



Ref.: SCBD/BS/ET/jh/50597

16 September 2005

NOTIFICATION

Questionnaire to facilitate the submission of information on the progress in, and effectiveness of, the implementation of the Action Plan for Building Capacities for the Effective Implementation of the Cartagena Protocol on Biosafety

Madam/Sir,

The Conference of the Parties to the Convention serving as the meeting of the Parties to the Cartagena Protocol on Biosafety (COP-MOP) in its decision BS-I/5 adopted an Action Plan for Building Capacities for the Effective Implementation of the Protocol and a Coordination Mechanism for its implementation. In paragraph 5 of that decision, COP-MOP agreed to undertake a comprehensive review and possible revision of the Action Plan at its third meeting, which is scheduled to take place from 13 to 17 March 2006 in Curitiba, Brazil.

At its second meeting, COP-MOP in decision BS-II/3 adopted terms of reference for the comprehensive review of the Action Plan and outlined a process to facilitate the review and possible revision of the Action Plan at the third meeting. It invited Parties, other Governments and relevant organizations to submit to the Secretariat, no later than three months prior to its third meeting, information on progress made in, and effectiveness of, the implementation of the Action Plan as well as views and suggestions on desired revisions to the Action Plan, taking into account the terms of reference for the review. COP-MOP also requested the Executive Secretary to prepare a questionnaire to assist Parties, other Governments and relevant organizations in submitting the above-mentioned information. The Executive Secretary was requested to also include in the questionnaire elements to assess the constraints encountered with the implementation of the Coordination Mechanism and the possible reasons behind the limited use of the roster of biosafety experts.

I am pleased to forward to you the questionnaire prepared by the Secretariat pursuant to the request and guidance provided by the COP-MOP. It consists of three main parts focussed on A: the Action Plan, B: the Coordination Mechanism and C: the roster of experts, respectively. As was recommended by the COP-MOP in decision BS-II/3 (Annex, Section C), the questionnaire is easy to complete and uses simple check boxes and yes/no questions as well as a few text open-ended questions. It is also accessible through the Biosafety Clearing-House (<http://bch.biodiv.org>).

To: Cartagena Protocol National Focal Points
CBD National Focal Points (where Cartagena Protocol FPs have not yet been designated)
Relevant organizations

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It would be appreciated if you could complete and return the questionnaire **no later than 15 November 2005** to enable the Secretariat to analyze the results and prepare the background paper and, if necessary, a draft revised Action Plan for consideration by the third meeting of the COP-MOP. If you wish to supplement the questionnaire with reports or other documents containing additional relevant information, please e-mail them directly to secretariat@biodiv.org, or send them by hard copy to the Secretariat before the closing date.

Thank you in advance for your kind cooperation.

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

Hamdallah Zedan
Executive Secretary

QUESTIONNAIRE FOR THE COMPREHENSIVE REVIEW OF THE ACTION PLAN FOR BUILDING CAPACITIES FOR THE EFFECTIVE IMPLEMENTATION OF THE CARTAGENA PROTOCOL ON BIOSAFETY

*Please answer the questions below as completely as possible. Mark the relevant boxes and fill in details in the spaces provided, as appropriate. Where you wish to add more detail (comments or explanation) to the boxes you have marked, please do so in form of footnotes. Please send the completed questionnaire to the CBD Secretariat by e-mail (secretariat@biodiv.org) or fax (1-514-288-6588) **no later than 15 November 2005**.*

CONTACT INFORMATION

Name of Government or organization: _____
 Name of contact person: _____
 Postal address: _____

 Telephone number: _____
 Fax number: _____
 E-mail address: _____

A: THE ACTION PLAN

1. Has the Action Plan influenced or guided your capacity-building activities or assistance for the implementation of the Protocol?	Yes	No
2. Please explain briefly, if yes, how your Government or organization has changed course because of the Action Plan or, if no, why the Action Plan has not influenced your actions.		
3. Has your Government or organization undertaken or supported any activities/ initiatives specifically to implement the Action Plan?	Yes	No
4. If yes, please list the capacity-building initiatives/ activities taken or supported by your Government or organization since 2001? (If already submitted to the BCH, please simply indicate the record number. Please attach additional documents, if available, or provide a website where they can be obtained)		

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5. From your perspective, please indicate on the scale below the level of progress towards achieving the following outcomes (based on the criteria and indicators of success that were adopted by the Conference of the Parties serving as the meeting of the Parties to the Protocol (COP-MOP) in [decision BS-1/5](#)): *NA= Not applicable; 0=Not achieved; 1=Partly achieved (<50%); 2=Largely achieved (>50%); and 3=Fully achieved (100%)*. **For each item in bold, please give an overall assessment.**

Capacity-building outcomes (criteria and indicators of success)	Level of achievement				
<i>A. Improved institutional capacity</i>					
<i>(i) Effective legislative and policy frameworks in place</i>	<i>NA</i>	<i>0</i>	<i>1</i>	<i>2</i>	<i>3</i>
a) Biosafety regulatory frameworks (including policies, laws and regulations) in place	NA	0	1	2	3
b) National biosafety frameworks harmonized with other national policies, frameworks and programmes	NA	0	1	2	3
c) National biosafety frameworks consistent with the Protocol	NA	0	1	2	3
d) Stakeholders satisfied with the national biosafety frameworks	NA	0	1	2	3
e) Other (specify):	NA	0	1	2	3
<i>(ii) Appropriate administrative frameworks in place</i>	<i>NA</i>	<i>0</i>	<i>1</i>	<i>2</i>	<i>3</i>
a) Clearly defined institutional mechanisms for administering biosafety, including competent national authorities, and responsibilities among agencies in place	NA	0	1	2	3
b) Desired number and quality of staff in national institutions dealing with biosafety in place	NA	0	1	2	3
c) Notifications are handled and decisions taken within the timeframes specified in the Protocol	NA	0	1	2	3
d) Systems for managing biosafety records and for maintaining institutional memory in place and operational	NA	0	1	2	3
e) Mechanisms for inter-institutional coordination (e.g. steering committees) in place and operational	NA	0	1	2	3
f) Other (specify):	NA	0	1	2	3
<i>(iii) Improved technical, scientific, and telecommunications infrastructures</i>	<i>NA</i>	<i>0</i>	<i>1</i>	<i>2</i>	<i>3</i>
a) Desired quantity and reliability of office equipment and facilities in institutions dealing with biosafety in place	NA	0	1	2	3
b) Required number of facilities for biosafety research (e.g. laboratories, greenhouses, etc) and equipment for LMO detection in place and operational	NA	0	1	2	3
c) Reliable telecommunication infrastructure, including internet access, in place	NA	0	1	2	3
d) Other:	NA	0	1	2	3
<i>(iv) Enhanced funding and resource management</i>	<i>NA</i>	<i>0</i>	<i>1</i>	<i>2</i>	<i>3</i>
a) Required amount of funding for biosafety activities received or provided	NA	0	1	2	3
b) Desired funding for biosafety activities coming from national budgetary allocation	NA	0	1	2	3
c) Resources earmarked for biosafety are used for the intended activities and in a cost-effective manner	NA	0	1	2	3

Capacity-building outcomes (criteria and indicators of success)	Level of achievement				
d) Other (specify):	NA	0	1	2	3
<i>(v) Enhanced mechanisms for follow-up, monitoring and assessment</i>	NA	0	1	2	3
a) Mechanisms for monitoring and reporting of implementation of the Protocol in place and operational	NA	0	1	2	3
b) Other (specify):	NA	0	1	2	3
<i>B. Improved human resources capacity development and training</i>	NA	0	1	2	3
a) Desired number of national experts trained in diverse specialized biosafety-related fields attained	NA	0	1	2	3
b) Local experts being used in undertaking activities related to the implementation of the Protocol	NA	0	1	2	3
c) Other (specify):	NA	0	1	2	3
<i>C. Improved capacity for risk assessment and other scientific and technical expertise</i>	NA	0	1	2	3
a) Risk assessments and biosafety research being carried out locally	NA	0	1	2	3
b) Local expertise used in undertaking or reviewing risk assessments	NA	0	1	2	3
c) Other (specify):	NA	0	1	2	3
<i>D. Improved capacity in risk management</i>	NA	0	1	2	3
a) Risk management strategies for LMOs with identified risks in place	NA	0	1	2	3
b) Rate of implementation of risk management strategies and measures developed to prevent or mitigate identified risks	NA	0	1	2	3
c) Other (specify):	NA	0	1	2	3
<i>E. Improved public awareness, participation and education in biosafety at all levels</i>	NA	0	1	2	3
a) Desired level of public awareness of the Protocol realized	NA	0	1	2	3
b) Desired number, scope and variety of measures to promote awareness of biosafety and the Protocol achieved	NA	0	1	2	3
c) Desired rate of stakeholder involvement in decision-making and in the development and implementation of national biodiversity frameworks achieved	NA	0	1	2	3
d) Desired level of public access to biosafety information, including through the BCH, attained	NA	0	1	2	3
e) Other (specify):	NA	0	1	2	3
<i>F. Improved information exchange and data management including full participation in the Biosafety Clearing-House (BCH)</i>	NA	0	1	2	3
a) Desired level of exchange of relevant biosafety data and information attained	NA	0	1	2	3
b) Information required under the Protocol provided to the BCH	NA	0	1	2	3
c) Systems for data management and information exchange in place	NA	0	1	2	3
d) National infrastructure and capability to access the BCH in place	NA	0	1	2	3
e) The BCH responds to the information needs of different stakeholders	NA	0	1	2	3
f) Other (specify):	NA	0	1	2	3

Capacity-building outcomes (criteria and indicators of success)	Level of achievement				
<i>G. Increased scientific, technical and institutional collaboration at sub regional, regional and international levels</i>	<i>NA</i>	<i>0</i>	<i>1</i>	<i>2</i>	<i>3</i>
a) Mechanisms for regional and international collaboration in biosafety in place and operational	NA	0	1	2	3
b) Desired bilateral and multilateral collaborative biosafety initiatives in place	NA	0	1	2	3
c) Desired level of participation in regional and international collaborative mechanisms and initiatives achieved	NA	0	1	2	3
d) Regional or sub-regional biosafety advisory mechanisms and centres of excellence in place and being taken full advantage of	NA	0	1	2	3
e) Regional or sub-regional biosafety websites & databases in place and being used	NA	0	1	2	3
f) Mechanisms for regional or sub-regional coordination and harmonization of biosafety regulatory frameworks in place	NA	0	1	2	3
g) Mechanisms for promoting south-south cooperation in biosafety issues in place and engaged	NA	0	1	2	3
h) Desired amount and availability of international technical guidance on implementation of the Protocol achieved	NA	0	1	2	3
i) Other (specify):	NA	0	1	2	3
<i>H. Improved access to and transfer of technology and know-how</i>					
a) Enabling frameworks for technology transfer in place	NA	0	1	2	3
b) Desired relevant technologies transferred	NA	0	1	2	3
c) Other (specify):	NA	0	1	2	3
<i>I. Improved identification of LMO shipments as required by the Protocol</i>					
a) National measures and systems for identification of LMO shipments in place	NA	0	1	2	3
b) Modern LMO identification techniques being used	NA	0	1	2	3
c) Identification systems and measures effective in ensuring safe handling, transport and packaging of LMOs	NA	0	1	2	3
d) Other (specify):	NA	0	1	2	3
<i>J. Socio-economic considerations being addressed</i>					
a) Specify:	NA	0	1	2	3

6. Was external funding, expertise or other type of assistance used in reaching the above outcomes?	Yes	No	NA
7. If you have answered “yes” to question 6 above, please indicate the source and type of assistance received and for which elements or specific activities (Please attach additional documents if available or provide a website where they can be obtained)			

<p>8. If you have answered “no” to question 6 above, what were the reasons?</p>	<p>(a) Unavailable (b) Difficult to access (c) Expensive to engage (d) Not necessary (e) Not applicable (f) Other (specify):</p>
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9. Please summarize the experience gained and lessons learned by your Government or organization during the implementation of the Action Plan.

10. What critical capacity-building elements (needs or gaps), which are not addressed in the current Action Plan, would you strongly recommend to be included? *(Please list in the order of priority)*

11. In your view what, if any, are the main constraints that have hampered the effective implementation of the Action Plan?

12. What measures would you propose to address the constraints and gaps encountered in the implementation of the Action Plan?

13. In general, what other revisions and improvements to the Action Plan, if any, would you propose and what existing opportunities could be taken into account?

B: THE COORDINATION MECHANISM

14. Has your Government or organization established mechanisms to coordinate different biosafety capacity-building activities?		Yes	No	
If yes, please briefly describe them (Please attach additional documents, if available, or provide a website where they can be obtained)				
15. How has your Government or organization participated in the following elements of the Coordination Mechanism, which was established by the COP-MOP in decision BS-I/5 (Annex IV)?	Contributed information / attended	Used information from	Not applicable	
(a) Liaison Group on Capacity-Building for Biosafety				
(b) Capacity-building databases				
(c) Biosafety Information Resource Centre				
(d) Biosafety Capacity-Building Network				
(e) Coordination meetings				
(f) Reporting mechanism				
16. Has your Government or organization encountered any constraints/ limitations in participating in any of the elements of the Coordination Mechanism?		Yes	No	NA
17. If yes, please elaborate.				
18. Have you found the following Coordination Mechanism elements, which you have participated in, useful?	Yes	No	Some-what	NA
(a) Liaison Group on Capacity-Building for Biosafety				
(b) Capacity-building databases				
(c) Biosafety Information Resource Centre				
(d) Biosafety Capacity-Building Network				
(e) Coordination meetings				

(f) Reporting mechanism				
19. Please provide suggestions for improving the implementation and effectiveness of the Coordination Mechanism.				

C: THE ROSTER OF EXPERTS

20. Have you ever accessed or used the roster of experts for any purpose?	Yes	No
21. Has your country nominated experts to the roster?		
22. If you answered yes to question 20, how often and for what purpose?		
23. If you answered no to question 20, why have you not accessed or used the roster?		
a) I have no need to access or use the roster		
b) I would like to access or use the roster but I do not have internet access to the Biosafety Clearing-House or a hard copy of the roster		
c) Other: please specify		
24. Are you aware that there is a fund available that will pay for the use of experts from the roster for developing country Parties and Parties with economies in transition?	Yes	No
25. Have you ever wanted to seek expert advice through the roster, but did not because of lack of funds?	Yes	No
26. Please comment on limitations to your use of the roster (tick all that apply):		
(a) No limitations – the roster fulfils our needs.		
(b) It is too early to seek expertise because we are still developing our national biosafety framework.		
(c) There is not enough information on the experts listed in the roster to enable us to understand their expertise.		
(d) The roster does not contain the expertise that we need.		
(e) Other comments:		
27. Do you think that your Government may have increased need for expertise through the roster in the future?	Yes	No
28. Please provide any suggestions you may have for improving the roster, or for increasing awareness and use of the roster?		

D: GENERAL COMMENTS

29. Please provide any other comments or recommendations not covered above.

Thank you very much for your cooperation in completing this questionnaire.

For further information or clarification, please contact the CBD Secretariat at:

Telephone: +1-514-288-2220; Fax +1-514-288-6588; E-mail: secretariat@biodiv.org or consult our Website: <http://www.biodiv.org/biosafety/>