



منظمة الأغذية
والزراعة
للأمم المتحدة

联合国
粮食及
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Food
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Agriculture
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Organisation
des
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l'agriculture

Продовольственная и
сельскохозяйственная
организация
Объединенных
Наций

Organización
de las
Naciones
Unidas
para la
Agricultura
y la
Alimentación

COMMISSION ON PHYTOSANITARY MEASURES

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Report of the Secretariat of the Convention on Biological Diversity

Agenda Item 8.2 of the Provisional Agenda

1. A report from the International Secretariat of the Convention on Biological Diversity is provided in the Annex.



**REPORT OF THE SECRETARIAT OF THE CONVENTION ON BIOLOGICAL DIVERSITY
TO THE SIXTH SESSION OF THE COMMISSION ON PHYTOSANITARY MEASURES**

EXECUTIVE SUMMARY

Pursuant to decision IX/4 of the Conference of the Parties (COP) to the Convention on Biological Diversity (CBD), the Executive Secretary of the CBD established an inter-agency liaison group on invasive alien species (LG-IAS) to address the gaps and inconsistencies in the international regulatory framework on invasive alien species indicated in decisions VIII/27 and IX/4 and invited the Secretariat of the International Plant Protection Convention (IPPC) as a member of LG-IAS.

The first meeting of the LG-IAS (LG-IAS1) was held at the headquarters of the World Organization for Animal Health in Paris from 17 to 18 June 2010. The response of the relevant organizations, including the IPPC to decisions VIII/27 and IX/4 was discussed at LG-IAS1 and reported to the COP at its tenth meeting in Nagoya, Japan in October 2010 (UNEP/CBD/COP/10/21).

In decision X/38, the COP welcomed the progress made by the LG-IAS and established an Ad Hoc Technical Expert Group on addressing the risks associated with the introduction of alien species as pets, aquarium and terrarium species, and as live bait and live food, taking into account the need to draw upon the experience of relevant international organizations, including the International Plant Protection Convention and other relevant organizations.

In decision X/2, the COP adopted the Strategic Plan for Biodiversity 2011-2020¹ as a framework for action by all stakeholders with 20 headline targets (the “Aichi Targets”). Within the strategic goal to “Reduce the direct pressures on biodiversity and promote sustainable use”, target 9 states that, by 2020, invasive alien species and pathways are identified and prioritized, priority species are controlled or eradicated, and measures are in place to manage pathways to prevent their introduction and establishment.

The COP also adopted decision X/8 on the United Nations Decade on Biodiversity. Pursuant to this decision, the United Nations General Assembly proclaimed the period from 2011 to 2020 as the United Nations Decade on Biodiversity in its Resolution 65/161.

The fifth meeting of the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety (COP-MOP) also adopted a number of decisions of relevance to the International Plant Protection Convention and its Commission on Phytosanitary Measures. These include decisions that welcome cooperation between the CBD and the IPPC in general, requests to the Executive Secretary of the CBD to participate in meetings and follow developments concerning standards related to the handling, transport, packaging and identification of living modified organisms (LMOs) as well as invitations to engage in specific collaborative activities, such as reviewing a guidance and improving a training manual on risk assessment of LMOs and collaborating in the development of an explanatory document on the terminology of the Protocol in relation to the glossary of phytosanitary terms under the IPPC.

¹ Available at <http://www.cbd.int/doc/decisions/cop-10/cop-10-dec-02-en.pdf>

I. INTRODUCTION

1. This report contains an overview of collaborative activities between the Secretariats of the IPPC and the CBD between June 2010 and March 2011. Section II summarizes the activities of the two Secretariats through the Inter-Agency Liaison Group on Invasive Alien Species. A brief summary of the outcomes of the Ad Hoc Technical Expert Group (AHTEG) meeting on ‘addressing the risks associated with the introduction of alien species as pets, aquarium and terrarium species, and as live bait and live food’ is presented in Section III. Section IV provides a summary of decisions under the Cartagena Protocol on Biosafety which are of relevance to the IPPC and CPM. Information on the United Nations Decade on Biodiversity is summarized in Section V.

II. INTER AGENCY LIAISON GROUP ON INVASIVE ALIEN SPECIES

2. The first meeting of the Liaison Group on Invasive Alien Species (LG-IAS) took place at the headquarters of the World Organization for Animal Health (OIE), Paris, from 17 to 18 June 2010. In addition to the CBD, IPPC and OIE, the following Secretariats also took part in the meeting: Committee on Fisheries of the Food and Agriculture Organization (COFI-FAO), Convention on International Trade in Endangered Species (CITES), Global Invasive Species Programme (GISP), International Maritime Organization (IMO), International Union for Conservation of Nature (IUCN) and World Trade Organization (WTO).

3. The IPPC Secretariat reported on the development of a discussion paper on the application of IPPC standards to the aquatic environment, which is being prepared for alternative consideration by the Commission for Phytosanitary Measures in response to paragraph 2 of COP decision IX/4 A and paragraphs 14 and 60 of COP decision VIII/27. The report was welcomed by the LG-IAS.

4. The LG-IAS reiterated the need for increasing capacity to address the impact of invasive species on biodiversity and agreed to explore the possibility of collaborating to facilitate the implementation of existing international instruments relevant to invasive species issue.

5. Pursuant to COP decisions X/2 and X/38 (see annex 1 for the full text of decision X/38), the second meeting of the LG-IAS was held at the Secretariat of the WTO in Geneva, Switzerland from 14 to 15 February 2011, with the participation of the following secretariats: CBD, CITES, GISP, IPPC (also on behalf of FAO), IUCN, OIE and WTO.

6. The CBD Secretariat is organizing a series of regional workshops to review and update National Biodiversity Strategies and Action Plans (NBSAP) to meet the Strategic Plan for Biodiversity 2011-2020. The LG-IAS agreed to coordinate the activities on capacity building held under the different international organizations to maximize the use of existing instruments relevant to invasive alien species at the occasions of NBSAP workshops and regional workshops/training, as appropriate.

III. AD HOC TECHNICAL EXPERT GROUP MEETING ON ADDRESSING THE RISKS ASSOCIATED WITH THE INTRODUCTION OF ALIEN SPECIES AS PETS, AQUARIUM AND TERRARIUM SPECIES, AND AS LIVE BAIT AND LIVE FOOD

7. In accordance with terms of reference annexed to COP decision X/38, the AHTEG meeting on ‘addressing the risks associated with the introduction of alien species as pets, aquarium and terrarium species, and as live bait and live food’ discussed the provision of scientific and technical information, advice and guidance, on the possible development of standards by appropriate bodies that can be used at an international level to:

- (i) avoid the spread of invasive alien species that current international standards do not cover;
- (ii) address the identified gaps; and
- (iii) prevent the impacts and minimize the risks associated with the introduction of invasive alien species as pets, aquarium and terrarium species, as live bait and live food.

8. The AHTEG recognized the importance of the expansion of the activities and guidance into the environmental issues related to invasive alien species, including the aquatic environment, by the IPPC.

9. In the consideration of further activities by the IPPC as a standard-setting body recognized by the WTO SPS Agreement, the AHTEG suggested that IPPC could develop a supplement to ISPM11 (Pest Risk Analysis for Quarantine Pests including Analysis of Environmental Risks) that addresses invasive alien animal species that impact plants.

10. At the national level, the AHTEG recommended further collaboration between the focal points for the CBD, IPPC, OIE, Codex Alimentarius and WTO SPS Agreement to address the risks associated with the introduction of alien species.

11. The AHTEG recommended development of more detailed guidance for Parties on the drafting and implementation of national measures compatible with the WTO SPS Agreement and the principles contained in existing standards be considered.

IV. CARTAGENA PROTOCOL ON BIOSAFETY

12. The fifth meeting of the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety (COP-MOP) was held in Nagoya, Japan from 11-15 October 2010. The Parties adopted a number of decisions of relevance to the IPPC and the CPM (see annex 2 for the full text of the relevant decisions.)

13. In decision BS-V/6 on cooperation with other organizations, conventions and initiatives, the Parties to the Protocol welcomed the cooperation by the Executive Secretary with the International Plant Protection Convention. The Parties requested the Executive Secretary to continue participating in the relevant meetings of international standard-setting organizations, including the IPPC, and to maintain cooperation with organizations involved in packaging and transport rules and standards.

14. Decision BS-V/9 on ‘handling, transport, packaging and identification of living modified organisms: paragraph 3 of Article 18’ requested the Executive Secretary to continue following developments in standards related to the handling, transport, packaging and identification of living modified organisms and to report to the Parties at COP-MOP 6 on any such developments. The Parties also invited standard-setting bodies to form an electronic communications group with the CBD Secretariat to exchange information on activities relevant to the handling, transport, packaging and identification of LMOs being undertaken in each forum. The IPPC was also invited to collaborate with the CBD Secretariat

in the development of an explanatory document on the terminology of the Protocol in relation to the glossary of phytosanitary terms adopted by the CPM.

15. In decision BS-V/12 on ‘risk assessment and risk management’, the Parties to the Protocol welcomed the ‘Guidance on Risk Assessment of Living Modified Organisms’ produced through a collaborative effort between the open-ended online forum, in which the IPPC Secretariat took part, and the Ad Hoc Technical Expert Group on Risk Assessment and Risk Management. The Parties requested the Executive Secretary to coordinate with Parties and other Governments and relevant organizations, a review process of the first version of the Guidance and decided to extend the open-ended online forum and the AHTEG on Risk Assessment and Risk Management in accordance with the terms of reference annexed to decision BS-V/12. The IPPC is invited to participate actively in the review of the Guidance and to continue contributing to the discussions under the open-ended online forum. With regard to capacity-building in risk assessment of LMOs, the Parties to the Protocol welcomed the development of a training manual on ‘Risk Assessment of Living Modified Organisms’, in which the IPPC made a significant contribution, and requested the Executive Secretary to further improve the training manual in cooperation with relevant United Nations bodies. The review process of the training manual will start in the second half of 2011.

V. UNITED NATIONS DECADE ON BIODIVERSITY

16. Pursuant to COP decision X/8, the United Nations General Assembly proclaimed the period from 2011 to 2020 as the United Nations Decade on Biodiversity in its Resolution 65/161:

Decides, following the invitation of the tenth meeting of the Conference of the Parties to the Convention on Biological Diversity, to declare 2011-2020 the United Nations Decade on Biodiversity, with a view to contributing to the implementation of the Strategic Plan for Biodiversity for the period 2011-2020, requests the Secretary-General, in this regard, in consultation with Member States, to lead the coordination of the activities of the Decade on behalf of the United Nations system, with the support of the secretariat of the Convention on Biological Diversity and the secretariats of other biodiversity-related conventions and relevant United Nations funds, programmes and agencies, and invites Member States in a position to do so to contribute, on a voluntary basis, to the funding of the activities of the Decade;

17. The Decade coincides with and supports the implementation of the Strategic Plan for Biodiversity 2011-2020 (decision X/2). A strategy for the celebration of the Decade will be made available shortly.

18. In light of the above, the Secretariat of the CBD invites the Secretariat of the IPPC to join the celebration of the UN Decade on Biodiversity together with other UN agencies and to convey the information on the UN Decade on Biodiversity to Parties to the IPPC taking into account that cross-sectoral collaboration on addressing issues of invasive alien species at the regional and national levels is recognized as an important factor for successful implementation.

ANNEX 1

RELEVANT DECISION OF THE TENTH MEETING OF THE CONFERENCE OF THE PARTIES TO THE CONVENTION ON BIOLOGICAL DIVERSITY

X/38. *Invasive alien species*

The Conference of the Parties,

A. *Invasive alien species introduced as pets, aquarium and terrarium species, and as live bait and live food*

Pursuant to paragraph 10 of its decision IX/4,

1. *Takes note* of the information compiled by the Executive Secretary for addressing invasive alien species introduced as pets, aquarium and terrarium species, as live bait and live food, as summarized in the note prepared for the fourteenth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice;²

2. *Establishes* an ad hoc technical expert group (AHTEG) to suggest ways and means, including, *inter alia*, providing scientific and technical information, advice and guidance, on the possible development of standards by appropriate bodies that can be used at an international level to avoid spread of invasive alien species that current international standards do not cover, to address the identified gaps and to prevent the impacts and minimize the risks associated with the introduction of invasive alien species as pets, aquarium and terrarium species, as live bait and live food with the terms of reference annexed hereto; and *expresses its appreciation* to the Government of Spain for providing the financial assistance for the organization of the Expert Group;

3. *Requests* the Executive Secretary:

(a) To seek further submissions from Parties, other Governments and relevant organizations on examples of best practices for addressing invasive alien species introduced as pets, aquarium and terrarium species, and as live bait and live food;

(b) To convene meetings of the Ad Hoc Technical Expert Group established in paragraph 2 above, and to submit its report for consideration at a meeting of the Subsidiary Body on Scientific, Technical and Technological Advice prior to the eleventh meeting of the Conference of the Parties;

(c) To explore further ways and means to improve the capacity of Parties to address invasive alien species introduced as pets, aquarium and terrarium species, and as live bait and live food, including through consultation with secretariats of relevant biodiversity-related conventions and relevant international organizations such as the World Organisation for Animal Health (OIE), the Codex Alimentarius Commission, the International Plant Protection Convention (IPPC) and the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES);

B. *Other matters related to invasive alien species*

4. *Recognizes* the critical importance of regional collaboration to address the threat of invasive alien species, particularly as a means to enhance ecosystem resilience in the face of climate change;

² UNEP/CBD/SBSTTA/14/16/Rev.1.

5. *Welcomes* the report of the workshop “Helping Islands Adapt: A Workshop on Regional Action to Combat Invasive Alien Species on Islands to Preserve Biodiversity and Adapt to Climate Change” held in Auckland, New Zealand, from 11 to 16 April 2010³ and referred to in decisions IX/4 and IX/21;

6. *Recognizing* the threats to biodiversity of existing and potentially new invasive alien species, *urges* Parties and *encourages* other Governments to apply the precautionary approach with regards to the introduction, establishment and spread of invasive alien species, for agricultural and biomass production, including biofuel feedstocks, and for carbon sequestration, following the guiding principles on invasive alien species contained in the annex to decision VI/23*;

7. *Encourages* Parties and *invites* other Governments and organizations to consider ways and means to increase the interoperability of existing information resources, including databases and networks, of use in conducting risk and/or impact assessments and in developing early warning systems;

8. *Recalling* decisions VI/23*, VII/13, VIII/27 and IX/4, and *recognizing* the need to further facilitate and enhance the implementation of these decisions, particularly regarding the issue of mobility of people and goods referred therein, *requests* the Executive Secretary to follow-up with the secretariats of the bodies referred to those decisions, as well as the other biodiversity-related multilateral environmental agreements and regional organizations, as appropriate, taking into account also additional introduction pathways such as hunting and fishing, and the management of already established invasive alien species and threats from invasive alien genotypes;

9. *Further requests* the Executive Secretary to:

(a) Compile and distribute existing information (including guidelines on invasive alien species, possible examples of their management and related management responses) reconciling the need for adaptation of biodiversity and ecosystems to climate change as well as the need to prevent and minimize the risks of existing and potential invasive alien species and provide such information to Parties in all United Nations languages subject to available funding, through the clearing-house mechanism of the Convention and other means;

(b) Promote transboundary cooperation on the management of invasive alien species, in particular in river basins;

(c) Incorporate the progress and lessons learned on regional island collaboration to manage the threat of invasive alien species, including inter- and intra-regional exchanges and South-South cooperation, in the review of the programme of work on island biological diversity scheduled for the eleventh meeting of the Conference of the Parties;

(d) Ensure full and effective participation and of indigenous and local communities in addressing issues of invasive alien species for the purpose of utilizing the traditional knowledge;

10. *Welcomes* the participation of the secretariats of the International Plant Protection Convention, the World Organisation for Animal Health (OIE), the World Trade Organization, the

³ UNEP/CBD/SBSTTA/14/INF/29.

* One representative entered a formal objection during the process leading to the adoption of this decision and underlined that he did not believe that the Conference of the Parties could legitimately adopt a motion or a text with a formal objection in place. A few representatives expressed reservations regarding the procedure leading to the adoption of this decision (see UNEP/CBD/COP/6/20, paras. 294-324).

International Maritime Organization, the Food and Agriculture Organization of the United Nations and the Convention on International Trade in Endangered Species, as well as the International Union for Conservation of Nature (IUCN) and the Global Invasive Species Programme, in the inter-agency liaison group on invasive alien species, and encourages these organizations, as well as the International Civil Aviation Organization, to continue their collaboration with the Executive Secretary in line with paragraph 11 of decision IX/4 A;

11. *Welcomes* the responses from the secretariats of the International Plant Protection Convention, the World Organisation for Animal Health (OIE), the World Trade Organization and the Committee on Fisheries of the Food and Agriculture Organization of the United Nations (FAO) to the invitations to these bodies in, respectively, paragraphs 2, 3, 4 and 5 decision IX/4 A, setting out how they may address particular gaps and inconsistencies in the international regulatory framework on invasive alien species;

12. *Recalling* paragraph 6 of decision IX/4 A, *urges* Parties and other Governments to pursue these issues formally through their national delegations to these organizations;

13. *Requests* the Executive Secretary to report on progress on these matters, to the Subsidiary Body on Scientific, Technical and Technological Advice at a meeting prior to the eleventh meeting of the Conference of the Parties.

Annex

TERMS OF REFERENCE FOR THE AD HOC TECHNICAL EXPERT GROUP ON ADDRESSING THE RISKS ASSOCIATED WITH THE INTRODUCTION OF ALIEN SPECIES AS PETS, AQUARIUM AND TERRARIUM SPECIES, AND AS LIVE BAIT AND LIVE FOOD

1. In paragraph 2 of its decision X/38, the Conference of the Parties established an ad hoc technical expert group to suggest ways and means, including, inter alia, providing scientific and technical information, advice and guidance, on the possible development of standards by appropriate bodies that can be used at an international level to avoid spread of invasive alien species that current international standards do not cover, to address the identified gaps and to prevent the impacts and minimize the risks associated with the introduction of invasive alien species as pets, aquarium and terrarium species, as live bait and live food with the present terms of reference; and expressed its appreciation to the Government of Spain for providing the financial assistance for the organization of the AHTEG.

2. More specifically, the Ad Hoc Technical Expert Group will identify and consider relevant, specific, and concrete tools, voluntary codes of practice, methodologies, guidance, best-practice examples and instruments, including possible regulatory mechanisms, for addressing the risks associated with the introduction of alien species as pets, aquarium and terrarium species, and as live bait and live food, including for:

- (a) Controlling, monitoring, and prohibiting, where appropriate, export, import and transit, at local, national, and regional levels, taking into account national legislations, where applicable;
- (b) Controlling internet trade, associated transport, and other relevant pathways;
- (c) Developing and utilizing risk assessments and risk management;
- (d) Developing and utilizing early-detection and rapid response systems;
- (e) Regulating the export, import and transit of potentially invasive alien species traded as pets likely to be released;

- (f) Public awareness-raising and information dissemination;
- (g) Transboundary and where appropriate, regional cooperation and approaches.

3. In addition, the Ad Hoc Technical Expert Group will consider ways to increase the interoperability of existing information resources including databases and networks, of use in conducting risk and/or impact assessments and in developing early-detection and rapid response systems.

4. The Ad Hoc Technical Expert Group will make its suggestions drawing on:

(a) Information provided by, *inter alia*, Parties, other Governments, non-governmental organizations and the private sector, relevant national, regional, and international organizations, and secretariats of relevant international conventions;

(b) Information gathered at the expert workshop on best practices for pre-import screening of live animals in international trade,⁴ held in Indiana, United States of America, from 9 to 11 April 2008;

(c) The TEMATEA issue-based module on invasive alien species;

(d) International, national and regional databases on invasive alien species;

(e) Sections II and III of the note by the Executive Secretary on further work on gaps and inconsistencies in the international regulatory framework on invasive alien species, particularly species introduced as pets, aquarium and terrarium species, as live bait and live food, and best practices for addressing the risks associated with their introduction;⁵

(f) Other relevant scientifically-sound information, particularly information from scientific experts, universities, and relevant institutions.

5. The Ad Hoc Technical Expert Group will be established in accordance with the procedures outlined in the consolidated modus operandi of SBSTTA (decision VIII/10, annex III) taking into account the need to draw upon the experience of relevant international organizations, including the International Plant Protection Convention (IPPC), the World Organization for Animal Health (OIE), the Committee on Sanitary and Phytosanitary Measures of the World Trade Organization (WTO-SPS), the International Civil Aviation Organization (ICAO), the Convention on International Trade in Endangered Species of Fauna and Flora (CITES), the International Maritime Organization (IMO), the World Customs Organization; the Food and Agriculture Organization of the United Nations and the International Union for Conservation of Nature (IUCN), organizations managing databases on invasive alien species, industry organizations and Global Invasive Species Programme (GISP).

6. The Ad Hoc Technical Expert Group will meet as required to complete its task, subject to the availability of financial resources, and also work through correspondence and teleconferences.

7. The Ad Hoc Technical Expert Group will report to a meeting of SBSTTA prior to the eleventh meeting of the Conference of the Parties to the Convention on Biological Diversity.

⁴ UNEP/CBD/COP/9/INF/32/Add.1.

⁵ UNEP/CBD/SBSTTA/14/16/Rev.1.

ANNEX 2

RELEVANT DECISIONS OF THE FIFTH MEETING OF THE CONFERENCE OF THE PARTIES SERVING AS THE MEETING OF THE PARTIES TO THE CARTAGENA PROTOCOL ON BIOSAFETY

BS-V/6. Cooperation with other organizations, conventions and initiatives

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

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

Welcoming also the cooperation by the Executive Secretary with the Green Customs Initiative, the World Trade Organization, the Organisation for Economic Co-operation and Development, the International Plant Protection Convention and the Aarhus Convention on Access to Information, Public Participation in Decision-Making and Access to Justice in Environmental Matters among others,

Underlining that effective implementation of the Protocol, including in the area of public awareness and participation, can be fostered through greater cooperation and coordination among relevant organizations, multilateral agreements and initiatives,

Recognizing the importance of coherence among relevant instruments within the larger context of international environmental governance and in relation, in particular, to the Convention on Biological Diversity and the Cartagena Protocol on Biosafety,

1. *Commends* the Executive Secretary on his sustained efforts to strengthen cooperation with other organizations, in particular with the World Trade Organization, and *requests* the Executive Secretary to further intensify efforts to gain observer status in the World Trade Organization committees on Sanitary and Phytosanitary Measures and Technical Barriers to Trade;

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

(a) Pursue memoranda of understanding with the International Organization for Standardization and the International Seed Testing Association to further cooperation with these organizations in the context of Article 18;

(b) Continue participating in the relevant meetings of the international standard-setting organizations referred to in decision BS-II/6;

(c) Cooperate with other organizations, conventions and initiatives that are developing work on information-sharing mechanisms with the aim of: (i) identifying possible linkages; and (ii) avoiding, as appropriate, the development of incompatible or duplicate data-sets and guaranteeing the reliability of the information provided;

(d) Maintain cooperation with organizations involved in packaging and transport rules and standards.

BS-V/9. *Handling, transport, packaging and identification of living modified organisms: paragraph 3 of Article 18*

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

Recalling paragraph 3 of Article 18 of the Protocol on the consideration of the need for and modalities of developing standards with regard to identification, handling, packaging and transport practices for transboundary movements of living modified organisms,

Recalling also its decision BS-IV/10,

Welcoming the outcomes from the Online Forum on Standards for Shipments of Living Modified Organisms,

1. *Requests* the Executive Secretary to:
 - (a) Continue following developments in standards related to the handling, transport, packaging and identification of living modified organisms and to report to the Parties at their sixth meeting on any such developments. The report should include information on developments in standard-setting on the sampling and detection of living modified organisms;
 - (b) Disseminate the results of the Online Forum on Standards for Shipments of Living Modified Organisms, including information about potential gaps in international standards, to relevant organizations;
 - (c) Organize regional workshops for: (i) heads of laboratories involved in the detection of living modified organisms to exchange information and experience on the implementation of relevant standards and methods; and (ii) customs officers requiring capacity in the sampling and detection of living modified organisms further to paragraph 10 of decision BS-III/10 and paragraph 3 of decision BS-IV/9;
 - (d) Commission a study to analyse information on existing standards, methods and guidance relevant to the handling, transport, packaging and identification of living modified organisms and to make the study available for consideration by the sixth meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol. This study should address in particular:
 - (i) Possible gaps in existing standards, guidance and methods;
 - (ii) Ways to facilitate cooperation with relevant organisations;
 - (iii) Guidance on the use of existing international regulations and standards;
 - (iv) The possible need for the elaboration of standards for handling, transport, packaging and identification of living modified organisms;
2. *Invites* standard-setting bodies to form an electronic communications group with the Secretariat of the Convention on Biological Diversity to exchange information on activities relevant to the handling, transport, packaging and identification of living modified organisms being undertaken in each forum;
3. *Invites* the International Plant Protection Convention to collaborate with the Secretariat of the Convention on Biological Diversity in the development of an explanatory document on the

terminology of the Protocol in relation to the glossary of phytosanitary terms adopted by the Commission on Phytosanitary Measures;

4. *Requests* Parties and *encourages* other Governments and relevant organizations, as appropriate, to make available to the Biosafety Clearing-House information on:

(a) Standards relevant to the handling, transport, packaging and identification of living modified organisms;

(b) Existing guidance on the use of relevant international standards;

(c) Methods for the detection and identification of living modified organisms;

5. *Invites* Parties to nominate national and international reference laboratories with the view to establishing, through the Biosafety-Clearing House, an electronic network of laboratories to facilitate the identification of living modified organisms as well as the sharing of information and experiences.

BS-V/12. Risk assessment and risk management (Articles 15 and 16)

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

Recalling its decision BS-IV/11 on risk assessment and risk management,

I. Further guidance on specific aspects of risk assessment

1. *Commends* the use of innovative methods under the open-ended online forum on risk assessment and risk management as an efficient means to maximize the use of limited financial resources;

2. *Takes note* of the conclusions and recommendations of the open-ended online forum and the Ad Hoc Technical Expert Group on Risk Assessment and Risk Management and *welcomes* the resulting Guidance on Risk Assessment of Living Modified Organisms (hereinafter referred to as the Guidance);

3. *Notes* that the Guidance is a document in evolution and that its objective is to provide a reference that may assist Parties and other Governments in implementing the provisions of the Protocol with regards to risk assessment, in particular its Annex III and, as such, this Guidance is not prescriptive and does not impose any obligations upon the Parties;

4. *Decides* to extend the current open-ended online forum and the Ad Hoc Technical Expert Group on Risk Assessment and Risk Management in accordance with the terms of reference annexed hereto;

5. *Urges* Parties and invites other Governments and relevant organizations to nominate further experts with experience relevant to risk assessment to the open-ended online forum and to actively participate in the online discussions;

6. *Further notes* that the first version of the Guidance requires further scientific reviewing and testing to establish its overall utility and applicability to living modified organisms of different taxa introduced into different environments, and requests the Executive Secretary to, prior to the first meeting of the Ad Hoc Technical Expert Group on Risk Assessment and Risk Management, (i) translate the first version of the Guidance into all United Nations languages with a view to enabling a large number of

experts to take part in the reviewing process; (ii) coordinate with Parties and other Governments, through their technical and scientific experts, and relevant organizations, a review process of the first version of the Guidance; (iii) make the comments of the review process available through the Biosafety-Clearing House;

7. *Requests* the Executive Secretary to convene, prior to the sixth meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol, (i) *ad hoc* discussion groups and real-time online conferences under the open-ended online forum, and (ii) two meetings of the Ad Hoc Technical Expert Group, and to compile the views and recommendations submitted by participants in the online forum for consideration by the Parties;

8. *Further requests* the Executive Secretary to: (i) update the common format for submission of records to the Biosafety Information Resources Centre in order to link its records on risk assessment to specific sections of the Guidance; and (ii) explore possible ways to link background materials available in the “Scientific Bibliographic Database on Biosafety” to specific sections of the Guidance;

II. Capacity-building in risk assessment

Welcoming the development of a training manual on risk assessment of living modified organisms,

Welcoming also the reports of the Pacific Subregional Workshop on Capacity-building and Exchange of Experiences on Risk Assessment (UNEP/CBD/BS/COP-MOP/5/INF/16) held in Nadi, Fiji and of the Asian Subregional Training Course on Risk Assessment of Living Modified Organisms (UNEP/CBD/BS/COP-MOP/5/INF/17) held in Siem Reap, Cambodia and taking note of their recommendations,

9. *Requests* the Executive Secretary to:

(a) Submit the training manual to experts and other reviewers from Parties and other Governments for an assessment of its effectiveness;

(b) Convene, at the earliest convenient date, further regional or subregional training courses to enable countries to gain hands-on experience in the preparation and evaluation of risk assessment reports in accordance with the relevant articles and Annex III of the Protocol, and to further test the first version of the Guidance and make the results of the testing available through the Biosafety-Clearing House;

(c) Improve the training manual “Risk Assessment of Living Modified Organisms” in cooperation with relevant United Nations bodies, other relevant organizations and expert reviewers by revising it on the basis of the recommendations provided during the regional and subregional capacity-building activities and feedback from Parties, in such a way that any further improvements of the training manual, on the one hand, and of the Guidance through the process outlined in paragraph 6 above, on the other hand, is made in a coherent and complementary manner;

(d) Develop an interactive learning tool based on the training manual, and make it available through the Biosafety Clearing-House in all United Nations languages with the view to developing a more cost-effective way for delivering training on risk assessment;

III. Identifying 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

Welcoming the views submitted by Parties, other Government and relevant organizations regarding the identification of 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 and acknowledging the challenges in harmonizing the divergent views,

Welcoming also the recommendations by the Ad Hoc Technical Expert Group on Risk Assessment and Risk Management regarding possible modalities for cooperation in identifying 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, in particular the implementation of a step-wise approach for this purpose that starts with the exchange of information,

10. *Urges* Parties and invites other Governments to submit to the Biosafety Clearing-House decisions and risk assessments where potential adverse effects have been identified, as well as any other relevant information that may assist Parties in the identification of 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, including information, if possible, when a decision is not taken due to the potential of a living modified organism to cause adverse effects when introduced into specific environments;

11. *Requests* the Executive Secretary to compile the information for consideration by the Parties at their sixth meeting;

IV. Identifying living modified organisms that are not likely to have adverse effects on the conservation and sustainable use of biological diversity, taking also into account risks to human health

Recalling the provisions of the medium-term programme of work, decision BS-I/12 paragraph 7 (a) (i), to consider a modality that might enable the identification of living modified organisms that are not likely to have adverse effects on the conservation and sustainable use of biological diversity, taking also into account risks to human health, with a view to arriving at a decision in accordance with paragraph 4 of Article 7,

12. *Requests* Parties and invites other Governments and relevant organizations to submit to the Executive Secretary (i) information on risk assessments, carried out on a case-by-case basis with regards to the receiving environment of the living modified organism, that might assist Parties in the identification of living modified organisms that are not likely to have adverse effects on the conservation and sustainable use of biological diversity, taking also into account risks to human health, and (ii) the criteria that were considered for the identification of such living modified organisms;

13. *Requests* the Executive Secretary to compile the information received and prepare a synthesis report for consideration by the Parties at their sixth meeting.

Annex

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

Methodology

1. The open-ended online forum and the Ad Hoc Technical Expert Group on Risk Assessment and Risk Management shall work primarily online to (i) revise and test the first version of the Guidance on the basis of the results of the scientific review process, the testing associated with capacity-building activities and any testing initiated by the Ad Hoc Technical Expert Group and organized by the Executive Secretary, and (ii) assess the overall applicability and utility of the Guidance to living modified organisms across different taxa and receiving environments, with the view to achieving the expected outcomes outlined below;

2. The Ad Hoc Technical Expert Group on Risk Assessment and Risk Management shall meet twice face-to-face prior to the sixth meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol;

Expected outcomes

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

- (a) A revised version of the Guidance on Risk Assessment of Living Modified Organisms”;
- (b) A mechanism, including criteria, for future updates of the lists of background materials;
- (c) Further guidance on new specific topics of risk assessment, selected on the basis of the priorities and needs by the Parties and taking into account the topics identified in the previous intersessional period;

Reporting

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