WIPO/GRTKF/IC/11/9 APPENDIX I

Policy objectives & core principles on protection of TCEs/folklore

Drafts WIPO/GRTKF/IC/7/3 & WIPO/GRTKF/IC/8/4 Prepared at IGC request, since reviewed extensively

$\frac{Policy\ objectives\ \&\ core\ principles\ on}{protection\ of\ TK}$

Drafts WIPO/GRTKF/IC/7/5 & WIPO/GRTKF/IC/8/5

Prepared at IGC request, since reviewed extensively

Draw on existing principles, regional and national positions, IGC statements, WIPO/GRTKF/IC/6/3 & WIPO/GRTKF/IC/6/4, and complement proposed frameworks such as WIPO/GRTKF/IC/6/12 (African Group proposal). Two distinct sets of principles and objectives, but holistic aspect of communities' concerns & interests reflected in close coordination. Respect existing international legal and policy framework on cultural policy, human rights, environment and other issues, including governance structures for genetic resources (notably CBD and FAO International Treaty).

At level of principle



Mechanisms for recognition of IP protection of TK/TCEs in foreign jurisdictions

based on core principles (WIPO/GRTKF/IC/6/6); included in substantive material on TK/TCEs (as agreed by IGC: WIPO/GRTKF/IC/6/14, para 231) OVERVIEW OF IGC MATERIALS 2005-2007

At level of practical implementation



More detailed materials, consistent with general objectives and principles, but recognizing need for some diversity of actual approaches. Contribute to general coherence and compatibility of general IGC developments, and buttress the practical attainment of principles and objectives.

<u>Policy options & legal mechanisms</u> for protection of TCEs/folklore

Drafts WIPO/GRTKF/IC/7/4 & WIPO/GRTKF/IC/9/INF/4 prepared at IGC request. Means of giving practical effect to objectives and principles at level of national/regional laws; draws on IGC surveys, reports, panel presentations, discussion and analysis (e.g. WIPO/GRTKF/IC/6/3), and based on existing Member State experience, including national and regional laws for protection of TCEs/folklore, as well as existing international instruments.

Policy options & legal mechanisms for TK protection

Drafts WIPO/GRTKF/IC/7/6 & WIPO/GRTKF/IC/9/INF/5 prepared

at IGC request. Means of giving practical effect to objectives and principles at level of national/regional laws; draws on IGC surveys, reports, panel presentations, discussion and analysis (e.g. WIPO/GRTKF/IC/6/4), and based on existing Member State experience

Defensive measures for TK protection*

- 1. Guidelines & recommendations on recognition of traditional knowledge in patent examination WIPO/GRTKF/IC/7/8, work approved by IGC VI.
- 2. Further defensive measures under development WIPO/GRTKF/IC/7/7, WIPO/GRTKF/IC/6/8
- *: See also related work on patent disclosure under genetic resources agenda item (also relevant to TK).

Measures on IP & genetic resources

- 1. Practical guidelines on IP aspects of access & benefit-sharing arrangements* (WIPO/GRTKF/IC/7/9)
- (based on principles agreed at earlier IGC sessions, draft considered at IGC VI WIPO/GRTKF/IC/6/5)
- 2. Disclosure mechanisms for genetic resources used in inventions*
 Building on existing technical study
 Proposals for guidelines & recommendations put to IGC V & VI; related CBD invitation pending decision.
- *: both materials also deal with TK related to genetic resources

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IGC materials are supplemented by these background materials, which record and catalogue detailed experiences and the full range of practical options. This provides an empirical basis for IGC work on core materials. In turn, continuing IGC work gives guidance for continuing work on supplementary and capacity building materials, thus enhancing their consistency, inclusiveness and soundness.

Supplementary awareness-raising and capacity-building resources

Background information materials, guided by broader IGC developments

These materials already produced or in development: background capacity-building and information resources to support community-level planning and decision-making and to provide background for legal and policy advisors for indigenous and local communities, other stakeholders, policymakers and legislators. Practical resources for action at the community level, for assessing and exploring in detail the options that are chosen at the policy level, and to support the elaboration or implementation of national and regional protection mechanisms. Draw extensively on the actual experiences documented in the IGC at the community, national and regional levels, as well as relevant international processes. Consistent with overall policy settings and outcomes established by IGC, but prepared as sources of technical information only and not to pre-empt or determine policy choices.

TCEs/folklore

Materials published or under development include:

- Practical guide on protection of TCEs/EoF
- Information booklet on TCEs/EoF
- Background paper on TCEs/folklore
- Distance learning course
- Customary law study process
- Texts and comparative analysis of national and model laws on TCE/folklore protection
- Case studies (e.g. by Janke and Kutty)
- Database of laws and legislative materials
- Creative heritage project for draft IP guidelines and resources for the digitization and dissemination of TCEs

<u>Traditional knowledge</u>

Materials published or under development include:

- Toolkit on safeguarding TK interests during documentation
- Information booklet on TK
- Background paper on TK
- Distance learning course
- Customary law study process
- Texts and comparative analysis of national and model laws on TK protection
- Database of laws and legislative materials
- Guidelines of examination of TK-related patents
- Inventory of TK related publications for reference as prior art

Genetic resources

Materials published or under development include:

- WIPO-UNEP case studies on benefit sharing
- CBD-commissioned WIPO Technical Study on patent disclosure mechanisms
- Database of contractual provisions dealing with IP issues in access and benefit sharing arrangements,
- Guidelines prepared using database and principles agreed by IGC II
- Database of laws and legislative materials