



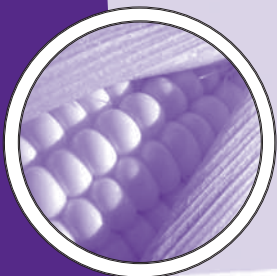
# Biosafety

TOOLS TO ADVANCE IMPLEMENTATION



*Decisions of the Sixth Meeting of the  
Conference of the Parties to the Convention  
on Biological Diversity serving as the  
meeting of the Parties to the Cartagena  
Protocol on Biosafety*

*1 to 5 October 2012,  
Hyderabad, India*







# **BIOSAFETY**

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Secretariat of the Convention on Biological Diversity  
United Nations Environment Programme  
413 St. Jacques Street West, Suite 800  
Montreal, Quebec, Canada H2Y 1N9  
Phone: +1 (514) 288 2220  
Fax: +1 (514) 288 6588  
E-mail: [secretariat@cbd.int](mailto:secretariat@cbd.int)  
Website: [www.cbd.int](http://www.cbd.int) and [bch.cbd.int/protocol](http://bch.cbd.int/protocol)

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## FOREWORD

The sixth meeting of the Parties to the Cartagena Protocol on Biosafety held in Hyderabad, India, from 1 to 5 October 2012, took important steps forward to advance the implementation of the Protocol. In particular, progress was made on issues regarding socio-economic considerations, risk assessment and risk management of living modified organisms (LMOs) and capacity-building.

Parties agreed to advance discussions on socio-economic issues associated with LMOs. They decided to establish an ad hoc technical expert group to develop conceptual clarity on socio-economic considerations arising from the impact of LMOs on biological diversity, especially with regard to the value of biodiversity to indigenous and local communities. The Executive Secretary was also requested to convene online discussion groups and regional online real-time conferences to facilitate and synthesize the exchange of views, information and experiences on socio-economic considerations.

Parties also approved new measures to advance the effectiveness of capacity-building. They adopted an improved plan of action on capacity-building and requested the Secretariat to continue supporting Parties through strategic capacity-building activities, including regional and subregional training workshops and the development of online training modules.

Parties commended the progress made in developing the “Guidance on Risk Assessment of Living Modified Organisms” and encouraged Governments and relevant organizations to test the guidance in actual cases of risk assessment. In this regard, Parties decided to extend the open-ended online forum and establish a new ad hoc technical expert group to, among other things, assist the Executive Secretary in structuring and focusing the process of testing the guidance, and in the analysis of the results from the testing. The Secretariat was also requested to undertake a number of capacity-building activities.

The sixth meeting of the Parties reviewed the status of implementation of the Protocol based on analysis of information submitted through national reports and provided further guidance aiming at facilitating implementation and improving compliance with the requirements of the Protocol, with a particular emphasis on the need for putting in place or strengthening national biosafety regulatory and administrative frameworks. The meeting welcomed the high rate of submission of second national reports, in part due to the financial support that was provided by the Global Environment Facility (GEF). The Parties invited the GEF to provide similar support for future reports. The Executive Secretary was requested to submit a revised reporting format to the seventh meeting of the Parties for the preparation of the third national reports. The Executive Secretary was also requested to develop a sound methodological approach for the third

assessment and review. It was agreed that in the process of preparing for the third assessment and review of the Protocol, the experiences of the Parties in complying with the Protocol, including submission of the national reports, will be taken into account.

Following its adoption at the last meeting of the Parties in Nagoya in 2010, Parties considered, for the first time, the status of signature, ratification and accession of the Nagoya – Kuala Lumpur Supplementary Protocol on Liability and Redress. Parties were called upon to initiate and expedite their internal processes that would lead to the ratification, approval, acceptance of or accession to the Supplementary Protocol.

Parties decided to draw back together the different parts of Article 18 on handling, transport, packaging and identification of LMOs and adopted one decision, which, among other things, urges Parties to expedite the implementation of their biosafety regulatory frameworks and make available to the Biosafety Clearing-House (BCH) any laws, regulations and guidelines and any changes to their regulatory requirements related to the identification and documentation of LMOs destined for contained use or LMOs for intentional introduction into the environment. Parties also requested the Executive Secretary to further examine the potential gaps and inconsistencies identified in a study on existing standards, methods and guidance that was considered by the meeting.

In conclusion, it is noted that the good spirit of consensus demonstrated at the meeting has allowed for the adoption of additional tools and guidance that will further advance the implementation of the Protocol.

Braulio Ferreira de Souza Dias  
Executive Secretary

**DECISIONS OF THE SIXTH MEETING OF  
THE CONFERENCE OF THE PARTIES TO THE  
CONVENTION ON BIOLOGICAL DIVERSITY  
SERVING AS THE MEETING OF THE PARTIES TO  
THE CARTAGENA PROTOCOL ON BIOSAFETY**

*Hyderabad, India, 1–5 October 2012*

<i>Decisions</i>	<i>Page</i>
BS-VI/1. Compliance	1
BS-VI/2. Operation and activities of the Biosafety Clearing-House	3
BS-VI/3. Capacity-building	5
BS-VI/4. Capacity-building: roster of experts	34
BS-VI/5. Matters related to the financial mechanism and resources	43
BS-VI/6. Cooperation with other organizations, conventions and initiatives	47
BS-VI/7. Programme budget for the costs of the secretariat services and the biosafety work programme of the Cartagena Protocol on Biosafety for the biennium 2013–2014	48
BS-VI/8. Handling, transport, packaging and identification of living modified organisms (Article 18)	64
BS-VI/9. Subsidiary Bodies (Article 30)	66
BS-VI/10. Notification requirements (Article 8)	67
BS-VI/11. Nagoya – Kuala Lumpur Supplementary Protocol on Liability and Redress	68
BS-VI/12. Risk assessment and risk management (Articles 15 and 16)	69
BS-VI/13. Socio-economic considerations	75

BS-VI/14. Monitoring and reporting (Article 33)	78
BS-VI/15. Second assessment and review of the effectiveness of the Protocol (Article 35)	80
BS-VI/16. Unintentional transboundary movements of living modified organisms (Article 17)	82



## **BS-VI/1. COMPLIANCE**

*The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety,*

*Recalling* its decision BS-V/1, in which it improved the supportive role of the Compliance Committee,

*Recognizing* the gaps that still exist regarding compliance with the Protocol by a number of Parties, in particular as regards the obligation to put in place legal, administrative and other measures that are necessary and appropriate to implement obligations under the Protocol,

*Recognizing* also that the fulfilment, by each Party of the obligation to introduce legal, administrative and other measures necessary for the implementation of the Protocol, as required in paragraph 1 of Article 2 of the Protocol, is the topmost priority in the domestic implementation of the Protocol,

*Taking note* of the recommendation of the Compliance Committee contained in the annex to its report (UNEP/CBD/BS/COP-MOP/6/2),

1. *Calls upon* Parties, consistent with the Strategic Plan for the Cartagena Protocol for the period 2011–2020 adopted under decision BS-V/16, which identifies the task of putting operational biosafety frameworks in place as the topmost priority area, to expedite their efforts and to put in place the legal and administrative frameworks necessary to meet their obligations under the Protocol;
2. *Requests* Parties that have not yet put in place operational biosafety frameworks to submit information on the challenges they are faced with in this regard, and the plans and timelines, as appropriate, that they envisage for the purpose of taking the necessary measures;
3. *Requests* the Executive Secretary to compile the information submitted in accordance with paragraph 2 above by the Parties concerned and to submit it to the Compliance Committee for consideration and appropriate action;
4. *Reminds* Parties experiencing challenges putting in place legal, administrative and other measures necessary for the implementation of the Protocol that they may submit their difficulties to the Compliance Committee in order to seek assistance in this regard, as indicated in paragraph 1(a) of decision BS-V/1;

5. *Reiterates* its invitation to Parties to make use of the programme of work on public awareness, education and participation concerning the safe transfer, handling and use of living modified organisms, contained in the annex to decision BS-V/13, in order to facilitate the fulfilment of their obligations to promote public awareness and participation, as specified in Article 23 of the Protocol, including for the purposes of developing their own awareness programmes;

6. *Encourages* Parties to use, as appropriate, the procedures and mechanisms on compliance set out in the Protocol to promote compliance with the requirements of the Protocol.

## **BS-VI/2. OPERATION AND ACTIVITIES OF THE BIOSAFETY CLEARING-HOUSE**

*The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety,*

*Welcoming* the improvements made to the central portal of the Biosafety Clearing-House by the Secretariat, in line with the strategic objectives on information-sharing set out in the Strategic Plan for the Cartagena Protocol on Biosafety for the period 2011–2020,

*Further welcoming* the significant increase in the number of records, particularly summaries of risk assessments, registered by Parties in the Biosafety Clearing-House during the last two years,

*Also welcoming* the successful contribution of the Project for Continued Enhancement of Building Capacity for Effective Participation in the Biosafety Clearing-House (the BCH-II Global Project), funded by the Global Environment Facility and implemented by the United Nations Environment Programme,

*Recalling* the importance of providing, in a timely manner, complete and accurate information to the Biosafety Clearing-House, in accordance with paragraph 1 of decision BS-V/2;

1. *Requests* the Executive Secretary to:

(a) Collect, through Biosafety Clearing-House national focal points and online tools made available in the Biosafety Clearing-House, feedback from Parties, other Governments and relevant organizations on existing capacity and experiences in using the Biosafety Clearing-House and the submission and retrieval of data, and to take this experience into account for future improvements to the Biosafety Clearing-House;

(b) Continue its collaboration with other biosafety databases and platforms (such as those of the Organisation for Economic Co-operation and Development and the Food and Agriculture Organization of the United Nations) with a view to improving the utility of the Biosafety Clearing-House as a global mechanism for sharing information on biosafety;

(c) Continue to organize online forums and real-time online conferences on topics relevant to biosafety and the implementation of the Protocol and encourage Parties to make use of them; and

(d) Encourage greater use of the Biosafety Clearing-House to further promote and facilitate public awareness, education and participation of relevant stakeholders regarding the use of living modified organisms.

2. *Urges* Parties and invites other Governments to fulfil their obligations under the Protocol and the decisions of the meeting of the Parties, by updating all incomplete published national records with the mandatory fields required by the common formats;

3. *Expresses gratitude* to the Government of the Republic of Korea for its financial and technical contributions and for hosting subregional training workshops on the Biosafety Clearing-House and *welcomes* its offer to host a new training workshop, in partnership with the United Nations Environment Programme.

## **BS-VI/3. CAPACITY-BUILDING**

*The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety,*

*Recalling* its decisions BS-III/3, BS-IV/3 and BS-V/3,

*Noting* the current status of capacity-building activities, as described in the note prepared by the Executive Secretary (UNEP/CBD/BS/COP-MOP/6/7),

*Recognizing* that the lack of capacity among developing country Parties, in particular the least developed and small island developing States among them, and Parties with economies in transition still remains a major obstacle to the effective implementation of the Protocol,

*Noting with concern* the general decline in the level of bilateral and multilateral funding available for biosafety capacity-building activities and its likely adverse effect on the implementation of the Protocol,

*Mindful* of the current global economic slowdown and the economic difficulties facing many countries,

*Underscoring* the need to prioritize capacity-building needs and actions in the short, medium and long term in order to facilitate targeted investment of the limited resources available,

*Recognizing* the need for a strategic, focused, integrated and all-inclusive results-oriented approach to capacity-building for effective implementation of the Protocol,

### *I. Capacity-building activities*

1. *Takes note* of the report of the Independent Evaluation of the Action Plan for Building Capacities for the Effective Implementation of the Cartagena Protocol on Biosafety (UNEP/CBD/BS/COP-MOP/6/INF/2);

2. *Also takes note* of the working document (UNEP/CBD/BS/COP-MOP/6/7/Add.1) prepared by the Executive Secretary to facilitate the comprehensive review and possible revision of the Action Plan for Building Capacities for the Effective Implementation of the Cartagena Protocol on Biosafety;

3. *Adopts* a new Framework and Action Plan for Capacity-Building for the Effective Implementation of the Cartagena Protocol, as contained in annex I to this decision, to replace the updated Action Plan for Building Capacities for the Effective Implementation of the Cartagena Protocol on Biosafety;

4. *Invites* Parties, other Governments, and relevant organizations to implement the framework and Action Plan for capacity-building referred to in paragraph 3 above and to share their experiences through the Biosafety Clearing-House;

5. *Also invites* developed country Parties and donors and relevant organizations to take into account the above Framework and Action Plan in providing financial and technical support to developing countries, in particular the least developed and small island developing States among them, and countries with economies in transition;

6. *Requests* the Executive Secretary to prepare, for consideration by the regular meetings of the Parties, reports on the status of implementation of the above Framework and Action Plan, on the basis of the submissions made by Parties, other Governments and relevant organizations;

7. *Decides* to review the above Framework and Action Plan for Capacity-Building in conjunction with the mid-term review of the Strategic Plan for the Cartagena Protocol on Biosafety for the period 2011–2020 and the third assessment and review of the effectiveness of the Protocol;

8. *Requests* the Executive Secretary to raise awareness of the above Framework and Action Plan for Capacity-Building and encourage regional stakeholders and donors to play a greater role in supporting its implementation by Parties;

9. *Also requests* the Executive Secretary to continue supporting Parties through strategic capacity-building activities, including regional and subregional training workshops and the development of online training modules, subject to the availability of funds;

## *II. Strategic approaches to capacity-building*

10. *Takes note* of the analysis of strategic approaches to capacity-building contained in section III of the note by the Executive Secretary on the status of capacity-building activities (UNEP/CBD/BS/COP-MOP/6/7);

11. *Invites* Parties, other Governments and relevant organizations to adopt, as appropriate and in a timely manner, the strategic approaches to capacity-building

outlined in section 3.6 of the capacity-building framework and action plan referred to in paragraph 3 above with a view to improving the design, delivery, effectiveness, impact and sustainability of biosafety capacity-building initiatives;

12. *Requests* the Executive Secretary to provide, as appropriate and subject to the availability of funding, technical support to Parties to implement the strategic approaches to capacity-building outlined in section 3.6 of the Framework and Action Plan for capacity-building referred to in paragraph 3 above;

### *III. Coordination Mechanism*

13. *Takes note* of the report by the Executive Secretary on the implementation of the Coordination Mechanism (UNEP/CBD/BS/COP-MOP/6/7, section IV) and *decides* to adopt the restructured and streamlined elements of the Coordination Mechanism contained in annex II to the present decision;

14. *Invites* donor countries and agencies and other organizations providing capacity support in biosafety to participate actively in the Coordination Mechanism;

15. *Decides* to restructure and streamline the Coordination Mechanism, as set out in annex II to the present decision.

## *Annex I*

# **FRAMEWORK AND ACTION PLAN FOR CAPACITY-BUILDING FOR THE EFFECTIVE IMPLEMENTATION OF THE CARTAGENA PROTOCOL ON BIOSAFETY**

## **I. INTRODUCTION**

1. Article 22 of the Protocol requires Parties to cooperate in the development and/or strengthening of human resources and institutional capacities in biosafety, including biotechnology to the extent that it is required for biosafety, for the purpose of ensuring the effective implementation of the Protocol, taking fully into account the needs of developing country Parties, in particular the least developed and small island developing States among them, and Parties with economies in transition for financial resources and access to and transfer of technology and know-how.

2. At their first meeting, held in 2004, the Parties to the Cartagena Protocol on Biosafety (COP-MOP) adopted an Action Plan for Building Capacities for the Effective Implementation of the Cartagena Protocol on Biosafety. In 2006, the Parties to the Protocol adopted a revised version of the Action Plan and decided to conduct a comprehensive review every five years, based on independent evaluations. In 2010, the Parties adopted terms of reference for the comprehensive review and requested the Executive Secretary to commission the independent evaluation of the Action Plan and to also prepare a working document to facilitate the comprehensive review of the Action Plan, taking into account the information and suggestions submitted by Parties, other Governments and relevant organizations, the information provided in the second national reports, and the findings of the independent evaluation.

3. The independent evaluation of the Action Plan, which was conducted in late 2011 and early 2012, recommended the development of a new document to replace the current Action Plan, comprising two components: (i) a “framework for capacity-building”, which would serve as a reference and guidance tool; and (ii) a “results-based Action Plan” consisting of prioritized actions, specific expected results/targets and a limited set of measurable indicators. Furthermore, the independent evaluation, as well as the submissions from governments and relevant organizations, recommended that the Action Plan or its replacement be aligned with the Strategic Plan for the Protocol for the period 2011-2020.

4. The present Framework and Action Plan for Capacity-Building for the Effective Implementation of the Cartagena Protocol on Biosafety was prepared on the basis of the information provided in the second national reports on the implementation of the



Protocol, the findings and recommendations of the independent evaluation of the Action Plan and the views and suggestions submitted by Parties, other Governments and relevant organizations to the Secretariat and through the online forum on capacity-building. It also takes into account recommendations of the Liaison Group on Capacity-Building for Biosafety.

## **II. SITUATIONAL ANALYSIS AND BASIS FOR ACTION**

5. The effective implementation of the Protocol continues to be hampered by the lack of capacity in many developing country Parties, in particular the least developed and the small island developing States among them, and Parties with economies in transition. In their second national reports on the implementation of the Protocol, 114 Parties of the 143 Parties (80%) that submitted their reports by 31 December 2011 reported that they lack capacity in various areas. In particular, most Parties expressed a need for capacity-building in risk assessment, risk management, detection and identification of living modified organisms, public awareness and participation, and in measures to address unintentional and/or illegal transboundary movements of living modified organisms (LMOs). Many Parties also expressed the need for institutional building; human resources development; scientific, technical and institutional collaboration; and information exchange and data management, including participation in the Biosafety Clearing-House.

6. A review of the status of implementation of the Protocol<sup>1</sup> noted that in their second national reports, many developing country Parties, in particular the least developed and the small island developing States among them and Parties with economies in transition reported that they do not have in place fully established and functioning biosafety regulatory frameworks that meet the requirements of the Protocol. Many reported that they have no practical experience as yet and lack appropriate legal, institutional and technical capacity for decision-making on LMOs for intentional introduction into the environment or for LMOs intended for direct use as food or feed, or for processing (LMOs-FFP). They do not have in place a mechanism for handling requests, have no procedures for decision-making, and have limited capacity to review applications, including capacity to undertake or review risk assessments prior to making a decision. Only 63 Parties reported that they had acquired the necessary capacity to conduct risk assessments. Many developing country Parties, in particular the least developed and the small island developing States among them, also noted a lack of legal frameworks and technical capacity to prevent, detect and/or appropriately respond to illegal and unintentional transboundary movements of LMOs where they occur. Furthermore, 42

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1 The review of the status of implementation of the Protocol is presented in document UNEP/CBD/BS/COP-MOP/6/17/Add.1.

Parties reported that they have no capacity to enforce the requirements of identification and documentation of LMOs, and 63 Parties stated that they have such capacity only to some extent.

7. According to various reports<sup>2</sup> there are major weaknesses in the current approaches to capacity-building under the Protocol. For example, in a number of countries biosafety capacity-building activities are implemented in an ad hoc and fragmented (“piecemeal”) manner and are not mainstreamed into broader national development plans and relevant sectoral policies and programmes. Furthermore, many initiatives lack rigorous appraisal at the design stage and are not based on comprehensive stock-taking and needs assessments. A number of initiatives have also been designed with unrealistic and overly ambitious expectations and with insufficient inputs. Also, some initiatives are being designed in a top-down manner, with limited involvement of relevant stakeholders to ensure local ownership and commitment. Besides, a number of initiatives have a short-term to medium-term horizon (ranging from 1 to 3 years) which is often too short to ensure effective delivery and sustainable results. Moreover, many biosafety projects have not incorporated measures to ensure the sustainability of their activities and outcomes at the end of the funding period. Finally, a number of initiatives are currently poorly tracked, evaluated and reported and often there is a lack of objective baseline data upon which to assess the progress made.

8. In terms of delivery, seminars and workshops are the main mechanisms used for human resource development in the vast majority of capacity-building initiatives. There are very few formal biosafety education and training programmes leading to academic qualifications. A number of initiatives have developed standardized training packages, toolkits and guidelines on different topics. Furthermore, in spite of the efforts being made through the Coordination Mechanism for the Implementation of the Action Plan, the level of coordination and communication between different initiatives and donors remains poor, leading to incoherence in capacity-building delivery and duplication of effort in certain areas and little or no attention to others.

9. This capacity-building framework and action plan aims to advance implementation of the capacity-building components of the Strategic Plan for the Protocol and to assist Parties to address their capacity-building needs and challenges, including the shortcomings identified above. In particular, it seeks to guide and assist Parties, other Governments and relevant organizations to develop, implement and evaluate biosafety capacity-building activities in a strategic, systematic, and forward-looking manner. The framework and action plan sets the overall vision; provides basic guiding principles;

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2 These include reports of the independent evaluation of the Action Plan (UNEP/CBD/BS/COP-MOP/6/INF/2) and the “Expert Review of the Effectiveness of Various Approaches to Biosafety Capacity-Building” submitted to the fifth meeting of the Parties by the United Nations Environment Programme (UNEP/CBD/BS/COP-MOP/5/INF/9).

proposes strategic steps and tasks that Parties, other Governments and relevant organizations could take at the national, regional and international levels; and presents a results-oriented action plan to translate the ideas in the strategic plan into concrete actions and results.

10. In the context of this framework and action plan, capacity-building is described as the process of developing, strengthening and maintaining the capabilities needed to elaborate and implement measures to ensure the safe transfer, handling and use of living modified organisms resulting from modern biotechnology.<sup>3</sup> This encompasses development of capacities at (i) the individual level (including the knowledge, skills, and competencies of individuals); (ii) the organizational level (including the institutional structures, processes and procedures; the infrastructure (facilities, equipment and materials, inter-institutional networks and partnerships, and human resources); and (iii) the systemic level (including the enabling policy and legal frameworks, governance systems, external partnerships and externalities that affect the effectiveness and sustainability of capacity-building efforts).

### III. FRAMEWORK FOR CAPACITY-BUILDING

11. This framework has been developed within the context of the Strategic Plan for the Protocol. It is designed to serve both as a strategic document and as a reference or guidance tool. As a strategic document it sets the overall vision, direction, objectives and scope of capacity-building under the Protocol, including key areas requiring urgent action. As a reference or guidance tool it provides a general conceptual and operational framework for capacity-building, including the guiding principles and approaches, strategic processes and steps that may be taken, and general guidance on key tools, good practices and lessons learned that Parties, other Governments and relevant organizations could use or apply in designing and implementing their own capacity-building interventions.

12. The framework is relevant to a wide range of individuals and organizations involved in the design, implementation and/or funding of biosafety capacity-building initiatives. It can be adapted to many situations and contexts to address specific capacity-building needs and challenges. It is a living tool that will be updated on the basis of the experiences gained and lessons learned from previous and ongoing global efforts.

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3 A number of institutions use the term “capacity development” rather than “capacity-building” noting that the latter has a narrower scope and gives the impression that no capacity exists before the intervention. Nevertheless, this framework and action plan will continue with the term “capacity-building” to be consistent with the terminology used in the Protocol.

### **3.1 Vision**

13. By 2020 all Parties will have in place the requisite human resources and institutional capacities for ensuring an adequate level of protection in the field of the safe transfer, handling and use of living modified organisms that may have adverse effects on the conservation and sustainable use of biological diversity, taking also into account risks to human health.

### **3.2 Objectives**

14. Consistent with Strategic Objective 2 of the Strategic Plan for the Protocol, the objective of the capacity-building framework is to further develop and strengthen the capacity of Parties to implement the Protocol. The purpose of the framework is to guide, catalyse and facilitate the capacity-building initiatives of Parties, other Governments and relevant organizations, by providing a strategic framework aiming to:

(a) Promote a common understanding of the key issues, priorities, guiding principles and approaches regarding capacity-building for the effective implementation of the Protocol;

(b) Foster a strategic, focused, coherent and coordinated approach to capacity-building in biosafety, including biotechnology to the extent that it is required for biosafety;

(c) Guide the identification and prioritization of capacity-building needs by Parties, and catalyze the development and implementation of targeted, synergistic and integrated biosafety capacity-building initiatives at the national, regional and international levels;

(d) Facilitate the engagement of donors and the coordinated design and implementation of development assistance and technical cooperation programmes in the area of biosafety;

(e) Facilitate the mobilization and leveraging of financial, technical and technological resources and expertise;

(f) Promote regional and international cooperation and coordination with respect to capacity-building in biosafety to foster synergy and complementarity among various initiatives.

15. The capacity-building framework also seeks to guide the provision of financial, technical and technological support to developing countries, in particular the least

developed and small island developing States among them, as well as countries with economies in transition, including countries among these that are centres of origin and centres of genetic diversity.

### ***3.3 Guiding principles***

16. In light of the operational experience and lessons learned from various capacity-building processes and programmes, capacity-building initiatives undertaken in line with this framework should, as appropriate:

- (a) Be country-driven, i.e., based on the needs and priorities identified by the recipient countries themselves;
- (b) Ensure national ownership and leadership, including the setting of priorities and the design, implementation and evaluation of the initiatives;
- (c) Ensure broad, informed and timely participation of relevant stakeholders in the design, implementation and evaluation of capacity-building interventions;
- (d) Recognize that capacity-building is a dynamic, progressive and long-term process, applying an adaptive and learning-by-doing approach;
- (e) Maximize synergy and complementarity among biosafety capacity-building initiatives;
- (f) Apply a results-oriented approach, focusing on achieving specific capacity-building results and outcomes;
- (g) Promote policy dialogue with donors and organizations providing biosafety capacity-building assistance and encourage the participation of civil society and the private sector in such dialogue;
- (h) Apply a holistic approach, integrating biosafety activities with relevant sectoral and national policies, strategies and programmes;
- (i) Encourage the development and implementation of nationally-designed and resourced activities that address the specific needs and priorities of each country;
- (j) Promote regional and subregional approaches to capacity-building;
- (k) Build the political will and commitment for the implementation of the Protocol.

### ***3.4 Focal areas for capacity-building***

17. In line with Strategic Objective 2 of the Strategic Plan for the Cartagena Protocol on Biosafety, the priority focal areas for capacity-building for the period 2011-2020, in the context of this capacity-building framework and action plan, will be the following:

- (1) National biosafety frameworks;
- (2) Risk assessment and risk management;
- (3) Handling, transport, packaging and identification of living modified organisms;
- (4) Liability and redress;
- (5) Public awareness, education, and participation;
- (6) Information sharing; and
- (7) Biosafety education and training.

18. It is recognized that capacity-building needs vary from country to country. It is also noted that some of the above focal areas may not be priorities for some Parties. Therefore, the prioritization of specific capacity needs must be a country-driven process. In addition to the above focal areas, Parties may wish to determine their specific priority needs and communicate the information to the Biosafety Clearing-House.

### ***3.5 Strategic actions***

19. The activities listed here are generic strategic tasks that may be undertaken at the national, regional and international levels to facilitate effective design, implementation and evaluation of the capacity-building initiatives across the various focal areas of the Strategic Plan for the Cartagena Protocol on Biosafety. The tasks are not listed in any order of priority. The specific activities relating to the priority focal areas are outlined in the Action Plan described in section IV below.

#### ***3.5.1 National level***

20. Tasks that may need to be undertaken at the national level include:

- (a) Assessment of existing human resource and institutional capacity, including existing tools and mechanisms as well as completed and ongoing projects to identify the capacity needs and gaps;

(b) Development of a national biosafety capacity-building strategy and action plan, prioritizing the capacity-building needs and defining specific objectives based on the key elements provided above, including development of timelines, outputs, and targets;

(c) Development of a resource mobilization strategy to guide national efforts to mobilize existing capacities and ensure their effective utilization;

(d) Establishment and/or strengthening of a national coordination mechanism in order to promote synchronized and synergistic implementation of capacity-building activities and the harmonized use of external financial and technical assistance at the national level;

(e) Assessment of existing funding from national, bilateral and multilateral sources and assessment of short-term and long-term funding needs;

(f) Integration of biosafety into broader national development strategies and plans, including country Poverty Reduction Strategy Papers (PRSPs), country assistance strategies and/or other similar instruments and relevant sectoral policies and programmes, including the national biodiversity strategies and action plans.

### ***3.5.2 Subregional and regional levels***

21. Tasks that may need to be undertaken at the subregional/regional level include:

(a) Establishment of regional websites and databases;

(b) Establishment of mechanisms for regional and subregional coordination of biosafety regulatory framework implementation, as appropriate;

(c) Development of subregional and regional mechanisms for human-resources development and training in biosafety, including through regional courses, staff exchanges, and joint research;

(d) Development of subregional or regional infrastructure and/or administrative mechanisms for the assessment and management of risks of living modified organisms;

(e) Establishment of a forum for the exchange of information on public awareness, education and participation;

(f) Promotion of regional and subregional collaborative initiatives on biosafety;

- (g) Establishment of regional and subregional advisory mechanisms;
- (h) Establishment and/or strengthening of regional centres of excellence and training.

### **3.5.3 International level**

22. Tasks that may need to be undertaken at the international level include:

- (a) Ensuring the effective functioning of the Biosafety Clearing-House;
- (b) Enhancing the mobilization of financial resources from multilateral, bilateral and other donors to assist developing country Parties, in particular the least developed and the small island developing States among them, and Parties with economies in transition, including those that are centres of origin and centres of genetic diversity;
- (c) Identification and maximization of opportunities for collaborative initiatives and partnerships to enhance synergies, leverage resources and achieve greater impact;
- (d) Ensuring effective use of the roster of experts;
- (e) Strengthening South-South cooperation;
- (f) Development/updating of international guidance on various technical issues;
- (g) Development of indicators for evaluating capacity-building measures at different levels;
- (h) Regular review and provision of further guidance by the Parties to the Protocol.

### **3.6 Strategic approaches to capacity-building**

23. In addition to the general guiding principles outlined in section 3.3 above, Parties, other Governments and relevant organizations are encouraged to adopt, as appropriate, the following strategic approaches to improve the effectiveness, impact and sustainability of their capacity-building initiatives:

- (a) Ensure that the design of capacity-building initiatives is based on systematic stocktaking and needs assessments in order to ensure that they are strategic, demand-driven and cost-effective;
- (b) Diversify approaches to human resources development beyond seminars and workshops to include formal education and training programmes, learning-by-doing



approaches, staff exchanges, peer-to-peer learning through professional networking, and self-instruction;

(c) Promote formal academic training in biosafety at graduate and post-graduate levels in order to develop a cadre of biosafety experts in various fields at the national level;

(d) Broaden the scope and depth of training activities in specific areas of professional responsibilities (including risk assessment, risk management, LMO detection and others);

(e) Adopt a systematic approach to training in biosafety, including, *inter alia*, conduct of training needs assessments, setting of clear training objectives, use of a wide range of customized training methods and tools, systematic evaluation and follow-up of the training activities;

(f) Promote the “training-of-trainers” approach and ensure that the trained trainers have the necessary pedagogical skills, institutional support, structures, facilities and resources to be able train others;

(g) Maximize existing opportunities for distance-learning, including interactive e-learning modules available online and on CD-ROM, in order to increase the number of participants benefiting and help to reduce the cost of training;

(h) Institutionalize short-term biosafety trainings (including seminars and workshops), which are currently offered on an ad hoc one-off basis by various government departments and organizations, under designated national or regional training institutions, to facilitate their delivery in a systematic, integrated and efficient manner;

(i) Review the criteria for selection of target audiences for training and other capacity-building activities to ensure that a wide range of participants (from both government and non-government organizations), who are in most need, have the requisite background and are in a position to readily apply the acquired knowledge and skills, are given due consideration;

(j) Adopt a long-term and phased approach to capacity-building within the context of the national capacity-building strategies, the national biosafety frameworks (NBFs) and the Strategic Plan for the Protocol;

(k) Adopt a regional or subregional approach to capacity-building in biosafety to, *inter alia*, facilitate the sharing of information and technical resources, enhance coherence and synergy of capacity-building activities, and maximize the use of existing institutional, technical and human resources;

(l) Incorporate in all biosafety capacity-building projects sustainability measures, including strategies for retention of the knowledge and capacity built and continued use of the projects outputs, once the external funding and other support ends;

(m) Ensure that all biosafety capacity-building projects are systematically tracked and evaluated based on prior agreed indicators, and share evaluation reports through the Biosafety Clearing-House.

### ***3.7 Sustainability strategies and measures***

24. The essence of capacity-building is to ensure that Parties have lasting capabilities to fulfil their obligations under the Protocol. In this regard, Parties, other Governments and relevant organizations are encouraged to incorporate into the design and delivery of capacity-building initiatives strategies and measures that would foster ongoing action, sustainable results and long-term impact beyond the “lifespan” of the initiatives. It is advisable to develop sustainability plans at the design stage and not in the final months of capacity-building interventions. It is also advisable to build sustainability elements into the various modes of delivery of capacity-building initiatives.

25. Among other things, Parties, other governments and relevant organizations are encouraged to:

- (a) Set realistic objectives for their capacity-building initiatives;
- (b) Ensure active involvement of relevant stakeholders to foster a sense of ownership and commitment to long-term action;
- (c) Create effective linkages among different sectors; establish strategic partnerships to leverage and maximize resources;
- (d) Build strong institutions and coordination mechanisms that involve relevant stakeholders;
- (e) Mainstream biosafety into broader development plans and relevant sectoral programmes;
- (f) Adopt modes of delivery such as “training of trainers” that create a “multiplier effect”; incorporate biosafety management costs into the national budgets;
- (g) Ensure that the design of capacity-building initiatives is based on realistic assessments of the domestic resources available to sustain the activities; and
- (h) Diversify the sources of funding and technical support.

26. Another important strategy to promote sustainability is to institutionalize the implementation of capacity-building activities to ensure that the knowledge, skills and other capacities developed as part of capacity-building interventions are retained and integrated into existing institutional programmes. In this regard, it is important to ensure that the institutions selected to implement initiatives are well managed and appropriately resourced to take-over and sustain the initiatives' activities. It is also crucial to ensure that the institutions selected are recognized in the national regulatory frameworks, have permanent staff and supportive leadership, rely on local personnel and resources to implement the activities and have strong support from the government. The latter may require deliberate awareness-raising and outreach to senior management and political leadership to help muster the necessary political will and commitment.

27. In addition, a consistent and objective approach to monitoring and evaluation would help to ensure the sustainability of initiatives by enabling Parties, other Governments and relevant organizations to determine adjustments that need to be made during the implementation process.

28. Finally, promotion of regional and South-South cooperation, establishment of inter-agency partnerships and networks, establishment or strengthening of regional centres of excellence, and the development of adaptable capacity-building products, such as online training modules or e-learning courses and online databases or virtual libraries, are important strategies that could facilitate sustained access to technical support and assistance and ongoing knowledge-sharing and learning.

#### **IV. THE RESULTS-ORIENTED CAPACITY-BUILDING ACTION PLAN (2012–2020)**

29. The Action Plan below is designed to facilitate the implementation of the capacity-building components of the Strategic Plan of the Cartagena Protocol on Biosafety for the period 2011–2020. It includes an indicative list of expected results and a set of activities to be implemented, as appropriate, by Parties, other Governments and relevant organizations at the international, regional, and national levels to contribute to capacity-building for the effective implementation of the Protocol in a strategic and focused manner. The proposed activities are not meant to be prescriptive or exclusive. Rather they are illustrative of the kinds of core activities that would need to be undertaken, as appropriate, in order to achieve the desired results by 2020. The Action Plan is meant to complement other relevant initiatives and plans, including the Strategic Plan for Biodiversity 2011–2020 and its Aichi Biodiversity Targets, and the Bali Strategic Plan for Technology Support and Capacity-Building.

## 4.1 Objectives, activities and expected results

### Focal area 1: National biosafety frameworks

#### Operational objective 1

To further support the development and implementation of national regulatory and administrative systems.

#### Outcomes

- National biosafety frameworks developed and implemented;
- Functional national biosafety systems.

Indicators	Results/Outputs	Activities
<ul style="list-style-type: none"> <li>• Number of Parties with operational regulatory frameworks (biosafety laws and regulations)</li> <li>• Number of Parties with functional administrative arrangements</li> </ul>	<ul style="list-style-type: none"> <li>(a) National biosafety policies, laws and regulations in place and being implemented</li> <li>(b) National institutions and administrative systems for handling LMO applications in place</li> <li>(c) Standard operating procedures for handling LMO applications in place</li> <li>(d) Provisions made in the national annual budgets for operationalizing the national biosafety system</li> <li>(e) Trained staff in place to administer the national biosafety system</li> <li>(f) Biosafety is mainstreamed into broader development plans and sectoral policies and programmes, including the national biodiversity strategies and action plans</li> </ul>	<ul style="list-style-type: none"> <li>1.1 Development and implementation/enforcement of national biosafety policies and laws and the implementing regulations or guidelines</li> <li>1.2 Development of a best practice guide on: <ul style="list-style-type: none"> <li>(i) Implementation of national biosafety frameworks;</li> <li>(ii) Enforcement of national biosafety laws and regulations;</li> <li>(iii) Establishment and management of administrative systems; and</li> <li>(iv) Mainstreaming of biosafety into relevant policies/plans</li> </ul> </li> <li>1.3 Development of training modules based on elements of the above guide</li> <li>1.4 Organization of training-of-trainers workshops on the elements of the best practice guide</li> <li>1.5 Development and/or implementation of an electronic system for: <ul style="list-style-type: none"> <li>(i) handling of notifications and</li> <li>(ii) registration of applications and approvals/decisions taken</li> </ul> </li> <li>1.6 Organization of training courses and on-the-job training programmes for personnel responsible for administering the biosafety regulatory systems</li> </ul>

## ***Focal area 2: Risk assessment and risk management***

### **Operational objective 2**

To enable Parties to evaluate, apply, share and carry out risk assessments and establish local science-based capacities to regulate, manage, monitor and control risks of living modified organisms (LMOs).

### **Outcomes**

- Resources, including human resources, and the administrative mechanisms required to assess risks of LMOs are available;
- Training materials and technical guidance on risk assessment and risk management developed and used by Parties;
- Infrastructure and administrative mechanisms established for the management of risks of LMOs at national, subregional or regional levels.

Indicators	Results/Outputs	Activities
<ul style="list-style-type: none"> <li>• Ratio of risk assessment summary reports as against number of decisions on LMOs on the BCH</li> <li>• Number of people trained on risk assessment of LMOs as well as in monitoring, management and control of LMOs</li> <li>• Number of Parties that have infrastructure including laboratories for monitoring, management and control of LMOs</li> <li>• Number of Parties using the training materials and technical guidance developed</li> <li>• Number of Parties that are of the opinion that the training materials and technical guidance are sufficient and effective</li> </ul>	<ul style="list-style-type: none"> <li>(a) Parties have trained experts in fields relevant for risk assessment and risk management</li> <li>(b) Guidance on risk assessment and risk management of LMOs readily available and being used by Parties</li> <li>(c) Local experts conducting risk assessments and/or risk assessment audits as part of decision-making regarding LMOs</li> <li>(d) Parties submitting risk assessment summaries to the BCH</li> <li>(e) Baseline data on biodiversity relevant for risk assessment and risk management available</li> <li>(f) Parties have the necessary infrastructure for risk assessment and risk management</li> <li>(g) Parties using science-based risk assessment methods</li> <li>(h) Parties have LMO monitoring programmes based on defined protection goals, risk hypotheses and relevant assessment endpoints</li> </ul>	<ul style="list-style-type: none"> <li>2.1 Establishment of institutional arrangements (e.g., technical and advisory committees or other arrangements) for conducting or reviewing risk assessments</li> <li>2.2 Organization of training-of-trainers workshops on risk assessment and risk management</li> <li>2.3 Development of guidance documents on risk assessment and risk management</li> <li>2.4 Development or strengthening of technical infrastructure for risk assessment and risk management</li> <li>2.5 Conducting scientific biosafety research relating to LMOs</li> <li>2.6 Review of existing data and/or conducting new research to acquire data on biodiversity for specific ecological areas (e.g., botanical files, consensus documents, national inventories, etc.) relevant to risk assessment and risk management</li> <li>2.7 Establishment and maintenance of user-friendly databases to facilitate easy access to data on biodiversity relevant for risk assessment and risk management</li> <li>2.8 Development of LMO monitoring frameworks and programmes, including post-release monitoring of LMOs</li> <li>2.9 Training of scientists, phytosanitary officers, inspectors and other relevant officials on LMO monitoring, enforcement and emergency response</li> </ul>

### ***Focal area 3: Handling, transport, packaging and identification***

#### **Operational objective 3**

To develop capacity for handling, transport, packaging and identification of living modified organisms.

#### **Outcomes**

- Customs/border control officials and other officials are able to enforce the Protocol's requirements related to handling, transport, packaging and identification of LMOs;
- Personnel are trained and equipped for sampling, detection and identification of LMOs.

Indicators	Results/Outputs	Activities
<ul style="list-style-type: none"> <li>• Number of customs/ border control officers and laboratory personnel trained</li> <li>• Percentage of Parties that have established or have reliable access to detection laboratories</li> <li>• Number of national and regional certified laboratories with the capacity to detect LMOs</li> <li>• Number of certified laboratories in operation</li> </ul>	<ul style="list-style-type: none"> <li>(a) National systems for implementing the Protocol's requirements on the handling, transport, packaging and identification of LMOs in place and are operational</li> <li>(b) National systems, including standard operating procedures, for detection and identification of LMOs in place</li> <li>(c) Local experts able to detect and identify LMOs in shipments</li> <li>(d) Capacity for verification and certification of documentation accompanying LMO shipments at the points of entry in place</li> <li>(e) Certified LMO testing facilities established at national and (sub)regional levels</li> <li>(f) Systems for traceability and labelling of LMOs in place</li> <li>(g) Regional and subregional networks of laboratories for LMO detection and identification established</li> </ul>	<ul style="list-style-type: none"> <li>3.1 Establishment of national systems for implementing the Protocol's requirements on the handling, transport, packaging and identification of LMOs</li> <li>3.2 Development of national systems to implement international rules and standards for sampling and detection of LMOs to facilitate mutual recognition of LMO identification results within and between countries</li> <li>3.3 Establishment of mechanisms for auditing the efficacy of the national systems for handling, transport, packaging and identification of LMOs</li> <li>3.4 Organization of national and (sub) regional training workshops on LMO documentation and identification requirements for customs and border control officials and other relevant stakeholders</li> <li>3.5 Development of standardized forms and checklists on identification requirements for use in verification of the documentation accompanying LMO shipments</li> <li>3.6 Development of methodologies and protocols for sampling and detection of LMOs and/or adapting existing ones</li> <li>3.7 Organization of trainings for local scientists and laboratory technicians in LMO detection and analysis</li> <li>3.8 Establishment of infrastructure for detection and identification of LMOs, including accredited laboratories</li> <li>3.9 Establishment of (sub)regional networks of laboratories for LMO detection</li> </ul>

## ***Focal area 4: Liability and redress***

### **Operational objective 4**

To assist Parties to the Protocol to establish and apply rules and procedures on liability and redress for damage resulting from the transboundary movements of living modified organisms, in accordance with the Nagoya – Kuala Lumpur Supplementary Protocol on Liability and Redress.

### **Outcomes**

- Institutional mechanisms or processes identified or established to facilitate the implementation of the Nagoya – Kuala Lumpur Supplementary Protocol on Liability and Redress.

Indicators	Results/Outputs	Activities
<ul style="list-style-type: none"> <li>• Number of eligible Parties that received capacity-building support in the area of liability and redress involving LMOs</li> <li>• Number of domestic administrative or legal instruments identified, amended or newly enacted that fulfil the objectives of international rules and procedures in the field of liability and redress</li> </ul>	<ul style="list-style-type: none"> <li>(a) Existing national policies, laws and administrative systems identified and used, and/or amended, to implement the Supplementary Protocol requirements</li> <li>(b) Guidance available and being used by competent authorities in the discharge of their responsibilities under the Supplementary Protocol</li> <li>(c) National capacity for determining appropriate response measures in the event of damage developed</li> <li>(d) User-friendly databases/ knowledge management systems in place and being used to establish baselines and to monitor the status of biodiversity</li> <li>(e) Financial and other support being provided by the GEF, bilateral and multilateral donors and relevant organizations for the ratification and implementation of the Supplementary Protocol</li> <li>(f) Best practices and lessons learned in the implementation of the Supplementary Protocol available through the BCH</li> </ul>	<ul style="list-style-type: none"> <li>4.1 Analysis of existing national policies, laws and institutional mechanisms to determine how they address or could address the requirements of the Supplementary Protocol</li> <li>4.2 Establishment of new, or amendment of existing, domestic legal and administrative frameworks to implement the requirements of the Supplementary Protocol</li> <li>4.3 Development of guidance to assist competent authorities in discharging their responsibilities under the Supplementary Protocol</li> <li>4.4 Organization of training activities to strengthen the scientific and technical capacity of the competent authorities to be able to evaluate damage, establish causal links and determine appropriate response measures</li> <li>4.5 Establishment of databases and knowledge management systems to facilitate the establishment of baselines and monitoring of the status of biodiversity at genetic, species and ecosystem levels</li> <li>4.6 Strengthening national capacity to provide for administrative or judicial review of decisions on response measures to be taken by the operator in accordance with Article 5.6 of the Supplementary Protocol</li> <li>4.7 Compilation and exchange of information on experiences and lessons learned in the implementation of the Supplementary Protocol through the BCH</li> <li>4.8 Mobilization of financial and other support for ratification and implementation of the Supplementary Protocol</li> </ul>

## ***Focal area 5: Public awareness, education and participation***

### **Operational objective 5**

To enhance capacity at the national, regional and international levels that would facilitate efforts to raise public awareness, and promote education and participation concerning the safe transfer, handling and use of living modified organisms.

### **Outcomes**

- Parties have access to guidance and training materials on public awareness, education and participation concerning the safe transfer, handling and use of LMOs;
- Parties are enabled to promote and facilitate public awareness, education and participation in biosafety.

Indicators	Results/Outputs	Activities
<ul style="list-style-type: none"> <li>• Percentage of Parties having in place mechanisms for ensuring public participation in decision-making concerning LMOs not later than 6 years after accession to/ratification of the Protocol</li> <li>• Percentage of Parties that inform their public about existing modalities for participation</li> <li>• Number of Parties having in place national websites and searchable archives, national resource centres or sections in existing national libraries dedicated to biosafety educational materials</li> </ul>	<ul style="list-style-type: none"> <li>(a) Programmes for promoting public awareness are being implemented</li> <li>(b) Guidance materials and toolkits including methodologies and best practices for promoting public awareness, and promote education and participation in place and being used by Parties</li> <li>(c) Improved mechanisms for public awareness, and promote education and participation</li> <li>(d) Effective implementation of public awareness, and promote education and participation at national, regional and international level</li> </ul>	<ul style="list-style-type: none"> <li>5.1 Collection of information on legal frameworks and mechanisms put in place and actual experiences on public awareness, education and participation</li> <li>5.2 Development and dissemination of training packages/online modules, guidance materials and other tools for different target groups</li> <li>5.3 Organization of regional and national workshops on the implementation of the above guidance/toolkit in order to strengthen or establish national mechanisms for public awareness, education and participation, interlinking with complementary international agreements</li> <li>5.4 Organization of training-of-trainers workshops for biosafety educators, communicators and other government and non-government personnel at national and (sub) regional levels</li> <li>5.5 Establishment of mechanisms to inform the public about existing opportunities and modalities for participation</li> <li>5.6 Establishment of national biosafety websites, searchable databases and national resource centres</li> <li>5.7 Development and implementation of biosafety public-awareness programmes</li> </ul>



## ***Focal area 6: Information-sharing***

### **Operational objective 6**

To ensure that the BCH is easily accessed by all established stakeholders, in particular in developing countries and countries with economies in transition.

### **Outcomes**

- Increased access to information in the BCH and sharing of information through the BCH by users in developing countries and countries with economies in transition;
- Tools to facilitate implementation of the Protocol are easily accessible through the BCH;
- Information on the BCH is easily accessible to stakeholders, including the general public.

Indicators	Results/Outputs	Activities
<ul style="list-style-type: none"> <li>• Number of submissions to the BCH from developing countries and countries with economies in transition</li> <li>• Amount of traffic from users to the BCH from developing countries and countries with economies in transition</li> </ul>	<ul style="list-style-type: none"> <li>(a) Parties able to register mandatory information in the BCH</li> <li>(b) Parties, non-Parties and other stakeholders are able to post non-mandatory information to the BCH</li> <li>(c) Improved coordination and sharing of experiences on the BCH at national, (sub)regional, and global levels</li> <li>(d) Increased awareness and capacity of relevant stakeholders and general public to access information through BCH</li> <li>(e) National systems set up to gather, manage and upload onto the BCH all the information required under the Protocol</li> </ul>	<ul style="list-style-type: none"> <li>6.1 Establishment/maintenance of national and regional infrastructure for accessing the BCH</li> <li>6.2 Development of national and (sub) regional systems for gathering/ managing information for submission to the BCH</li> <li>6.3 Creation of national websites using, as appropriate, AJAX and Hermes tools</li> <li>6.4 Organization of BCH training for specific target groups, using the BCH Regional Advisors' network</li> <li>6.5 Enhancement of cooperation between relevant international organizations on the further development and population of the BCH to maximize use of existing resources, experiences and expertise and to minimize duplication of activities</li> <li>6.6 Organization of training for information management experts on the BCH and putting in place mechanisms to facilitate use of the BCH by various stakeholders</li> <li>6.7 Establishment of mechanisms to enable countries to monitor the use of the BCH at the national level and to address gaps</li> <li>6.8 Continuation of the BCH capacity-building projects at national and (sub) regional levels</li> <li>6.9 Enhancement of the BCH coordination mechanism at the national level, including interministerial and interagency collaboration with relevant stakeholders</li> </ul>

## ***Focal area 7: Biosafety education and training***

### **Operational objective 7**

To promote education and training of biosafety professionals through greater coordination and collaboration among academic institutions and relevant organizations.

### **Outcomes**

- A sustainable pool of biosafety professionals with various competencies available at national/ international levels;
- Improved biosafety education and training programmes;
- Increased exchange of information, training materials and staff and students among academic institutions and relevant organizations.

Indicators	Results/Outputs	Activities
<ul style="list-style-type: none"> <li>• Number of academic institutions by region offering biosafety education and training courses and programmes</li> <li>• Number of biosafety training materials and online modules available</li> </ul>	<ul style="list-style-type: none"> <li>(a) Improved identification of training needs and target audiences</li> <li>(b) Information on the current situation with regard to existing biosafety-related education and training initiatives available</li> <li>(c) Relevant documentation (including real-life dossiers and full risk assessment reports) made available for biosafety education and education purposes</li> <li>(d) Compilations of existing biosafety training and education initiatives and trainers are made available</li> <li>(e) E-learning courses and other distance education and training programs on biosafety are available</li> <li>(f) Scientific and professional conferences and workshops support exchange of information and experiences</li> <li>(g) Biosafety regulators continuously trained through on-the-job and off-the-job training programmes</li> </ul>	<ul style="list-style-type: none"> <li>7.1 Undertaking of periodic training needs assessments to ascertain the demand for biosafety education and training programme, and to identify target audiences</li> <li>7.2 Development and/or strengthening of biosafety education and training programs at national and (sub)regional levels, including online and continuing education programs</li> <li>7.3 Exchange of information on existing biosafety education and training courses and programmes through the BCH</li> <li>7.4 Integration of biosafety into the curricula of existing relevant academic programs and courses</li> <li>7.5 Establishment of national and (sub)regional coordination mechanisms or networks for institutions involved in biosafety education and training to facilitate the sharing experiences and best practices</li> <li>7.6 Exchange of biosafety training and research materials among academic institutions</li> <li>7.7 Development of academic exchange and fellowship programs to facilitate the sharing of expertise, including through North-South and South-South cooperation</li> <li>7.8 Expansion and maintenance of the database in the BCH on existing biosafety training and education programmes/courses, academic staff/experts on relevant subjects and training materials.</li> <li>7.9 Strengthening the capacity of existing universities, research institutes and centres of excellence to deliver biosafety education and training</li> </ul>

## 4.2 Roles and responsibilities

30. The primary responsibility of implementing this Action Plan rests with Parties and other Governments. Other entities will play a supporting role, including providing financial and technical assistance. Parties and other Governments will, *inter alia*, be responsible for:

- (a) Identifying and communicating their capacity-building needs to the Biosafety Clearing-House (BCH);
- (b) Designing and implementing specific capacity-building interventions;
- (c) Mobilizing local resources and availing themselves of financial and technical support available through bilateral and multilateral channels;
- (d) Providing to the BCH reports on their capacity-building activities;
- (e) Providing an enabling environment and leadership to encourage the development of capacity-building initiatives by other entities; and
- (f) Providing direction to and coordination for capacity-building activities of other entities, including donors, within the framework of the national capacity-building strategy or action plan.

31. Other entities, including the Global Environment Facility (GEF), United Nations agencies and other intergovernmental organizations, regional bodies, bilateral and multilateral donors, academic and research institutions, non-governmental organizations and the private sector will play different roles in support of Parties and other Governments, based on their comparative advantage and expertise, taking into account the indicative roles identified in annex II to decision BS-I/5.

32. In addition to the roles specified in annex II to decision BS-I/5, the Secretariat will, subject to the availability of resources, undertake the following tasks:

- (a) Assist Parties in identifying their capacity-building needs by providing appropriate needs assessment tools, providing advice upon request and organizing (sub) regional workshops in this regard;
- (b) Organize (sub)regional workshops on project proposal development;
- (c) Prepare toolkits on good practices and lessons learned in biosafety project design, management and evaluation;

(d) Organize training workshops for Parties on resource mobilization for biosafety to, *inter alia*, facilitate sharing of experiences and good practice and the development of resource mobilization strategies, in the context of activities to facilitate implementation of the Convention's strategy for resource mobilization.

33. The Conference of the Parties serving as the meeting of the Parties to the Protocol has an overall responsibility to provide guidance on the implementation of this Action Plan and to review its effectiveness and relevance.

### **4.3 Resources for implementation**

34. The Action Plan will be implemented with financial support from various sources, including GEF, bilateral and multilateral funding, and voluntary financial contributions through the Secretariat. Parties are also encouraged to include in their national budgets allocations to finance biosafety capacity-building activities.

35. Parties will be invited to assess and submit to the Secretariat their funding requirements related to the implementation of the Action Plan as part of the overall process to assess the amount of financial resources needed by developing country Parties, in particular the least developed and the small island developing States among them, and Parties with economies in transition to implement the Strategic Plan for Biodiversity 2011-2020 and the Strategic Plan for the Cartagena Protocol on Biosafety for the period 2011-2020. In addition, Parties and other Governments are encouraged to identify and maximize opportunities for technical assistance and cooperation from regional and international sources for the implementation of the Action Plan.

36. The ability to mobilize adequate financial, human and technical resources in a predictable manner and on a sustainable basis will be critical to the successful implementation of the Action Plan. In this regard, Parties are encouraged to develop and implement national strategies for resource mobilization and exchange, through the BCH, information on the experiences, good practices and lessons learned.

### **4.4 Monitoring and evaluation**

37. Monitoring and evaluation of the implementation of the Action Plan will be done by the Conference of the Parties serving as the meeting of the Parties to the Protocol. The Secretariat will prepare, on the basis of submissions by Parties and other Governments, a report on the status of implementation of the Action Plan and on how the framework is being used by Parties, other Governments and relevant organizations in the planning, implementation and monitoring of their biosafety capacity-building activities or in supporting or financing biosafety programmes. The report will be submitted to the

Conference of the Parties serving as the meeting of the Parties to the Protocol for its consideration and guidance on measures for improvement.

38. The reports on the status of implementation of the Action Plan will outline the activities implemented and the key results achieved in order to provide a clearer sense of the overall progress made at different levels. In this regard, governments and relevant organizations would be requested to make submissions on both their activities and the results achieved. This would serve as a good measure of the outcomes for the capacity-building focal area of the Strategic Plan of the Protocol.

39. The indicators provided in the Action Plan will be used to monitor and evaluate the progress made. A more elaborate monitoring framework, describing, *inter alia*, the indicators and the data collection methodology, including how and where the data will be collected, will be developed by the Secretariat.

## **V. REVIEW OF THE FRAMEWORK AND ACTION PLAN**

40. A comprehensive review of the Framework and Action Plan will be carried out for consideration by the Conference of the Parties serving as the meeting of the Parties to the Protocol in conjunction with the mid-term review of the Strategic Plan for the Protocol and the third assessment and review of the effectiveness of the Protocol, its procedures and annexes mandated by Article 35 of the Protocol.

## *Annex II*

# **COORDINATION MECHANISM FOR CAPACITY-BUILDING EFFORTS UNDER THE CARTAGENA PROTOCOL ON BIOSAFETY**

## **A. Objective**

1. The objective of the Coordination Mechanism is to facilitate coordination, cooperation and exchange of information with a view to promoting complementarity and maximizing synergies between various capacity-building initiatives in order to minimize duplication of effort and foster efficient utilization of available resources.

## **B. Guiding Principles**

2. The Coordination Mechanism will be guided by the following basic principles:

(a) The purpose of the mechanism will be to facilitate the sharing of information regarding biosafety capacity-building initiatives and not to supervise, control or evaluate different initiatives;

(b) Participation in, and exchange of information through the Coordination Mechanism will be voluntary and open to all interested stakeholders;

(c) The mechanism will be a simple, flexible and easily accessible system and its operation will involve minimal additional resource requirements;

(d) The mechanism will be operationalized in a phased and incremental manner;

(e) The mechanism will complement and add value to, and not compete with, existing coordination and networking initiatives at national, regional and international levels.

## **C. Elements of the Coordination Mechanism**

3. The Coordination Mechanism will consist of the following core elements:

(a) Liaison Group on capacity-building in biosafety;

(b) Biosafety capacity-building databases;

- (c) Information-sharing and networking mechanism; and
- (d) Coordination meetings.

### 1. *Liaison Group on Capacity-building in Biosafety*

4. The Liaison Group will be a small ad hoc group of experts (not a standing body) constituted and convened by the Executive Secretary in a transparent manner to address specific capacity-building issues/topics, as need arises. It will be composed of no more than fifteen experts selected from among Parties, with due regard to equitable geographical representation and gender balance, and a limited number of experts from relevant organizations not exceeding one third of experts from Parties. Members of the Liaison Group will serve in their individual capacity and not as representatives of their Governments or organizations. Every effort will be made to ensure any one meeting of the Group includes some members that attended previous meetings in order to maintain some level of continuity and institutional memory.

5. The mandate of the Liaison Group will be to provide expert advice to the Executive Secretary on ways and means to enhance the coordination and effective implementation of the capacity-building components of the Strategic Plan for the Protocol.

6. Operations of the Liaison Group will follow the guidance on the expert and liaison groups contained in the consolidated *modus operandi* of SBSTTA (annex III to decision VIII/10 of the Conference of the Parties to the Convention). To the extent possible, the Liaison Group will conduct its work using electronic means, including e-mail, online discussions through a restricted collaborative portal and teleconferences. However, face-to-face meetings of the Group may be organized, subject to availability of resources.

### 2. *Biosafety capacity-building databases*

7. The capacity-building databases will serve as a central repository of information on biosafety capacity-building initiatives around the world (including projects, one-off activities and opportunities, and academic courses), as well as information on country needs and available tools and resource materials. Reports and/or web links to reports on completed initiatives, including summaries of major accomplishments and lessons learned will be incorporated into the database for capacity-building initiatives.

8. The databases will facilitate timely and structured access to information on completed, ongoing and planned initiatives. This will allow users to identify overlaps and gaps in the geographic and thematic coverage of existing capacity-building initiatives, in order to minimise duplication of efforts and resources, facilitating leverage of resources, and identifying opportunities for collaboration, joint actions and synergies.

9. The databases will be maintained through the BCH. Common formats will be used to facilitate submission of information in a structured and consistent manner and also facilitate customized searching of the databases. Persons designated by governments or relevant organizations will be able to register and update information in the databases through the BCH management centre using a password system.

### *3. Information-sharing and networking mechanism*

10. The focus of this element will be to facilitate informal but systematic sharing of information, experiences, good practices and lessons learned from capacity-building initiatives as well as exchange ideas on how to address identified needs, challenges and emerging issues. This will be done primarily through the “online forum on capacity-building” but also, as appropriate and subject to the availability of funds, through face-to-face coordination meetings.

11. The online forum and the face-to-face coordination meetings will provide a platform for individuals interested in or involved in biosafety capacity-building and research activities to interact, build relations, network and share information, and learn from each others’ operational experiences. They will also give stakeholders an opportunity to brainstorm, share their views and suggest innovative ideas to improve the design and delivery of capacity-building initiatives. Furthermore, they will provide participants an opportunity to build a common understanding of the general capacity-building issues, needs and the strategic approaches to address those needs, and to foster dialogue and consensus on key issues.

12. A wide range of online tools including online discussion groups, collaborative portals and restricted workspaces for specific groups or expert networks, and e-mail listservs as well as through real-time online conferences will be used, as appropriate.

### *4. Coordination meetings*

13. The face-to-face coordination meetings will complement the online forum by allowing individuals from relevant organizations, Government agencies and donors involved in designing, implementing or funding biosafety capacity-building activities to meet face-to-face, in an informal setting, to exchange information and review operational experience and lessons learned regarding their capacity-building efforts. They will also provide an opportunity to review and consider ways of addressing gaps or overlaps between existing activities and foster synergies and partnerships. Furthermore, coordination meetings will facilitate the improvement of planning and delivery of capacity-building assistance to countries while improving the provision of assistance to countries with specific defined needs. These meetings will be organized by the Secretariat in collaboration with relevant organizations, subject to the availability of funding.



## **D. Administration of the Coordination Mechanism**

14. The Coordination Mechanism will be administered by the Executive Secretary, whose primary functions will include the following:

(a) Maintaining the capacity-building databases, including their regular updating based on submissions received from Parties, other Governments, relevant organizations and donors;

(b) Facilitating the dissemination of information and lessons learned shared through the Coordination Mechanism;

(c) Convening and servicing meetings of the liaison group on capacity-building in biosafety, and coordination meetings, as necessary;

(d) Preparing reports on operations of the Coordination Mechanism for consideration by the meetings of the Conference of the Parties serving as the meeting of the Parties to the Protocol;

(e) Promoting awareness of the Coordination Mechanism and encouraging various stakeholders, including donor countries and agencies and organizations providing capacity-building support, to participate more actively in its activities.

## **BS-VI/4. CAPACITY-BUILDING: ROSTER OF EXPERTS**

*The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety,*

*Recalling* its decisions BS-IV/4 and BS-V/4,

*Taking into account* the views and experiences of Parties and other Governments on the use of the roster of experts, including the challenges faced and their projected future need for the (UNEP/CBD/BS/COP-MOP/6/7/Add.2),

1. *Takes note* of the report on the current status and operations of the roster of experts and the voluntary fund for the roster (UNEP/CBD/BS/COP-MOP/6/7/Add.2);
2. *Reiterates* its earlier call to Parties and other Governments that have not yet done so to nominate experts to the roster;
3. *Adopts* the revised nomination form for the roster of experts annexed hereto and *authorizes* the Executive Secretary to update the form based on operational experience;
4. *Decides* to expand the mandate of the roster of experts to include supporting, as appropriate and upon request, the work of the Secretariat, the Conference of the Parties serving as the meeting of the Parties to the Protocol and other bodies under the Protocol, in relation to capacity-building for developing countries and countries with economies in transition;
5. *Invites* Parties and other Governments to consider nominating experts on the roster to serve on ad hoc technical expert groups, informal advisory committees and other relevant bodies under the Protocol and/or to attend technical meetings under the Protocol;
6. *Invites* Parties, other Governments, relevant organizations and the Executive Secretary to consider using experts on the roster as resource persons and/or facilitators for training workshops, courses and other capacity-building activities;
7. *Invites* experts on the roster to participate actively in relevant online discussion forums and online real-time conferences organized under the Protocol; and
8. *Reiterates* its invitation to developed country Parties and other donors to make contributions to the voluntary fund in order to fully operationalize the roster, so as to facilitate implementation of the Strategic Plan for the Cartagena Protocol for the period 2011–2020.

*Annex***REVISED NOMINATION FORM FOR  
THE ROSTER OF EXPERTS**

Fields/sections marked with an asterisk (\*) are mandatory.

Nominating Government:\*

&lt;Country name&gt;

**I. BRIEF PROFILE (150 WORDS)\***


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**II. BASIC PERSONAL INFORMATION\****Please provide full names rather than only acronyms or initials*Title: ☐ Ms. ☐ Mr. ☐ Professor ☐ Dr. ☐ Other: \_\_\_\_\_

First and Last Name: \_\_\_\_\_

Employer / Organization: \_\_\_\_\_

Job Title: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone: \_\_\_\_\_

Facsimile: \_\_\_\_\_

Email: \_\_\_\_\_

Web Site: \_\_\_\_\_

Year of Birth: \_\_\_\_\_

Gender: ☐ Male ☐ Female

Country of Birth: \_\_\_\_\_

Nationality: \_\_\_\_\_

Second Nationality: \_\_\_\_\_

III. DETAILS OF CURRENT EMPLOYMENT\*

Name of Employer /Organization/Company:\*

Department/Division/Unit:\*

Start Date (YYYY):\*

Type of Organization:\*

☐ Academic or research institute

☐ Private sector (business and industry)

☐ Government agency

☐ Regional economic integration organization

☐ Inter-Governmental Organization (IGO)

☐ UN and other specialized agency of the UN Common System

☐ Non-Governmental Organization (NGO)

☐ Other:\_\_\_\_\_

Main Areas of Responsibility:  
(Briefly describe how your work relates to biosafety and the area(s) of expertise for which you are being nominated)

IV. EMPLOYMENT HISTORY\*

Countries or regions where you have worked:

Please give details of previous employment beginning with the most recent previous employer.

Previous professional experience 1

Name of Employer /Organization/Company:\*

Department/Division/Unit:\*

Start and End Date (YYYY – YYYY):

Type of Organization:\*

☐ Academic or research institute

☐ Private sector (business and industry)

☐ Government agency

☐ Regional economic integration organization

☐ Inter-Governmental Organization (IGO)

☐ UN and other specialized agency of the UN Common System

☐ Non-Governmental Organization (NGO)

☐ Other:\_\_\_\_\_

Main Areas of Responsibility:  
(Briefly describe how your work relates to biosafety and the area(s) of expertise for which you are being nominated)

*Previous professional experience 2*

Name of Employer /Organization/Company:\*

Department/Division/Unit:\*

Start and End Date (YYYY – YYYY):

Type of Organization:\*

☐ Academic or research institute☐ Government agency☐ Inter-Governmental Organization (IGO)☐ Non-Governmental Organization (NGO)☐ Private sector (business and industry)☐ Regional economic integration organization☐ UN and other specialized agency of the UN Common System☐ Other:

Main Areas of Responsibility:

*(Briefly describe how your work relates to biosafety and the area(s) of expertise for which you are being nominated)**Previous professional experience 3*

Name of Employer /Organization/Company:\*

Department/Division/Unit:\*

Start and End Date (YYYY – YYYY):

Type of Organization:\*

☐ Academic or research institute☐ Government agency☐ Inter-Governmental Organization (IGO)☐ Non-Governmental Organization (NGO)☐ Private sector (business and industry)☐ Regional economic integration organization☐ UN and other specialized agency of the UN Common System☐ Other:\_\_\_\_\_

Main Areas of Responsibility:

*(Briefly describe how your work relates to biosafety and the area(s) of expertise for which you are being nominated)*

## V. EDUCATION

### A. Formal Education\*

#### First Degree (e.g. B.Sc. in Microbiology)\*

<b>Title of the first Degree</b> or other academic distinction and subject:*	<Text entry>
Name of academic institution:*	<Text entry>
Dates (from / to):*	From <YYYY> to <YYYY>

#### Second Degree (e.g. M.Sc. in Microbiology)\*

<b>Title of the second degree</b> or other academic distinction and subject:*	<Text entry>
Name of academic institution*:	<Text entry>
Dates (from / to):	From <YYYY> to <YYYY>

#### Third Degree (e.g. Ph.D. in Microbiology)

<b>Title of the third degree</b> or other academic distinction and subject:	<Text entry>
Name of academic institution:	<Text entry>
Dates (from / to):	From <YYYY> to <YYYY>

### B. Other professional qualifications

List a maximum of three other relevant professional qualifications: (e.g. specialized training, certifications obtained, etc.)	a. <Text entry>  b. <Text entry>  c. <Text entry>
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## VI. AREAS OF EXPERTISE\*

Please select one main area of expertise and up to 3 specific fields in which your academic and professional expertise may assist Parties in implementing the Cartagena Protocol on Biosafety:

### ☐ Biosafety policy and legal expertise

- ☐ Biosafety law
- ☐ Biosafety policy
- ☐ Biotechnology policy
- ☐ Compliance and Enforcement
- ☐ Handling of LMO applications  
(AIA procedure)

- ☐ Import / Export control
- ☐ Liability and redress
- ☐ Multilateral agreements

☐ **Capacity development expertise**

- ☐ Institutional capacity development ☐ Resource mobilization
- ☐ Project design, monitoring and evaluation

☐ **Information and knowledge management expertise**

- ☐ Biosafety Clearing-House ☐ Biosafety website development
- ☐ Biosafety database management ☐ IT network development

☐ **Public awareness, education and participation expertise**

- ☐ Access to information ☐ Public awareness-raising
- ☐ Biosafety education ☐ Public participation
- ☐ Media communication ☐ Risk communication

☐ **Scientific and technical expertise**

- ☐ Food and feed safety ☐ LMO sampling and detection
- ☐ Human health ☐ Risk assessment
- ☐ LMO monitoring ☐ Risk management

☐ **Socio-economic and trade expertise**

- ☐ Bioethics ☐ Social and/or economic assessments
- ☐ Coexistence ☐ Trade rules and standards
- ☐ Intellectual property rights

☐ **Other:** (please specify) \_\_\_\_\_

## VII. PUBLICATIONS

List your three most important publications related to your main field of expertise:

1. <Text entry>

2. <Text entry>

3. <Text entry>

List other publications (please list up to 20 most relevant citations of peer-reviewed articles, books, book chapters, conference papers and other publications; Attach a separate list of publications if the space provided here is not sufficient):

1. <Text entry>

2. <Text entry>

3. <Text entry>

4. <Text entry>

5. <Text entry>

and/or <Attachment>

VIII. AWARDS AND PROFESSIONAL MEMBERSHIPS

<b>Awards received</b> <i>List <u>up to three</u> scientific/professional awards received that are related to your main field of expertise:</i>	1. <Text entry>  2. <Text entry>  3. <Text entry>
<b>Professional memberships</b> <i>List <u>up to three</u> relevant professional societies or organizations of which you are a member:</i>	1. <Text entry>  2. <Text entry>  3. <Text entry>
<b>Technical committees, expert panels or advisory bodies served</b> <i>List <u>up to three</u> relevant technical committees, expert panels or advisory bodies on which you have served and briefly describe your specific responsibilities:</i>	1. <Text entry>  2. <Text entry>  3. <Text entry>

IX. LANGUAGE PROFICIENCY\*

Mother tongue:*	<input type="checkbox"/> Arabic	<input type="checkbox"/> English	<input type="checkbox"/> Russian	<input type="checkbox"/> Other (specify):
	<input type="checkbox"/> Chinese	<input type="checkbox"/> French	<input type="checkbox"/> Spanish	_____

**Other languages**

Speaking:*	Arabic:	<input type="checkbox"/> Excellent	<input type="checkbox"/> Good	<input type="checkbox"/> Fair
	Chinese:	<input type="checkbox"/> Excellent	<input type="checkbox"/> Good	<input type="checkbox"/> Fair
	English:	<input type="checkbox"/> Excellent	<input type="checkbox"/> Good	<input type="checkbox"/> Fair
	French:	<input type="checkbox"/> Excellent	<input type="checkbox"/> Good	<input type="checkbox"/> Fair
	Russian:	<input type="checkbox"/> Excellent	<input type="checkbox"/> Good	<input type="checkbox"/> Fair
	Spanish:	<input type="checkbox"/> Excellent	<input type="checkbox"/> Good	<input type="checkbox"/> Fair
	Other (specify):	_____		
		<input type="checkbox"/> Excellent	<input type="checkbox"/> Good	<input type="checkbox"/> Fair

Reading:*	Arabic:	<input type="checkbox"/> Excellent	<input type="checkbox"/> Good	<input type="checkbox"/> Fair
	Chinese:	<input type="checkbox"/> Excellent	<input type="checkbox"/> Good	<input type="checkbox"/> Fair
	English:	<input type="checkbox"/> Excellent	<input type="checkbox"/> Good	<input type="checkbox"/> Fair
	French:	<input type="checkbox"/> Excellent	<input type="checkbox"/> Good	<input type="checkbox"/> Fair
	Russian:	<input type="checkbox"/> Excellent	<input type="checkbox"/> Good	<input type="checkbox"/> Fair
	Spanish:	<input type="checkbox"/> Excellent	<input type="checkbox"/> Good	<input type="checkbox"/> Fair
	Other (specify):	_____		
		<input type="checkbox"/> Excellent	<input type="checkbox"/> Good	<input type="checkbox"/> Fair



Writing:*	Arabic:	<input type="checkbox"/> Excellent	<input type="checkbox"/> Good	<input type="checkbox"/> Fair
	Chinese:	<input type="checkbox"/> Excellent	<input type="checkbox"/> Good	<input type="checkbox"/> Fair
	English:	<input type="checkbox"/> Excellent	<input type="checkbox"/> Good	<input type="checkbox"/> Fair
	French:	<input type="checkbox"/> Excellent	<input type="checkbox"/> Good	<input type="checkbox"/> Fair
	Russian:	<input type="checkbox"/> Excellent	<input type="checkbox"/> Good	<input type="checkbox"/> Fair
	Spanish:	<input type="checkbox"/> Excellent	<input type="checkbox"/> Good	<input type="checkbox"/> Fair
Other (specify):				
		<input type="checkbox"/> Excellent	<input type="checkbox"/> Good	<input type="checkbox"/> Fair

X. PROFESSIONAL REFERENCES

Please indicate <u>at least one</u> <u>but not more than three</u> references with detailed contact information:*	Reference 1:* <Text entry>
	Reference 2: <Text entry>
	Reference 3: <Text entry>

XI. ANY OTHER RELEVANT INFORMATION

Please provide any other information relevant to your role as an expert (max. 300 words)

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RECORD VALIDATION

Date*:	<YYYY-MM-DD>
Country*:	<Country name>
Name of the Cartagena protocol National Focal Point*:	<Text entry>
<i>I hereby confirm the nomination of the above named person to the Roster of Expert and that the information contained in this form is correct.</i>	
Signature of the Cartagena Protocol National Focal Point*:	
Name of the BCH National Focal Point*:	<Text entry>
<i>I hereby agree to the inclusion of the above information in the Biosafety Clearing-House.</i>	
Signature of the BCH National Focal Point*:	

## **BS-VI/5. MATTERS RELATED TO THE FINANCIAL MECHANISM AND RESOURCES**

*The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety,*

*Recalling* decisions BS-I/5, BS-II/5, BS-III/5, BS-IV/5 and BS-V/5,

*Noting with concern* the drastic decline in the level of bilateral and multilateral funding available for biosafety capacity-building activities,

1. *Urges* Parties to give priority to national biosafety plans and projects under the Global Environment Facility's System for Transparent Allocation of Resources (STAR) to ensure support for the implementation of the Cartagena Protocol on Biosafety

### *I. Guidance to the financial mechanism*

2. *Recommends* to the Conference of the Parties, in adopting its further guidance to the financial mechanism with respect to support for the implementation of the Cartagena Protocol on Biosafety, that it invite the Global Environment Facility to:

(a) Support regional and multi-country thematic capacity-building projects for the implementation of the Cartagena Protocol on Biosafety using Focal Area Set-aside resources under the biodiversity focal area, outside national STAR allocations;

(b) Allow for more flexibility in the utilization of funds provided for capacity-building to address emerging needs within the overall framework of approved projects;

(c) Further streamline, simplify and expedite, to the extent possible, the process of accessing funds from the GEF trust fund;

(d) Consider developing a new strategy for financing biosafety, incorporating the priorities and objectives of the Strategic Plan for the Cartagena Protocol on Biosafety 2011–2020 and other developments that have taken place since 2006;

(e) Set aside the guidance contained in paragraph 21 (b) of decision VII/20, which allowed Parties to the Convention that are not yet Parties to the Protocol to receive GEF funding for certain capacity-building activities related to biosafety after providing a clear political commitment towards becoming Parties to the Protocol;

(f) Provide further support to all eligible Parties for capacity-building in the use of the Biosafety Clearing-House, based on experiences or lessons learned during the Project or Continued Enhancement of Building Capacity for Effective Participation in the Biosafety Clearing-House and using resources under the biodiversity focal area;

(g) Make available, in a timely manner, adequate and predictable financial resources to eligible Parties to facilitate the preparation of their third national reports under the Protocol;

(h) Provide support to eligible Parties that have not yet done so to initiate implementation of their legal, administrative and other measures for the implementation of the Protocol;

(i) Take into account the new Framework and Action Plan for Capacity-Building for the Effective Implementation of the Cartagena Protocol on Biosafety in providing financial support to developing countries and countries with economies in transition;

(j) Provide financial and technical assistance to developing country Parties and Parties with economies in transition to undertake, as appropriate, the testing activities referred to in paragraph 3 of decision BS-VI/12 on risk assessment and risk management;

(k) Provide financial and technical assistance to developing country Parties and Parties with economies in transition to implement the capacity-building activities referred in paragraph 9 of decision BS-VI/12 on risk assessment and risk management;

(l) Make financial resources available with a view to supporting awareness-raising, experience-sharing and capacity-building activities in order to expedite the early entry into force and implementation of the Nagoya – Kuala Lumpur Supplementary Protocol on Liability and Redress to the Protocol;

(m) Cooperate with and support developing country Parties and Parties with economies in transition to build capacity to implement the detection and identification requirements of paragraphs 2(b) and 2(c) of Article 18 of the Protocol and related decisions, including by facilitating the transfer of technology

(n) Consider, within the four-year outcome-oriented framework of programme priorities for biodiversity for the sixth GEF replenishment period (2014–2018), the following programme priorities with respect to biosafety:

1. National biosafety frameworks;
2. Risk assessment and risk management;

3. Handling, transport, packaging and identification of living modified organisms;
4. Liability and redress;
5. Public awareness, education, access to information and participation;
6. Information sharing, including full participation in the Biosafety Clearing-House;
7. Biosafety education and training;
8. Activities recommended by the Compliance Committee to assist eligible Parties to comply with their obligations under the Protocol; and
9. Socio-economic considerations;

(o) In providing support for priority 9 specified in subparagraph (n) above, take into account the outcome of the Ad Hoc Technical Expert Group on Socio-Economic Considerations and the decision on the appropriate further steps towards fulfilling operational objective 1.7 of the Strategic Plan for the Cartagena Protocol on Biosafety 2011-2020, recognizing that further work to develop conceptual clarity on the issue is under way;

(p) In allocating resources under the biodiversity focal area, consider making a notional allocation which improves the biosafety share of the biodiversity focal area to support the implementation of the Cartagena Protocol on Biosafety during the sixth replenishment period (2014–2018);

## *II. Mobilization of additional resources*

3. *Emphasizes* the need to include financing for biosafety as part of sustainable development financing in the context of the outcomes of the Rio+20 United Nations Conference on Sustainable Development that relate to finance, especially section VI.A;

4. *Urges Parties and invites* other Governments to implement, as appropriate, the following measures within the overall framework of the Strategy for Resource Mobilization in support of the Convention on Biological Diversity, with a view to mobilizing additional financial resources for implementation of the Protocol and in accordance with Articles 20 and 21 of the Convention and Article 28 of the Protocol:

(a) Identify and seek funding support from diverse sources including regional and international donor agencies, foundations and, as appropriate, through private-sector involvement;

(b) Establish strategic partnerships with other Parties and other Governments and with various organizations, regional bodies or centres of excellence with a view to pooling resources and/or widening opportunities and possibilities for mobilizing resources from various sources;

(c) Identify and maximize opportunities for technical cooperation with regional and international organizations, institutions and development assistance agencies;

(d) Mainstream biosafety into national development plans and relevant sectoral policies, strategies and programmes, including development assistance programmes and national biodiversity strategies and action plans;

(e) Consider designating dedicated staff for resource mobilization and building internal capacity to mobilize resources for the implementation of national biosafety activities in a systematic, coordinated and sustainable manner;

(f) Ensure efficient use of available resources and adopt cost-effective approaches to capacity-building;

5. *Invites* Parties and other Governments to exchange, through the Biosafety Clearing-House, information on their experiences, good practices and lessons learned on the mobilization of resources at the national and regional levels;

6. *Requests* the Executive Secretary to include resource mobilization for the Protocol in activities to facilitate the implementation of the strategy for resource mobilization in support of the Convention on Biological Diversity, including in regional and subregional workshops to assist Parties to elaborate country-specific resource mobilization strategies for the implementation of national biodiversity strategies and action plans;

7. *Also requests* the Executive Secretary to further communicate with the GEF Secretariat before the meeting of the GEF Council in November 2012 in order to discuss the possibility of opening a special financial support window for implementation of the Protocol, and to report on the outcome to the Parties to the Protocol.

## **BS-VI/6. COOPERATION WITH OTHER ORGANIZATIONS, CONVENTIONS AND INITIATIVES**

*The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety,*

*Recalling* its decisions BS-II/6 and BS-V/6,

*Welcoming* the information provided by the Executive Secretary on activities undertaken to improve cooperation with other organizations, conventions and initiatives (UNEP/CBD/BS/COP-MOP/6/5),

*Also welcoming* the Executive Secretary's cooperation with, *inter alia*, the Green Customs Initiative, the World Trade Organization, the Organisation for Economic Co-operation and Development, the International Plant Protection Convention and the United Nations Economic Commission for Europe Convention on Access to Information, Public Participation in Decision-Making and Access to Justice in Environmental Matters (the Aarhus Convention),

*Underlining* the contribution of cooperation and coordination among relevant organizations, multilateral agreements and initiatives to the effective implementation of the Protocol and the Strategic Plan for the Cartagena Protocol on Biosafety for the period 2011–2020, adopted at the fifth meeting of the Parties to the Protocol,

*Requests* the Executive Secretary, subject to the availability of funds, to:

- (a) Further pursue cooperation with other organizations, conventions and initiatives with a view to meeting the strategic objective in focal area 5 of the Strategic Plan, on outreach and cooperation;
- (b) Continue efforts to gain observer status in those committees of the World Trade Organization that are relevant to biosafety.

**BS-VI/7.**  
**PROGRAMME BUDGET FOR THE COSTS OF THE**  
**SECRETARIAT SERVICES AND THE BIOSAFETY WORK**  
**PROGRAMME OF THE CARTAGENA PROTOCOL**  
**ON BIOSAFETY FOR THE BIENNIUM 2013–2014**

*The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety*

1. *Welcomes* the contribution of US\$ 1,126,162 for 2012, to be increased by 2 per cent per year, from the host country Canada and the Province of Quebec to the operation of the Secretariat, of which 16.5 per cent has been allocated per annum to offset contributions from the Parties to the Protocol for the biennium 2013-2014;
2. *Approves* a core programme budget (BG) of US\$ 2,922,100 for the year 2013 and of US\$ 2,963,100 for the year 2014, for the purposes set out in table 1 below;
3. *Approves* the secretariat staffing as set out in table 2 below;
4. *Adopts* the scale of assessments for the apportionment of the costs under the Protocol for 2013 and 2014 set out in table 5 below;
5. *Decides* to maintain the working capital reserve at a level of 5 per cent of the core programme budget (BG) expenditure, including programme support costs;
6. *Authorizes* the Executive Secretary to enter into commitments up to the level of the approved budget, drawing on available cash resources, including unspent balances, contributions from previous financial periods and miscellaneous income;
7. *Agrees* to share the costs for secretariat services between those that are common to the Convention on Biological Diversity and the Protocol on an 85:15 ratio for the biennium 2013-2014;
8. *Noting* that as a contingency plan and in the event that the Conference of the Parties to the Convention on Biological Diversity decides at its eleventh meeting that its twelfth meeting will take place in early 2015 a provisional budget for 2015 to allow for the funding of the seventh meeting of the Parties to the Cartagena Protocol and the operations of the Secretariat in 2015 should be agreed upon by the current meeting of the Parties, *adopts* on a provisional basis the alternative tables 6-7 which will replace tables and figures mentioned above should the Conference of the Parties decide to hold its twelfth meeting in 2015 rather than 2014; \*

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\* *Note by the Secretariat.* Following the adoption of this decision, the Conference of the Parties to the Convention, by paragraph 1 of its decision XI/10, decided “to maintain the current periodicity of its meetings until 2020, and that its future meetings will take place in 2014, 2016, 2018 and 2020”.



9. *Invites* all Parties to the Protocol to note that contributions to the core programme budget (BG) are due on 1 January of the year in which these contributions have been budgeted for, and to pay them promptly, and urges Parties in a position to do so, to pay by 1 December of the year 2012 for the calendar year 2013 and by 1 October 2013 for the calendar year 2014, the contributions set out in table 5 and in this regard requests that Parties be notified of the amount of their contributions for 2014 by 1 August 2013;

10. *Notes* with concern that a number of Parties have not paid their contributions to the core budget (BG Trust Fund) for 2012 and prior years;

11. *Urges* Parties that have still not paid their contributions to the core budget (BG Trust Fund) for 2012 and prior years; to do so without delay and *requests* the Executive Secretary to publish and regularly update information on the status of contributions to the Protocol's Trust Funds (BG, BH and BI);

12. *Decides* that with regard to contributions due from 1 January 2005 onwards, Parties whose contributions are in arrears for two (2) or more years will not be eligible to become a member of the bureau of the Conference of the Parties serving as the meeting of the Parties to the Protocol; this will only apply in the case of Parties that are not least developed countries or small island developing States;

13. *Authorizes* the Executive Secretary to enter into arrangements with any Party whose contributions are in arrears for two or more years to mutually agree on a 'schedule of payments' for such a Party, to clear all outstanding arrears, within six years depending on the financial circumstances of the Party in arrears and pay future contributions by the due date, and report on the implementation of any such arrangement to the next meeting of the Bureau and to the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety;

14. *Decides* that a Party with an agreed arrangement in accordance with paragraph 13 above and that is fully respecting the provisions of that arrangement will not be subject to the provisions of paragraph 12 above;

15. *Requests* the Executive Secretary and *invites* the President of the COP-MOP through a jointly signed letter to notify Parties whose contributions are in arrears and to invite them to take timely action.

16. *Agrees with* the funding estimates for activities under the Protocol to be financed from:

(a) The Special Voluntary Trust Fund (BH) for Additional Voluntary Contributions in Support of Approved Activities for the biennium 2013-2014, as specified by the

Executive Secretary (see resource requirements in table 3 below);

(b) The Special Voluntary Trust Fund (BI) for Facilitating Participation of the Developing Country Parties, in particular the least developed countries and small island developing States, and Parties with Economies in Transition, for the biennium 2013-2014, as specified by the Executive Secretary (see resource requirements in table 4 below);

and *urges* Parties to make contributions to these funds;

17. *Invites* all States not Parties to the Protocol, as well as governmental, intergovernmental and non-governmental organizations and other sources, to contribute to the trust funds for the Protocol (BH, BI) to enable the Secretariat to implement approved activities in a timely manner especially capacity-building priorities and activities identified by developing countries and small island developing States, and Parties with economies in transition in respect of risk assessment and risk management and the effective operation of the Biosafety Clearing-House;

18. *Notes with concern and regret* that the core programme budget (BG) does not contain adequate finance for all activities identified by the Parties, including the priorities of developing country Parties. This has resulted in finance for technical Expert Groups to be dependent on voluntary funding which could have in particular a deleterious effect on capacity building for developing countries. Therefore agrees that the allocation of funds for the technical Expert Groups from the BH should not become standard practice in future budgets;

19. *Reaffirms* the importance of full and active participation of the developing country parties, in particular the least developed countries and small island developing States, as well as Parties with economies in transition in the activities of the Protocol and *requests* the Secretariat to remind Parties of the need to contribute to the Special Voluntary Trust Fund (BI) at least six months prior to the ordinary meetings of the Conference of the Parties, and *urges* Parties in the position to do so to ensure that the contributions are paid at least three months before the meeting;

20. *Noting* the low level of contributions to the BI Trust Fund, which facilitates participation in the meeting of the Conference of the Parties to the Convention serving as the meeting of the Parties to the Cartagena Protocol, and with a view to increasing finance for such participation, *requests* the Conference of the Parties to explore the possibility of merging the BI special voluntary Trust Fund with the BZ Voluntary Trust Fund, which facilitates participation of Parties in the Convention process, taking into account advice to be provided by the Executive Secretary and the Executive Director of the United Nations Environment Programme, and in the event of such a merger, *further*

*requests* the Executive Secretary to ensure transparency when reporting expenditure for the Protocol and the Convention under the merged Trust Fund;

21. *Decides* that the trust funds for the Protocol (BG, BH, BI) shall be extended for a period of two years, beginning 1 January 2014 and ending 31 December 2015; and *requests* the Executive Director of UNEP to seek the approval of the Governing Council of UNEP for their extensions;

22. *Requests* the Executive Secretary to prepare and submit a programme budget for secretariat services, and the biosafety work programme of the Protocol and the Supplementary Protocol, including terms of reference for any proposals for new staff, and *agrees* to upgrade a post for the implementation of the Supplementary Protocol for the biennium 2015-2016 to the seventh meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol; and to provide three alternatives for the budget based on:

(a) The Executive Secretary's assessment of the required rate of growth for the programme budget;

(b) Increasing the core programme budget (BG Trust Fund) from the 2013-2014 level by 7.5 per cent in nominal terms;

(c) Maintaining the core programme budget (BG Trust Fund) at the 2013-2014 level in nominal terms;

23. *Welcomes* the action taken by the Executive Secretary in response to paragraph 25 of decision BS-V/7 on providing all relevant financial information to the MOP, and further *requests* that the related COP papers are also posted on the MOP document website;

24. *Requests* the Executive Secretary to seek further operational efficiencies in the biennium 2013-2014 and in the organization of the Convention of the Parties serving as the meeting of Parties to the Cartagena Protocol given that it is held in conjunction with the meeting of the Conference of the Parties to the Convention and to report thereon at the seventh meeting of the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol.

**Table 1. Biosafety Protocol resource requirements from the core budget  
(BG Trust Fund) for the biennium 2013–2014**

<b>Expenditures</b>	<b>2013 (US\$ thousands)</b>	<b>2014 (US\$ thousands)</b>	<b>TOTAL (US\$ thousands)</b>
A. Staff costs*	1,875.2	1,916.7	3,791.9
B. Biosafety Bureau meetings	20.0	25.0	45.0
C. COP/MOP	200.0	250.0	450.0
D. Consultants/subcontracts	20.0	20.0	40.0
E. Travel on official business	50.0	50.0	100.0
F. Liaison Group meetings on Capacity-Building	30.0	30.0	60.0
G. Biosafety Clearing House advisory meetings	55.0	–	55.0
H. Compliance committee meeting	45.0	45.0	90.0
I. AHTEG- Risk Assessment	–	–	–
J. General operating expenses	252.4	255.6	508.0
K. Temporary assistance/Overtime	5.0	5.0	10.0
L. Translation of BCH website	25.0	25.0	50.0
M. AHTEG on Socio-economic considerations	–	–	–
<b>Sub-total (I)</b>	<b>2,577.6</b>	<b>2,622.3</b>	<b>5,199.9</b>
<b>II Programme support charge 13%</b>	<b>335.1</b>	<b>340.9</b>	<b>676.0</b>
<b>III Working capital reserve</b>	<b>9.4</b>		<b>9.4</b>
<b>GRAND TOTAL (I + II + III)</b>	<b>2,922.1</b>	<b>2,963.1</b>	<b>5,885.2</b>
<b>Less contribution from host country</b>	<b>189.5</b>	<b>193.3</b>	<b>382.9</b>
<b>TOTAL</b>	<b>2,732.6</b>	<b>2,769.8</b>	<b>5,502.4</b>
<b>Less savings from previous years</b>	<b>200.0</b>	<b>200.0</b>	<b>400.0</b>
<b>NET TOTAL (amount to be shared by Parties)</b>	<b>2,532.6</b>	<b>2,569.8</b>	<b>5,102.4</b>

\* Includes 15% costs for 1P-5, 1 P-4; 3 P-3 and 2 G-S staff funded mainly by the Convention.

\* Includes 50% costs for 1 P-4 staff funded by the Convention.

**Table 2. Biosafety Protocol staffing requirements from the core budget  
(BG Trust Fund) for the biennium 2013-2014**

	2013	2014
<b>I Professional category</b>		
D-1	1	1
P-4*	2.5	2.5
P-3	3	3
P-2	1	1
<b>Total professional category</b>	<b>7.5</b>	<b>7.5</b>
<b>II Total General Service category</b>	<b>5</b>	<b>5</b>
<b>TOTAL (A + B)</b>	<b>12.5</b>	<b>12.5</b>

\* Includes 50% costs for 1 P-4 staff funded by the Convention

**Table 3. Resource requirements from the Special Voluntary Trust Fund (BH) for Additional Voluntary Contributions in Support of Approved Activities of the Cartagena Protocol for the biennium 2013-2014**  
(Thousands of United States dollars)

I. Description*	2013-2014
<i>Meetings/Workshops</i>	
<b>Agenda item 5:</b> Biosafety Clearing-House	55,000
<b>Agenda item 13:</b> Article 17 (Unintentional) – Regional workshop	120,000
<b>Agenda item 14:</b> Risk assessment and risk management expert meeting	50,000
<b>Agenda item 16:</b> Socio-economic considerations expert meeting	50,000
<b>Agenda item 9:</b> Coordination meetings	60,000
Ongoing Strategic Plan activities	160,000
<i>Consultants</i>	
<b>Agenda item 5:</b> Activities of the Biosafety Clearing-House	10,000
<b>Agenda item 9:</b> Roster of biosafety experts	200,000
<b>Agenda item 18:</b> Methodological approach to assessment and review	20,000
<i>Travel of Staff</i>	
<b>Agenda item 7:</b> Cooperation with other organizations, conventions and initiatives	30,000
<b>Agenda item 16:</b> Socio-economic considerations	10,000
<i>Publications/Printing costs</i>	
<b>Agenda item 13:</b> Article 17 (unintentional)	60,000
On-going Strategic Plan activities	300,000
<i>Equipment</i>	
<b>Agenda item 5:</b> Biosafety Clearing-House	10,000
<i>Activities</i>	
<b>Agenda item 5:</b> Translation of the Biosafety Clearing-House	20,000
<b>Agenda item 14:</b> Risk assessment and risk management (translation)	100,000
<b>Sub-total I</b>	<b>1,255,000</b>
<b>II. Programme support costs (13%)</b>	<b>163,150</b>
<b>TOTAL COSTS (I + II)</b>	<b>1,418,150</b>

\* COP-MOP/6 agenda items

**Table 4. Resource requirements from the Special Voluntary Trust Fund (BI) for Facilitating Participation of Parties in the Protocol for the biennium 2013-2014 (*Thousands of United States dollars*)**

Description	2013	2014
<b>I. Meetings</b>		
Meetings of the Conference of the Parties serving as the meeting of the Parties to the Protocol		600.00
<b>Subtotal I</b>		600.00
<b>II. Programme support charges (13%)</b>		78.00
<b>TOTAL COST (I + II)</b>		<b>678.00</b>

Table 5. Contributions to the Trust Fund for the Cartagena Protocol on Biosafety for the biennium 2013–2014

Party	UN scale of assessments 2012 (per cent)	Scale with 22% ceiling, no LDC paying more than 0.01 % (per cent)	Contributions per 1 Jan. 2013 US\$	UN scale of assessments 2012 (per cent)	Scale with 22% ceiling, no LDC paying more than 0.01 % (per cent)	Contributions as per 1 Jan. 2014 US\$	Total contributions 2013–2014 US\$
Albania	0.010	0.014	357	0.010	0.014	362	719
Algeria	0.128	0.180	4,570	0.128	0.180	4,637	9,208
Angola	0.010	0.010	253	0.010	0.010	257	510
Antigua and Barbuda	0.002	0.003	71	0.002	0.003	72	144
Armenia	0.005	0.007	179	0.005	0.007	181	360
Austria	0.851	1.200	30,385	0.851	1.200	30,832	61,216
Azerbaijan	0.015	0.021	536	0.015	0.021	543	1,079
Bahamas	0.018	0.025	643	0.018	0.025	652	1,295
Bahrain	0.039	0.055	1,392	0.039	0.055	1,413	2,805
Bangladesh	0.010	0.010	253	0.010	0.010	257	510
Barbados	0.008	0.011	286	0.008	0.011	290	575
Belarus	0.042	0.059	1,500	0.042	0.059	1,522	3,021
Belgium	1.075	1.516	38,382	1.075	1.516	38,947	77,330
Belize	0.001	0.001	36	0.001	0.001	36	72
Benin	0.003	0.004	107	0.003	0.004	109	216
Bhutan	0.001	0.001	36	0.001	0.001	36	72
Bolivia	0.007	0.010	250	0.007	0.010	254	504
Bosnia and Herzegovina	0.014	0.020	500	0.014	0.020	507	1,007
Botswana	0.018	0.025	643	0.018	0.025	652	1,295
Brazil	1.611	2.271	57,520	1.611	2.271	58,367	115,887
Bulgaria	0.038	0.054	1,357	0.038	0.054	1,377	2,734
Burkina Faso	0.003	0.004	107	0.003	0.004	109	216
Burundi	0.001	0.001	36	0.001	0.001	36	72
Cambodia	0.003	0.004	107	0.003	0.004	109	216
Cameroon	0.011	0.016	393	0.011	0.016	399	791
Cape Verde	0.001	0.001	36	0.001	0.001	36	72



Party	UN scale of assessments 2012 (per cent)	Scale with 22% ceiling, no LDC paying more than 0.01 % (per cent)	Contributions per 1 Jan. 2013 US\$	UN scale of assessments 2012 (per cent)	Scale with 22% ceiling, no LDC paying more than 0.01 % (per cent)	Contributions as per 1 Jan. 2014 US\$	Total contributions 2013-2014 US\$
Central African Republic	0.001	0.001	36	0.001	0.001	36	72
Chad	0.002	0.003	71	0.002	0.003	72	144
China	3.189	4.496	113,862	3.189	4.496	115,538	229,400
Colombia	0.144	0.203	5,141	0.144	0.203	5,217	10,359
Comoros	0.001	0.001	36	0.001	0.001	36	72
Congo	0.003	0.004	107	0.003	0.004	109	216
Costa Rica	0.034	0.048	1,214	0.034	0.048	1,232	2,446
Croatia	0.097	0.137	3,463	0.097	0.137	3,514	6,978
Cuba	0.071	0.100	2,535	0.071	0.100	2,572	5,107
Cyprus	0.046	0.065	1,642	0.046	0.065	1,667	3,309
Czech Republic	0.349	0.492	12,461	0.349	0.492	12,644	25,105
Democratic People's Republic of Korea	0.007	0.010	250	0.007	0.010	254	504
Democratic Republic of the Congo	0.003	0.004	107	0.003	0.004	109	216
Denmark	0.736	1.038	26,279	0.736	1.038	26,665	52,944
Djibouti	0.001	0.001	36	0.001	0.001	36	72
Dominica	0.001	0.001	36	0.001	0.001	36	72
Dominican Republic	0.042	0.059	1,500	0.042	0.059	1,522	3,021
Ecuador	0.040	0.056	1,428	0.040	0.056	1,449	2,877
Egypt	0.094	0.133	3,356	0.094	0.133	3,406	6,762
El Salvador	0.019	0.027	678	0.019	0.027	688	1,367
Eritrea	0.001	0.001	36	0.001	0.001	36	72
Estonia	0.040	0.056	1,428	0.040	0.056	1,449	2,877
Ethiopia	0.008	0.010	253	0.008	0.010	257	510
European Union	2.500	2.500	63,314	2.500	2.500	64,246	127,560
Fiji	0.004	0.006	143	0.004	0.006	145	288
Finland	0.566	0.798	20,209	0.566	0.798	20,506	40,715
France	6.123	8.632	218,619	6.123	8.632	221,836	440,456
Gabon	0.014	0.020	500	0.014	0.020	507	1,007

Party	UN scale of assessments 2012 (per cent)	Scale with 22% ceiling, no LDC paying more than 0.01 % (per cent)	Contributions per 1 Jan. 2013 US\$	UN scale of assessments 2012 (per cent)	Scale with 22% ceiling, no LDC paying more than 0.01 % (per cent)	Contributions as per 1 Jan. 2014 US\$	Total contributions 2013-2014 US\$
Gambia	0.001	0.001	36	0.001	0.001	36	72
Georgia	0.006	0.008	214	0.006	0.008	217	432
Germany	8.018	11.304	286,280	8.018	11.304	290,492	576,772
Ghana	0.006	0.008	214	0.006	0.008	217	432
Greece	0.691	0.974	24,672	0.691	0.974	25,035	49,707
Grenada	0.001	0.001	36	0.001	0.001	36	72
Guatemala	0.028	0.039	1,000	0.028	0.039	1,014	2,014
Guinea	0.002	0.003	71	0.002	0.003	72	144
Guinea-Bissau	0.001	0.001	36	0.001	0.001	36	72
Guyana	0.001	0.001	36	0.001	0.001	36	72
Honduras	0.008	0.011	286	0.008	0.011	290	575
Hungary	0.291	0.410	10,390	0.291	0.410	10,543	20,933
India	0.534	0.753	19,066	0.534	0.753	19,347	38,413
Indonesia	0.238	0.336	8,498	0.238	0.336	8,623	17,120
Iran (Islamic Republic of)	0.233	0.328	8,319	0.233	0.328	8,442	16,761
Ireland	0.498	0.702	17,781	0.498	0.702	18,043	35,823
Italy	4.999	7.048	178,487	4.999	7.048	181,114	359,601
Jamaica	0.014	0.020	500	0.014	0.020	507	1,007
Japan	12.530	17.665	447,379	12.530	17.665	453,962	901,341
Jordan	0.014	0.020	500	0.014	0.020	507	1,007
Kazakhstan	0.076	0.107	2,714	0.076	0.107	2,753	5,467
Kenya	0.012	0.017	428	0.012	0.017	435	863
Kiribati	0.001	0.001	36	0.001	0.001	36	72
Kyrgyzstan	0.001	0.001	36	0.001	0.001	36	72
Lao People's Democratic Republic	0.001	0.001	36	0.001	0.001	36	72
Latvia	0.038	0.054	1,357	0.038	0.054	1,377	2,734
Lesotho	0.001	0.001	36	0.001	0.001	36	72
Liberia	0.001	0.001	36	0.001	0.001	36	72

Party	UN scale of assessments 2012 (per cent)	Scale with 22% ceiling, no LDC paying more than 0.01 % (per cent)	Contributions per 1 Jan. 2013 US\$	UN scale of assessments 2012 (per cent)	Scale with 22% ceiling, no LDC paying more than 0.01 % (per cent)	Contributions as per 1 Jan. 2014 US\$	Total contributions 2013-2014 US\$
Libya	0.129	0.182	4,606	0.129	0.182	4,674	9,280
Lithuania	0.065	0.092	2,321	0.065	0.092	2,355	4,676
Luxembourg	0.090	0.127	3,213	0.090	0.127	3,261	6,474
Madagascar	0.003	0.004	107	0.003	0.004	109	216
Malawi	0.001	0.001	36	0.001	0.001	36	72
Malaysia	0.253	0.357	9,033	0.253	0.357	9,166	18,199
Maldives	0.001	0.001	36	0.001	0.001	36	72
Mali	0.003	0.004	107	0.003	0.004	109	216
Malta	0.017	0.024	607	0.017	0.024	616	1,223
Marshall Islands	0.001	0.001	36	0.001	0.001	36	72
Mauritania	0.001	0.001	36	0.001	0.001	36	72
Mauritius	0.011	0.016	393	0.011	0.016	399	791
Mexico	2.356	3.322	84,120	2.356	3.322	85,358	169,478
Mongolia	0.002	0.003	71	0.002	0.003	72	144
Montenegro	0.004	0.006	143	0.004	0.006	145	288
Morocco	0.058	0.082	2,071	0.058	0.082	2,101	4,172
Mozambique	0.003	0.004	107	0.003	0.004	109	216
Myanmar	0.006	0.008	214	0.006	0.008	217	432
Namibia	0.008	0.011	286	0.008	0.011	290	575
Nauru	0.001	0.001	36	0.001	0.001	36	72
Netherlands	1.855	2.615	66,232	1.855	2.615	67,207	133,439
New Zealand	0.273	0.385	9,747	0.273	0.385	9,891	19,638
Nicaragua	0.003	0.004	107	0.003	0.004	109	216
Niger	0.002	0.003	71	0.002	0.003	72	144
Nigeria	0.078	0.110	2,785	0.078	0.110	2,826	5,611
Niue	0.001	0.001	36	0.001	0.001	36	72
Norway	0.871	1.228	31,099	0.871	1.228	31,556	62,655
Oman	0.086	0.121	3,071	0.086	0.121	3,116	6,186

Party	UN scale of assessments 2012 (per cent)	Scale with 22% ceiling, no LDC paying more than 0.01 % (per cent)	Contributions per 1 Jan. 2013 US\$	UN scale of assessments 2012 (per cent)	Scale with 22% ceiling, no LDC paying more than 0.01 % (per cent)	Contributions as per 1 Jan. 2014 US\$	Total contributions 2013-2014 US\$
Pakistan	0.082	0.116	2,928	0.082	0.116	2,971	5,899
Palau	0.001	0.001	36	0.001	0.001	36	72
Panama	0.022	0.031	786	0.022	0.031	797	1,583
Papua New Guinea	0.002	0.003	71	0.002	0.003	72	144
Paraguay	0.007	0.010	250	0.007	0.010	254	504
Peru	0.090	0.127	3,213	0.090	0.127	3,261	6,474
Philippines	0.090	0.127	3,213	0.090	0.127	3,261	6,474
Poland	0.828	1.167	29,563	0.828	1.167	29,998	59,562
Portugal	0.511	0.720	18,245	0.511	0.720	18,514	36,759
Qatar	0.135	0.190	4,820	0.135	0.190	4,891	9,711
Republic of Korea	2.260	3.186	80,692	2.260	3.186	81,880	162,572
Republic of Moldova	0.002	0.003	71	0.002	0.003	72	144
Romania	0.177	0.250	6,320	0.177	0.250	6,413	12,732
Rwanda	0.001	0.001	36	0.001	0.001	36	72
Saint Kitts and Nevis	0.001	0.001	36	0.001	0.001	36	72
Saint Lucia	0.001	0.001	36	0.001	0.001	36	72
Saint Vincent and the Grenadines	0.001	0.001	36	0.001	0.001	36	72
Samoa	0.001	0.001	36	0.001	0.001	36	72
Saudi Arabia	0.830	1.170	29,635	0.830	1.170	30,071	59,706
Senegal	0.006	0.008	214	0.006	0.008	217	432
Serbia	0.037	0.052	1,321	0.037	0.052	1,341	2,662
Seychelles	0.002	0.003	71	0.002	0.003	72	144
Slovakia	0.142	0.200	5,070	0.142	0.200	5,145	10,215
Slovenia	0.103	0.145	3,678	0.103	0.145	3,732	7,409
Solomon Islands	0.001	0.001	36	0.001	0.001	36	72
Somalia	0.001	0.001	36	0.001	0.001	36	72
South Africa	0.385	0.543	13,746	0.385	0.543	13,949	27,695
Spain	3.177	4.479	113,434	3.177	4.479	115,103	228,536

Party	UN scale of assessments 2012 (per cent)	Scale with 22% ceiling, no LDC paying more than 0.01 % (per cent)	Contributions per 1 Jan. 2013 US\$	UN scale of assessments 2012 (per cent)	Scale with 22% ceiling, no LDC paying more than 0.01 % (per cent)	Contributions as per 1 Jan. 2014 US\$	Total contributions 2013-2014 US\$
Sri Lanka	0.019	0.027	678	0.019	0.027	688	1,367
Sudan	0.010	0.010	253	0.010	0.010	257	510
Suriname	0.003	0.004	107	0.003	0.004	109	216
Swaziland	0.003	0.004	107	0.003	0.004	109	216
Sweden	1.064	1.500	37,990	1.064	1.500	38,549	76,538
Switzerland	1.130	1.593	40,346	1.130	1.593	40,940	81,286
Syrian Arab Republic	0.025	0.035	893	0.025	0.035	906	1,798
Tajikistan	0.002	0.003	71	0.002	0.003	72	144
Thailand	0.209	0.295	7,462	0.209	0.295	7,572	15,034
The former Yugoslav Rep. of Macedonia	0.007	0.010	250	0.007	0.010	254	504
Togo	0.001	0.001	36	0.001	0.001	36	72
Tonga	0.001	0.001	36	0.001	0.001	36	72
Trinidad and Tobago	0.044	0.062	1,571	0.044	0.062	1,594	3,165
Tunisia	0.030	0.042	1,071	0.030	0.042	1,087	2,158
Turkey	0.617	0.870	22,030	0.617	0.870	22,354	44,384
Turkmenistan	0.026	0.037	928	0.026	0.037	942	1,870
Uganda	0.006	0.008	214	0.006	0.008	217	432
Ukraine	0.087	0.123	3,106	0.087	0.123	3,152	6,258
United Kingdom	6.604	9.310	235,793	6.604	9.310	239,263	475,056
United Republic of Tanzania	0.008	0.010	253	0.008	0.010	257	510
Uruguay	0.027	0.038	964	0.027	0.038	978	1,942
Venezuela	0.314	0.443	11,211	0.314	0.443	11,376	22,587
Viet Nam	0.033	0.047	1,178	0.033	0.047	1,196	2,374
Yemen	0.010	0.010	253	0.010	0.010	257	510
Zambia	0.004	0.006	143	0.004	0.006	145	288
Zimbabwe	0.003	0.004	107	0.003	0.004	109	216
<b>TOTAL</b>	<b>71.671</b>	<b>100.000</b>	<b>2,532,558</b>	<b>71.671</b>	<b>100.000</b>	<b>2,569,825</b>	<b>5,102,383</b>

**Table 6. Biosafety Protocol – Contingency resource requirements from the core budget (BG Trust Fund) for the period 2013-2015**

Expenditures	2013 (US\$ thousands)	2014 (US\$ thousands)	2015 (US\$ thousands)	TOTAL (US\$ thousands)
A. Staff costs*	1,875.2	1,916.7	1,959.3	5,751.2
B. Biosafety Bureau meetings	20.0	20.0	25.0	65.0
C. COP/MOP	100.0	200.0	150.0	450.0
D. Consultants/subcontracts	20.0	20.0	20.0	60.0
E. Travel on official business	50.0	50.0	50.0	150.0
F. Liaison Group meetings on Capacity-Building	30.0	30.0	30.0	90.0
G. Biosafety Clearing House advisory meetings	55.0	–	55.0	110.0
H. Compliance committee meeting	45.0	45.0	45.0	135.0
I. AHTEG- Risk Assessment	–	–	–	–
J. General operating expenses	252.4	255.6	255.6	763.7
K. Temporary assistance/Overtime	5.0	5.0	5.0	15.0
L. Translation of BCH website	25.0	25.0	25.0	75.0
M. AHTEG on Socio-economic considerations	–	–	–	–
<b>Sub-total (I)</b>	<b>2,477.7</b>	<b>2,567.3</b>	<b>2,620.0</b>	<b>7,665.0</b>
<b>II. Programme support charge 13%</b>	<b>322.1</b>	<b>333.8</b>	<b>340.6</b>	<b>996.4</b>
<b>III. Working capital reserve</b>	<b>148.7</b>			<b>148.7</b>
<b>GRAND TOTAL (I + II + III)</b>	<b>2,948.4</b>	<b>2,901.1</b>	<b>2,960.6</b>	<b>8,810.1</b>
<i>Less contribution from host country</i>	189.5	193.3	197.2	580.0
<b>TOTAL</b>	<b>2,758.9</b>	<b>2,707.7</b>	<b>2,763.4</b>	<b>8,230.0</b>
<i>Less savings from previous years</i>	200.0	200.0		400.0
<b>NET TOTAL (amount to be shared by Parties)</b>	<b>2,558.9</b>	<b>2,507.7</b>	<b>2,763.4</b>	<b>7,830.0</b>

\* Includes 15% costs for 1P-5, 1 P-4; 3 P-3 and 2 G-S staff funded mainly by the Convention.

\* Includes 50% costs for 1 P-4 staff funded by the Convention.

\*\* Assessed contributions to be based on the applicable UN scale of assessments for 2015.

**Table 7. Biosafety Protocol – Contingency staffing requirements from the core budget (BG Trust Fund) for the period 2013-2015**

	2013	2014	2015
<b>A Professional category</b>			
D-1	1	1	1
P-4	2.5	2.5	2.5
P-3	3	3	3
P-2	1	1	1
<b>Total professional category</b>	<b>7.5</b>	<b>7.5</b>	<b>7.5</b>
<b>B Total General Service category</b>	<b>5</b>	<b>5</b>	<b>5</b>
<b>TOTAL (A + B)</b>	<b>12.5</b>	<b>12.5</b>	<b>12.5</b>

## **BS-VI/8. HANDLING, TRANSPORT, PACKAGING AND IDENTIFICATION OF LIVING MODIFIED ORGANISMS (ARTICLE 18)**

*The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety,*

*Recalling* its decisions BS-I/6, BS-III/8, BS-IV/8 and BS-V/9,

*Noting* the ongoing cooperation between the Secretariat of the Convention on Biological Diversity and international organizations whose work is relevant to the handling, transport, packaging and identification of living modified organisms further to decision BS-II/6,

1. *Urges* Parties to expedite the implementation of their biosafety regulatory frameworks and make available to the Biosafety Clearing-House any laws, regulations and guidelines for the implementation of the Protocol and any changes to their regulatory requirements related to the identification and documentation of living modified organisms destined for contained use or living modified organisms for intentional introduction into the environment;

2. *Requests* Parties and *encourages* other Governments to continue to implement the requirements of paragraphs 2(b) and 2(c) of Article 18 of the Protocol and related decisions through the use of a commercial invoice or other documents required or utilized by existing documentation systems, or documentation required by domestic regulatory and/or administrative frameworks;

3. *Requests* the Executive Secretary to include a specific question in the report form for the third national reports inquiring whether Parties require identification information to be provided in existing types of documentation or in a stand-alone document or both;

4. *Invites* Parties, other Governments, and relevant international organizations to cooperate with and support developing country Parties and Parties with economies in transition to build capacity to implement the detection and identification requirements of paragraphs 2(b) and 2(c) of Article 18 of the Protocol and related decisions, including by facilitating the transfer of technology;

5. *Encourages* the Organisation for Economic Co-operation and Development to renew efforts to develop unique identification systems for living modified micro-organisms and animals, further to paragraph 3 of section C of decision BS-I/6;



6. *Encourages* Parties and *invites* other Governments to support, in meetings of the Committee on Sanitary and Phytosanitary Measures of the World Trade Organization, the request of the Secretariat of the Convention on Biological Diversity for observer status in the Committee;

7. *Requests* the Executive Secretary to:

(a) Continue collaborating with the Food and Agriculture Organization of the United Nations on the International Portal on Food Safety, Animal and Plant Health;

(b) Further examine the potential gaps and inconsistencies identified in the study commissioned under paragraph 1 (d) of decision BS-V/9 (UNEP/CBD/BS/COP-MOP/6/INF/24) and provide recommendations, as appropriate, to the seventh meeting of the Parties to the Protocol.

## **BS-VI/9. SUBSIDIARY BODIES (ARTICLE 30)**

*The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety,*

*Recalling* its decision BS-IV/13,

*Taking note* of the experience gained and lessons learned in handling scientific and technical issues through the establishment of ad hoc technical expert groups and online discussion forums such as the Ad Hoc Technical Expert Group on Risk Assessment and Risk Management and the Ad Hoc Technical Expert Group on the Second Assessment and Review of the Protocol,

*Decides:*

(a) That, at this stage, there is no need to establish an open-ended subsidiary body for scientific and technical advice under the Protocol;

(b) To continue establishing, as needed and subject to the availability of funds, ad hoc technical expert groups with specific mandates to provide advice on one or more scientific and technical issues;

(c) To take into account the experience gained and lessons learned from previous ad hoc technical expert groups in establishing similar expert groups in the future, including the convening, as appropriate, open-ended online expert forums prior to any face-to-face meetings of future ad hoc technical expert groups;

(d) To consider the need to establish an open-ended subsidiary body for scientific and technical advice under the Protocol at its eighth meeting in conjunction with the third assessment and review of the effectiveness of the Protocol and the mid-term evaluation of the Strategic Plan for the Cartagena Protocol on Biosafety for the period 2011-2020.

## **BS-VI/10. NOTIFICATION REQUIREMENTS (ARTICLE 8)**

*The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety,*

*Recalling* its recommendation to Parties, contained in paragraph 2 of decision BS-II/8, to consider the elements referred to therein in implementing Article 8 of the Protocol,

*Recalling also* its decision BS-IV/18 to further review this item at the present meeting of the Parties to the Protocol based on national implementation experiences that may be communicated through the second national reports,

*Recognizing* that, based on the analysis of information in the second national reports, a number of Parties still need to take appropriate legal and administrative measures with a view to implementing the notification requirements specified in Article 8 of the Protocol,

*Recalling* paragraph 3 of decision BS-V/2 regarding the LMO quick-link tool available in the Biosafety Clearing-House, which is intended to facilitate easy access to information on specific living modified organisms,

1. *Requests* Parties to address any gaps that may exist in their domestic implementation of the notification requirements under Article 8 of the Protocol, including in the context of their general obligation to take the necessary and appropriate legal, administrative and other measures to implement their obligations under the Protocol, in accordance with paragraph 1 of Article 2 of the Protocol;
2. *Decides* that possible further review of this item should only take place if there is a documented need, indicated by Parties through national reports or other submissions, including to the Biosafety Clearing-House, that demonstrate challenges in implementing obligations under Article 8, taking also into account experiences of acknowledging receipt of notification in the context of Article 9;
3. *Invites* Parties, other Governments and relevant organizations to consider using the LMO quick-link tool by their relevant national authorities where reference is made to a living modified organism;
4. *Encourages* Parties, other Governments and relevant organizations to share, through the Biosafety Clearing-House, experiences and best practices on the implementation of notification requirements under Article 8 of the Protocol.

## **BS-VI/11. NAGOYA – KUALA LUMPUR SUPPLEMENTARY PROTOCOL ON LIABILITY AND REDRESS**

*The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety,*

*Recalling* its decision BS-V/11, which, among other things, called upon Parties to the Cartagena Protocol on Biosafety to sign the Nagoya – Kuala Lumpur Supplementary Protocol on Liability and Redress and subsequently deposit instruments of ratification, acceptance, approval or accession,

*Welcoming* the 51 Parties to the Protocol that had signed the Supplementary Protocol by the closing date of 6 March 2012 and the three Parties that have deposited their instruments of ratification to date,

*Noting with appreciation* the generous financial contribution made by the Government of Japan, which has enabled the Secretariat to undertake the work it has accomplished in the past two years to introduce and promote the Supplementary Protocol with a view to expediting its early entry into force and its implementation,

1. *Calls upon* Parties to the Protocol that have not yet done so to initiate and expedite their internal processes leading to ratification, approval or acceptance of or accession to the Supplementary Protocol;
2. *Calls upon* States that are Parties to the Convention but that are not Parties to the Protocol to ratify, accept, approve or accede to the Protocol, as appropriate, without further delay, so that they can also become Parties to the Supplementary Protocol;
3. *Notes* the outcome of the interregional workshop on capacity needs for the implementation of the Supplementary Protocol and *invites* Parties to identify their capacity-building needs and establish national priorities in order to be able to effectively implement and apply the provisions of the Supplementary Protocol;
4. *Invites* Parties and relevant organizations to make financial resources available with a view to supporting awareness-raising, experience-sharing and capacity-building activities in order to expedite the early entry into force and implementation of the Supplementary Protocol;
5. *Requests* the Executive Secretary to continue encouraging organizations such as the United Nations Environment Programme and the International Union for Conservation of Nature to work towards the development of an explanatory guide on the Supplementary Protocol.

## **BS-VI/12. RISK ASSESSMENT AND RISK MANAGEMENT (ARTICLES 15 AND 16)**

*The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety,*

*Recalling* its decisions BS-IV/11 and BS-V/12 on risk assessment and risk management,

### *I. Further guidance on specific aspects of risk assessment*

1. *Takes note* of the conclusions and recommendations of the open-ended online forum and the Ad Hoc Technical Expert Group (AHTEG) on Risk Assessment and Risk Management and *commends* the progress made on the resulting Guidance on Risk Assessment of Living Modified Organisms, clearly understanding that:

(a) The Guidance is not prescriptive and does not impose any obligations on Parties;

(b) The Guidance will be tested nationally and regionally for further improvement in actual cases of risk assessment and in the context of the Cartagena Protocol on Biosafety;

2. *Encourages* Parties, other Governments and relevant organizations, as appropriate, to translate the Guidance into national languages and to make such translated versions available through the Biosafety Clearing-House for wide dissemination, in order to facilitate the testing of the Guidance at national, regional and subregional levels;

3. *Also encourages* Parties, other Governments and relevant organizations, through their risk assessors and other experts who are actively involved in risk assessment, to test the Guidance in actual cases of risk assessment and share their experiences through the Biosafety Clearing-House and the open-ended online forum;

4. *Invites* Parties, other Governments and relevant organizations to provide financial and technical assistance to developing country Parties and Parties with economies in transition to undertake, as appropriate, the testing activities referred to in paragraph 3 above;

5. *Requests* the Executive Secretary to:

(a) Develop appropriate tools to structure and focus the testing of the Guidance;

(b) Gather and analyse, in a transparent manner, feedback provided as a result of testing on the practicality, usefulness and utility of the Guidance, (i) with respect to consistency with the Cartagena Protocol on Biosafety; and (ii) taking into account past and present experiences with living modified organisms; and

(c) Provide a report on possible improvements to the Guidance for consideration by the Conference of the Parties serving as the meeting of the Parties to the Protocol at its seventh meeting;

6. *Establishes* the following mechanism for regularly updating the list of background documents to the Guidance in a transparent manner:

(a) On an annual basis, the Executive Secretary will invite Parties, non-Parties, relevant organizations and all Biosafety Clearing-House users, to propose relevant background materials that can be linked to specific sections of the Guidance;

(b) In the absence of any AHTEG on risk assessment and risk management, a regionally balanced group of fifteen experts in risk assessment (three experts per region) will be nominated by the Parties and selected by the Bureau of the Conference of the Parties serving as the meeting of the Parties to the Protocol to work online to examine the relevance of the proposed background documents. The members of the Group will work on an ongoing basis, renewable every four years;

(c) The Group will nominate a chair from among its members to lead deliberations transparently in approving, updating, rearranging or rejecting the proposed background materials in a justified manner;

(d) Documents on the list will be re-validated by the Group every five years or as appropriate. Documents not re-validated after this time period will, initially, be flagged for one year as “possibly outdated” and will subsequently be deleted from the list of background materials after an additional year;

(e) The Group will submit a report of its activities to each meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol;

7. *Decides* to extend the open-ended online forum, bring to a close the current AHTEG and establish a new AHTEG, that will serve until the seventh meeting of the Parties, in accordance with the terms of reference annexed hereto;

8. *Requests* the Executive Secretary to:

(a) With a view to achieving a balance of current and new members, select experts

for the new AHTEG, in consultation with the Bureau of the Conference of the Parties serving as the meeting of the Parties to the Protocol, in accordance with paragraph 18 of the consolidated *modus operandi* of the Subsidiary Body on Scientific, Technical and Technological Advice of the Convention on Biological Diversity (decision VIII/10, annex III);

(b) Invite other Governments and relevant international organizations to participate in the open-ended online forum;

(c) Ensure that the participation of experts nominated by other Governments and relevant organizations to the open-ended online forum and AHTEG is in accordance with rules 6 and 7 of the rules of procedure for meetings of the Conference of the Parties serving as the meeting of the Parties to the Protocol;

(d) Ensure that all online discussions of the open-ended online forum are moderated to enhance their efficiency; and

(e) Undertake temporary measures for updating the list of background documents in the time it takes to establish the membership of the new AHTEG;

## II. *Capacity-building in risk assessment and risk management*

*Acknowledging* the revised training manual on risk assessment of living modified organisms and the concept of an e-training tool based on the revised training manual,

*Welcoming* the reports of the subregional workshops on capacity-building and exchange of experiences on risk assessment held in the Caribbean, Latin American and African (Anglophone countries) subregions and *taking note* of the recommendations from the workshops,

*Taking note* of the recommendations of the open-ended online forum and the Ad Hoc Technical Expert Group (AHTEG) on Risk Assessment and Risk Management regarding capacity-building in risk assessment and risk management,

9. *Requests* the Executive Secretary, subject to the availability of funds, to:

(a) Convene, at the earliest convenient date, the remaining training courses on risk assessment for the African (Francophone countries) and the Central and Eastern Europe subregions to enable the countries concerned to gain hands-on experience in the preparation and evaluation of risk assessment reports in accordance with the relevant articles and annex III of the Protocol;

(b) Cooperate with the open-ended online forum and AHTEG to develop a package that aligns the Guidance on Risk Assessment of Living Modified Organisms (e.g. the Roadmap) with the training manual “Risk Assessment of Living Modified Organisms” in a coherent and complementary manner, with the clear understanding that the Guidance is still being tested;

(c) Follow up on training by gathering additional feedback from Parties on the practicality, usefulness and utility of the Guidance and training manual through online discussions or other means, as appropriate; and

(d) Conduct workshops on risk assessment and risk management at international, regional and/or subregional levels, using the package to carry out training courses for risk assessors, taking into consideration real case studies in risk assessment and how to apply the Guidance in the context of the decision-making process under the procedures of the Protocol;

10. *Invites* Parties, other Governments and international organizations to provide financial and technical assistance to developing country Parties and Parties with economies in transition to implement the above capacity-building activities, as appropriate;

*III. Identification of living modified organisms or specific traits that  
(i) may have or (ii) are not likely to have adverse effects on the  
conservation and sustainable use of biological diversity,  
taking also into account risks to human health*

11. *Invites* Parties and encourages other Governments and relevant organizations to provide the Executive Secretary with scientific information that may assist in the identification of living modified organisms or specific traits that may have or that are not likely to have adverse effects on the conservation and sustainable use of biological diversity, taking also into account risks to human health;

12. *Requests* the Executive Secretary to create sections in the Biosafety Clearing-House where such information could be submitted and easily retrieved;

*IV. Status of implementation of risk assessment  
and risk management provisions*

13. *Requests* the Executive Secretary to conduct an online survey on the status of the implementation of operational objectives 1.3, 1.4 and 2.2 of the Strategic Plan for the Cartagena Protocol on Biosafety for the period 2011–2020, where data is missing and cannot be retrieved through existing sources of information available to the Secretariat, with a view to establishing baselines for, and collecting data on, the indicators concerned.



## *Annex*

### **TERMS OF REFERENCE FOR THE OPEN-ENDED ONLINE FORUM AND AD HOC TECHNICAL EXPERT GROUP ON RISK ASSESSMENT AND RISK MANAGEMENT**

#### *Methodology*

1. The open-ended online forum and the Ad Hoc Technical Expert Group on Risk Assessment and Risk Management shall work primarily online on the following issues in the given order of priority:

(a) Provide input, *inter alia*, to assist the Executive Secretary in his task to structure and focus the process of testing the guidance, and in the analysis of the results gathered from the testing;

(b) Coordinate, in collaboration with the Secretariat, the development of a package that aligns the Guidance on Risk Assessment of Living Modified Organisms (e.g. the Roadmap) with the training manual “Risk Assessment of Living Modified Organisms” in a coherent and complementary manner, for further consideration of the Parties, with the clear understanding that the Guidance is still being tested;

(c) Consider the development of guidance on new topics of risk assessment and risk management, selected on the basis of the Parties’ needs and their experiences and knowledge concerning risk assessment.

2. Subject to the availability of funds, the Ad Hoc Technical Expert Group on Risk Assessment and Risk Management shall meet once face-to-face prior to the seventh meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol.

#### *Expected outcomes*

3. The open-ended online forum and the Ad Hoc Technical Expert Group on Risk Assessment and Risk Management shall work together with a view to developing and achieving the following:

(a) Moderated online discussions relating to the testing of the practicality, usefulness and utility of the Guidance;

(b) A package that aligns the Guidance on Risk Assessment of Living Modified Organisms (e.g. the Roadmap) with the training manual “Risk Assessment of Living Modified Organisms” in a coherent and complementary manner; and

(c) A recommendation on how to proceed with respect to the development of further guidance on specific topics of risk assessment, selected on the basis of the priorities and needs indicated by the Parties with the view of moving toward the operational objectives 1.3. and 1.4 of the Strategic Plan and its outcomes.

### ***Reporting***

4. The open-ended online forum and the Ad Hoc Technical Expert Group on Risk Assessment and Risk Management shall submit their final reports detailing the activities, outcomes and recommendations for consideration by the seventh meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol.

5. The Ad Hoc Technical Expert Group on Risk Assessment and Risk Management shall also operate the mechanism set out in paragraph 6 of decision BS-VI/12 for the regular updating of the background documents to the Guidance and submit a report on its activities related to updating the background documents to the Guidance to the seventh meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol.

## **BS-VI/13. SOCIO-ECONOMIC CONSIDERATIONS**

*The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety,*

*Welcoming* the conclusions and suggestions for next steps from the Workshop on Capacity-building for Research and Information Exchange on Socio-economic Impacts of Living Modified Organisms held from 14 to 16 November 2011 in New Delhi,

*Noting* that, in accordance with paragraph 1 of Article 26 of the Cartagena Protocol on Biosafety, Parties may take into account, consistent with their international obligations, socio-economic considerations arising from the impact of living modified organisms on the conservation and sustainable use of biological diversity, especially with regard to the value of biological diversity to indigenous and local communities, in reaching a decision on import under the Protocol or under their domestic measures to implement the Protocol,

*Recognizing* the need expressed by several Parties for further guidance when choosing to implement paragraph 1 of Article 26 of the Protocol,

*Recalling* operational objective 1.7 of the Strategic Plan for the Cartagena Protocol on Biosafety for the Period 2011–2020 and section IV of decision BS-V/3,

1. *Encourages* Parties, other Governments and relevant organizations to continue to:
  - (a) Conduct research on the socio-economic impact of living modified organisms with a view to filling knowledge gaps and identifying specific socio-economic issues, including those with positive impacts;
  - (b) Share and exchange, through the Biosafety Clearing-House, information on their research, research methods and experiences in taking the socio-economic impact of living modified organisms into account;
  - (c) Engage local institutions of higher education with a view to building domestic capacity in socio-economic analysis of the impact of living modified organisms on the conservation and sustainable use of biological diversity;
2. *Requests* the Executive Secretary, in order to develop a global overview, keeping in mind national and regional specificities and policies along with other commitments, to compile, take stock of and review information on socio-economic considerations arising from the impact of living modified organisms on the conservation and

sustainable use of biological diversity, especially with regard to the value of biological diversity to indigenous and local communities, on the basis of:

(a) Existing institutional frameworks, legislation and policies with provisions on socio-economic considerations;

(b) Capacity-building activities related to biosafety and socio-economic considerations;

(c) Existing expertise and experience;

(d) Other policy initiatives concerning social and economic impact assessments;

3. *Requests* the Executive Secretary to convene online discussion groups and regional online real-time conferences to facilitate and synthesize the exchange of views, information and experiences on socio-economic considerations among Parties, other Governments, relevant organizations and indigenous and local communities in the context of paragraph 1 of Article 26;

4. *Decides* to establish an ad hoc technical expert group, subject to the availability of funds, to:

(a) Draw upon the outcomes of paragraphs 2 and 3 above in order to develop conceptual clarity in the context of paragraph 1 of Article 26;

(b) Carry out its work according to the terms of reference annexed hereto; and

(c) Submit its report for consideration by the seventh meeting of the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety with a view to enabling the meeting to deliberate and decide upon appropriate further steps towards fulfilling operational objective 1.7 of the Strategic Plan for the Cartagena Protocol on Biosafety for the Period 2011-2020 and its outcomes, in a manner that provides flexibility to take into account the situations in different countries;

5. *Encourages* Parties, other Governments and relevant organizations to make funds available to the Executive Secretary to organize a meeting of the ad hoc technical expert group.

*Annex***TERMS OF REFERENCE FOR THE AD HOC  
TECHNICAL EXPERT GROUP ON  
SOCIO-ECONOMIC CONSIDERATIONS**

The Ad Hoc Technical Expert Group on Socio-Economic Considerations shall:

(a) Be composed of eight experts per region, selected on the basis of nominations by Parties. In case of insufficient resources, there should be a minimum of five experts per region while maintaining regional balance. In addition, at least five but no more than ten participants in total representing non-Parties, United Nations organizations and specialized agencies, relevant organizations and indigenous and local communities shall be invited to participate as observers;

(b) Examine the outcomes of the activities requested in paragraphs 2 and 3 of decision BS-VI/13 in order to develop conceptual clarity on socio-economic considerations arising from the impact of living modified organisms on the conservation and sustainable use of biological diversity, especially with regard to the value of biological diversity to indigenous and local communities.

## **BS-VI/14. MONITORING AND REPORTING (ARTICLE 33)**

*The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety,*

*Welcoming* the financial support of the Global Environment Facility for eligible Parties to prepare and submit their national reports and *recognizing* the contribution of that support to the high rate of submission of these reports;

*Noting* that 14 Parties have not yet submitted their second national reports and that five of those Parties have never fulfilled their reporting obligations under Article 33 of the Protocol,

*Recognizing* that there are some discrepancies between the information contained in the second national reports and the information made available by Parties through the Biosafety Clearing-House,

*Taking into account* the recommendations of the Compliance Committee contained in document UNEP/CBD/BS/COP-MOP/6/16,

1. *Welcomes* the high rate of submissions of second national reports by Parties and *takes note* of the analysis of responses prepared by the Executive Secretary;
2. *Reminds* Parties of their obligation to submit national reports, in accordance with Article 33 of the Protocol;
3. *Urges* the 14 Parties that have not yet submitted their national reports to do so at the earliest opportunity by fully completing the report form for the second national report, as contained in the annex to decision BS-V/14;
4. *Also urges* those Parties that have not yet responded fully to all mandatory questions in the second national report to cooperate with the Secretariat in order to complete their second national reports as soon as possible;
5. *Reminds* Parties of paragraph 2 of decision BS-V/14, which requests Parties submitting their national report for the first time to use the reporting format for the second national report, and *decides* that all Parties should complete this form before using any simplified reporting format that may be adopted in the future;
6. *Further reminds* Parties of their obligation to make available to the Biosafety Clearing-House the information required under paragraph 3 of Article 20 of the Protocol;

7. *Encourages* Parties to facilitate the preparation and submission of their national reports by exploring and utilizing, as appropriate: (i) the technical and other resources available in existing bilateral, subregional and regional arrangements; and (ii) the roster of biosafety experts;

8. *Requests* the Executive Secretary to assess, on the basis of the second national reports, the discrepancies and/or gaps in information made available by Parties through the Biosafety Clearing-House, and to assist Parties to submit, through the Biosafety Clearing-House and without further delay, the updated information contained in their reports;

9. *Also requests* the Executive Secretary to update the reporting format, taking into account the experience gained from analysing the second national reports, the recommendations of the Compliance Committee and the feedback received from Parties; and

10. *Further requests* the Executive Secretary to submit the revised format, adjusted in accordance with paragraph 8 of decision BS-V/14, to the seventh meeting of the Parties to the Protocol for its consideration.

## **BS-VI/15. SECOND ASSESSMENT AND REVIEW OF THE EFFECTIVENESS OF THE PROTOCOL (ARTICLE 35)**

*The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety,*

*Recalling* its decision BS-V/15,

*Taking note* of the report of the Ad Hoc Technical Expert Group on the Second Assessment and Review of the Cartagena Protocol on Biosafety contained in document UNEP/BS/COP-MOP/6/17 and the recommendations set out in annex I thereto,

*Stressing* the need to undertake activities to enable the Conference of the Parties serving as the meeting of the Parties to the Protocol to initiate the processes for the third assessment and review of the effectiveness of the Protocol and for the mid-term evaluation of the Strategic Plan for the Cartagena Protocol on Biosafety for the period 2011–2020,

1. *Notes* the information provided in the second national reports and the analysis undertaken on the status of implementation of core elements of the Protocol (UNEP/CBD/BS/COP-MOP/6/17/Add.1);

2. *Decides* that the data and information contained in the analysis shall form the baseline for measuring progress in implementing the Protocol, in particular the subsequent evaluation of the effectiveness of the Protocol and the mid-term evaluation of the implementation of the Strategic Plan;

3. *Requests* the Executive Secretary to:

(a) Undertake a dedicated survey to gather information corresponding to indicators in the Strategic Plan that could not be obtained from the second national reports or through other existing mechanisms;

(b) Review the information gathered through the survey referred to in subparagraph (a) above and make the results available to the Parties before their seventh meeting;

4. *Further requests* the Executive Secretary to:

(a) Commission a consultant, subject to the availability of funds, to develop a sound methodological approach for the third assessment and review of the effectiveness



of the Protocol, focusing primarily on the effectiveness of its institutional processes, annexes, procedures and mechanisms;

(b) Provide Parties with the opportunity to submit views on the methodological approach developed under subparagraph (a) above;

(c) Review the methodological approach referred to in subparagraph 4(a) above, in the light of views received under subparagraph (b) above, and submit a proposal for consideration by the seventh meeting of the Parties to the Protocol;

5. *Decides* that, in the process of preparing for the third assessment and review of the Protocol, the experiences of the Parties in complying with the Protocol, including submission of national reports, shall be taken into account, along with the input of, *inter alia*, the Compliance Committee;

6. *Requests* the Compliance Committee, in the light of the conclusions and recommendations of the Ad Hoc Technical Expert Group on the Second Assessment and Review of the Cartagena Protocol on Biosafety, to evaluate the status of implementation of the Protocol as a contribution to the third evaluation of effectiveness in meeting the objectives of the Protocol, in accordance with Article 35 of the Protocol.

## **BS-VI/16. UNINTENTIONAL TRANSBOUNDARY MOVEMENTS OF LIVING MODIFIED ORGANISMS (ARTICLE 17)**

*The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety,*

*Recalling* Article 17 of the Cartagena Protocol on Biosafety,

*Recalling also* operational objective 1.8 of the Strategic Plan for the Cartagena Protocol on Biosafety for the period 2011-2020, adopted as annex I to decision BS-V/16, and the programme of work for the present meeting adopted in annex II to the same decision,

*Noting* the existence of decisions, rules and guidelines relevant to the issue of unintentional transboundary movements of living modified organisms,

*Also noting* that the Guidance on Risk Assessment of Living Modified Organisms is not prescriptive and does not impose any obligations on Parties,

1. *Encourages* Parties to use, as guidance, or apply, as appropriate, the following in their efforts to implement the measures specified in Article 17 of the Protocol and, in particular, to determine and take appropriate response measures, including emergency measures, in the event of an occurrence that leads or may lead to unintentional transboundary movement of a living modified organism that is likely to cause significant adverse effects on the conservation and sustainable use of biological diversity, taking also into account risks to human health:

(a) Decisions that have been or may be taken in the context of identifying living modified organisms under Article 18 of the Protocol, in particular those relating to the detection of living modified organisms;

(b) The Guidance on Risk Assessment of Living Modified Organisms developed by the Ad Hoc Technical Expert Group on Risk Assessment and Risk Management with input from the Open-Ended Online Expert Forum;

2. *Urges* Parties and *invites* other Governments and relevant organizations which have not yet done so to:

(a) Make available to the Biosafety Clearing-House the relevant details of their point of contact for the purposes of receiving notifications under Article 17 of the Protocol;

(b) Establish and maintain appropriate measures to prevent unintentional transboundary movements of living modified organisms; and

(c) Establish a mechanism for emergency measures in case of unintentional transboundary movements of living modified organisms that are likely to have significant adverse effects on the conservation and sustainable use of biological diversity, taking also into account risks to human health;

3. *Invites* Parties and other Governments to cooperate in building the capacity, transferring the technology and exchanging information necessary to detect and respond to occurrences resulting in a release that could lead to unintentional transboundary movement of a living modified organism that is likely to have significant adverse effects on the conservation and sustainable use of biological diversity, taking also into account risks to human health;

4. *Requests* Parties and *invites* other Governments and relevant organizations to provide views and information to the Executive Secretary, six months prior to the seventh meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol, on any challenges and experiences relating to the implementation of Article 17 of the Protocol and on the scope and elements of possible guidance or tools that may facilitate appropriate responses by Parties to unintentional transboundary movements of living modified organisms;

5. *Requests* the Executive Secretary to prepare a synthesis of the views referred to in paragraph 4 above for consideration by the seventh meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol.