

**CONVENTION ON  
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INTERGOVERNMENTAL COMMITTEE FOR THE  
CARTAGENA PROTOCOL ON BIOSAFETY  
The Hague, 22-26 April 2002  
Item 4.1.4 of the provisional agenda\*

**CAPACITY-BUILDING (ARTICLE 22 AND ARTICLE 28, PARAGRAPH 3)**

*Note by the Executive Secretary*

***Addendum*****OPERATIONALIZATION OF THE ROSTER OF EXPERTS****I. INTRODUCTION**

1. At its first meeting, the Intergovernmental Committee for the Cartagena Protocol on Biosafety (ICCP) requested the Executive Secretary to “develop proposals on draft rules of procedure or guidelines on how the roster of experts will be used by the Parties” and “proposals on how financial resources can be made available to enable developing country Parties and Parties with economies in transition to make full use of the roster of experts, in collaboration with the financial mechanism of the Convention”.
2. In response to this request, the Executive Secretary prepared a note (UNEP/CBD/ICCP/2/10/Add.1) for the second meeting of the ICCP, which contains proposals on draft interim guidelines for the roster of experts and on options for financing the use of the roster of experts.
3. In its recommendation 2/9 B, ICCP recommended that the Conference of the Parties serving as the meeting of the Parties to the Protocol adopt the interim guidelines for the roster of experts, contained in the annex to the recommendation, and requested the Executive Secretary “as administrator of the roster, to implement the functions specified in the interim guidelines for the roster”, and to report on the status of implementation of the roster to the Conference of the Parties to the Convention serving as the meeting of the Parties to the Protocol.
4. In the same recommendation, ICCP recommended that a voluntary fund be established, “administered by the Secretariat, for the specific purpose of supporting developing country Parties, in particular the least developed and small island developing States among them, and Parties with economies in transition, to pay for the use of experts selected from the roster”.

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\* UNEP/CBD/ICCP/3/1.

5. ICCP also requested “the Executive Secretary to develop a pilot phase of the voluntary fund and seek submissions from Governments on the operation of the voluntary fund, and report to the Conference of the Parties serving as the meeting of the Parties to the Protocol, at its first meeting, on the progress made”, and “to seek submissions on financial support for use of the roster of experts, and provide a compilation report to the sixth meeting of the Conference of the Parties”. The Executive Secretary was requested to prepare a report on the status of implementation of the roster of experts for consideration by the Conference of the Parties serving as the meeting of the Parties at its first meeting.

6. The Executive Secretary sent a notification dated 7 November 2001 to all national focal points conveying a summary list of the requests and recommendations addressed to Governments emerging from the second meeting of ICCP. As of January 2002 the Secretariat had received responses regarding the roster of experts from Equatorial Guinea, Romania and Viet Nam. These submissions are compiled in annex I below.

7. The present note includes a report on the status of the roster of experts (section II), a progress report on the development of a pilot phase of the voluntary fund for the roster (section III), and draft recommendations for the consideration of ICCP (section IV).

## **II. REPORT ON THE STATUS OF THE ROSTER OF EXPERTS AND ITS IMPLEMENTATION**

8. In its recommendation 2/9 B, ICCP requested the Executive Secretary, as the administrator of the roster, to establish and review, as necessary, the nomination form for the roster of experts. The Executive Secretary has not made any substantive changes to the nomination form that was endorsed by the ICCP at its second meeting. Some minor adjustments have been made to the labels of some fields in order to clarify exactly what information is requested.

9. At its first and second meetings, the ICCP requested the Executive Secretary to maintain the roster of experts and to make it available on the Biosafety Clearing-House website. The administrator of the roster is mandated to maintain an appropriate electronic database to allow easy access to the roster. In this regard, a database has been established and incorporated in the Biosafety Clearing-House based on the common format of the nomination form endorsed by ICCP at its second meeting. Data from nominations that were made using the previous form have been imported into the new database. Expert information can be updated by the Biosafety Clearing-House/ICCP focal points, or by experts directly through the Biosafety Clearing-House if permission is granted by the Biosafety Clearing-House/ICCP focal point of the nominating country using a password issued by the Executive Secretary. Changes submitted by an expert directly will not appear in the database until validated by the national focal point.

10. ICCP recommendation 2/9 B also requested the Executive Secretary, as administrator of the roster, to advise the Parties on coverage of all areas of expertise available through the roster, and on regional and gender balances on the roster from time to time. As of January 2002, the roster contained 406 experts nominated by a total of 55 countries. The regional breakdown is as follows

<i>Region</i>	<i>No. of experts nominated</i>	<i>No. of countries</i>	<i>Percentage of total number of nominations</i>
Africa	105	10	26%
Asia and the Pacific	92	12	23%
Central and Eastern Europe/Newly Independent States	77	10	19%

Latin America and the Caribbean	45	10	11%
Western Europe and Others	85	13	21%

11. The gender balance is 64 female, 227 male, and 115 not indicated. It is not yet possible to report meaningfully on the sectoral coverage of expertise, as most records have not been updated in line with the fields specified in the new nomination form.

12. Recommendation 2/9 B also requested the Executive Secretary, as administrator of the roster, to assist Parties, on request, in identifying appropriate experts. As of January 2002, the Executive Secretary has not received any requests to assist in the identification of experts.

### III. THE VOLUNTARY FUND FOR THE ROSTER OF EXPERTS

13. In its recommendation 2/9 B, ICCP recommended “the establishment of a voluntary fund, administered by the Secretariat, for the specific purpose of supporting developing country Parties, in particular the least developed and small island developing States among them, and Parties with economies in transition, to pay for the use of experts selected from the roster”. In line with the mandate of the roster of experts, as specified in decision EM-I/3 of the Conference of the Parties to the Convention on Biological Diversity, the Fund would be used to pay agreed professional fees and other direct costs for experts to “provide advice and other support, as appropriate and upon request, to developing country Parties and Parties with economies in transition, to conduct risk assessment, make informed decisions, develop national human resources and promote institutional strengthening, associated with the transboundary movements of living modified organisms”. Also in line with the interim guidelines for the roster, annexed to recommendation 2/9 B, the Fund may be used to pay for experts to perform other functions approved by the Conference of the Parties serving as the meeting of the Parties to the Protocol in the future.

14. The Executive Secretary was requested to develop a pilot phase of the voluntary fund, and report on progress made to the first meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol.

15. The Executive Secretary was also requested to seek submissions on the operation of the voluntary fund and to seek submissions on financial support for use of the roster. None of the submissions by Governments regarding the roster of experts (see annex I below) were related either to operation of the pilot phase of the fund or to financial support of the fund.

16. Interim guidelines for the pilot phase of the voluntary fund for the roster of experts have been developed for the consideration of ICCP at its third meeting and are contained in annex II below.

17. For the Executive Secretary to administer the pilot phase of the fund as recommended by ICCP, there are two general options available. The first option would be to establish a specific component on the roster of experts under the existing Special Voluntary Trust Fund for Additional Voluntary Contributions in Support of Approved Activities (BE Trust Fund) of the Convention on Biological Diversity. The funds specifically contributed for the roster would be earmarked, traced and its used reported on accordingly. The second option would be to establish a separate trust fund through UNEP in accordance with the Secretary General’s bulletin ST/SGB/188 of 1 March 1982.

18. The major advantage of using the existing BE Trust Fund is that the fund would be administratively easier to set up, resulting in both lower start-up costs and an immediate start-up. The major advantage of establishing a new and separate fund would be better profile, which might increase the

ability of the fund to attract contributions, including from Government and private sources. Once established, the costs would not be significantly different for the two options—in both cases, administrative costs within the Secretariat would increase as a result of the need to process and report on contributions and requests.

#### IV. CONCLUSION AND RECOMMENDATIONS

19. The Intergovernmental Committee for the Cartagena Protocol on Biosafety, at its third meeting, may wish to consider a recommendation along the following lines:

##### *Status and implementation of the roster of experts on biosafety*

*Recognizing* that the roster of experts will be most useful if there is sufficient detail to discern the particular areas of knowledge and specialization for each expert,

1. *Urges* Governments to update, or to request their nominated experts to update, the information currently contained in the roster, for each field of the new nomination form;

2. *Further urges* Governments that have not done so to nominate relevant experts to the roster in accordance with the interim guidelines for the roster of experts on biosafety;

##### *Pilot phase of the voluntary fund for the roster of experts on biosafety*

*Reaffirming* the important role to be played by the voluntary fund in supporting developing country Parties, in particular the least developed and small island developing States among them, and Parties with economies in transition, to pay for the use of experts selected from the roster,

*Recalling* its recommendation 2/9 B, in which the Executive Secretary was requested to develop a pilot phase of the voluntary fund,

3. *Requests* the Executive Secretary to establish the pilot phase of the voluntary fund for the roster of experts [as a budget line specific to the pilot phase of the voluntary fund for the roster of experts within the existing BE Trust Fund, in accordance with the Financial Rules of the Convention] [as a new trust fund through the United Nations Environment Programme, in accordance with the Financial Regulations and Rules of the United Nations];

4. *Recommends* that the pilot phase of the voluntary fund operate in accordance with the Interim Guidelines for the Pilot Phase of the Voluntary Fund for the Roster of Experts on Biosafety annexed hereto;

5. *Urges* Governments and other donors to make contributions to the pilot phase of the fund.

*Annex I*

**SUBMISSIONS FROM GOVERNMENTS ON THE ROSTER OF EXPERTS**

**EQUATORIAL GUINEA**

[ORIGINAL: SPANISH]

Upon receiving the completed forms from specialists seeking enrolment in the roster of experts, the nominations of the designated experts will be sent at the first opportunity.

**ROMANIA**

[ORIGINAL: ENGLISH]

Ongoing.

**VIET NAM**

[ORIGINAL: ENGLISH]

Nomination of experts in accordance with the interim guidelines: It will be later in February 2002. At meantime, we are proceeding the selection procedures for roster of experts in biosafety field.

*Annex II*

**INTERIM GUIDELINES FOR THE PILOT PHASE OF THE VOLUNTARY FUND FOR THE ROSTER OF EXPERTS ON BIOSAFETY**

***A. Purpose of the pilot phase of the Voluntary Fund***

The pilot phase of the Voluntary Fund for the Roster of Experts is hereby established to support developing country Parties, in particular the least developed and small island developing States among them, and Parties with economies in transition, to pay for the use of experts selected from the roster.

***B. Financing of the pilot phase of the Voluntary Fund***

The pilot phase of the Voluntary Fund shall be financed from voluntary contributions. Annually, the Executive Secretary shall seek contributions to the Voluntary Fund from Governments, governmental, intergovernmental and non-governmental organizations, and other sources with the financial ability to do so, in accordance with the Financial Rules of the Convention and the Financial Regulations and Rules of the United Nations.

***C. General administration of the Voluntary Fund***

1. The pilot phase of the Fund shall be administered by the Executive Secretary in accordance with the interim guidelines for the roster of experts on biosafety annexed to recommendation 2/9 B of the Intergovernmental Committee for the Cartagena Protocol on Biosafety, and in accordance with the Financial Rules of the Convention.
2. The Bureau of the Intergovernmental Committee for the Cartagena Protocol on Biosafety shall advise the Executive Secretary on administrative and operational matters relating to the activities of the pilot phase of the Voluntary Fund.
3. The Secretariat of the Convention on Biological Diversity shall receive voluntary contributions and, upon request, distribute on a case-by-case basis, an agreed amount from the Voluntary Fund to eligible Parties in accordance with the eligibility criteria specified in section D below.
4. All administrative costs of the pilot phase of the Voluntary Fund shall be met by the Voluntary Fund. In accordance with the Financial Regulations and Rules of the United Nations, 13 per cent of the total amount disbursed shall be levied to cover the administrative costs.
5. The Secretariat shall prepare reports on the status, operation and use of the pilot phase of the Voluntary Fund for consideration by the Intergovernmental Committee for the Cartagena Protocol on Biosafety, as well as allocation reports and financial statements in accordance with the Financial Rules of the Convention.
6. Once a year, the Secretariat will report in its Quarterly Report for the fourth quarter the status of the use of the pilot phase of the Voluntary Fund, listing the value, purpose, and timing of approved requests and completed assignments. A summary of use of the Voluntary Fund by region will also be included. This report will be in the same Quarterly Report as the report required on use of the roster itself, specified in section J, paragraph 2, of the interim guidelines for the roster of experts annexed to recommendation 2/9 B of the Intergovernmental Committee for the Cartagena Protocol on Biosafety.

#### *D. Eligibility criteria*

The eligibility criteria are defined as follows:

(a) *Eligible countries:* Funding requests will only be considered from developing country Parties, in particular the least developed and small island developing States among them, and Parties with economies in transition;

(b) *Eligible activities:* Funding requests shall be related to the use of experts from the roster, for purposes defined by decision EM-I/3 and the interim guidelines for the roster of experts on biosafety, annexed to recommendation 2/9 B of the Intergovernmental Committee for the Cartagena Protocol on Biosafety. These purposes include providing advice and support to Parties to conduct risk assessment, make informed decisions, develop national human resources, promote institutional strengthening, associated with transboundary movements of living modified organisms, or perform other functions approved by the Intergovernmental Committee in future, particularly in the field of capacity-building;

(c) *Eligible costs:*

(i) Eligible costs include professional fees, travel expenses, and other costs directly related to the use of experts. The pilot phase of the Voluntary Fund shall not be used to support broader activities or projects that comprise anything other than the use of experts;

[(ii) The general United Nations daily rate for experts shall apply, as appropriate. In cases where the normal daily rate for an expert from a particular country exceeds the United Nations daily rate, higher rates may be approved.]

(e) *Criteria for assessment of funding requests:* The requests made by the eligible Parties shall be assessed on the basis of the following criteria:

(ii) *Regional balance:* Preference shall be given to requests from Parties in regions where the Voluntary Fund has been underutilized;

(iii) *Number of grants per year:* No Party shall receive more than two grants in a calendar year;

(iv) *Satisfactory compliance for previous grants:* Consideration of new funding requests shall be conditional upon satisfactory compliance with outstanding reporting requirements for previous grants to the same Party under the Voluntary Fund;

(v) *Timing of receipt of the request:* Requests will be assessed on a first-come-first-served basis. However, if the number and value of requests is high in relation to the funds available, the Bureau of the Intergovernmental Committee for the Cartagena Protocol on Biosafety may advise the Secretariat to gather all requests over a specified time period so that all can be assessed simultaneously;

(vi) Any other criteria that may be approved by the Intergovernmental Committee.

(f) *Maximum amount per funding request:* Subject to the availability of funds, the maximum amount to be requested from the Fund shall not exceed US\$ [amount to be determined by the IC CP].

***E. Procedures for application, processing of requests, disbursement of funds, and reporting***

The following shall be the steps related to application for funding by Parties, processing of requests, disbursement of funds, and reporting:

(a) Funding requests from eligible Parties shall be endorsed by the competent national authority and submitted by the national focal point to the Executive Secretary. Each funding request shall be prepared using the attached funding request form (appendix A), and shall be submitted to the Secretariat at least [30] [60] [90] days prior to the intended date on which the assignment is to commence;

(b) The Secretariat shall acknowledge receipt of the funding application within [one] [two] weeks of receipt of a completed funding request form;

(c) The funding request shall be evaluated by the Secretariat, in consultation with the Bureau of the Intergovernmental Committee for the Cartagena Protocol, according to the eligibility criteria defined in section D above, and a decision on the request shall be communicated within [30] [60] [90] days of receipt of the application;

(d) If funding is approved, the Secretariat shall prepare a memorandum of understanding, based on the template attached as appendix B, which specifies the purpose and extent of the assignment to be undertaken, the date of completion for the assignment, the reporting requirements and the obligations of the recipient Party regarding the use of the funds. This memorandum of understanding shall be signed by the Secretariat and delivered to the recipient Party for signature within [30] [60] [90] days of receipt of the application;

(e) The recipient Party shall return the signed MOU to the Secretariat within 30 days;

(f) The Secretariat shall disburse [50%] [80%] [100%] of the approved funds, to the bank account nominated by the Party, within [15] [30] days of receiving the signed memorandum of understanding from the recipient Party;

(g) Each recipient Party shall be required to submit to the Executive Secretary a copy of the final report of the expert(s), immediately upon completion of the assignment but not later than three months after completion of the assignment, and to report on the assignment using the reporting form attached as appendix C;

(h) Upon receipt of the final experts report from the recipient Party, the Secretariat shall transfer the outstanding balance;

[(i) The Secretariat shall make all submitted reports on assignments available through the Biosafety Clearing House.]



*Appendix A*

**REQUEST FOR FUNDING FROM THE PILOT PHASE OF THE  
VOLUNTARY FUND FOR THE ROSTER OF EXPERTS ON  
BIOSAFETY**

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Requesting Party:

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Name(s) and organization(s) of expert(s):

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Purpose of assignment:

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Specific activities of the assignment:

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Start date:

End date:

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Expected costs (US dollars) (attach more details if necessary):

<b>Item</b>	<b>Rate and # Units</b>	<b>Total</b>
Professional fees*	___ days @ \$_____/day	
Travel		
Accommodation and subsistence*	___ nights @ \$_____/night	
Other (specify):		
Other (specify):		
<b>TOTAL</b>		

\* Standard UN rates should be used; other rates must be justified and are subject to approval by the Secretariat

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Total value of Request [xx % of the total above]:

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Representative of Competent National Authority

Name:

Organization:

Signature:

Date:

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National Focal Point

Name:

Signature:

Date:

*Appendix B*

**MEMORANDUM OF UNDERSTANDING FOR SUPPORT FROM THE PILOT PHASE OF  
THE VOLUNTARY FUND FOR THE ROSTER OF EXPERTS ON BIOSAFETY**

1. This Memorandum of Understanding is made between

The Secretariat of the Convention on Biological Diversity (the Secretariat), and

Agency: \_\_\_\_\_, of

Country: \_\_\_\_\_ (the Recipient), which is the competent national authority with respect to implementation of the recommendations of the Intergovernmental Committee for the Cartagena Protocol on Biosafety to the Convention on Biological Diversity.

2. This memorandum of understanding addresses the responsibilities of both the Secretariat and the Recipient regarding the use of the pilot phase of the Voluntary Fund for the Roster of Experts on Biosafety to fund the use of the following expert(s) for the following period:

Name(s) and organization(s) of expert(s):

Start date:

End date:

3. The attached request for funding specifies additional details including the purpose of the assignment, the specific activities of the assignment, and the costs and value of the request.

4. The Secretariat agrees to fulfil its obligations with respect to the modalities for application, processing of requests, disbursement of funds, and reporting as specified in the interim guidelines for the pilot phase of the Voluntary Fund for the Roster of Experts on Biosafety.

5. The Recipient agrees to fulfil its obligations with respect to the modalities for application, processing of requests, disbursement of funds, and reporting as specified in the interim guidelines for the pilot phase of the Voluntary Fund for the Roster of Experts on Biosafety.

6. It is the responsibility of the Recipient, in discussion with the expert, to ensure that the expectations and terms of reference of the Party are clear, that these have been understood by the expert, and provided in written form to the expert at the outset of the assignment.

7. Specific conditions agreed to for this memorandum of understanding are the following:

**Signatures**

For the Secretariat

Name:

Signature:

Date:

For the Recipient

Name:

Signature:

Date:

Bank account details for transfer of funds:

Bank name:

Branch ID/Number:

Swift/Sort code:

Complete mailing and street address:

Account holder:

Account number:

Currency:

*Appendix C*

**REPORTING FORM FOR WORK SUPPORTED BY THE PILOT PHASE OF THE  
VOLUNTARY FUND FOR THE ROSTER OF EXPERTS ON BIOSAFETY**

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Party:

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Competent National Authority:

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**A. Specifications of the assignment**

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Name(s) and organization(s) of expert(s):

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Purpose of assignment:

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Specific activities of the assignment:

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Start date:

End date:

**B. Assessment**

Is the final report(s) of the work of the expert(s) attached? Yes No

Was the work finished in the time specified? If no, why not?

Did the work and associated products fulfil the purpose of the assignment? If no, why not?

Please report on the quality and standard of work performed by the expert(s).

**C. Signatures**

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Representative of Competent National Authority

Name:

Organization:

Signature:

Date:

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National Focal Point

Name:

Signature:

Date:

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