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IMPLEMENTATION PLAN AND CAPACITY-BUILDING ACTION PLAN FOR THE CARTAGENA PROTOCOL

Note by the Executive Secretary

I. INTRODUCTION

1. In its decision [BS-V/16](#), the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol (COP-MOP) adopted the Strategic Plan for the Cartagena Protocol on Biosafety for the period 2011-2020. In its decision [BS-VI/3](#), the Conference of the Parties serving as the meeting of the Parties to the Protocol adopted the Framework and Action Plan for Capacity-Building for the Effective Implementation of the Cartagena Protocol.

2. In its decision [CP-9/7](#), the Conference of the Parties serving as the meeting of the Parties to the Protocol stressed the necessity of developing a specific implementation plan for the Cartagena Protocol on Biosafety (implementation plan) as a follow-up to the Strategic Plan for the Cartagena Protocol on Biosafety for the period 2011-2020. The Conference of the Parties serving as the meeting of the Parties to the Protocol decided to develop an implementation plan that is anchored in and complementary to the post-2020 global biodiversity framework, and outlined a process for its development.

3. In decision [CP-9/3](#), the Conference of the Parties serving as the meeting of the Parties to the Protocol acknowledged the need for a specific action plan for capacity-building for the implementation of the Cartagena Protocol and its Supplementary Protocol (capacity-building action plan) that is aligned with the implementation plan and complementary to the long-term strategic framework for capacity-building beyond 2020 (decision [14/24](#)) and agreed on an indicative schedule of activities for its development.

4. Pursuant to decisions [CP-9/3](#) and CP-9/7, the draft implementation plan and capacity-building action plan have been developed through an extensive consultative process involving, among others, the submission of views, open-ended online discussions, review by the Liaison Group on the Cartagena Protocol, as well as a review process by Parties and observers.

5. In decisions CP-9/7 and CP-9/3, the Executive Secretary was requested to submit the implementation plan and the capacity-building action plan to the Subsidiary Body on Implementation for consideration at its third meeting.

6. Section II of this note presents an overview of the process of developing the draft implementation plan and capacity-building action plan. The text of the draft implementation plan and capacity-building action plan are contained in the annex to the present document.

* [CBD/SBI/3/1](#).

7. In addition, in decision CP-9/7, the Conference of the Parties serving as the meeting of the Parties to the Protocol stressed the importance of including biosafety in the post-2020 global biodiversity framework. Section III of this document describes some linkages with the development of the post-2020 global biodiversity framework and related processes.

8. Section IV provides suggested recommendations for the Subsidiary Body on Implementation.

II. OVERVIEW OF THE DEVELOPMENT PROCESS OF THE IMPLEMENTATION PLAN AND CAPACITY BUILDING ACTION PLAN

A. Submission of views

9. Following decisions CP-9/7 and CP-9/3, the Executive Secretary invited the submission of views on the structure and content of the implementation plan and possible elements for the capacity-building action plan.¹

10. A total of 28 submissions were received, of which 22 were from Parties, one from another Government, one from an organization representing indigenous peoples and local communities and four from other organizations.² A synthesis of the submissions was presented to the Liaison Group on the Cartagena Protocol at its thirteenth meeting (CBD/CP/LG/2019/1/INF/1).

B. Preparation of draft implementation plan

11. On the basis of the submissions received, the Secretariat prepared a draft of the Implementation Plan. The Secretariat also took into consideration the guidance provided by the Conference of the Parties serving as the meeting of the Parties to the Protocol in its decision CP-9/7, paragraph 6, in which it had decided that the implementation plan would: (a) be developed as an implementation tool; (b) reflect the elements of the Strategic Plan for the Cartagena Protocol for the period 2011-2020 that are still relevant; (c) include new elements reflecting lessons learned and new developments relevant to biosafety; (d) ensure sufficient flexibility to account for developments during the implementation period; and (e) comprise indicators that are simple and easily measurable to facilitate the review of progress in the implementation of the Protocol. The Secretariat also took into account the guidance provided in decision CP-VIII/15 on the streamlining, simplification and measurability of indicators.

12. The draft implementation plan included those elements of the current Strategic Plan that, according to the submissions, continued to be relevant, as well as some proposed new elements. The draft addressed proposals to avoid some of the redundancy in the current Strategic Plan and took into account suggestions to focus on a reduced number of achievable goals. The goals were grouped together into two areas: “areas of implementation” and “enabling environment”.³

C. Open-ended online discussions

13. Open-ended online discussions on the draft implementation plan were held on the Biosafety Clearing-House (BCH) from 8 to 22 July 2019.⁴ A total of 109 participants from 28 Parties, 4 non-Parties, and 11 organizations were nominated and registered as participants in the discussions.⁵

14. The views expressed were generally supportive of the draft implementation plan, including its structure and the division of the goals between “areas for implementation” and “enabling environment”.

¹ [Notification 2019-027](#), dated 28 February 2019.

² The submissions can be accessed at <http://bch.cbd.int/protocol/post2020/submissions.shtml>

³ The draft implementation plan for the Cartagena Protocol was made available for consideration during open-ended online discussions and is available here: <https://bch.cbd.int/post%202020/implementationplan.pdf?download>

⁴ The full text of all the interventions and proposals shared by the participants during the online discussions is available at <http://bch.cbd.int/protocol/post2020/ForumImplementationPlan.shtml>

⁵ The list of participants is available at: <http://bch.cbd.int/protocol/post2020/0002.shtml>

D. Thirteenth meeting of the Liaison Group

15. The thirteenth meeting of the Liaison Group was held from 22 to 25 October 2019. In preparation for the meeting, the Executive Secretary revised the draft implementation plan based on the input provided during the open-ended online discussions. The revised draft implementation plan was presented to the Liaison Group in document CBD/CP/LG/2019/1/3. A report of the online discussions was also made available (CBD/CP/LG/2019/1/INF/2).

16. The Executive Secretary also developed a draft capacity-building action plan, based on the views submitted in response to [notification 2019-027](#), and considering the relevant activities from the Framework and Action Plan for Capacity-Building for the Effective Implementation of the Cartagena Protocol (2012-2020), as well as activities outlined in the programme of work on public awareness, education and participation.⁶

17. The draft capacity-building action plan was presented in alignment with the goals of the revised draft implementation plan to show the complementarity of the two plans and to stress the linkage between the goals of the implementation plan and the related capacity-building activities needed to support Parties in achieving these goals. The draft capacity-building action plan was presented to the Liaison Group in document CBD/CP/LG/2019/1/4.

18. The Liaison Group reviewed both the revised draft post-2020 implementation plan and the draft capacity-building action plan and provided the Executive Secretary with advice on their further development.⁷

E. Review of the draft implementation plan and capacity-building action plan

19. Taking into consideration the advice from the Liaison Group, the Secretariat again revised the draft implementation plan and capacity-building action plan, adding a joint introductory text and presenting the tabular parts of the two plans alongside one another to show their alignment and complementarity and to avoid duplication.

20. The draft plans were made available online in December 2019 and Parties, other Governments, indigenous peoples and local communities and relevant organizations were invited to review the draft plans and to submit comments to the Secretariat.⁸ Twenty-five submissions were received in response, of which 15 were from Parties, 3 from other Governments and 7 from organizations.⁹

F. Fourteenth meeting of the Liaison Group

21. Based on the submissions received through the review process, the Secretariat further revised the draft implementation plan and capacity-building action plan, mainly to clarify terms and improve consistency. The revised draft was presented to the Liaison Group, at its fourteenth meeting, held from 20 to 23 April 2020.

22. Pursuant to decision CP-9/3, the Liaison Group focused its review on the capacity-building action plan, taking also into consideration the information from the fourth national reports and the preliminary outcomes of the fourth assessment and review of the Protocol and the final evaluation of the Strategic Plan. It provided further advice to the Executive Secretary in this regard.¹⁰

⁶ The programme of work on public awareness, education and participation was adopted in decision BS-V/13 and extended until 2020 through decision CP-VIII/18.

⁷ See the report on the thirteenth meeting of the Liaison Group, CBD/CP/LG/2020/1/6.

⁸ See notification 2019-110 dated 5 December 2019. The text of the draft implementation plan and capacity-building action plan that were made available for review in December 2019 are available here: https://bch.cbd.int/post%202020/plans_review.pdf.

⁹ The submissions are available at <https://bch.cbd.int/protocol/post2020/portal/SubmissionsReview.shtml>

¹⁰ See the report on the fourteenth meeting of the Liaison Group, CBD/CP/LG/2020/4.

G. Preparation of the final draft implementation plan and capacity-building action plan

23. Based on the input provided by the Liaison Group, at its fourteenth meeting, the Secretariat developed the final draft implementation plan for the Cartagena Protocol and capacity-building action plan, as contained in the annex to the present note, for consideration by the Subsidiary Body on Implementation, at its third meeting.

III. LINKAGE WITH THE POST-2020 GLOBAL BIODIVERSITY FRAMEWORK AND RELATED PROCESSES

24. In decision CP-9/7, the Conference of the Parties serving as the meeting of the Parties welcomed decision 14/34 of the Conference of the Parties and stressed the importance of including biosafety in the post-2020 global biodiversity framework and decided that the post-2020 implementation plan for the Cartagena Protocol should be anchored in and complementary to the post-2020 global biodiversity framework.

25. Pursuant to decision CP-9/7, the Liaison Group, at its thirteenth meeting, contributed to the development of the relevant elements of the biosafety component in the post-2020 global biodiversity framework. The suggested elements for the biosafety component were transmitted to the Co-Chairs of the Open-Ended Working Group on the Post-2020 Global Biodiversity Framework, who used it to develop the zero draft of the post-2020 global biodiversity framework. The zero draft was discussed at the second meeting of the Open-Ended Working Group, held in Rome from 24 to 29 February 2020.

26. The post-2020 global biodiversity framework, including its target on biosafety, is being revised by the Co-Chairs in the light of the discussions of the Open-Ended Working Group. Further information on the process towards the post-2020 global biodiversity framework and the related agenda items to be considered at the third meeting of the Subsidiary Body on Implementation is provided in document CBD/SBI/3/4.

27. The inclusion of biosafety in the post-2020 global biodiversity framework underlines the linkage between biosafety and biodiversity. It also helps in strengthening the linkage between biosafety and wider frameworks, including the Sustainable Development Goals. These linkages can contribute to biosafety being included in national strategies for implementation of the global biodiversity framework, such as national biodiversity strategies and action plans, and in frameworks and initiatives for implementation of the Sustainable Development Goals.¹¹

28. In decision CP-9/3, the Conference of the Parties serving as the meeting of the Parties acknowledged the need for a specific action plan for capacity-building for implementation of the Cartagena Protocol and its Supplementary Protocol that is aligned with the implementation plan and complementary to the long-term strategic framework for capacity development.

29. The Liaison Group, at its thirteenth meeting, noted that a number of general elements and approaches related to the capacity-building action plan under the Cartagena Protocol could be addressed in the long-term framework for capacity development.

30. The Liaison Group recognized that it would be beneficial for the implementation plan and the capacity-building action plan to be acknowledged in the post-2020 processes under the Convention. It also recognized that Parties to the Cartagena Protocol could facilitate this through their proactive involvement in the post-2020 processes under the Convention. It stressed the importance of making reference to the capacity-building action plan in the draft long-term strategic framework, to ensure that its linkages to the Protocol and biosafety issues are clear.

¹¹ Such as the United Nations Sustainable Development Cooperation Framework and the National Development Assistance Frameworks. See also the document on the linkages between the post-2020 global biodiversity framework and the 2030 Agenda for Sustainable Development prepared for the twenty-fourth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice (CBD/SBSTTA/24/3 and Add.1).

IV. SUGGESTED RECOMMENDATIONS

31. The Subsidiary Body on Implementation may wish to review the draft implementation plan for the Cartagena Protocol and capacity-building action plan, as contained in the annex to the present document.

32. The draft decision below has been developed for consideration by the Subsidiary Body on Implementation. It is expected that additional elements for the draft decision related to the post-2020 global biodiversity framework and the long-term strategic framework for capacity development will be elaborated in the context of discussions on those two documents and would be incorporated into the draft decision that is presented to the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol at its tenth meeting.

33. The Subsidiary Body on Implementation may wish to recommend that the Conference of the Parties serving as the meeting of the Parties to the Protocol, at its tenth meeting, adopt a decision along the following lines:

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

Recalling decision CP-9/7, in which it decided to develop an implementation plan for the Cartagena Protocol that is anchored in and complementary to the post-2020 global biodiversity framework,

Also recalling decision CP-9/3, in which it acknowledged the need for a specific action plan for capacity-building for implementation of the Cartagena Protocol and its Supplementary Protocol that is aligned with the implementation plan and complementary to the long-term strategic framework for capacity development to support implementation of the post-2020 global biodiversity framework,

Welcoming the contribution to the development of the implementation plan and capacity-building action plan by the Liaison Group on the Cartagena Protocol, and the review by the Subsidiary Body on Implementation,

Recognizing the complementarity of the implementation plan and capacity-building action plan to the post-2020 global biodiversity framework and the long-term strategic framework for capacity development to support implementation of the post-2020 global biodiversity framework,

1. *Adopts* the implementation plan and capacity-building action plan 2021-2030 as contained in the annex to the present decision;

2. *Urges* Parties and *invites* other Governments to review and align, as appropriate, their national action plans and programmes relevant to the implementation of the Protocol, including their national biodiversity strategies and action plans, with the implementation plan and capacity-building action plan;

3. *Also urges* Parties and *invites* other Governments and donors to allocate adequate resources necessary to expedite the implementation of the implementation plan and capacity-building action plan, and *recognizes* in particular the role of the Global Environment Facility as the financial mechanism for the Protocol;

4. *Decides* that the baseline for the implementation plan and capacity-building action plan shall comprise information gathered in the fourth reporting cycle;¹²

5. *Requests* the Executive Secretary to include in the reporting format for the fifth national report on the implementation of the Cartagena Protocol on Biosafety questions designed to elicit information on the indicators of the implementation plan and capacity-building action plan;

6. *Decides* to conduct a mid-term evaluation of the implementation plan and capacity-building action plan in conjunction with the fifth assessment and review.

¹² See CBD/SBI/3/3/Add.1.

*Annex***IMPLEMENTATION PLAN FOR THE CARTAGENA PROTOCOL AND CAPACITY-BUILDING ACTION PLAN (2021-2030)****I. PURPOSE OF THE IMPLEMENTATION PLAN AND THE CAPACITY-BUILDING ACTION PLAN**

1. The Implementation Plan has been developed as a framework of broad desirable achievements and accomplishments to help guide Parties in their implementation of the Protocol and measure progress in this regard for the period 2021-2030.
2. The purpose of the Capacity-building Action Plan is to facilitate the development and strengthening of the capacities of Parties to implement the Protocol by: (a) identifying key areas for capacity-building related to the different goals of the Implementation Plan; (b) facilitating the engagement of partners, including donors; (c) fostering a coherent and coordinated approach to capacity-building for the implementation of the Protocol; and (d) promoting regional and international cooperation and coordination. The Capacity-building Action Plan covers the same period as the Implementation Plan, from 2021 to 2030.

3. The Implementation Plan is directed primarily at Parties. Nonetheless, it is recognized that non-Parties and stakeholders from different sectors, organizations, indigenous peoples and local communities and donors can support the implementation of the Protocol and the undertaking of capacity-building activities, including those outlined in the Capacity-building Action Plan.

II. LINKAGE WITH THE POST-2020 GLOBAL BIODIVERSITY FRAMEWORK, THE LONG-TERM STRATEGIC FRAMEWORK FOR CAPACITY-BUILDING FOR THE CONVENTION AND ITS PROTOCOLS AND THE 2030 AGENDA FOR SUSTAINABLE DEVELOPMENT

4. The Implementation Plan is anchored in and complementary to the post-2020 global biodiversity framework, as its goals, objectives and outcomes contribute to achieving the framework's 2050 vision — "By 2050, biodiversity is valued, conserved, restored and wisely used, maintaining ecosystem services, sustaining a healthy planet and delivering benefits essential for all people" — and its mission — "To take urgent action across society to put biodiversity on a path to recovery for the benefit of planet and people". The Implementation Plan is intended to facilitate the implementation of the Cartagena Protocol and is addressed to Parties to the Cartagena Protocol. The Implementation Plan can also support and guide Parties in meeting goals and targets relevant to biosafety within the post-2020 global biodiversity framework.

5. The Capacity-building Action Plan has been developed in alignment with the Implementation Plan, outlining examples of capacity-building activities for each goal of the Implementation Plan. The Action Plan is complementary to the Implementation Plan as the capacity-building activities can support the achievement of the goals and outcomes of the Implementation Plan. In addition, in order to ensure alignment and avoid possible duplication, goal B.1. of the Implementation Plan addresses capacity-building in general and refers to the specific capacity-building activities outlined throughout the Capacity-Building Action Plan.

6. The Capacity-building Action Plan is complementary to the long-term strategic framework for capacity development. The latter addresses a number of aspects of relevance to the Capacity-building Action Plan, such as general principles, approaches and strategies for enhancing capacity development, that should be taken into consideration when planning capacity-building activities based on the Capacity-building Action Plan. [To be further updated in the light of the development of the long-term strategic framework for capacity development to support implementation of the post-2020 global biodiversity framework.]

7. The Implementation Plan and Capacity-Building Action Plan can also help to support Parties to achieve the Sustainable Development Goals, including for example Goals 2 (to end hunger, achieve food security and improved nutrition, and provide sustainable agriculture) and 3 (ensure healthy lives and promote well-being for all at all ages).

III. STRUCTURE OF THE IMPLEMENTATION PLAN AND THE CAPACITY-BUILDING ACTION PLAN

8. In the Appendix, a tabular overview of the goals, objectives, indicators and outcomes of the Implementation Plan is presented alongside the key areas for capacity-building and the examples of capacity-building activities of the Capacity-building Action Plan. This presentation is intended to show the alignment and complementarity between the two plans and to avoid duplication.

A. Implementation Plan

9. The Implementation Plan outlines *goals*, representing broad desirable achievements by Parties. The goals of the Implementation Plan are organized according to “areas of implementation” and “enabling environment”. The “areas of implementation” consist of goals concerning key elements for the implementation of the Protocol. The “enabling environment” comprises cross-cutting goals related to providing support for implementation, i.e. capacity-building, resource mobilization, cooperation, and public awareness, education and participation. The goals under the “enabling environment” represent cross-cutting achievements that benefit a variety of implementation-related goals and can be read in conjunction with the goals related to “areas for implementation”. Each goal includes corresponding objectives, outcomes and indicators.

10. The *objectives* describe key accomplishments to achieve the goal to which they relate. The objectives are not intended to provide an exhaustive list of accomplishments that may be relevant for the goal. The objectives follow the provisions in the Protocol, including both obligations and other provisions, and guidance provided through decisions of the Conference of the Parties serving as the meeting of the Parties to the Protocol. Most goals include multiple objectives.

11. The *indicators* are designed to measure progress towards the objectives. The indicators are intended to be simple, measurable and relevant to the associated objective.

12. The *outcomes* describe what the effect will be of achieving the goal.

B. Capacity-building Action Plan

13. The Capacity-building Action plan outlines *key areas for capacity building* related to each goal of the Implementation Plan. The key areas for capacity-building are aligned with the objectives of the Implementation Plan and include areas for which capacity-building activities are suggested.

14. The Action Plan also provides a list of examples of *capacity-building activities*, which were developed taking into consideration the capacity-building activities of continuing relevance included in, among others, the Framework and Action Plan for Capacity-Building for the Effective Implementation of the Cartagena Protocol (2012-2020), and the programme of work on public awareness, education and participation.¹³ Some key areas for capacity-building and capacity-building activities are relevant to multiple goals. This is the case with goals A.6, A.7 and A.8, related to different aspects of detection and identification of living modified organisms. Accordingly, the key areas for capacity-building and the capacity-building activities are presented as applying to the three goals.

15. The key areas and capacity-building activities outlined in the Capacity-Building Action Plan are not meant to be prescriptive or exhaustive. The key areas for capacity-building are meant as indicative areas in which capacities may be needed, and on which capacity-building interventions may focus, depending on national circumstances and needs. The capacity-building activities are examples of the kinds of activities that could be undertaken in order to achieve the goals and outcomes of the Implementation Plan. It is recognized that national and regional needs and circumstances should ultimately determine the design and delivery of capacity-building activities, taking also into consideration the strategic guidance provided in the long-term strategic framework for capacity-building, as appropriate.

¹³ BS-V/13, annex and BS-VI/3, respectively.

16. Information on capacity-building activities undertaken or capacity-building resources or materials developed in the context of the Capacity-Building Action Plan should be shared through the Biosafety Clearing-House.

Capacity-building providers and target audiences

17. The capacity-building activities can be carried out at various levels, including at the national, regional and global levels.

18. A range of actors may be involved in facilitating the delivery of capacity-building activities, including governments, research organizations, non-governmental organizations, the private sector and the Secretariat. The identification of actors in this respect depends largely on national circumstances, needs and priorities. Against this background, the capacity-building activities outlined in the table below do not identify the actors who could carry out the capacity-building activities.

19. Similarly, a range of target audiences may benefit from specific capacity-building activities, depending on national circumstances, needs and priorities. These audiences could include policymakers, administrative authorities, laboratory technicians and customs officers among others.

20. When designing capacity-building interventions within the areas for capacity-building or based on the examples of activities outlined in the Capacity-Building Action Plan, actors and target audiences should be identified. As set out in the goals under the “enabling environment” of the Implementation Plan and the Capacity-building Action Plan, cooperation and collaboration as well as the provision of adequate resources are prerequisites for undertaking capacity-building activities in support of the implementation of the Protocol.

C. Component on the Nagoya – Kuala Lumpur Supplementary Protocol on Liability and Redress

21. The Nagoya – Kuala Lumpur Supplementary Protocol on Liability and Redress was adopted by the Conference of the Parties serving as the meeting of the Parties to the Protocol in 2010 (decision BS-V/11). The Strategic Plan for the Protocol, also adopted in 2010, included elements on liability and redress and the Supplementary Protocol. The Supplementary Protocol entered into force on 5 March 2018.

22. A component on the Supplementary Protocol has been included in the Appendix below. The inclusion of a component on the Supplementary Protocol is intended to support the implementation of the Cartagena Protocol and to contribute to the effective implementation of the Supplementary Protocol, while recognizing that they are separate legal instruments and that obligations arising from these instruments only bind the Parties to the respective instrument.

IV. EVALUATION AND REVIEW

23. The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol may decide to undertake a mid-term evaluation and final evaluation of the Implementation Plan and Capacity-building Action Plan. These evaluations may draw on information provided by Parties in their national reports, information on capacity-building activities and information in the Biosafety Clearing-House, among others. This information may be used to assess the extent to which the objectives of the Implementation Plan are being accomplished, including through capacity-building activities.

24. The results of the fourth assessment and review of the effectiveness of the Cartagena Protocol and final evaluation of the Strategic Plan of the Cartagena Protocol will be used to establish a baseline for measuring progress in achieving the goals of the Implementation Plan.

V. PRIORITIES AND PROGRAMMING

25. The Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol may periodically set priorities to plan for and programme work to be undertaken within the time period of the Implementation Plan. This could include identifying milestones that lead to the achievement of the goals of the Implementation Plan.

26. In deciding on priorities and programming, the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol may wish to take into consideration developments and advancements in the field of biosafety and biotechnology. In this regard, the Implementation Plan and Capacity-building Action Plan have taken the approach that, where organisms developed through new technologies constitute “living modified organisms” as defined in the Protocol, these organisms are addressed in the two Plans.

VI. RESOURCES

27. The successful implementation of the Protocol depends to a large extent on having access to adequate human, technical and financial resources and effective cooperation. The Implementation Plan and the Capacity-building Action Plan aim at supporting Parties in this regard, including in particular under the goals related to creating an enabling environment.

VII. ROLE OF THE SECRETARIAT

28. While the Implementation Plan and the Capacity-building Action Plan are directed primarily at Parties, the Secretariat of the Convention on Biological Diversity will support the Parties in their efforts to implement the Protocol, following the guidance of the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol and in accordance with Article 31 of the Cartagena Protocol and Article 24 of the Convention on Biological Diversity. This support includes managing and maintaining the Biosafety Clearing-House as well as undertaking activities, including capacity-building activities, as requested by the Conference of the Parties serving as the meeting of the Parties to the Protocol.

Appendix

Implementation Plan				Capacity-building Action Plan	
Goals <i>(Desirable achievements)</i>	Objectives <i>(What must be accomplished to achieve the goal)</i>	Indicators <i>(Measuring progress towards objectives)</i>	Outcomes <i>(The effect of achieving the goal)</i>	Key areas for capacity-building <i>(Key areas where capacities may be needed)</i>	Capacity-building activities <i>(Examples of suggested capacity-building activities within the key areas for capacity-building)</i>
A. Areas for implementation					
A.1. Parties have in place functional national biosafety frameworks	A.1.1. Parties have adopted and implemented legal, administrative and other measures to fulfil their obligations under the Protocol A.1.2. Parties have designated competent national authorities and national focal points for the Protocol and emergency measures (Art. 17) contact point A.1.3. Competent national authorities have adequately trained staff to carry out their tasks	(a) Percentage of Parties that have measures in place to implement the provisions of the Protocol; (b) Percentage of Parties that have designated a national focal point, competent national authorities for the Protocol and an emergency measures (Art. 17) contact point and have notified the Secretariat accordingly; (c) Percentage of Parties that have staff to operationalize their national biosafety frameworks.	Functional national biosafety frameworks enable competent authorities, national focal points and contact points for receiving notifications under Article 17 of all Parties to effectively and efficiently fulfil their obligations under the Protocol	(1) Development and implementation of legal, administrative and other measures to implement the Protocol; (2) Strengthening capacities of competent national authorities.	(i) Provide training on the development and implementation of legal, administrative and other measures to implement the Protocol; (ii) Train personnel of competent national authorities on administering the biosafety regulatory system.
A.2. Parties have improved the availability and exchange of relevant	A.2.1. Parties provide accurate and complete mandatory information in the BCH in accordance with their	(a) Percentage of Parties making mandatory information available to the BCH (b) Percentage of Parties that publish other types of	BCH facilitates the availability and exchange of biosafety-related information and	(1) Publishing information on the BCH;	(i) Develop, update and maintain interactive support tools, following the migration of the BCH to the new platform;

Implementation Plan				Capacity-building Action Plan	
Goals	Objectives	Indicators	Outcomes	Key areas for capacity-building	Capacity-building activities
information through the BCH	obligations under the Protocol A.2.2. Parties publish other types of biosafety-related information through the BCH	biosafety-related information through the BCH (c) Number of active users of and visits to the BCH	enables Parties to take informed decisions	(2) Accessing and using information on the BCH.	(ii) Provide training on the use of the BCH.
A.3. Full information on the implementation of the Protocol is made available by Parties in a timely manner	A.3.1. Parties submit complete national reports within the established deadline	(a) Percentage of Parties that have submitted a complete national report within the established deadline; (b) Percentage of eligible Parties that have accessed GEF funding for the preparation of their national report in a timely manner.	Accurate and timely information on the implementation of the Protocol enables the Conference of the Parties serving as the meeting of the Parties to the Protocol to set priorities and identify where support is needed	(1) Establishing and strengthening national coordination systems to gather biosafety information; (2) Preparing a national report.	(i) Provide training on information gathering and data management to relevant national authorities for national reporting; (ii) Develop tools to assist Parties in preparing and submitting their national reports.
A.4. Parties are in full compliance with the requirements of the Protocol	A.4.1. Parties comply with their obligations under the Protocol A.4.2. Parties resolve issues of non-compliance identified by the Compliance Committee	(a) Percentage of Parties that comply with their obligations under the Protocol; (b) Percentage of Parties that have resolved non-compliance issues identified by the Compliance Committee.	Effective compliance mechanism facilitates implementation of the Protocol	(1) Address non-compliance issues identified by the Compliance Committee.	(i) Provide support for Parties concerned to carry out activities set out in compliance action plans, to address identified issues of non-compliance.

Implementation Plan				Capacity-building Action Plan	
Goals	Objectives	Indicators	Outcomes	Key areas for capacity-building	Capacity-building activities
A.5. Parties carry out scientifically sound risk assessments of LMOs, and manage and control identified risks to prevent adverse effects of LMOs on the conservation and sustainable use of biological diversity	<p>A.5.1. Parties apply scientifically sound and appropriate procedures for risk assessment and risk management of LMOs, in accordance with Annex III of the Protocol</p> <p>A.5.2. Parties develop (as necessary), have access to and use appropriate resource materials for carrying out scientifically sound risk assessment and risk management</p>	<p>(a) Percentage of Parties that undertake risk assessment for decision-making on LMOs, where required under the Protocol;</p> <p>(b) Percentage of decisions in the BCH with associated summary reports on risk assessments;</p> <p>(c) Percentage of Parties that have access to and use relevant risk assessment and risk management resource materials;</p> <p>(d) Percentage of Parties carrying out risk assessments, considering other available scientific evidence, referred to in Article 15.</p>	Parties identify, assess and appropriately manage and control risks of LMOs to biodiversity, taking also into account risks to human health	<p>(1) Conducting and reviewing scientifically sound risk assessments;</p> <p>(2) Regulating, managing and controlling identified risks;</p> <p>(3) Access to infrastructure and technical expertise for risk assessment and risk management;</p> <p>(4) Access to scientific data relevant for risk assessment and risk management.</p>	<p>(i) Develop or update, as necessary, and disseminate training materials on risk assessment and risk management;</p> <p>(ii) Provide training on conducting and reviewing risk assessments, including use of resource documents and gathering and analysis of scientific information;</p> <p>(iii) Facilitate access to adequate infrastructure and expertise for risk assessment and risk management;</p> <p>(iv) Provide training to conduct scientific research, review and acquire data on biodiversity for specific ecological areas relevant to risk assessment and risk management.</p>
A.6. Parties prevent illegal and unintentional transboundary movements of LMOs	A.6.1. Parties have adopted appropriate measures to prevent illegal and unintentional transboundary movements of LMOs	(a) Percentage of Parties that have measures in place to prevent illegal and unintentional transboundary movements of LMOs	Illegal and unintentional transboundary movements of LMOs prevented or minimized	<p>(1) Establishment of functional national systems for notification and appropriate responses to unintentional transboundary</p>	<p>(i) Provide training on LMO documentation, sampling, detection and identification to relevant stakeholders;</p> <p>(ii) Develop national checklists on identification requirements to facilitate</p>

Implementation Plan				Capacity-building Action Plan	
Goals	Objectives	Indicators	Outcomes	Key areas for capacity-building	Capacity-building activities
A.7. Parties have measures in place to fulfil the handling, transport, packaging and identification requirements of LMOs under the Protocol	<p>A.7.1. Parties have adopted the necessary measures to require that LMOs subject to transboundary movement are handled, packaged and transported under conditions of safety, taking into consideration relevant international rules and standards</p> <p>A.7.2. Parties have measures in place to fulfil the documentation requirements for LMOs intended for direct use as food or feed, or for processing, LMOs destined for contained use, LMOs for intentional introduction into the environment, and other LMOs</p>	<p>(a) Percentage of Parties that have taken necessary measures to require that LMOs subject to transboundary movement are handled, packaged and transported under conditions of safety, taking into consideration relevant international rules and standards;</p> <p>(b) Percentage of Parties that have put in place documentation requirements for LMOs intended for direct use as food or feed, or for processing;</p> <p>(c) Percentage of Parties that have put in place documentation requirements for LMOs destined for contained use;</p> <p>(d) Percentage of Parties that have put in place documentation requirements for LMOs for intentional introduction into the environment and other LMOs.</p>	Through appropriate handling, transport, packaging and identification of LMOs, Parties are able to safely manage intentional transboundary movements of LMOs	movements, in accordance with Article 17 of the Protocol; <ul style="list-style-type: none"> (2) Establishment of functional national systems for handling, transport, packaging and identification, including in relation to documentation; (3) Development, as necessary, and access to resource materials, procedures and information for sampling, detection and identification of LMOs; (4) Strengthening sampling, detection and identification capacities of officials and laboratory staff; (5) Access to technical infrastructure for detection and identification, including 	verification of documentation accompanying LMO shipments; <ul style="list-style-type: none"> (iii) Disseminate and provide training on methodologies and protocols for sampling, detection and identification of LMOs; (iv) Facilitate access to infrastructure for detection and identification of LMOs, including accredited laboratories, certified reference materials and consumables; (v) Establish, strengthen and maintain networks of laboratories for LMO detection and identification.

Implementation Plan				Capacity-building Action Plan	
Goals	Objectives	Indicators	Outcomes	Key areas for capacity-building	Capacity-building activities
A.8. Parties are able to detect and identify LMOs	<p>A.8.1. Parties have access to the necessary technical infrastructure and expertise for the detection and identification of LMOs</p> <p>A.8.2. Parties have access to and use appropriate resource materials for the detection and identification of LMOs</p> <p>A.8.3. Parties have access to and use the necessary information to detect and identify LMOs, including detection methods and certified reference materials</p>	<p>(a) Percentage of LMOs on the BCH for which detection methods are available;</p> <p>(b) Percentage of Parties that have access to and use resource materials and detection methods to detect and identify LMOs;</p> <p>(c) Percentage of Parties that have access to and use certified reference materials necessary to detect and identify LMOs;</p> <p>(d) Percentage of Parties that have access to the technical infrastructure needed to detect and identify LMOs.</p>	By detecting and identifying LMOs, Parties are able to respond to unintentional and illegal transboundary movements and to implement the handling, transport, packaging and identification requirements in accordance with the Protocol	certified reference materials; (6) Strengthening collaboration, including through networks of laboratories.	
A.9. Parties that choose to do so, take into account socioeconomic considerations when making decisions on the import of LMOs and cooperate on research and information	<p>A.9.1. Parties that choose to do so, take socioeconomic considerations into account in decision-making in accordance with Article 26;</p> <p>A.9.2. Parties that choose to take into account socioeconomic</p>	<p>(a) Percentage of Parties that take into account socioeconomic considerations in decision-making in accordance with Article 26 of the Protocol;</p> <p>(b) Of the Parties that take socioeconomic considerations into account, the percentage</p>	Taking into account socioeconomic considerations in accordance with Article 26 enables Parties that choose to do so to consider a range of issues in decision-making on imports of LMOs	(1) Strengthening capacities for taking into account socioeconomic considerations in accordance with Article 26; (2) Development and access to resource materials on	(i) Provide training to relevant national authorities on taking into account socioeconomic considerations; (ii) Develop, update and disseminate training materials on socio-economic considerations;

Implementation Plan				Capacity-building Action Plan	
Goals	Objectives	Indicators	Outcomes	Key areas for capacity-building	Capacity-building activities
exchange in accordance with Article 26 of the Protocol	considerations in accordance with Article 26 have access to and are able to use resource materials; A.9.3. Parties cooperate on research and information exchange on any socio-economic impacts of LMOs, especially on indigenous peoples and local communities.	that use resource materials for this purpose; (c) Percentage of Parties that cooperate on research and information exchange on any socioeconomic impacts of LMOs, especially on indigenous peoples and local communities.		socioeconomic considerations.	(iii) Share experiences with and approaches for taking into account socioeconomic considerations.
A.10. Parties to the Cartagena Protocol become Parties to the Nagoya – Kuala Lumpur Supplementary Protocol on Liability and Redress and have in place measures to fulfil their obligations under the Supplementary Protocol	A.10.1. Increased number of Parties to the Supplementary Protocol A.10.2. Parties to the Supplementary Protocol have adopted and implemented appropriate measures to give effect to the provisions of the Supplementary Protocol A.10.3 Parties to the Supplementary Protocol report on the implementation of the	(a) Percentage of Parties to the Cartagena Protocol that have become Parties to the Supplementary Protocol; (b) Percentage of Parties to the Supplementary Protocol that have the necessary measures in place to implement the provisions of the Supplementary Protocol; (c) Percentage of Parties to the Supplementary Protocol reporting on the implementation of the Supplementary Protocol.	Increased number of ratifications of the Nagoya – Kuala Lumpur Supplementary Protocol on Liability and Redress advances the development of national rules and procedures on liability and redress for damage resulting from LMOs originating in a transboundary movement	(1) Supporting Parties to the Cartagena Protocol in ratifying the Supplementary Protocol; (2) Development of national legal, administrative and other measures to implement the Supplementary Protocol; (3) Development and access to resource materials, experiences and lessons learned regarding implementation of the	(i) Raise awareness of the Supplementary Protocol to support ratification and implementation; (ii) Provide training on the analysis of laws, policies and institutional frameworks to determine how they address the requirements of the Supplementary Protocol; (iii) Provide training on the development or amendment of domestic legal and administrative frameworks to implement the Supplementary Protocol; (iv) Develop resource materials to assist competent

Implementation Plan				Capacity-building Action Plan	
Goals	Objectives	Indicators	Outcomes	Key areas for capacity-building	Capacity-building activities
	Supplementary Protocol			Supplementary Protocol; (4) Strengthening capacities of competent authorities of Parties to the Supplementary Protocol to discharge their functions; (5) Development or identification of baselines of the status of biodiversity.	authorities in discharging their responsibilities under the Supplementary Protocol; (v) Provide competent authorities with training to strengthen scientific and technical capacities to evaluate damage, establish causal links and determine appropriate response measures; (vi) Identify databases and knowledge management systems relevant to identifying baselines and monitoring of the status of biodiversity; (vii) Compile and share information on experiences and lessons learned in the implementation of the Supplementary Protocol.

B. Enabling environment

B.1. Parties engage in capacity-building activities	B.1.1. Parties have identified and prioritized their capacity-building needs B.1.2. Parties undertake capacity-building activities, as set out in	(a) Percentage of Parties that have identified and prioritized their capacity-building needs; (b) Percentage of Parties undertaking capacity-building activities;	Parties have the necessary capacity for the implementation of the Protocol	(1) Self-assessment of capacity-building needs and priorities; (2) Provision of support for capacity-building activities;	(i) Carry out a self-assessment of capacity-building needs and priorities; (ii) Provide technical, financial or other support for capacity-building activities, including those outlined in
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Implementation Plan				Capacity-building Action Plan	
Goals	Objectives	Indicators	Outcomes	Key areas for capacity-building	Capacity-building activities
	<p>the Capacity-Building Action Plan</p> <p>B.1.3. Parties use capacity-building materials, including online resources</p> <p>B.1.4. Parties cooperate to strengthen capacities for the implementation of the Protocol</p>	<p>(c) Percentage of Parties with capacity-building needs that use capacity-building materials, including online resources;</p> <p>(d) Percentage of Parties that cooperate to strengthen capacities for the implementation of the Protocol.</p>		<p>(3) Access to capacity-building materials;</p> <p>(4) Cooperation in capacity-building activities.</p>	<p>this Capacity-Building Action Plan;</p> <p>(iii) Develop and disseminate, capacity-building materials and outcomes of activities, including in local languages;</p> <p>(iv) Cooperate at the national, bilateral, regional and multilateral levels with partners from relevant sectors and stakeholders in carrying out capacity-building activities.</p>
B.2. Parties have mobilized adequate resources to support implementation of the Protocol	<p>B.2.1. Adequate resources are allocated to biosafety through national budgets</p> <p>B.2.2. Parties allocate a share of national biodiversity STAR allocations to biosafety activities</p> <p>B.2.3. Parties access additional resources to strengthen capacities for implementation of the Protocol</p>	<p>(a) Percentage of Parties that have adequate resources for biosafety from national budgets;</p> <p>(b) Percentage of eligible Parties that use national STAR allocations for biosafety activities;</p> <p>(c) Percentage of Parties having accessed additional resources;</p> <p>(d) Percentage of Parties having contributed resources to other Parties to strengthen their capacity for the implementation of the Protocol.</p>	<p>Full implementation of the Protocol is enabled by adequate resources</p>	<p>(1) Establishment of a national budget allocation mechanism for biosafety;</p> <p>(2) Coordination with authorities, funding agencies and donors at the national level;</p> <p>(3) Cooperation with other Parties and donors.</p>	<p>(i) Raise awareness at the national level on the need for adequate resources from national budgets to carry out activities necessary for the implementation of the Protocol;</p> <p>(ii) Raise awareness to strengthen coordination at the national level between competent authorities, funding agencies and other donors;</p> <p>(iii) Raise awareness to strengthen cooperation among donor Parties, developing country Parties, Parties with economies in transition and</p>

Implementation Plan				Capacity-building Action Plan	
Goals	Objectives	Indicators	Outcomes	Key areas for capacity-building	Capacity-building activities
					other donors to ensure the full implementation of the Protocol
B.3. Parties promote and facilitate public awareness, education and participation on the safe transfer, handling and use of LMOs	<p>B.3.1. Parties have developed mechanisms to promote and facilitate public awareness, education and participation in biosafety</p> <p>B.3.2. Parties have access to resource materials for promoting and facilitating public awareness, education and participation in biosafety</p> <p>B.3.3. Parties consult the public in making decisions on LMOs, in accordance with their legislation, and make the results of decisions available to the public</p> <p>B.3.4. Parties inform the public about the means of public access to the BCH</p>	<ul style="list-style-type: none"> (a) Percentage of Parties accessing resource materials for facilitating and promoting public awareness, education and participation in biosafety; (b) Percentage of Parties mainstreaming biosafety in relevant educational and training programmes; (c) Percentage of Parties having in place a mechanism facilitating and promoting public participation in decision-making regarding LMOs; (d) Percentage of Parties informing the public about means for participation in decision-making; (e) Percentage of Parties having consulted the public in the decision-making process; (f) Percentage of Parties making the results of decisions available to the public; (g) Percentage of Parties that have informed the public about 	Through public awareness, education and participation, Parties ensure that the public is appropriately informed about the safe transfer, handling and use of LMOs and involved in decision-making on the safe transfer, handling and use of LMOs	<ul style="list-style-type: none"> (1) Establishment of national systems for promoting public awareness, education and participation; (2) Development and dissemination of resource and training materials on public awareness, education and participation; (3) Provision of education on biosafety; (4) Strengthening mechanisms for participation in decision-making; (5) Development of public awareness programmes. 	<ul style="list-style-type: none"> (i) Develop and disseminate capacity-building materials on public awareness, education and participation; (ii) Develop or update biosafety education programmes and strengthen institutional capacities; (iii) Integrate biosafety in relevant educational programmes; (iv) Establish academic exchange and fellowship programmes; (v) Provide training on participation in decision-making, in accordance with national laws and regulations, including on the establishment of mechanisms to inform the public about modalities for participation; (vi) Provide training on the development and implementation of biosafety public awareness programmes;

Implementation Plan				Capacity-building Action Plan	
Goals	Objectives	Indicators	Outcomes	Key areas for capacity-building	Capacity-building activities
		the means of public access to the BCH.			(vii) Provide training on biosafety communication.
B.4. Parties enhance cooperation and coordination on biosafety issues at the national, regional and international levels	<p>B.4.1. Parties cooperate to support implementation of the Protocol, including through the exchange of scientific, technical and institutional knowledge</p> <p>B.4.2. Parties have put in place effective mechanisms to involve indigenous peoples and local communities and relevant stakeholders from different sectors in the implementation of the Protocol</p> <p>B.4.3. Parties facilitate sectoral and cross-sectoral coordination and cooperation at the national level to mainstream biosafety</p>	<p>(a) Percentage of Parties cooperating in exchanging scientific, technical and institutional knowledge;</p> <p>(b) Percentage of Parties engaging in bilateral, regional or multilateral activities for the implementation of the Protocol;</p> <p>(c) Percentage of Parties that have mechanisms for involving indigenous peoples and local communities and relevant stakeholders from different sectors in the implementation of the Protocol;</p> <p>(d) Percentage of Parties that have integrated biosafety in national sectoral and cross-sectoral strategies, action plans, programmes, policies or legislation.</p>	Through cooperation at the national, regional and international levels, and participation of stakeholders, Parties' implementation of the Protocol is more effective	<p>(1) Cooperation among and within Parties;</p> <p>(2) Involvement of indigenous peoples and local communities and stakeholders from relevant sectors;</p> <p>(3) Mainstreaming of biosafety in sectoral and cross-sectoral legislation, policies and plans.</p>	<p>(i) Organize activities to facilitate technical and scientific cooperation and information sharing at the bilateral, subregional and regional levels;</p> <p>(ii) Organize joint activities involving indigenous peoples and local communities and relevant stakeholders from different sectors.</p>