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11 June 2002

NOTIFICATION

Interim Guidelines for the Roster of Experts

Madam/Sir,

I am pleased to inform you that the second meeting of the Intergovernmental Committee for the Cartagena Protocol on Biosafety (ICCP), held in Nairobi from 1 to 5 October 2001, developed Interim Guidelines for the Roster of Experts on Biosafety. At its third meeting, held in the Netherlands from 22 to 26 April 2002, the ICCP requested the Executive Secretary to send the Interim Guidelines for the Roster of Experts on Biosafety to each expert currently listed in the roster.

I am pleased to attach herewith the Interim Guidelines for the Roster of Experts on Biosafety. The nomination form for the roster, which is an appendix to the Guidelines, has been modified slightly since ICCP-2 with the aim of improving its use and function. The most recent version of the nomination form is attached.

In addition, I wish to inform you that the ICCP noted that the roster would be most useful if details on the expertise of individuals in the roster were provided, and urged "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". In this regard, let me take this opportunity to inform you that the roster of experts is accessible through the Biosafety Clearing-House at the web address bch.biodiv.org, and that you as an expert are able to update the information contained in your record on the roster directly on the Biosafety Clearing-House, provided that authorization has been given by the National Focal Point of the government of the country that nominated you to the roster. You are encouraged to contact the BCH National Focal Point of your nominating country to determine if you have been given access, and if so, to update and add detail to your record in the roster.

Accept, Madam/Sir, the assurances of my highest consideration.

Hamdallah Zedan
Executive Secretary

To: Expert currently listed in the Roster of Experts on Biosafety
Cc: ICCP National Focal Points
CBD National Focal Points (where ICCP focal points have not yet been designated)



INTERIM GUIDELINES FOR THE ROSTER OF EXPERTS ON BIOSAFETY

A. Mandate of the roster

1. The mandate of the roster of experts shall be to provide advice and other support, as appropriate and upon request, to developing country Parties, in particular the least developed and small island developing States among them, 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 LMOs. Moreover, the roster of experts should perform all other functions assigned to it by the Conference of the Parties serving as the meeting of the Parties to the Protocol in the future, in particular in the fields of capacity-building.
2. The roster of experts is an instrument to build capacities and to aid developing country Parties, in particular the least developed and small island developing States among them, and Parties with economies in transition until adequate capacities have been built.

B. Administration of the roster

The Secretariat of the Convention/Protocol shall administer the roster. These functions will include:

- (a) Establishing and reviewing, as necessary, the nomination form;
- (b) Maintaining an appropriate electronic database to allow easy access to the roster;
- (c) Maintaining a paper copy, updated at least once a year, of the roster;
- (d) Advising 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;
- (e) Assisting Parties, on request, in identifying appropriate experts; and
- (f) Performing such other administrative functions as are set out in these Guidelines or as directed by the Conference of the Parties to the Convention serving as the meeting of the Parties to the Protocol in other decisions;
- (g) Verifying the availability of experts as necessary.

C. Access to the roster

Access to the roster should be maintained through the Biosafety Clearing-House (via the Internet or non-electronic means). The Secretariat will publish once a year a written version of the roster for distribution to each Party, along with a description of how the different Internet search fields can be used to aid Parties to identify needed expertise. A Party may request any updated version in between these publications.

D. Membership on the roster of experts

1. Nomination of members

1. Roster members shall be nominated by Governments. Governments are responsible for ensuring that nominees possess the highest professional qualities and expertise in the fields for which they are nominated. Parties should consult with relevant stakeholders and seek interested individuals including from national and sub-national governments, research and academic institutions, industry and non-governmental organizations for the purpose of providing balanced, high-quality nominations.

2. The Parties are encouraged to consider retired experts with accumulated knowledge and experience, and with no current institutional affiliations, as potential nominees.

2. *Mechanism for nomination*

1. The nomination form attached to these guidelines as appendix I shall be used for all nominations. Electronic submissions of the form are encouraged. Nominating Governments should ensure the accuracy of the information submitted on all nomination forms. The Executive Secretary will undertake a review of the roster of experts nomination form with input from Governments and, in particular, to review the categories of expertise.

2. Governments shall endeavour to keep their nominations to the roster of experts up-to-date. Parties shall use their national reports to the Cartagena Protocol on Biosafety to confirm their nominations and, if necessary, update information of individual experts. Non-Parties are invited to confirm and update information with the same periodicity.

3. *Maximum number of nominations*

Each Government is recommended not to nominate more than 50 experts, and not more than five experts per area of specialization (as this term is used in the nomination form) may be nominated.

4. *Balanced representation*

1. All Governments are encouraged to nominate experts and to encourage regional balance in the roster. Governments should utilize regional centres of excellence in developing countries, in particular the least developed and small island developing States among them, and countries with economies in transitions, as sources for the nomination of experts. The Secretariat will ensure that the roster database allows for a regional breakdown of roster members as a primary “filter” in searching the list of members.

2. Governments are encouraged to promote gender balance in their nominations, as well as ensure appropriate expertise for the assessments referred to in Article 26 of the Cartagena Protocol.

3. The Executive Secretary shall report annually to the Parties on the sectoral, regional and gender balances in the roster.

5. *Required information on experts*

Information required for each nominee is set out in the nomination form. The Secretariat shall ensure each form is complete prior to listing a nominee on the roster.

6. *Institutions*

Involving experts from existing and independent institutions with relevant expertise in biosafety would allow access to a wide base of multidisciplinary knowledge. Therefore, experts are invited to indicate in the nomination form whether they are members of any institution.

E. Scope of expertise required

1. The areas of expertise required for members of the roster are identified on the nomination form in appendix 1.

2. The areas of expert advice and support that may be provided through the roster are set out in the indicative list contained in appendix 2 to these guidelines.

F. Choice of experts for assignments

1. Choice by requesting Party

The choice of experts for any given assignment is to be made by the requesting Party.

2. Assistance by Secretariat

When requested by a Party seeking an expert, the Secretariat shall provide assistance to the Party to identify experts listed in the specific area(s) of expertise in the roster. Where feasible, the Secretariat should include a list of potential experts that reflects regional and gender participation.

3. Secretariat facilitating initial contact

The Secretariat may facilitate the initial contact of a Party seeking assistance with any expert on the roster. When direct contact is made by a Party to an expert, the Party should report the contact and its result to the Secretariat in order to ensure that full records on the operations of the roster can be maintained.

G. Obligations of individuals on the roster

1. Ensuring complete and accurate information on nomination forms

Experts are responsible to ensure that the information on their nomination form is complete and accurate.

2. Agreement to release nomination form information to the public

All information on the nomination form should normally be made available to the public, including on the Biosafety Clearing-House, after a nomination is completed. However, a roster member may request the non-disclosure of direct contact information (telephone, address, fax and e-mail) if she or he chooses.

3. Acceptance or refusal of a request for assistance/advice

Members of the roster may accept or reject any proposed assignment.

4. Declining to act if there is a real or perceived conflict of interest

1. Experts should decline any assignment where an assignment may raise a real or perceived conflict of interest. Prior to undertaking any assignment through the roster, or to being put forward on a secretariat shortlist, each roster member will complete a conflict of interest declaration, indicating if they have any personal, institutional or other professional interests or arrangements that would create a conflict of interest or that a reasonable person might perceive creates a conflict.

2. If the declaration raises concerns, the Secretariat or Party concerned may seek further information from the expert. If legitimate concerns remain, it is recommended that any judgments as to whether a conflict exists should err on the side of caution, consistent with maintaining the highest level of credibility of the roster process.

5. Acting in a personal capacity

Each expert shall act solely in their personal capacity, regardless of any other governmental, industry, organizational or academic affiliation.

6. Exhibiting highest professional standards

Any expert carrying out an assignment is expected to comply with all applicable professional standards in an objective and neutral way, and to exhibit a high degree of

professional conduct in undertaking an assignment. These standards should extend to any discussions that assist a Party in choosing an expert. Experts are expected to perform their duties in a timely manner.

7. *Contributing to training of local personnel when possible*

Experts may be asked, when appropriate, to contribute to on-the-ground-training and capacity-building of local personnel as part of their assignment.

8. *Confidentiality and transparency*

1. Unless otherwise authorized by the requesting Party concerned, experts on the roster undertaking assignments shall not divulge confidential information obtained through or as a result of performing their duties. Confidentiality should be as stipulated in the agreement between the Party and the expert.

2. The final written advice of the expert shall be made available through the Biosafety Clearing-House, respecting confidential information.

9. *Setting clear expectations*

It is the responsibility of the Party and the expert to ensure that the expectations and terms of reference of the Party are clear, and that these have been understood by the expert.

10. *Submitting a report*

Brief reports should be prepared by the expert following completion of the assignment, including overall assessment of the process, the results achieved and constraints encountered, as well as suggestions that might be considered for future assignments.

H. *Payment of roster members*

1. *Pro bono assignments*

Any expert may choose to undertake an assignment on a *pro bono* basis. The same principles relating to conflict of interest, acting in a personal capacity, and other obligations under section G would apply to such *pro bono* assignments.

2. *Secondment*

Any organization may permit experts affiliated with it to undertake an assignment as a secondment from their usual duties. Transparent and full disclosure of any such arrangements should be made. No government or institution is obligated to cover any or all of the cost of a nominated expert.

3. *Payments fixed by contract with requesting Party*

Legal arrangements for fees and/or expenses associated with an assignment should be addressed in contractual agreements between the Party and the expert in question.

I. *Liability*

Decisions taken by the requesting Party on the basis of advice provided will be the sole responsibility of the Party.

1. *Liability of nominating Party*

Nominating Governments shall not be liable for the personal conduct, inputs or results arising from or connected with the work of an expert it has nominated.

2. *Liability of the Secretariat*

The Secretariat shall not be liable for, or subject to any legal process arising from or connected with, the use or advice of an expert from the roster.

3. *Liability of experts*

Liability of the expert and the applicable law should be addressed in the contract between the Party seeking assistance and the expert.

J. Reports

1. Parties are encouraged to provide the Secretariat with an evaluation of the advice or other support provided by experts and the results achieved. Such evaluations should be made available through the Biosafety Clearing-House.

2. Once a year, the Quarterly Report prepared by the Secretariat will include a section on the operation of the roster, which should include factual information on the number of experts on the roster, regional, gender, discipline breakdowns of the roster, direct contacts initiated by Parties and their results or contacts facilitated by the Secretariat and their results, including the individual experts contracted by each requesting Party, a note on the topic and description of the assignment, results of the work undertaken and the availability of written products. These reports should be made available through the Biosafety Clearing-House.

K. Periodic review

The operation of the roster should be subject to independent periodic review. The first review should take place in two years. Periodic reviews should then take place in accordance with Article 35 of the Protocol. These periodic reviews should be broad-based, looking at appropriate balances in the roster membership, its uses, successes, failures, quality control of roster assignments, the need for additional advisory services in administering the roster, and other possible recommendations for revisions to the mandate or these rules of procedure to respond to the findings.

Appendix 1

NOMINATION FORM FOR THE BIOSAFETY ROSTER OF EXPERTS
Version 5 June 2002

Expert Information

Please provide full names rather than only acronyms or initials

Title: Ms. Mr. Other: _____
 Professor Dr.

Name:

Employer / Organization:

Job Title:

Address:

Telephone:

Facsimile:

Email:

Web Site:

Year of Birth:

Gender: Male Female

Nationality:

Details of Current Employment

Start Date of Employment
(year):

Organization Type: Academic Industry
 Government Non-Governmental Organization
 Inter-Governmental (NGO)
Organization (IGO) Other: _____

Main Areas of Responsibility:

Education

Formal education and other
qualifications:

Expertise

This section allows you to specify your main expertise for contribution to the roster. Areas of expertise are organized under 8 broad subheadings as follows:

1. Data Management and Information Sharing	5. Research and Development
2. Institutional Development	6. Risk Assessment and Risk Management (including specification of organisms and traits)
3. Legislation and Regulation	7. Social and Economic Sciences
4. Public Awareness and Participation	8. Teaching and Training

Please indicate only the particular subjects in which you have **specialized expertise**.

Data Management and Information-Sharing

- Database
- Environmental statistics
- Information exchange
- Information technology
- Information clearing-house
- Other: _____

Institutional Development

- Agricultural management
- Environmental management
- Human resources
- Infrastructure development
- Project administration
- Public health
- Resources management
- Other: _____

Legislation and Regulation

- Access and Benefit Sharing
- Biosafety regulation
- Intellectual property law
- International environmental law
- International trade law
- National environmental law
- National trade regulations
- Other: _____

Public Awareness and Participation

- Campaigning and advocacy
- Community participation
- Journalism
- Public information / communications

Research and Development

- Biotechnology product development
- Biotechnology research
- Other: _____

Risk Assessment and Risk Management

- Agricultural ecology
- Agriculture
- Alien invasive species
- Analytical detection methods
- Animal ecology
- Animal pathology
- Aquaculture
- Biochemistry
- Biotechnologies
- Botany
- Entomology
- Environmental impact assessment
- Epidemiology
- Evolutionary biology
- Food sciences
- Forestry ecology
- Genetic engineering
- Genetics of natural populations

Risk Assessment and Risk Management (continued)

- Human biology
- Indigenous knowledge
- Marine biology/ecology
- Microbial Ecology
- Microbiology
- Molecular biology
- Mycology
- Pest management
- Plant pathology
- Plant physiology
- Population biology
- Risk assessment process design and application
- Soil biology
- Taxonomy
- Toxicology
- Virology
- Zoology
- Other: _____

Organisms:

(specify organisms for which you have expertise,
indicating Genus and species where possible)

Organism Traits:

(specify organism traits for which you have
expertise)

- Antibiotic resistance
- Bacterial resistance
- Fungus resistance
- Herbicide tolerance
- Insect resistance
- Marker genes
- Nematode resistance
- Product quality
- Virus resistance
- Other: _____

Social and Economic Sciences

- Agricultural economics
- Bioethics
- Environmental economics
- Life cycle assessment
- Social sciences
- Socio-economic factors
- Sustainable development
- Technology assessment
- Other: _____

Teaching and Training

- Environmental education
- Extension work
- Informal teaching (e.g., workshop facilitation)
- Other: _____

Employment History

Main Countries or Regions
Worked:

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

Previous Employer 1

Name of the Employer /
Organization:

Job Title:

Duration of Time Employed:

Address:

Main Areas of Responsibility:

Previous Employer 2

Name of the Employer /
Organization:

Job Title:

Duration of Time Employed:

Address:

Main Areas of Responsibility:

Previous Employer 3

Name of the Employer /
Organization:

Job Title:

Duration of Time Employed:

Address:

Main Areas of Responsibility:

Other Relevant Work Experience

(e.g. volunteer work experience)

Description:

Responsibilities:

Publications

Three most relevant
publications:

- 1.
- 2.
- 3.

List of publications (please list complete citations of all peer-reviewed articles, books, book chapters, conference papers and other publications; you may send a file if the list is long)):

Awards and Memberships

Scientific awards, professional societies, honorary memberships, and membership in advisory committees/panels:

Knowledge of Languages

Mother Tongue: Arabic: English Russian
 Chinese: French Spanish
 Other: _____

Speak well: Arabic: English Russian
 Chinese: French Spanish
 Other: _____

Read well: Arabic: English Russian
 Chinese: French Spanish
 Other: _____

Write well: Arabic: English Russian
 Chinese: French Spanish
 Other: _____

References

Please give name and detailed contact information for key professional references

Reference 1:

Reference 2:

Reference 3:

Any Other Relevant Information

Please list any other information relevant to your role as an expert.

Confirmation and Agreement

I hereby confirm that the above information is correct and agree for its inclusion in the Roster of Experts on Biosafety under the Cartagena Protocol on Biosafety and the Convention on Biological Diversity. I have no objection to this information being made publicly available.

Signature: _____ Date: _____

Confirmation by Nominating Government

This section must be completed by a National Focal Point

Government:	
Name of Government Representative:	
Focal Point Type:	<input type="checkbox"/> ICCP National Focal Point <input type="checkbox"/> Cartagena Protocol on Biosafety National Focal Point <input type="checkbox"/> Biosafety Clearing-House National Focal Point <input type="checkbox"/> CBD National Focal Point
Date:	
Signature:	

Appendix 2

INDICATIVE LIST OF AREAS OF ADVICE AND SUPPORT FOR THE ROSTER OF EXPERTS FOR IMPLEMENTATION OF THE CARTAGENA PROTOCOL

INSTITUTION BUILDING	RISK ASSESSMENT	RISK MANAGEMENT
<p><i>Needs assessment and biosafety framework planning</i></p> <ul style="list-style-type: none"> (a) Inventory of existing and anticipated biotechnology programmes and practices (b) Capacity to develop present and future import/export data (c) Accurate understanding of industry biotechnology practices in relevant sectors (d) Capacity to compile and analyse existing legal and administrative biosafety regimes (e) Multi-disciplinary strategic planning capacity (f) Capacity to relate biosafety regime to other international obligations <p><i>Biosafety regime development</i></p> <ul style="list-style-type: none"> (a) Develop/strengthen legal and regulatory structures (b) Develop/strengthen administrative processes to manage risk assessment and risk management (c) Develop domestic/regional risk assessment capacity (d) Capacity to administer notification, acknowledgement and decision response process (e) Capacity to make and report decision on LMO import in required time frames (f) Emergency notification and planning and response capacity (g) Enforcement capacity at borders <p><i>Long-term regime-building/maintenance</i></p> <ul style="list-style-type: none"> (a) Capacity to monitor, review and report on the effectiveness of risk management programme, including legal, regulatory and administrative mechanisms (b) Capacity to monitor longer-term environmental impacts, if any (based on current baselines) (c) Establishment of environmental reporting systems 	<p><i>General risk assessment capacities</i></p> <ul style="list-style-type: none"> (a) Ability to coordinate multi-disciplinary analyses (b) Enhancement of technological and institutional capacities for risk assessment (c) Capacity to identify and access appropriate outside expertise (d) Understanding of relevant biotechnology processes and applications <p><i>Science and socio-economic capacities</i></p> <ul style="list-style-type: none"> (a) Analyse risks to conservation and sustainable use of biodiversity (b) Undertake life-cycle analysis (c) Analyze risks to human health of effects on biodiversity (d) Analyze ecosystem effects of living modified organism introduction (e) Assess food security issues arising from risks to biodiversity (f) Value and roles of biodiversity to local and indigenous communities (g) Other socio-economic considerations related to biodiversity (h) Enhancement of related scientific, technical capacities <p><i>Note:</i> Specific types of scientific expertise required will vary from case to case, but broadly involve two areas:</p> <ul style="list-style-type: none"> - evaluation of genetic modifications - evaluation of interactions with the receiving environment 	<p><i>General risk management capacities</i></p> <p>Understanding of application of risk management tools to different biotechnology sectors</p> <p><i>Decision-making capacities</i></p> <ul style="list-style-type: none"> (a) Identification and quantification of risks, including through sound application of the precautionary approach (b) Capacity to assess relative effectiveness of management options for import, handling and use, where appropriate (c) Capacity to assess relative trade impacts of management options, where appropriate (d) Impartial review of proposed management regime prior to decision-making <p><i>Implementation of decisions</i></p> <ul style="list-style-type: none"> (a) Identification and handling of living modified organisms at point of import and export (b) Monitoring of environmental impacts against expected impacts (c) Capacity to monitor, enforce and report on compliance

INSTITUTION BUILDING	RISK ASSESSMENT	RISK MANAGEMENT
CROSS-CUTTING CAPACITIES		
<p><i>Data management and information-sharing</i></p> <ul style="list-style-type: none"> (a) Exchange of scientific, technical, environmental and legal information (b) Collection, storage and analysis of scientific, regulatory and administrative data (c) Communication to the Biosafety Clearing-House 		
<p><i>Human resources strengthening and development</i></p> <ul style="list-style-type: none"> (a) All aspects of regime development, evaluation and maintenance for risk assessment and risk management (b) Raising awareness of modern biotechnology and biosafety among scientists, government officials (c) Training and longer-term education (d) Procedures for safe handling, use and transfer of living modified organisms 		
<p><i>Public awareness and participation</i></p> <ul style="list-style-type: none"> (a) Administer and disseminate information on legal and administrative framework (b) Public awareness of/participation in scientific assessment process (c) Risks associated with handling and use 		
<p><i>Involvement of stakeholders e.g. non-governmental organizations, local communities, private sector</i></p> <ul style="list-style-type: none"> (a) Capacity to negotiate with and provide opportunity for private sector involvement (b) Processes for community, NGO consultation in development of risk assessment and management regimes (c) Processes for community, NGO consultation prior to decisions 		
<p><i>Regional capacity development</i></p> <ul style="list-style-type: none"> (a) Scientific assessment of risk (b) Harmonization of legal regimes (c) Training of human resources (d) Information sharing 		

Source: *Indicative Framework for Capacity-Building under the Cartagena Protocol on Biosafety*, (UNEP/CBD/ICCP/1/4).