



大会

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第二十三届会议

2017 年 8 月 7 日至 18 日

牙买加金斯敦

代表可持续问题高级研究所根据大会议事规则第 82 条第 1 款 (e) 项提出的观察员地位申请

秘书处的说明

1. 2017 年 7 月 17 日，可持续问题高级研究所致函国际海底管理局秘书长，根据大会议事规则第 82 条第 1 款(e)项，请求给予管理局大会观察员地位。信函正文和申请人提供的补充资料见本说明附件一和二。
2. 根据大会议事规则第 82 条第 1 款(e)项，依照《联合国海洋法公约》第 169 条第 1 款与秘书长订有安排的非政府组织，以及对大会审议事项表示兴趣并已接获大会邀请的其他非政府组织，可作为观察员参加大会。
3. 同一条规则第 5 和第 6 款还规定，该条第 1 款(e)项所述观察员可列席大会公开会议，还可经主席邀请并征得大会同意，就其活动范围内的问题作出口头陈述，而且，本条第 1 款(e)项所述观察员在其活动范围提交的与大会工作有关的书面陈述，应由秘书处按所提陈述的数量和语文分发。

* 由于技术原因重发。



附件一

2017 年 7 月 17 日科学管理主任马克·劳伦斯给国际海底管理局秘书长的信

根据国际海底管理局大会议事规则第 82 条的规定，可持续问题高级研究所申请作为观察员参加管理局会议，包括定于 2017 年 8 月举行的第二十三届会议。

可持续问题高级研究所是德国各科学协会于 2009 年成立的，联合国环境规划署前执行主任、德国环境部长克劳斯·特普费尔为首任所长。研究所力求就全球可持续问题开展研究，特别是在气候变化、地球系统动态和可持续发展领域。研究所力求在学术研究、民间社会和国际政策界的交叉点上扩大讨论。研究所的海洋治理研究方案目前得到德国环境局供资，进行深海海底采矿研究。

研究所期待有机会促进管理局的工作，让人们更多意识到关于海洋可持续性和深海海底采矿的环境保护的科学知识，扩大科学界在管理局内的参与范围。谨请审查本研究所的观察员地位申请，并敬请国际海底管理局 2017 年 8 月下届会议给予审议。

可持续问题高级研究所

科学管理主任

马克·劳伦斯(签名)

附件二

Supporting information to the request by the Institute for Advanced Sustainability Studies for observer status in the Assembly of the International Seabed Authority

1. Name of organization

Institute for Advanced Sustainability Studies e.V., IASS

2. Office Address

IASS Potsdam

Institute for Advanced Sustainability Studies e.V.

Berliner Straße 130

D-14467 Potsdam

Website: <http://www.iass-potsdam.de/>

3. Names of proposed primary representatives

Sebastian Unger

Lead Ocean Governance Research

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Dr. Sabine Christiansen

Senior Researcher

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4. Aims and purpose of the Institute for Advanced Sustainability Studies (IASS)

IASS was established in 2009 by the German Science associations with Professor Klaus Töpfer, former Executive Director of the United Nations Environment Programme (UNEP) and German Minister of the Environment as the Founding Director. IASS's aim is to conduct research on global sustainability issues, particular in the areas of climate change, Earth system dynamics and sustainable development. Its goal is to expand critical discussion at the intersection between academic research, civil society and the international policy community in order to develop solutions for urgent sustainability challenges and to support national and international decision-making processes. The IASS has Observer Status in the UN ECOSOC and collaborates closely with a variety of UN and other international and European organisations. The Ocean Governance research programme at IASS currently receives funding from the German Environment Agency (Umweltbundesamt) to conduct research on deep seabed mining.

In general, the Ocean Governance research programme provides multidisciplinary expertise at the science-policy interface to develop innovative strategies for improved ocean governance. In order to do this, it:

- Generates new knowledge on key challenges in ocean governance to support transformation processes toward sustainability;

- Advances science and practice by engaging key actors and stakeholders in transdisciplinary research;
- Catalyzes dialogue by convening experts at the national, regional and international levels;
- Develops and promotes good practices to improve ocean governance;
- Provides scientific and technical advice to governments, as well as international and regional organizations, and supports capacity development.

In particular, the IASS Ocean Governance research programme:

- Contributes to knowledge-based transformation processes such as the 2030 Agenda for Sustainability and its associated goals;
- Advances governance of areas beyond national jurisdiction, including by strengthening existing regimes and contributing knowledge to close legal and institutional gaps through the development of a new legally-binding instrument under UNCLOS; and
- Contributes policy-relevant, action-oriented advice to address emerging challenges in ocean governance such as deep seabed mining.

5. Recent activities

The IASS Ocean Governance research group received a three-year grant from the German Federal Environment Agency in 2015 for the project “Ecological Safeguards for Deep Seabed Mining”. One of the project’s principal tasks is to advise the German Federal Environment Agency, the advisory body to the German Ministry of the Environment, on legal, scientific and policy matters in the context of developing regulatory environmental processes and standards for ensuring that future commercial deep seabed mining will not compromise the global sustainability agenda. IASS recently supported the German Federal Environment Agency and the Federal Institute for Geosciences and Natural Resources (BGR) in developing the content for and reporting on the outcomes of an international workshop “Towards an ISA Environmental Management Strategy for the Area”, in Berlin, held 20-24 March 2017¹. This workshop particularly focused on the elements of an environmental governance framework necessary to enable the ISA to successfully ensure effective protection of the marine environment from harmful effects which may arise from mining-related activities. The foundation of the discussions was laid by the ISA “Discussion Paper on the development and drafting of Regulations on Exploitation for Mineral Resources in the Area (Environmental Matters)” of February 2017.

IASS has also organized a series of thematic dialogue meetings throughout the course of the project with direct relevance for the work of the ISA on the following topics:

- April 2016 – The Need for a Transparent and Participatory Governance Framework at ISA
- November 2016 – Implementation of the Principle of the Common Heritage of Mankind in the Context of the Sustainability Agenda;
- November 2017 (upcoming) – Responsibility of Sponsoring States During Exploration and Exploitation of Minerals in the Area.

¹ <https://www.isa.org.jm/workshop/workshop-towards-isa-environmental-management-strategy-area-20-24-march-2017>

The output will primarily inform the Federal Environment Agency, but appear also in the form of published joint thematic policy briefs². For more information see: <http://www.iass-potsdam.de/en/research/deep-seabed-mining>.

In relation to the work of the ISA, IASS has also: -

- Organised and co-chaired with then ISA Legal Counsel and Deputy to the Secretary-General Michael Lodge a session on „Ocean Sustainability through Transparency“ during the 2014 Potsdam Ocean Governance Workshop (http://www.iass-potsdam.de/sites/default/files/files/2014_potsdam_ocean_governance_workshop.pdf);
- Organised an expert meeting „Deep-sea mining: an uncertain future?“ with participation of then ISA Legal Counsel and Deputy to the Secretary-General in Berlin 2015 (<http://www.iass-potsdam.de/de/content/expert-workshop-deep-sea-mining-uncertain-future>);
- Participated and co-organized as a member of the steering group a conference „Toward Transparency and Best Practices for Deep Seabed Mining - An initial multistakeholder dialogue“ in Bellagio 2015;
- Co-organised and provided input to a side-event on transparency to the 22nd Annual Session of the Authority in Ocho Rios, Jamaica in July 2016;
- Submitted contributions to the ISA stakeholder consultation in 2014, 2016 and to the Article 154 survey in 2016;
- Participated and contributed to workshops and annual meetings by research projects investigating the potential environmental impacts of deep seabed mining, e.g. EU FP7 MIDAS, EU JPIO MiningImpact, SEMPIA, VentBase;
- Participated and contributed to the International Seabed Authority/Griffith Law School workshop on exploitation regulations and environmental impact assessment for deep seabed mining (Australia, 2016);
- Provided technical support to the organisers of the international workshop „Towards an ISA Environmental Management Strategy for the Area“, in Berlin, held 20-24 March 2017;
- IASS staff attended the 2009, 2010, 2011 ISA Annual Sessions, including one open session of LTC in 2011, and the ISA International Workshop to Develop an Environmental Management Plan for the Clarion Clipperton Zone in Kingston, Jamaica, from November 8-12, 2010 (in another delegation).

6. Descriptive statement of the extent to which the purposes of the IASS Research relate to those of the International Seabed Authority, including, in particular, the contributions that can be made to the progress of the Authority

The IASS plans on-going research in the coming years which directly relate to the ISA's development and implementation of the Mining Code, as well as the institutional practices of the ISA. Specific topics of interest include the practical implementation of the principle of the common heritage of mankind, the development and economic analysis of the corresponding benefit-sharing regime, evaluation of the resources of the Area using natural capital approaches, regulatory approaches to mining tests and increased transparency in the ISA's processes. The outcomes of this research will be made available to the ISA and other stakeholders including policy-makers, civil society and the academic community.

² http://www.iass-potsdam.de/sites/default/files/files/policy_brief_transparency.pdf another Policy Brief on the Common Heritage Principle in press.

7. Structure

IASS is a registered organization under the laws of Germany. The supervisory, governing and advisory bodies are the General Assembly, the Board of Directors and the Advisory Board. It is funded by the German Federal Government (15%) and the German State of Brandenburg (15%).

8. IASS member organizations

The General Assembly is the supervisory body of the IASS. Its members include the institute's two funding bodies, i.e. the Federal Ministry of Education and Research (BMBF) and the Brandenburg Ministry of Science, Research and Culture (MWFK), major German academic and research institutions as well as individuals from science and science policy. Prof. Dr Karin Lochte is the current chair of the IASS General Assembly. For more information: <http://www.iass-potsdam.de/en/institute/idea/structure-bodies>.

9. Current member representatives and officers

For more information please: <http://www.iass-potsdam.de/en/institute/general-assembly>.

10. Organizations affiliated with the IASS Ocean Governance research programme

(a) Scientific partners include:

- Excellence Cluster “Future Ocean”, University of Kiel and GEOMAR;
- Institute for Sustainable Development and International Relations (IDDRI);
- German Marine Research Consortium (KDM);
- Alfred Wegener Institute for Polar and Marine Research;
- TMG – Think Tank for Sustainability;
- Marum, University of Bremen;
- Leibniz Centre for Marine Tropical Research (ZMT);
- University of Tokyo;
- Australian National Centre for Ocean Resources and Security (ANCORS);
- Macquarie University;
- International Ocean Institute (IOI); and
- Ecology and Sustainable Management of Oceanic Islands (ESMOI).

(b) German Governmental partners include:

- Federal Ministry for Economic Cooperation and Development (BMZ);
- Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB);
- Federal Ministry of Education and Research (BMBF);
- Federal Foreign Office;
- Environment Agency (UBA);
- Federal Agency for Nature Conservation (BfN); and
- German Corporation for International Cooperation (GIZ).

(c) International organizations:

- United Nations Environment Programme;
 - Secretariat of the Abidjan Convention;
 - Permanent Commission for the South Pacific;
 - Secretariat of the Nairobi Convention;
 - Sargasso Sea Commission; and
 - International Union for the Conservation of Nature (IUCN).
- (d) Civil society organizations:
- Worldwide Fund for Nature (WWF);
 - PEW Charitable Trusts;
 - Birdlife International; and
 - A variety of German non-governmental organizations.
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