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CONFERENCE OF THE PARTIES SERVING AS THE
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STRATEGIC PLAN FOR THE CARTAGENA PROTOCOL ON BIOSAFETY FOR THE PERIOD 2011 TO 2020

Note by the Executive Secretary

I. INTRODUCTION

1. The Cartagena Protocol on Biosafety requires, in Article 35, the Conference of the Parties serving as the meeting of the Parties to the Protocol (COP-MOP) to undertake an evaluation of the effectiveness of the Protocol at least every five years. The first evaluation of the effectiveness of the Protocol (reported in document UNEP/CBD/BS/COP-MOP/4/14) was undertaken at the fourth meeting of the Parties in May 2008. It was recognized that such evaluation needed prior methodological approach and criteria. The Parties, therefore, requested the Executive Secretary to develop a sound methodological approach, criteria and indicators that could be used for conducting an effective second assessment and review.

2. In conjunction with the development of tools and laying the ground work for subsequent evaluation of the effectiveness of the implementation of the Protocol, the Parties to the Protocol also decided to initiate a process towards developing a strategic plan for the Protocol. In this regard, Parties were invited to make submissions on a strategic plan for the Protocol and the Executive Secretary was requested to present a draft strategic plan for the consideration of the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety at its fifth meeting (paragraph 2, decision BS-IV/15).

3. Accordingly, this document presents a draft strategic plan prepared by the Executive Secretary on the basis of submissions, elements derived from the report of the evaluation of the Protocol, the first national reports, decisions of the last four meetings of the Conference of the Parties serving as the meeting of the Parties to the Protocol and comments from consultative processes. An initial draft has undergone extensive changes and improvements following a number of consultations conducted under the guidance of the Bureau of the Conference of the Parties serving as the meeting of the Parties to the

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Protocol, Section II provides background information on the elements of the current strategic plan of the Convention on Biological Diversity (decision VI/26, annex) that relate to the Protocol. Section III highlights the main elements of a Strategic Plan for the Protocol submitted by Parties to the Protocol in accordance with paragraph 2 of decision BS-IV/15 and describes the consultative process that was conducted on the draft strategic plan under the guidance of the Bureau. Section IV of the document proposes elements of a draft decision for consideration by the Conference of the Parties serving as the meeting of the Parties to the Protocol.

4. As the period covered by the medium-term programme of work (decision BS-I/12, annex) is due to end at the fifth meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol, the Secretariat has also prepared a draft programme of work for the period that the draft strategic plan is proposed to cover.

5. The draft Strategic Plan and the proposed programme of work referred to above are contained in annexes I and II below.

II. BACKGROUND

6. A strategic plan of an organization is a process that builds commitment from key stakeholders in a particular direction that guides the future allocation of resources. The process and areas that embody such a strategic plan are normally organization-specific. A strategic plan also guides the development processes or implementation of institutional structures and procedures in achieving stakeholder-derived targets.

7. The Conference of the Parties to the Convention on Biological Diversity adopted, at its sixth meeting, a Strategic Plan for the Convention (decision VI/26, annex). It comprises four goals, each containing several objectives. Some of these objectives specifically relate to the Protocol. The strategic objectives relating to the Protocol were set up as integral parts of the Strategic Plan of the Convention. For example, one of the objectives specified under the first Goal of the Strategic Plan, i.e. "the Convention fulfilling its leadership role in international biodiversity issues", has been the wider implementation of the Protocol. Similarly, Goals two, three and four include objectives that are specific to the Protocol. The following table outlines the objectives in the Strategic Plan of the Convention that specifically relate to the Protocol and provides a preliminary review of progress towards achieving each of the objectives.

Goals	**Objectives specific to the Protocol**	**Progress**
1. The Convention is fulfilling its leadership role in international biodiversity issues	1.4 The Cartagena Protocol on Biosafety is widely implemented	The Protocol entered into force in 2003, less than four years after its adoption At the time of finalizing this document 159 Parties to the Convention have ratified or acceded to the Protocol. Many Parties have initiated legal, administrative and other measures to implement the Protocol.

Goals	Objectives specific to the Protocol	Progress
2. Parties have improved financial, human, scientific, technical, and technological capacity to implement the Convention	2.3 Developing country Parties, in particular the least developed and the small island developing States amongst them, and other Parties with economies in transition, have increased resources and technology transfer available to implement the Cartagena Protocol on Biosafety	At least 120 countries have developed, mainly through a global project supported by the United Nations Environment Programme and the Global Environment Facility (UNEP/GEF), draft national biosafety frameworks and are in the process of operationalizing them
	2.4 All Parties have adequate capacity to implement the Cartagena Protocol on Biosafety	More than 100 capacity-building projects have been implemented by Governments with support from different donor agencies and organizations However, most developing countries have limited capacity in biosafety policy development and implementation in general, and in undertaking risk assessment and in designing and implementing risk management schemes
3. National biodiversity strategies and action plans and the integration of biodiversity concerns into relevant sectors serve as an effective framework for the implementation of the objectives of the Convention	3.2 Every Party to the Cartagena Protocol on Biosafety has a regulatory framework in place and functioning to implement the Protocol	About 43 developing countries still lack any form or elements of a functional biosafety regulatory framework
4. There is a better understanding of the importance of biodiversity and of the Convention, and this has led to broader engagement across society in implementation	4.2 Every Party to the Cartagena Protocol on Biosafety is promoting and facilitating public awareness, education and participation in support of the Protocol	According to the first national reports submitted to the Secretariat, 40 per cent of the Parties reported having promoted and facilitated public awareness, education and participation to a large extent and 56 per cent had done so to a limited extent

8. The mission statement of the current Strategic Plan of the Convention includes a commitment by Parties to a more effective and coherent implementation of the three objectives of the Convention to achieve, by 2010, a significant reduction of the rate of biodiversity loss. As the review of the 2010 biodiversity target has approached, the Conference of the Parties decided, at its ninth meeting held in May 2008, to initiate a process to revise the current Strategic Plan of the Convention and adopt a new one. Accordingly, the Secretariat has prepared, on the basis of submissions from Parties and observers, a draft updated Strategic Plan with input from the third meeting of the Working Group on Review of

Implementation of the Convention. The draft Strategic Plan for the Protocol presented as annex I below has, therefore, been prepared taking into account the updating of the Strategic Plan of the Convention.

9. It is noted that whilst the Convention has substantially developed its processes and institutions to support its objectives and is in its enhanced phase of implementation, the processes and institutions under the Biosafety Protocol are still evolving and are being developed both at the international and national levels.

III. SUBMISSIONS RECEIVED AND COMMENTS OBTAINED THROUGH CONSULTATIVE PROCESSES ON THE DRAFT STRATEGIC PLAN FOR THE PROTOCOL

10. In response to the invitation by the fourth meeting of Conference of the Parties serving as the meeting of the Parties to the Protocol, the Secretariat issued a notification in October 2008 inviting Parties to submit their views on a strategic plan for the Protocol by 31 December 2008. The deadline was subsequently extended to 31 March 2009. The Governments of Japan, Norway and Thailand and the European Union submitted views by the end of the second deadline.

11. The submissions vary in structure and details. However, there is convergence in terms of the elements identified for inclusion in the strategic plan. For example, all submissions identified the following elements: risk assessment and risk management and handling, transport, packaging and identification. Capacity-building is another item highlighted in most of the submissions. Some submissions also suggest that liability and redress, cooperation with other organizations or processes, and information sharing be addressed in the strategic plan.

12. At its meeting on 8 November 2009, the Bureau of the Conference of the Parties serving as the meeting of the Parties to the Protocol requested the Secretariat to initiate consultative processes to enable Parties to review the draft elements of a Strategic Plan of the Cartagena Protocol on Biosafety (2011 to 2020) and to provide their comments, prepared on the basis of the submissions received. The Bureau also agreed to the use of an electronic discussion forum through the Biosafety Clearing-House (BCH) to expedite the consultative process. The Bureau further gave guidance that the draft elements of the strategic plan be submitted to Parties along with the emerging framework for the second assessment and review under article 35 of the Protocol (document UNEP/CBD/BS/COP-MOP/5/15). Accordingly, the Executive Secretary circulated the draft elements of a Strategic Plan that incorporated comments received earlier along with the draft document on assessment and review. Following that, the Governments of Benin, Botswana, Brazil, China, Mexico and Mongolia, submitted comments. Further comments were also received from Japan, Norway and the European Union.

13. As part of the consultative processes, the draft elements of a Strategic Plan for the Protocol were also submitted to the following meetings for comments:

(a) The fifth meeting of the BCH Informal Advisory Committee, Montreal, 19-21 October 2009;

(b) The UNEP/GEF National Project Coordinators meeting, Moldova, 1-4 December 2009;

(c) The sixth Coordination Meeting for Governments and Organizations Implementing or Funding Biosafety Capacity-building Activities, Siem Reap, Cambodia, 1 -3 February 2010;

(d) The seventh Meeting of the Liaison Group on Capacity-building for Biosafety, Siem Reap. Cambodia, 4-5 February 2010; and

(e) The third International Meeting of Academic Institutions and Organizations involved in Biosafety Education and Training, Tsukuba, Japan, 15-17 February 2010.

14. After the consultative process initiated by the Bureau, further comments on the draft elements of a strategic plan were received from Cuba, the Czech Republic, Ecuador, Egypt, Honduras, Niger and the Republic of Korea. The Government of Canada also provided comments. The full texts of all the submissions received at the different stages of the consultations are available in an information document (UNEP/CBD/BS/COP-MOP/5/INF/21).

15. Furthermore, the Bureau of the Conference of the Parties serving as the meeting of the Parties to the Protocol, at its meeting on 20 March 2010, having noted the limited number of comments received during the earlier consultative process, requested the Executive Secretary to convene, at the margins of the fourteenth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA), held in Nairobi in May 2010, a meeting of biosafety experts drawn from participants attending SBSTTA. The meeting was convened on 19 May 2010 and it was intended to provide another opportunity for gathering further inputs to the draft Strategic Plan. The meeting followed the *modus operandi* of the "liaison group on capacity building" as provided in item C.1, annex 1V of decision BS-1/5.

16. The Bureau further directed that the output of the biosafety expert meeting be further submitted to an informal open-ended consultation with interested Parties and observers, also at the margins of the SBSTTA meeting to broaden the discussions. The informal open-ended consultation took place in Nairobi on 20 May 2010.

17. The objective of all these consultation processes was to contribute to facilitating consensus on the strategic plan at the fifth meeting of the Parties to the Protocol.

18. The draft elements of the Strategic Plan of the Protocol with a draft multi-year programme of work for the Protocol, as annexed in this document is submitted to the fifth meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol for its consideration and possible adoption. It is also noted that the present exercise represents also an overall review of the medium-term programme of work of the Protocol which is due to end by the fifth meeting of the Parties, and the consideration of a multi-year programme of work, as envisaged in the last item of the annex to decision BS-I/12.

IV. ELEMENTS OF A DRAFT DECISION

19. The Conference of the Parties serving as the meeting of the Parties to the Protocol may wish to consider the following elements in adopting a decision regarding this item:

(a) Take note of the submissions of Parties and other Governments; and the consultative processes conducted with a view to contribute to the development of a Strategic Plan;

(b) Adopt the Strategic Plan of the Cartagena Protocol on Biosafety (2011 – 2020) and its multi-year programme of work for the development of processes and implementation of institutional structures and procedures in achieving stakeholder-derived targets;

(c) Urge Parties, other Governments, and relevant international organizations to review and align, as appropriate, their national action plans relevant to the implementation of the Protocol, with the Strategic Plan;

(d) Urge Parties, other Governments, and relevant international organizations to allocate adequate human and financial resources necessary to expedite the implementation of the Strategic Plan;

(e) Urge Parties to submit their second national report on the implementation of the Cartagena Protocol on Biosafety in a comprehensive and timely manner in order to provide inputs that would help to establish, in conjunction with the second assessment and review, baseline data for monitoring and evaluation of progress in the implementation of the Protocol and the Strategic Plan;

(f) Decide to conduct a mid term evaluation of the Strategic Plan after five years of its adoption to assess the extent to which the strategic objectives are being achieved to enable Parties adapt to emerging trends in the implementation of the Protocol.

Annex I

DRAFT STRATEGIC PLAN FOR THE CARTAGENA PROTOCOL ON BIOSAFETY FOR THE PERIOD 2011-2020

I. THE CONTEXT

1. The Cartagena Protocol on Biosafety was adopted in January 2000 and entered into force on 11 September 2003. The first meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol (COP-MOP) adopted, on the basis of recommendations from the Intergovernmental Committee on the Cartagena Protocol on Biosafety, a medium-term programme of work for the period covering the second to the fifth meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol.

2. Over the past six years since the first meeting of the Parties, significant achievements have been made towards the implementation of the Protocol. The number of Parties has increased by more than 100 since the entry into force of the Protocol. Many decisions have been adopted to facilitate the implementation of the Protocol and the Biosafety Clearing-House became fully operational. More than 100 countries received, through the implementing agencies of the Global Environment Facility (GEF), capacity-building assistance in support of their efforts to develop and implement their national biosafety legal and administrative frameworks. The number of bilateral, sub-regional and regional cooperative arrangements to support biosafety capacity-building activities has also increased in the past years.

3. The medium-term programme of work of the Conference of the Parties serving as the meeting of the Parties to the Protocol has been instrumental in guiding the implementation of the Protocol. The medium term programme of work is due to end at the present meeting of the Parties to the Protocol.

4. A process was established to undertake an assessment and review of the effectiveness of the Protocol in accordance with Article 35 of the Protocol. The initiation of the assessment and review process on the one hand, and the completion of the medium-term programme of work on the other, presented an opportunity for Parties to consider developing a long-term vision for the Protocol in the form of a strategic plan and a corresponding multi-year programme of work. This also coincides with the ongoing process to revise and update the Strategic Plan of the Convention in light of the resolve for action beyond the 2010 biodiversity target.

5. Significant challenges remain as regards the implementation of the Protocol. The Conference of the Parties serving as the meeting of the Parties to the Protocol still needs to provide additional guidance and clarify procedures and processes in a number of areas, such as the application of the advance informed agreement procedure, compliance (Article 34), liability and redress (Article 27), risk assessment and risk management (Articles 15 and 16), handling, transport, packaging and identification (Article 18) and capacity-building (Article 22). One of the major prerequisites of successful implementation of planned activities is the provision of sufficient financial resources including alternative mechanisms for funding and technical support especially for developing countries and countries with economies in transition.

6. This draft strategic plan and the multi-year programme of work accompanying it (annex II) have been prepared on the basis of the submissions from Parties, the analysis of the first national reports, the successive decisions taken by the Conference of the Parties serving as the meeting of the Parties to the Protocol at its last four meetings, and through general discussions and comments received from Parties, other Governments and stakeholders. The draft strategic plan also takes into account the experience gained through the development, implementation, and the revision of the Strategic Plan of the Convention.

II. THE STRATEGIC PLAN: ITS INTERPRETATION AND MONITORING

7. The draft Strategic Plan consists of a vision, a mission and five strategic objectives. For each strategic objective there are a number of expected impacts, operational objectives, outcomes and indicators. The strategic objectives have\ been derived and prioritized according to their contribution to the full implementation of the Protocol, taking into consideration the limited implementation as established by the Assessment and Review process. The focal areas underlying the five strategic objectives are as follows: 1. Facilitating the establishment and further development of effective biosafety systems for the implementation of the Protocol; 2. Capacity building; 3. Outreach and cooperation; 4. Compliance and review; 5. Information sharing.

8. The vision and mission are the overarching statements of the desired future state and the purpose that the Strategic Plan strives to achieve in the long run while the five strategic objectives spell out what will need to be met in order for the vision and the mission to be achieved within the ten year duration of the Plan. In addition, the Strategic Plan has been presented in the form of a logical framework for ease of reference:

(a) Each strategic objective has a number of expected impacts that will occur if the strategic objective is achieved;

(b) The operational objectives comprise actions that will need to be undertaken in order to realise the impacts;

(c) The outcomes are the consequences that would be seen if the operational objectives are achieved, an aggregation of the outcomes will result in the impacts of the strategic goals; and

(d) The indicators serve as a monitoring and evaluation tool of the Strategic Plan for measuring achievements.

9. The stakeholders of the Strategic Plan will vary depending on the issues, the actions or activities described in the Plan. Some of the actions will be undertaken by either the Parties or other Governments or the Secretariat or other organizations or individuals or a combination of all.

10. The elements of the draft Strategic Plan should also be interpreted in light of the text of the Cartagena Protocol on Biosafety. Any interpretation and understanding of the Strategic Plan should be considered only in the context and scope of the Cartagena Protocol on Biosafety.

11. This strategic plan will be implemented through a ten-year programme of work for the Protocol, supported by biennial work plans. The multi-year programme of work will, if necessary, be adjusted from time to time on the basis of: (i) experience gained in the implementation of the requirements of the Protocol; and (ii) the result of the periodic assessment and review of the effectiveness of the Protocol as provided for in Article 35 of the Protocol. A mid-term evaluation will be undertaken five years after the adoption of the Strategic Plan. This evaluation process will use the indicators in the Strategic Plan to assess the extent to which the strategic objectives are being achieved. Information will be drawn mainly from the national reports and from other sources that are relevant and available to generate the data necessary for the analysis. The evaluation will capture the effectiveness of the Strategic Plan and allow Parties to adapt to emerging trends in the implementation of the Protocol. Sufficient resources will need to be allocated to this process.

III. ASSUMPTIONS

12. A number of assumptions have been made in the development of the Strategic Plan. First, it is assumed that the Conference of the Parties serving as the meeting of the Parties to the Protocol will adopt a number of decisions including on: common approaches to risk assessment and risk management;

identification and documentation; a supplementary protocol on liability and redress; and socio-economic considerations and decision-making. It is also assumed that:

(a) Parties and subregional organizations are incorporating rules and procedures from the Conference of the Parties serving as the meeting of the Parties to the Protocol decisions into their national or regional frameworks;

(b) The "Action Plan for Building Capacities for the Effective Implementation of the Protocol" will be regularly updated, agreed upon and implemented;

(c) Parties will submit, in a timely manner, national reports and the required information, such as existing laws and regulations, and decisions on living modified organisms, to the BCH;

(d) Adequate and predictable financial resources will be made available and there will be a progressive increase in human resources at the international and national level over the ten-year period. It is also noted that biennial detail budgets presented at each meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol during the duration of the Strategic Plan are essential for the effective implementation of the Strategic Plan.

13. A further assumption is that a baseline of the status of implementation of the Protocol and global indicators will be established after the second assessment and review process of the Protocol at the sixth meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol to establish a global picture. The indicators have been drafted in such a way that they would facilitate measurement of progress against this baseline.

IV. HUMAN RESOURCE NEEDS TO SUPPORT THE IMPLEMENTATION OF THE STRATEGIC PLAN

14. The implementation of the strategic plan calls for additional financial resources over and above the amount currently available to Parties through the GEF. A special Biosafety Fund, financed through voluntary contributions and administered by the Global Environment Facility, could support national activities for the implementation of the strategic plan.

15. With the envisaged increase in the volume of work that will be undertaken to ensure the successful implementation of the strategic plan, the Secretariat would need to be strengthened in order to fulfil its supporting role and to facilitate consistent delivery of the different components of the plan. The Biosafety division of the Secretariat would need to be expanded and headed by a Principal Officer with an addition of three programme officers: one each for scientific and technical issues, policy and legal issues and technical/capacity-building support, as well as two programme assistants.

PROPOSED ELEMENTS OF STRATEGIC PLAN FOR THE CARTAGENA PROTOCOL ON BIOSAFETY

VISION *Biological diversity is adequately protected from any adverse effects of living modified organisms*				
MISSION *To strengthen global, regional & national action in 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 and specifically focusing on transboundary movements*				
Strategic Objective	***Expected Impacts***	***Operational Objectives***	***Outcomes***	***Indicators***
Focal area 1: **Facilitating the establishment and further development of effective biosafety systems for the implementation of the Protocol** To put in place further tools	Full implementation of the Cartagena Protocol on Biosafety by Parties Enhanced performance by Parties towards	1.1 National Biosafety Frameworks To enable all Parties to have operational national biosafety frameworks in place for the implementation of the Protocol	• Decisions regarding the safety of a living modified organism are based on established regulatory and administrative rules consistent with the Protocol • Biosafety issues and the implementation of the Biosafety Protocol are integrated into the relevant sectors	• Number of Parties that have in place national biosafety legislation and implementing guidelines not more than 6 years after accession to/ratification of the Protocol • Percentage of the Parties that have in place administrative rules and procedures for handling notifications and requests for approval of imports of LMOs intended for direct use as food or feed, or for processing; contained use and for introduction into the environment • Percentage of Parties that have designated national focal points and competent national authorities

Strategic Objective	*Expected Impacts*	*Operational Objectives*	*Outcomes*	*Indicators*
and guidance necessary to make the Protocol fully operational	the attainment of the overarching objectives of conservation and sustainable use of biological diversity	1.2 Coordination and support To put in place effective mechanisms for developing biosafety systems with the necessary coordination, financing and monitoring support	• Improved understanding of the capacity-building needs of developing country Parties and Parties with economies in transition • A cohesive approach and effective mechanisms established for biosafety capacity-building • Parties have adequate and predictable financial and technical resources to enable them to implement their obligations under the Protocol in an integrated and sustainable manner • National biosafety capacity-building strategies and action plans by each Party in place and implemented • Existing resources and opportunities leveraged and more effectively used • Improved coordination and collaboration between Parties and entities implementing or funding biosafety capacity-building efforts	• Number of Parties that have assessed their capacity-building needs, including training and institutional needs, and submitted the information to the BCH not more than 3 years after accession to/ratification of the Protocol • Percentage of the Parties that have developed national biosafety capacity-building action plans for implementing the Protocol • Percentage of the Parties that have in place training programmes for personnel dealing with biosafety issues and for long-term training of biosafety professionals • Percentage of Parties that have in place national coordination mechanisms for biosafety capacity-building initiatives • Amount of new and additional financial resources mobilized for the implementation of the Protocol • Number of Parties that have predictable and reliable funding for strengthening their capacity in implementing the Protocol • Number of Parties that use resources effectively and assessing their contribution to the implementation of the Action plan • Number of Parties reporting that their capacity-building needs have met

Strategic Objective	*Expected Impacts*	*Operational Objectives*	*Outcomes*	*Indicators*
		1.3 Risk Assessment and risk management To further develop and support implementation of scientific tools on common approaches to risk assessment and risk management for Parties	• Guidance on risk assessment and risk management including guidance on new developments in modern biotechnology • Common approaches to risk assessment and risk management established and adopted by Parties and other Governments, as appropriate	• Percentage of Parties adopting and using guidance documents on risk assessment and risk management • Percentage of Parties adopting common approaches to risk assessment and risk management
		1.4 LMOs or traits that may have adverse effects To develop modalities for cooperation and guidance in identifying LMOs or specific traits that may have adverse effects on the conservation and sustainable use of biological diversity, taking also into account risks to human health	• Modalities developed and put in place • Parties enabled to identify, assess, and monitor LMOs or specific traits that may have adverse effects • Guidance on living modified organisms or specific traits that may have adverse effects on the conservation and sustainable use of biological diversity, taking also into account risks to human health, developed by Parties and available	• Number of reports to the BCH on the identification of LMOs or specific traits that may have adverse effects
		1.5 Scientific and technical advice To enhance mechanisms for providing scientific and technical advice to the COP-MOP and to the Parties	• Collaborative mechanisms in place to share and provide improved scientific and technical advice to the COP-MOP and the Parties	• Number of mechanisms established for the provision of scientific and technical advice • Number of requests for advice from such mechanisms • Number of advisory actions from such mechanisms used by Parties
		1.6 Handling, transport,	• All shipments of living modified organisms intended for direct	• Percentage of Parties that put in place documentation requirements for living

Strategic Objective	*Expected Impacts*	*Operational Objectives*	*Outcomes*	*Indicators*
		packaging and identification To enable Parties to implement the requirements of the Protocol and COP-MOP decisions on identification and documentation requirements for living modified organisms	use as food or feed, or for processing, contained use or intentional introduction into the environment are identified through accompanying documentation in accordance with the requirements of the Protocol and COP-MOP decisions	modified organisms intended for direct use as food or feed, or for processing • Percentage of Parties that put in place documentation requirements for living modified organisms for contained use and for intentional introduction into the environment
		1.7 Liability and Redress To adopt and implement rules and procedures in the field of liability and redress for damage resulting from transboundary movements of living modified organisms	• Each Party takes administrative and legal measures necessary to implement the international rules and procedures on liability and redress at the domestic level	• Entry into force of the international rules and procedures on liability and redress prior to the seventh meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol • Percentage of Parties to the international rules and procedures on Liability and Redress having in place national administrative and legal frameworks incorporating rules and procedures on liability and redress for damage caused by living modified organisms
		1.8 Socio-economic considerations To provide guidance on socio-economic considerations that may be taken into account in reaching decisions on import of living modified organisms	• Guidelines regarding socio-economic considerations of living modified organisms developed and used by Parties • Socio-economic considerations applied, where appropriate, by Parties	• Number of Parties reporting on their approaches to taking socioeconomic considerations into account • Number of Parties reporting on their experiences in taking socio-economic considerations into account in reaching decisions on import of living modified organisms • Number of Parties using the guidelines on socio-economic considerations

Strategic Objective	*Expected Impacts*	*Operational Objectives*	*Outcomes*	*Indicators*
		1.9 Transit, contained use, unintentional transboundary movements and emergency measures To develop tools and guidance that facilitate the implementation of the Protocol's provisions on transit, contained use, unintentional transboundary movements and emergency measures	• Parties enabled to manage LMOs in transit • Guidance developed to assist Parties to detect and take measures to respond to unintentional releases of living modified organisms	• Percentage of Parties having in place measures to manage LMOs in transit • Percentage of Parties having in place measures for contained use • Percentage of Parties using the guidance to detect occurrence of unintentional releases of living modified organisms and being able to take appropriate response measures
Focal area 2: **Capacity building** 2. To further develop and strengthen the capacity of Parties to implement the Protocol	Increased safety in the transfer, handling and use of living modified organisms Effective and efficient regulatory, administrative and monitoring frameworks established by Parties for the implementation of the Protocol Necessary mechanisms put	2.1 Risk assessment and risk management To enable Parties to carry out risk assessments and establish capacities to regulate, manage, monitor and control risks of LMOs	• Resources, including human resources required to assess risks of living modified organisms are available and administrative mechanisms are in place • 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 living modified organisms at national, subregional or regional level	• Ratio of risk assessment summary reports as against number of decisions on LMOs on the BCH • Number of risk assessment summary reports in the BCH that are in compliance with the Protocol • Number of people trained on risk assessment, as well as in monitoring, management and control of LMOs • Number of Parties that have infrastructure, including laboratories for monitoring, management and control available

Strategic Objective	*Expected Impacts*	*Operational Objectives*	*Outcomes*	*Indicators*
	in place to enable Parties to make science-based risk assessments More transparent and expeditious decision-making Full use of information exchange systems	2.2 Handling, transport, packaging and identification To develop capacity for handling, transport, packaging and identification of living modified organisms	• Customs/border officials are able to enforce the implementation of the Protocol's requirements related to handling, transport, packaging and identification of living modified organisms • Personnel are trained and equipped for sampling, detection and identification of LMOs	• Number of customs officers and laboratory personnel trained • Percentage of Parties that have established or have reliable access to detection laboratories • National and regional laboratories certified with the capacity to detect LMOs • Number of certified laboratories in operation
		2.3 Liability and Redress To assist Parties to the Protocol in their efforts to establish and apply the rules and procedures on liability and redress for damage resulting from the transboundary movements of living modified organisms	• An institutional mechanism or process identified or established to facilitate the implementation of the international rules and procedures on liability and redress at the national level	• Number of eligible Parties that received capacity building support in the area of liability and redress involving living modified organisms • Number of domestic administrative or legal instruments identified, amended or newly enacted that fulfill the objective of the international rules and procedures in the field of liability and redress
		2.4 Public awareness, education and participation 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 LMOs	• 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	• 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 • Percentage of Parties that inform their public about existing modalities for participation • Number of Parties having in place national websites and searchable archives, national resource centres or sections in existing national libraries dedicated to biosafety

Strategic Objective	*Expected Impacts*	*Operational Objectives*	*Outcomes*	*Indicators*
				educational materials
		2.5 Information sharing To ensure that the BCH is easily accessed by all established stakeholders, in particular in developing countries and countries with economies in transition	• 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	• Number of submissions to the BCH from developing countries and countries with economies in transition • Amount of traffic from users to the BCH from developing countries and countries with economies in transition
		2.6 Biosafety education and training To promote education and training of biosafety professionals through greater coordination and collaboration among academic institutions and relevant organizations	• 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 exchange programmes among academic institutions and relevant organizations	• Number of academic institutions by region offering biosafety education and training courses and programmes • Number of biosafety training materials and online modules available

Strategic Objective	*Expected Impacts*	*Operational Objectives*	*Outcomes*	*Indicators*
Focal area 3: **Outreach and cooperation** To expand the reach of the Protocol and promote cooperation	Increased political support for the implementation of the Protocol Increased support from and collaboration with relevant organizations, conventions and initiatives for the implementation of the Protocol	3.1 Ratification of the Protocol To achieve global recognition of the Protocol	• All Parties to the Convention on Biological Diversity become Parties to the Protocol	• Percentage of Parties to the Convention on Biological Diversity that become Parties to the Protocol
		3.2 Cooperation To enhance international cooperation and collaboration in biosafety	• Official relationships established with secretariats of other conventions and organizations • Secretariat of the CBD invited as an observer to WTO SPS and TBT Committees	• Number of established relationships with other conventions as reflected in joint activities
		3.3 Communication and outreach To raise the profile of the Protocol	• Outreach services of the Protocol enhanced among relevant national and international stakeholders • All Parties have designed and implemented education and communication strategies • Biosafety issues and Protocol activities are regularly covered by local as well as international media • Increased understanding of the relationship between the Protocol and the CBD and other biosafety-related agreements	• Number of national awareness and outreach programmes on biosafety • Percentage of Parties that have in place national communication strategies on biosafety not later than 3 year after having adopted national biosafety laws • Percentage of Parties that have in place national biosafety websites, including national BCH nodes that are accessible to and searchable by the public • Number of Parties with awareness and educational materials on biosafety and the Protocol available and accessible to the public, including the diversity of these materials

Strategic Objective	*Expected Impacts*	*Operational Objectives*	*Outcomes*	*Indicators*
Focal area 4: **Compliance and review** To achieve compliance with and effectiveness of the Protocol	Parties are in compliance with the requirements of the Protocol	4.1 Compliance with the Protocol To strengthen the mechanisms for achieving compliance	• Each Party fully implements its obligations and regularly monitors the implementation of its obligations under the Protocol • Improved reporting by Parties including by submitting complete and timely national reports • All Parties able to enforce their regulatory frameworks and decisions • Sufficient financial resources are allocated to compliance • The Compliance Committee is able to thoroughly review the implementation of obligations by Parties and to propose appropriate measures • Supportive role of the Compliance Committee is improved	• Number of Parties that have identified and addressed their non-compliance issues • Number of Parties having approved and functional national legal, administrative and other measures to implement the Protocol • Percentage of Parties that designated all National Focal points • Number of Parties having in place a system for handling requests including fpr Advance Informed Agreement • Percentage of Parties that published all mandatory information via BCH • Number of Parties having in place a monitoring and enforcement system • Number of national reports received under each reporting cycle
		4.2 Assessment and review To improve the effectiveness of the Protocol, including through regular assessment and review processes	• Assessment and review of the Protocol, including its procedures and annexes, are undertaken on a regular basis • The Protocol, including its procedures and annexes, is adapted if new challenges are brought about by new developments in the field of modern biotechnology or to	• Number of assessment reports submitted and reviews published • Number of Parties modifying their national biosafety frameworks to correspond with amendments to the Protocol adopted to address new challenges

Strategic Objective	*Expected Impacts*	*Operational Objectives*	*Outcomes*	*Indicators*
			adapt to challenges of implementation •	
Focal area 5: **Information sharing** To enhance the availability and exchange of relevant information	Transparency in the development and use of LMOs Increased compliance with national and international requirements Informed decision making Enhanced public awareness of biosafety	5.1 BCH effectiveness To increase the amount and quality of information submitted to and retrieved from the BCH	• The BCH is recognized as the most authoritative repository of information on biosafety • Information submitted to the BCH is accurate, complete and timely • A larger number of countries submit and retrieve information • Risk assessment reports are shared in a timely manner through the BCH • Facilitated access to resources and experiences related to biosafety	• Ratio of risk assessment summary reports as against number of decisions on LMOs • Number of publications contained in the Biosafety Information Resource Centre (BIRC) • Amount of traffic from users to the BCH • Number of references to the BCH • Number of countries with focal points registered on the BCH • Number of countries/regions having published biosafety laws and or regulations on the BCH • Number of AIA/domestic decisions available through BCH
		5.2 BCH as a tool for online discussions and conferences To establish the BCH as a fully functional and effective platform for assisting countries in the implementation of the Protocol	• Countries are better equipped with tools made available through the BCH • The BCH principles of inclusiveness, transparency and equity are applied consistently • Protocol discussions and negotiating processes facilitated through the BCH • Increased awareness of the BCH in different stakeholder groups and regions	• Number of online discussions and real-time conferences carried out through the BCH platform • Percentage of Parties participating in online discussions and real-time conferences on the BCH • Number of participants in online discussions and conferences, their diversity and background • Number of capacity building activities aimed to increase the transparency, inclusiveness and equity of participation in the BCH

Strategic Objective	***Expected Impacts***	***Operational Objectives***	***Outcomes***	***Indicators***
		5.3 Information sharing other than through the BCH To enhance understanding through other information exchange mechanisms	• Information sharing enhanced at regional, national and international biodiversity and biosafety meetings • Different modalities and opportunities used to share biosafety related information	• Number of events organized in relation to biosafety • Number of biosafety related publications shared

Annex II

DRAFT MULTI-YEAR PROGRAMME OF WORK OF THE CONFERENCE OF THE PARTIES SERVING AS THE MEETING OF THE PARTIES TO THE CARTAGENA PROTOCOL ON BIOSAFETY UP TO 2020

1. *Standing items*:

(a) Matters relating to the financial mechanism and resources;

(b) Report of the Executive Secretary on the administration of the Protocol;

(c) Programme of work and budget for the Secretariat as regards its costs of distinct secretariat services for the Protocol;

(d) Report from, and consideration of recommendations from the Compliance Committee;

(e) Cooperation with other organizations (operational objective (OP) 3.2).

2. The Conference of the Parties serving as the meeting of the Parties to the Protocol may consider, *inter alia*, the following items:

2.1 *At its sixth meeting*:

(a) Monitoring and reporting (Article 33; decision BS-I/9, paragraph 5)

To consider the second national reports with a view to evaluate the implementation of obligations under the Protocol by Parties.

(b) Assessment and review (Article 35, OP 4.2)

To consider the report of the second evaluation and review of the effectiveness of the Protocol, including an assessment of its procedures and annexes.

(c) Capacity-building/Roster of Experts (decisions BS-III/3, paragraph 6, 13, 15 and 17), and BS-IV/4, paragraph 10 and OP 2.1)

To consider the independent expert evaluation of the effectiveness and outcomes of the capacity-building initiatives; evaluate the performance of the roster of biosafety experts and the coordination mechanism.

(d) Handling, transport, packaging and identification (Article 18.2(b) and 2(c); decision BS-IV/8, paragraph 2; BS-III/10 paragraph 7 and OP 1.4)

To review and assess the implementation of the requirements of the Protocol on identification and documentation of living modified organisms.

(e) Socio-economic considerations (decision BS-IV/16, paragraph 5 and OP 1.6)

To consider the socio-economic considerations that may be taken into account in reaching decisions on import of living modified organisms.

(f) Mechanisms for scientific and technical advice (subsidiary bodies) – (decision BS-IV/13, paragraph 2, and OP 1.3)

To consider the need to establish an open-ended subsidiary body for scientific and technical advice under the Protocol.

(g) Public awareness, education and participation (decision BS-IV/17, paragraph 8, and OP 2.6 & OP 3.3)

To review the implementation of the outreach strategy with the view 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 and raise the profile of the Protocol.

(h) Notification requirements (Article 8, Decision BS-IV/18, paragraph 2)

To review the national implementation of the notification requirements of living modified organisms.

(i) Risk assessment and risk management (OP 1.1)

To review the training and the development and support implementation of science-based tools on common approaches to risk assessment and risk management for Parties with particular reference to risk management strategies.

(j) Liability and redress (OP 1.5 and OP 2.5)

To consider the status of signature, ratification or accession to the Supplementary Protocol on Liability and Redress to the Biosafety Protocol.

2.2 At its seventh meeting:

(a) Risk assessment and risk management (OP 1.1 & OP 2.3) and identification of LMOs or traits that may have adverse effects (Article 16 (5) and OP 1.2)

To consider the modalities for cooperation and guidance in identifying LMOs or specific traits that may have adverse effects on the conservation and sustainable use of biological diversity, taking also into account risks to human health.

(b) Handling, transport, packaging and identification (Article 18.2(a), OP 1.4, OP 2.4)

To review capacity building efforts to facilitate the implementation of requirements for handling, transport, packaging and identification of living modified organisms.

(c) Contained use of living modified organisms (Article 6(2); OP 1.7

To consider the development of tools and guidance that facilitates the implementation of the Protocol's provisions on contained use of LMOs.

(d) Unintentional transboundary movements and emergency measures (Article 17; OP 1.7)

To consider the development of tools and guidance that facilitate response to unintentional transboundary movements and emergency measures.

(e) Capacity-building (OP 2.1, 2.2 & 2.8)

To review the general capacity building aspects of national biosafety frameworks including the decision-making procedures and mechanism and their public awareness and the participation aspects.

(f) Information sharing and the BCH (OP 2.7, OP 5.1)

To review the overall operation of the BCH including access to and retrieval of information by users.

(g) Liability and redress

To consider the status of implementation of the Supplementary Protocol

2.3 At its eighth meeting

(a) Rights and obligations of transit States (Article 6(1); OP 1.7)

To review the status of implementation of the provisions of the Protocol or any decision by Parties related with transit of living modified organisms.

(c) Assessment and review (Article 35, OP 4.2)

To assesses the effectiveness of the Protocol, including through regular assessment and review processes in conjunction with the mid-term review of the Strategic Plan.

(d) Monitoring and reporting (Article 33; decision BS-I/9, paragraph 5)

To review the monitoring and reporting process as a major element of the assessment and review process.

(e) Liability and redress (OP 2.5)

To review the need for any guidance or assistance to Parties in their efforts to establish and apply the Supplementary Protocol and/or and national rules and procedures on liability and redress related to living modified organisms.

2.4 At its ninth meeting:

(a) Compliance (OP 4.1)

To review the mechanisms for achieving compliance and to consider consider progress and effectiveness of the supportive role of the Compliance Committee with a view to strengthen the mechanisms that enhance compliance with the Protocol.

(b) Liability and redress (OP 2.5)

To review the status of implementation of the Supplementary Protocol.

2.5 *At its tenth meeting:*

(a) Review of the multi-year programme of work (sixth to tenth meeting)

To undertake a review of this multi-year programme of work and to update it, as necessary, in conjunction with the review of the Strategic Plan.

(b) Review of the Strategic Plan of the Protocol

To consider conducting an in-depth review of the extent of achievement of the strategic objectives of the strategic plan taking into account, in particular, any progress or impediments observed over the plan period in the following focal areas:

(i) Risk assessment and risk management;

(ii) Capacity-building

(iii) Information sharing and the Biosafety Clearing-House;

(v) Public awareness, education and participation;

(vi) Monitoring and reporting, and compliance;

(vii) Assessment and review.
