or facilitate such participation, may be pursued outside the framework of the Voluntary Fund, at the choice of the contributor.

#### Criteria for financial support

5. Financial support from the Fund will correspond exclusively to the objective set out in Article 2 and to the following conditions:

(a) Support from the Fund will be strictly limited to the maximum resources actually available in the Fund;

(b) Each provision of support will relate to a single Committee session and any related activities held consecutively with the Committee session. Provision of support on one occasion shall not prejudice possible support for the participation of the same beneficiary on other sessions;

(c) To be eligible for financial support, persons would need to satisfy each of the following criteria:

(i) be a natural person;

(ii) belong, as a member, to an accredited observer which represents indigenous or local communities, or otherwise represents customary holders or custodians of traditional knowledge or traditional cultural expressions;

(iii) have been duly nominated in writing by the observer to represent it at the session designated for the support and as possible beneficiary of support from the Fund;

(iv) be able to participate effectively and contribute to the session intended for the support, such as through expressing experience in the field and the concerns of indigenous and local communities and other customary holders and custodians of traditional knowledge or traditional cultural expressions;

(v) and whom the Advisory Board considers would not be able to take part in the session concerned without support from the Fund, owing to a lack of alternative financial resources.

(d) In ensuring a broad geographical spread of participation among the seven geo-cultural regions recognized by the United Nations Permanent Forum on Indigenous Issues, the Advisory Board should take due account of the need to support those who lack alternative financial resources, and particularly of those observers based in developing and least developed countries and small island developing countries.

(e) The financial support will cover the purchase of a return economy class ticket, including taxes connected with the ticket, between the domicile of the beneficiary and Geneva or any other meeting place, by the most direct and cheapest route. It will also cover living expenses in the form of a daily subsistence allowance at the rate specified by the United Nations for Geneva or for the city where said meeting is held, with an additional flat rate of US\$60 to cover expenses incurred at the time of departure and arrival. All other expenses related to the participation of the beneficiaries in the session concerned will be excluded from Fund support.

(f) If an applicant who has been selected to benefit from Fund support has to withdraw or is unable to take part in the session concerned, any sums unexpended and recovered, apart from possible cancellation charges, will be transferred to the reserve of the resources available to the Fund and the choice which was made with regard to said applicant shall be considered null and void. The applicant will nonetheless be entitled to submit a new request for the following session, provided that information is submitted giving a good reason for the withdrawal or nature of the event which otherwise made participation impossible.

#### Operating mechanism

6. The Fund will operate as follows:

(a) Fund resources will come exclusively from voluntary contributions by governments, NGOs and other private or public entities, and specifically shall not be drawn from the regular WIPO budget.

(b) The administrative costs associated with the operation of the Fund shall be kept to a strict minimum and shall not entail the drawing of specific funds in credit from the regular WIPO budget.

(c) The voluntary contributions paid into the Fund will be managed by the WIPO Director General, assisted by an Advisory Board. In this respect, the financial administration by the WIPO Director General and the auditing of the Fund accounts by the WIPO auditor will be undertaken in line with the procedures established, in accordance with the WIPO Financial Regulations, for the funds-in-trust set up to finance certain development cooperation activities conducted by WIPO.

(d) Decisions to extend financial support will be taken, for formal purposes, by the WIPO Director General, following an express recommendation by the Advisory Board. The recommendations made by the Advisory Board relating to the choice of beneficiaries will be binding on the Director General and not subject to appeal.

(e) Duly documented requests for financial support enabling participation in a Committee session will be sent to the WIPO Director General by the applicants in their own name, so as to arrive at least 60 days before the opening of the Committee session which precedes the session for which support is requested. Later requests will be considered at the following session.

(f) Before each Committee session, the WIPO Director General will communicate for the information of participants an information note setting out:

- (i) the level of the voluntary contributions paid into the Fund on the date on which the document was drafted,
- (ii) the identity of the contributors (unless individual contributors have expressly requested to remain anonymous),
- (iii) the amount of the resources available taking into account the funds disbursed,
- (iv) the list of people who have benefited from the Fund's support since the previous information memorandum,
- (v) the people chosen to benefit from the Fund but who withdrew,
- (vi) the amount of the support allocated to each beneficiary, and
- (vii) a sufficiently detailed description of the applicants seeking support for the following session.

This document will also be addressed by name to the members of the Advisory Board for examination and deliberation.

(g) Following the election of its members, the Advisory Board will be convened by the WIPO Director General to meet on the margins of the Committee session which precedes the session for which support is being considered, without prejudice to the right of its members to discuss informally any questions concerning their mandate between sessions of the Committee.

(h) The Advisory Board must ensure that all the criteria for eligibility of applicants set out above, in particular in Article 5, are satisfied during its deliberations, and should agree on a recommended list of eligible applicants who should benefit from Fund support. The Advisory Board should also ensure, when adopting its recommendation, that:

- a balance is maintained between the male and female beneficiaries, and between the geo-cultural regions from which they come, in successive sessions insofar as is possible; and
- where necessary, the benefits are taken into account which the Committee's work may derive from the repeated participation in its sessions of the same beneficiary.

Finally, when adopting its recommendation the Committee shall take account of the available resources as reported by the Director General in the information note referred to in Article 6(f), and in particular it shall identify those applicants who are agreed and for whom funding is available, and those applicants who are agreed in principle but for whom insufficient funds are available. Those in the latter category should be given priority in decisions on funding for subsequent sessions of the Committee.

The Advisory Board will be provided with administrative assistance for its deliberations by the WIPO International Bureau, in accordance with Article 6(b).

(i) The Advisory Board will adopt its recommendation before the end of the Committee session on the margins of which it meets. This recommendation will identify:

(i) the future session intended for financial support (i.e. the subsequent session of the Committee),

(ii) the applicants whom the Advisory Board agrees should be supported for that session and for whom funds are available,

(iii) any applicant or applicants whom the Advisory Board agrees should be supported in principle but for whom insufficient funds are available,

(iv) any applicant or applicants whose application has been rejected in accordance with the procedure in Article 10

(v) any applicant or applicants whose application has been postponed until the next session of the Committee in accordance with the procedure in Article 10.

The Advisory Board will immediately forward the contents of the recommendation to the Director General who will take a decision in accordance with the recommendation. The Director General will inform the Committee immediately and, in any cases, prior to the end of its current session, by means of an information note specifying the decision taken concerning each applicant.

(j) The WIPO Director General will take the administrative measures necessary to implement his decision for the session concerned, in accordance with Article 6(b).

#### Other provisions relating to the Advisory Board

7. The Advisory Board will comprise nine members, including:

- the Chair of the Committee, appointed *ex officio* or, where that proves to be impossible, one of the Vice-Chairs nominated by the Chair or his or her deputy;
- five members from the delegations of WIPO Member States taking part in the Committee, reflecting an appropriate geographical balance; and
- three members from accredited observers representing indigenous and local communities or other customary holders or custodians of TK or TCEs.

The members will serve on an individual basis and will conduct their deliberations independently, notwithstanding any consultations that they might consider as appropriate.

8. Apart from the *ex officio* member, the members of the Advisory Board will be elected by the Committee on the second day of each of its sessions, on a proposal by its Chair, following consultation with the Member States and their regional groups and, respectively, representatives of accredited observers. Apart from that of the *ex officio* member, their mandates will expire with the opening of the following Committee session.



9. The Advisory Board will meet regularly on the margins of Committee sessions, subject to the requirement that a quorum of seven members, including the Chair or one of the Vice-Chairs, should be present.

10. A recommendation for the selection of any beneficiaries will require the agreement of at least seven members of the Advisory Board. If an application is not agreed upon, it may continue to be examined at the following session, unless that application received three votes or fewer. In the latter case, the request will be considered to have been rejected, without prejudice to the right of the applicant to submit a new request at a later date.

11. Each member of the Advisory Board who has a direct association with an observer which has applied for funding for a representative shall disclose that association to the Advisory Board, and shall abstain from any vote concerning any applicant nominated by that observer.

[End of Annex and of document]