

**Seventh Review Conference of the States Parties  
to the Convention on the Prohibition of the  
Development, Production and Stockpiling  
of Bacteriological (Biological) and  
Toxin Weapons and on Their Destruction**

28 September 2011

Original: English

Geneva, 5–22 December 2011  
Item 10 of the provisional agenda  
**Review of the operation of the Convention  
as provided for in its Article XII**

**History and operation of the confidence-building measures**

**Background information document submitted by the Implementation  
Support Unit**

*Summary*

The Preparatory Committee decided to request the Implementation Support Unit (ISU) to prepare a background information document on the history and operation of the confidence-building measures (CBMs) agreed at the Second Review Conference and revised at the Third Review Conference, with the document to include data in summary tabular form on the participation of States Parties in the measures since the last Review Conference (see BWC/CONF.VII/PC/2, paragraph 24). The ISU has duly prepared this document which outlines the history and operation of the CBMs, including the procedural changes adopted by the Sixth Review Conference. Annex I reproduces the agreed forms for submitting the CBMs, and Annex II shows data in summary tabular form on the participation of States Parties in the CBMs.

**I. History of the CBMs**

1. States Parties agreed the concept and general content of the confidence-building measures (CBMs) during the Second Review Conference in 1986, introducing four CBMs. The Conference did not specify the modalities for submission, or the forms on which to submit, but established for this purpose an "Ad Hoc Meeting of Scientific and Technical Experts from States Parties to Finalise the Modalities for the Exchange of Information and Data", which was held in 1987. The Third Review Conference in 1991 re-examined the CBMs and agreed to modify and expand them. The Fourth Review Conference also examined the CBMs but did not make any changes. The Sixth Review Conference considered the CBMs and again did not make any changes to the measures themselves or to the forms, but did revise and update various aspects of the procedure for submitting, collating and publishing the CBMs, and for reporting on participation.

## **A. Second Review Conference (8–26 September 1986)**

2. The Second Review Conference (see BWC/CONF.II/13) "*mindful of the provisions of Article V and Article X of the Convention, and determined to strengthen its authority and to enhance confidence in the implementation of its provisions*" agreed that "*the States Parties are to implement, on the basis of mutual co-operation, the following measures, in order to prevent or reduce the occurrence of ambiguities, doubts and suspicions, and in order to improve international co-operation in the field of peaceful bacteriological (biological) activities*". The "following measures", which became known as the Confidence-Building Measures or CBMs, were:

CBM A – Exchange of data, including name, location, scope and general description of their activities, on research centres and laboratories that meet very high national or international safety standards established for handling, for permitted purposes, biological materials that pose a high individual and community risk or specialise in permitted biological activities directly related to the Convention;

CBM B – Exchange of information on all outbreaks of infectious disease and similar occurrences caused by toxins that seem to deviate from the normal pattern as regards type, development, place, or time of occurrence. If possible, the information provided would include, as soon as it is available, data on the type of disease, approximate area affected, and number of cases.

CBM C – Exchange of information on encouragement of publication of results of biological research directly related to the Convention, in scientific journals generally available to States Parties, as well as promotion of use for permitted purposes of knowledge gained in this research.

CBM D – Exchange of information on active promotion of contacts between scientists engaged in biological research directly related to the Convention, including exchanges for joint research on a mutual agreed basis.

3. The Second Review Conference did not go further than this outline of what information should be exchanged, but decided "*to hold an ad hoc meeting of scientific and technical experts from States Parties to finalise the modalities for the exchange of information and data by working out, inter alia, appropriate forms to be used by States Parties for the exchange of information agreed to in this Final Declaration, thus enabling States Parties to follow a standardised procedure*". This group was to meet in Geneva for the period 31 March to 15 April 1987 and was to communicate the results of the work to the States Parties immediately thereafter.

4. The Second Review Conference also established an interim mechanism to provide for exchanges of information prior to decisions on the modalities. The Conference urged States Parties to promptly apply these four CBMs and report the data to the United Nations Department for Disarmament Affairs (UNDDA), and requested UNDDA to make available the information received to all States Parties.

## **B. Ad Hoc Meeting of Scientific and Technical Experts from States Parties to Finalise the Modalities for the Exchange of Information and Data (31 March–15 April 1987)**

5. Representatives from 39 States Parties participated in this meeting, and an expert from the World Health Organization (WHO) was on hand to answer technical questions. Its report (BWC/CONF.II/EX/2) recorded a number of understandings and agreements detailing the modalities for the CBMs. These included agreements that:

(a) All information submitted should be provided in one of the authentic languages of the Convention and be sent to the United Nations Department for Disarmament Affairs and be promptly forwarded, in the form received, to all States Parties;

(b) The information should also be made available to the World Health Organization;

(c) The first exchange of information and data should take place as soon as possible and be sent to the United Nations Department for Disarmament Affairs not later than 15 October 1987; and

(d) Thereafter information should be given on an annual basis, should be provided not later than 15 April, and should cover the previous calendar year.

6. The meeting agreed on guidelines on what each measure covered and on the type of information to be provided for each: for example, what kind of research centres were to be included in CBM A, and what constituted a disease outbreak that "deviated from the normal pattern", and should thus be included in CBM B. The meeting produced standard forms for CBMs A, B and D (no form was produced for CBM C).

7. There was also discussion of the financial implications of the CBM process. The report noted that while General Assembly resolution 41/58 A (1986) had requested the United Nations Secretary-General to "*render the necessary assistance and provide such services as may be required for the implementation of relevant parts of the Final Declaration*" of the Second Review Conference, the United Nations Secretariat had stated that "*such services and assistance would have no financial implications for the regular budget of the United Nations and that all related costs would be met by the States Parties to the Convention in accordance with the rules of procedure adopted by the Second Review Conference*"<sup>1</sup>. This left the situation rather unclear: the United Nations was not to pay for the operation of the CBMs from its regular budget, but neither did the BWC States Parties explicitly undertake to meet the costs.

### C. Third Review Conference (9–27 September 1991)

8. In accordance with the decision of the Second Review Conference, the Third Review Conference considered the effectiveness of the CBMs. To this end, States Parties noted the importance of the process and recognised the exchange of information that took place between 1987 and 1991. The significance of the CBMs was further highlighted by including mention of them, for the first time, in the Solemn Declaration which opened the Final Declaration of that conference. States Parties solemnly declared: "*Their determination to enhance the implementation and effectiveness of the Convention and to further strengthen its authority, including through the confidence-building measures.*" All States Parties were urged to submit information to future rounds of information exchange. A specific call was made to States Parties which did not take part in the Third Review Conference to participate in the implementation of the agreed CBMs.

9. The review of the CBMs resulted in a number of proposals for alterations, several of which reached consensus. The Final Declaration of the Third Review Conference (BWC/CONF.III/23) states:

*"With a view to promoting increased participation and strengthening further the exchange of information, the Conference agrees to reaffirm those measures established at the Second Review Conference with the following improvements: to add a declaration on "Nothing to*

<sup>1</sup> Note from the Secretariat, A/C.1/41/9.

*declare" or "Nothing new to declare"; to amend and extend the exchange of data on research centres and laboratories; to amend the exchange of information on outbreaks of infectious diseases and similar occurrences caused by toxins; to amend the measure for the active promotion of contacts; and to add three new confidence-building measures entitled "Declaration of legislation, regulations and other measures"; "Declaration of past activities in offensive and/or defensive biological research development programmes"; and "Declaration of vaccine production facilities".*"

These amendments established the current set of CBMs, which include:

Declaration form on "Nothing to declare" or "Nothing new to declare";

CBM A: Research centers, laboratories and biological defence research and development programmes;

Part 1: Exchange of data on research centres and laboratories;

Part 2: Exchange of information on national biological defence research and development programmes;

CBM B: Exchange of information on outbreaks of infectious diseases and similar occurrences caused by toxins;

CBM C: Encouragement of publication of results and promotion of use of knowledge;

CBM D: Active promotion of contacts;

CBM E: Declaration of legislation, regulations and other measures;

CBM F: Declaration of past activities in offensive and/or defensive biological research and development programmes;

CBM G: Declaration of vaccine production facilities.

10. The Third Review Conference updated the forms for use in submissions in line with these changes, and revised the guidelines on the information that should be provided (the guidelines were integrated into the forms). These forms, which have not changed since the Third Review Conference, are attached to this paper as Annex I.

11. The Conference reconfirmed that submissions using the new forms should be sent to the United Nations Department (now Office) for Disarmament Affairs (UNODA) no later than 15 April on an annual basis and should cover the previous calendar year.

12. States Parties also noted that the new and the revised procedures would add further duties to, and make even greater demands on the time of, UNODA. As a result, the United Nations Secretary-General was requested to allocate the necessary staff resources and other requirements based in UNODA in Geneva to assist their effective implementation. The Secretary-General was requested to receive, compile, and make available to States Parties information related to the implementation of the Convention and of the decisions of the Third Review Conference. It was suggested that the UNODA computer database system could facilitate this work.

#### **D. Fourth Review Conference (25 November–6 December 1996)**

13. The commitment of States Parties to the CBM process was reiterated in the Final Declaration of the Fourth Review Conference (BWC/CONF.IV/9). This opened with States Parties solemnly declaring *"Their determination to enhance the implementation and effectiveness of the Convention and to further strengthen its authority, including through the confidence-building measures... agreed by the Second and Third Review Conferences"*.

In accordance with the decision of the Third Review Conference, the Fourth Review Conference reviewed the effectiveness of the CBMs. States Parties welcomed the exchange of information carried out under the CBMs. The continued importance of the CBMs was noted, as was their contribution to enhancing transparency and building confidence. Some scope for further improvement was, however, acknowledged. The Fourth Review Conference recognized that participation since the Third Review Conference had not been universal, and that not all responses had been prompt or complete. In this regard, States Parties recognized the technical difficulties experienced by some of their number with respect to preparing CBM responses. The Conference urged all States Parties to complete full and timely declarations in the future.

14. The Conference also noted that the Ad Hoc Group established by the 1994 Special Conference was, as part of its work, considering the incorporation of existing and further enhanced confidence-building and transparency measures, as appropriate, into a regime to strengthen the Convention. It is possible that this continuing work of the Ad Hoc Group was the main reason the Fourth Review Conference did not make any changes to the CBMs.

#### **E. Fifth Review Conference (19 November–7 December 2001 and 11–22 November 2002)**

15. Unlike earlier review conferences, the Fifth Review Conference did not adopt a Final Declaration. As a result, it took no decisions in relation to the CBMs.

#### **F. Sixth Review Conference (20 November–8 December 2006)**

16. The Sixth Review Conference commented on the CBMs in similar terms as the Fourth, welcoming the exchange of information and the contribution this made to enhancing transparency and building confidence, but noting the limited number of States Parties making an annual CBM submission. Despite proposals from several States Parties, the Conference did not reach agreement on revising or amending the CBM forms. But the Conference did recognise "*the urgent need to increase the number of States Parties participating in CBMs*" and "*in order to update the mechanism of transmission of information*"<sup>2</sup>, agreed on several specific measures concerning the procedural aspects of the CBMs, and gave related tasks to the newly-formed Implementation Support Unit (ISU). Significant changes to the previous arrangements included provision for electronic submission and publication of CBMs, nomination of a national contact point by States Parties, and a reminder notice to be sent to States Parties three months before the submission deadline.

17. The specific measures agreed by the Sixth Review Conference were as follows<sup>3</sup>:

(a) *The Implementation Support Unit (ISU) within the United Nations Department [now Office] for Disarmament Affairs, with the assistance of interested States Parties, shall develop an electronic format of the existing CBM forms.*

(b) *Once completed, the electronic forms shall, with the consent of the State Party submitting them, be posted on a secure Internet site and made available for the use of States Parties, to be developed under the auspices of the ISU. The information thus*

<sup>2</sup> BWC/CONF.VI/6, Part II, paragraph 24.

<sup>3</sup> See BWC/CONF.VI/6, Part III, paragraph 8.

*supplied by a State Party must not be circulated further without the express permission of that State Party.*

(c) *States Parties are invited to submit forms using the electronic format. States Parties that wish to submit completed paper forms instead of electronic forms may do so. The ISU shall insert the submitted hard copy data in the secure Internet site with the consent of the State Party providing this data in order to make it electronically available to all States Parties.*

(d) *The ISU shall centralize requests and offers of assistance regarding the submission of CBMs.*

(e) *The ISU shall regularly inform States Parties about CBM returns and provide statistics on the level of participation at the annual meetings of States Parties.*

(f) *States Parties shall designate a national point of contact in charge of preparing the submission of CBMs, the contact details of which shall be sent to the ISU.*

(g) *The ISU shall circulate to points of contact a notice informing States Parties of the deadline for submitting information under the information exchange procedure (15 April) at least three months prior to this deadline.*

18. In addition, the Conference included the following CBM-related tasks in the mandate of the ISU<sup>4</sup>:

(a) *Receiving and distributing confidence-building measures (CBMs) to/from States Parties;*

(b) *Sending information notices to States Parties regarding their annual submissions;*

(c) *Compiling and distributing data on CBMs and informing on participation at each Meeting of States Parties;*

(d) *Developing and maintaining a secure website on CBMs to be accessible only to States Parties;*

(e) *Serving as an information exchange point for assistance related to preparation of CBMs;*

(f) *Facilitating activities to promote participation in the CBM process, as agreed by the States Parties.*

19. The Conference also agreed that the CBMs merited "*further and comprehensive attention*" at the Seventh Review Conference.

## **II. Operation of the CBMs**

20. The annual process of submitting, compiling and distributing the CBMs places operational requirements both on States Parties and on the ISU/UNODA, as the supporting institution.

---

<sup>4</sup> See BWC/CONF.VI/6, Part III, paragraph 5 B.

## A. Undertakings by States Parties

21. As noted above, every State Party to the Convention is to provide a CBM return each and every year, even if it is only to acknowledge that it has nothing to declare or nothing new to declare. Returns are to use the CBM forms (BWC/CONF.III/23, Annex to the Final Declaration, attached to this paper as Annex I), electronic versions of which are available from the ISU website ([www.unog.ch/bwc/cbms](http://www.unog.ch/bwc/cbms)). The forms begin with a cover declaration to allow States Parties to indicate if they have "Nothing to Declare" or "Nothing New to Declare" for each of the seven areas covered. Returns covering the previous calendar year are to be submitted to the ISU by 15 April annually. Returns can be—and are—submitted in any of the official languages of the United Nations.

22. Until 2006, there was no requirement for States Parties to nominate a national contact point for dealing with the CBMs. This has changed with the decision of the Sixth Review Conference that States Parties "*shall designate a national point of contact in charge of preparing the submission of CBMs*". Since that decision, as of September 2011 75 States Parties had nominated a national contact point.

## B. Role of the Implementation Support Unit

23. Until 2006, as mandated by the decisions of the Review Conferences, UNODA received the CBM submissions from States Parties, and compiled them "in the form received" (i.e. without translation, editing, formatting, or any other alteration) into a single document. This document, typically over 1,000 pages in length and containing a mixture of all six official languages, was then printed and distributed to the permanent missions of States Parties in New York and Geneva. Late submissions from States Parties were published in addendum documents, which were produced and distributed in the same way. UNODA was not explicitly authorised to send reminders, to follow-up late or non-submission, or to provide assistance to help States Parties to complete and submit returns.

24. As noted above, the Sixth Review Conference substantially revised and updated the submission and distribution procedure, and gave responsibility for managing the CBM process to the Implementation Support Unit. Since 2007, the ISU has been administering the CBMs in accordance with the procedures laid down by the Conference. Specifically, the ISU:

- (a) Provides electronic versions of the blank CBM forms.
- (b) Sends a reminder notice to States Parties, three months before the 15 April annual submission deadline.
- (c) Receives CBM submissions from States Parties, and unless instructed otherwise by the submitting State Party, places each submission on the ISU's restricted-access website ([www.unog.ch/bwc/restricted](http://www.unog.ch/bwc/restricted) – accessible only to States Parties).
  - (i) Where the submitting State Party so requests, the ISU also places its CBM submission on the open-access website, where it is freely accessible to the general public.
  - (ii) Where the submitting requests that its submission not be placed on any website, the ISU circulates the submission to all States Parties in hard copy only.
- (d) Answers queries and provides guidance, on request, to States Parties on completing their CBM submissions, and facilitates the provision of assistance, where needed.

(e) Assists States Parties, on request, with any activities, workshops, etc, to promote or discuss the CBMs (for example, a *Guide to Participating in the Confidence-building Measures of the Biological Weapons Convention* was produced in 2009 in cooperation with the European Union).

(f) Provides basic statistical data on participation in the CBMs in its annual report to States Parties.

25. The ISU carries out no analysis of the content of CBM returns, and due to variations in the format and language of submissions, can compile only the most basic statistics on participation. These statistics are published in the ISU's annual report to States Parties.

### **C. Participation**

26. The level of participation in the CBMs has remained relatively low, and the majority of States Parties do not participate regularly. A total of 112 States Parties have participated at least once since 1987<sup>5</sup>, but only 86 of these have participated at least once since the Sixth Review Conference, and only 43 of those have participated every year since the Sixth Review Conference. Although the level of participation has been steadily increasing since the Sixth Review Conference and the establishment of the ISU, only around 60-70 submissions are received annually. Annex II (English only) shows data in summary tabular form on the participation of States Parties in the CBMs each year since the last Review Conference, and for each year since the measures were instituted in 1987.

---

<sup>5</sup> This figure includes those current States Parties which have participated as part of a former state. For example, the states which once constituted Yugoslavia are counted as having participated, since Yugoslavia as a whole participated.

## Annex I

### Agreed forms for the submission of the Confidence-Building Measures<sup>6</sup>

At the Third Review Conference it was agreed that all States Parties present the following declaration:

#### 1. Declaration form on Nothing to Declare or Nothing New to Declare for use in the information exchange

Measure	Nothing to declare	Nothing new to declare
A, part 1	<input type="checkbox"/>	<input type="checkbox"/>
A, part 2 (i)	<input type="checkbox"/>	<input type="checkbox"/>
A, part 2 (ii)	<input type="checkbox"/>	<input type="checkbox"/>
A, part 2 (iii)	<input type="checkbox"/>	<input type="checkbox"/>
B (I)	<input type="checkbox"/>	<input type="checkbox"/>
B (ii)	<input type="checkbox"/>	<input type="checkbox"/>
C	<input type="checkbox"/>	<input type="checkbox"/>
D	<input type="checkbox"/>	<input type="checkbox"/>
E	<input type="checkbox"/>	<input type="checkbox"/>
F	<input type="checkbox"/>	<input type="checkbox"/>
G	<input type="checkbox"/>	<input type="checkbox"/>

(Please mark the appropriate box(es) for each measure, with a tick.)

<sup>6</sup> From the Annex to the Final Declaration of the Third Review Conference, BWC/CONF.III/23.

Date: \_\_\_\_\_

State Party to the Convention: \_\_\_\_\_

## 2. Confidence-Building Measure "A"

### Part 1 Exchange of data on research centres and laboratories

At the Third Review Conference it was agreed that States Parties continue to implement the following:

"Exchange of data, including name, location, scope and general description of activities, on research centres and laboratories that meet very high national or international safety standards established for handling, for permitted purposes, biological materials that pose a high individual and community risk or specialize in permitted biological activities directly related to the Convention."

#### Modalities

The Third Review Conference agreed that data should be provided by States Parties on each facility, within their territory or under their jurisdiction or control anywhere, which has any maximum containment laboratories meeting those criteria for such maximum containment laboratories as specified in the 1983 WHO Laboratory Biosafety Manual such as those designated as biosafety level 4 (BL4) or P4 or equivalent standards.

#### Form A, part 1

##### *Exchange of data on research centres and laboratories*<sup>7</sup>

1. Name(s) of facility<sup>8</sup> \_\_\_\_\_
2. Responsible public or private  
organization or company \_\_\_\_\_
3. Location and postal address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
4. Source(s) of financing of the reported activity, including indication if the activity is wholly or partly financed by the Ministry of Defence  
\_\_\_\_\_
5. Number of maximum containment units<sup>9</sup> within the research centre and/or laboratory, with an indication of their respective size (m<sup>2</sup>)  
\_\_\_\_\_

<sup>7</sup> The containment units which are fixed patient treatment modules, integrated with laboratories, should be identified separately.

<sup>8</sup> For facilities with maximum containment units participating in the national biological defence research and development programme, please fill in name of facility and mark "Declared in accordance with Form A, part 2 (iii)".

<sup>9</sup> In accordance with the 1983 WHO Laboratory Biosafety Manual, or equivalent.

6. If no maximum containment unit, indicate highest level of protection

7. Scope and general description of activities, including type(s) of micro-organisms and/or toxins as appropriate

## **Part 2 Exchange of information on national biological defence research and development programmes**

At the Third Review Conference it was agreed that States Parties are to implement the following:

In the interest of increasing the transparency of national research and development programmes on biological defence, the States Parties will declare whether or not they conduct such programmes. States Parties agreed to provide, annually, detailed information on their biological defence research and development programmes including summaries of the objectives and costs of effort performed by contractors and in other facilities. If no biological defence research and development programme is being conducted, a null report will be provided.

States Parties will make declarations in accordance with the attached forms, which require the following information:

- (1) The objective and summary of the research and development activities under way indicating whether work is conducted in the following areas: prophylaxis, studies on pathogenicity and virulence, diagnostic techniques, aerobiology, detection, treatment, toxinology, physical protection, decontamination and other related research;
- (2) Whether contractor or other non-defence facilities are utilized and the total funding provided to that portion of the programme;
- (3) The organizational structure of the programme and its reporting relationships; and
- (4) The following information concerning the defence and other governmental facilities in which the biological defence research and development programme is concentrated;
  - (a) location;
  - (b) the floor areas (sqM) of the facilities including that dedicated to each of BL2, BL3 and BL4 level laboratories;
  - (c) the total number of staff employed, including those contracted full time for more than six months;
  - (d) numbers of staff reported in (c) by the following categories: civilian, military, scientists, technicians, engineers, support and administrative staff;
  - (e) a list of the scientific disciplines of the scientific/engineering staff;
  - (f) the source and funding levels in the following three areas: research, development, and test and evaluation; and
  - (g) the policy regarding publication and a list of publicly-available papers and reports.

**Form A, part 2 (i)****National biological defence research and development programme  
Declaration**

Is there a national programme to conduct biological defence research and development within the territory of the State Party, under its jurisdiction or control anywhere? Activities of such a programme would include prophylaxis, studies on pathogenicity and virulence, diagnostic techniques, aerobiology, detection, treatment, toxinology, physical protection, decontamination and other related research.

**Yes/No**

If the answer is Yes, complete Form A, part 2 (ii) which will provide a description of the programme.

**Form A, part 2 (ii)****National biological defence research and development programme****Description**

1. State the objectives and funding of the programme and summarize the principal research and development activities conducted in the programme. Areas to be addressed shall include: prophylaxis, studies on pathogenicity and virulence, diagnostic techniques, aerobiology, detection, treatment, toxinology, physical protection, decontamination and other related research.
2. State the total funding for the programme and its source.
3. Are aspects of this programme conducted under contract with industry, academic institutions, or in other non-defence facilities?

**Yes/No**

4. If yes, what proportion of the total funds for the programme is expended in these contracted or other facilities?
5. Summarize the objectives and research areas of the programme performed by contractors and in other facilities with the funds identified under paragraph 4.
6. Provide a diagram of the organizational structure of the programme and the reporting relationships (include individual facilities participating in the programme).
7. Provide a declaration in accordance with Form A, part 2 (iii) for each facility, both governmental and non-governmental, which has a substantial proportion of its resources devoted to the national biological defence research and development programme, within the territory of the reporting State, or under its jurisdiction or control anywhere.

**Form A, part 2 (iii)**

**National biological defence research and development programme**

Facilities

Complete a form for each facility declared in accordance with paragraph 7 in Form A, part 2 (ii).

In shared facilities, provide the following information for the biological defence research and development portion only.

1. What is the name of the facility?
  
2. Where is it located (include both address and geographical location)?
  
3. Floor area of laboratory areas by containment level:  
BL2 \_\_\_\_\_ (sqM)  
BL3 \_\_\_\_\_ (sqM)  
BL4 \_\_\_\_\_ (sqM)  
Total laboratory floor area \_\_\_\_\_ (sqM)
  
4. The organizational structure of each facility.
  - (i) Total number of personnel \_\_\_\_\_
  - (ii) Division of personnel:  
Military \_\_\_\_\_  
Civilian \_\_\_\_\_
  - (iii) Division of personnel by category:  
Scientists \_\_\_\_\_  
Engineers \_\_\_\_\_  
Technicians \_\_\_\_\_  
Administrative and support staff \_\_\_\_\_
  - (iv) List the scientific disciplines represented in the scientific/engineering staff.
  - (v) Are contractor staff working in the facility? If so, provide an approximate number.

(vi) What is (are) the source(s) of funding for the work conducted in the facility, including indication if activity is wholly or partly financed by the Ministry of Defence?

(vii) What are the funding levels for the following programme areas:

Research \_\_\_\_\_

Development \_\_\_\_\_

Test and evaluation \_\_\_\_\_

(viii) Briefly describe the publication policy of the facility:

(ix) Provide a list of publicly-available papers and reports resulting from the work during the previous 12 months. (To include authors, titles and full references.)

5. Briefly describe the biological defence work carried out at the facility, including type(s) of micro-organisms\* and/or toxins studied, as well as outdoor studies of biological aerosols.

---

\* Including viruses and prions.

### 3. Confidence-Building Measure "B"

#### **Exchange of information on outbreaks of infectious diseases and similar occurrences caused by toxins**

At the Third Review Conference it was agreed that States Parties continue to implement the following:

Exchange of information on outbreaks of infectious diseases and similar occurrences caused by toxins, and on all such events that seem to deviate from the normal pattern as regards type, development, place, or time of occurrence. The information provided on events that deviate from the norm will include, as soon as it is available, data on the type of disease, approximate area affected, and number of cases.

#### *Modalities*

The Third Review Conference agreed the following definition:

An outbreak or epidemic is the occurrence of an unusually large or unexpected number of cases of an illness or health-related event in a given place at a given time. The number of cases considered as unusual will vary according to the illness or event and the community concerned.

Furthermore, reference was made to the following definitions:

An epidemic of infectious disease is defined as the occurrence of an unusually large or unexpected number of cases of a disease known or suspected to be of infectious origin, for a given place and time. It is usually a rapidly evolving situation, requiring a rapid response (WHO internal document CDS/Mtg/82.1).

The occurrence in a community or region of cases of an illness, specific health-related behaviour, or other health-related events clearly in excess of normal expectancy. The community or region, and the time period in which the cases occur, are specified precisely. The number of cases indicating the presence of an epidemic will vary according to the agent, size and type of population exposed, previous experience or lack of exposure to the disease, and time and place of occurrence: epidemicity is thus relative to usual frequency of the disease in the same area, among the specified population, at the same season of the year. A single case of a communicable disease long absent from a population or first invasion by a disease not previously recognized in that area requires immediate reporting and full field investigation: two cases of such a disease associated in time and place may be sufficient evidence to be considered an epidemic. (J.M. Last, A Dictionary of Epidemiology, Oxford University Press, New York, Oxford, Toronto, 1983.)

The Third Review Conference agreed on the following:

1. In determining what constitutes an outbreak States Parties are recommended to take guidance from the above.
2. Since no universal standards exist for what might constitute a deviation from the normal pattern, States Parties agreed to utilize fully existing national reporting systems on human diseases as well as animal and plant diseases, where possible, and systems within the WHO to provide annual update of background information on diseases caused by

---

organisms which meet the criteria for risk groups II, III and IV according to the classification in the 1983 WHO Laboratory Biosafety Manual, the occurrence of which, in their respective areas, does not necessarily constitute a deviation from normal patterns.\*

3. Exchange of data on outbreaks that seem to deviate from the normal pattern is considered particularly important in the following cases:

- When the cause of the outbreak cannot be readily determined or the causative agent\*\* is difficult to diagnose,
- When the disease may be caused by organisms which meet the criteria for risk groups III or IV, according to the classification in the 1983 WHO Laboratory Biosafety Manual,
- When the causative agent is exotic to a given region,
- When the disease follows an unusual pattern of development,
- When the disease occurs in the vicinity of research centres and laboratories subject to exchange of data under item A,
- When suspicions arise of the possible occurrence of a new disease.

4. In order to enhance confidence, an initial report of an outbreak of an infectious disease or a similar occurrence that deviate from the normal pattern should be given promptly after cognizance of the outbreak and should be followed up by annual reports. To enable States Parties to follow a standardized procedure, the Conference has agreed that Form B (ii) should be used, to the extent information is known and/or applicable, for the exchange of initial as well as annual information.

5. In order to improve international cooperation in the field of peaceful bacteriological (biological) activities and in order to prevent or reduce the occurrence of ambiguities, doubts and suspicions, States Parties are encouraged to invite experts from other States Parties to assist in the handling of an outbreak, and to respond favourably to such invitations.

---

\* This information should be provided in accordance with Form B (I).

\*\* It is understood that this may include organisms made pathogenic by molecular biology techniques, such as genetic engineering.

**Form B (i)**

**Background information on outbreaks of reportable infectious diseases**

Disease	Number of cases per year				
	1988	1989	1990	1991	1992

**Form B (ii)****Information on outbreaks of infectious diseases and similar occurrences, that seem to deviate from the normal pattern**

1. Time of cognizance of the outbreak \_\_\_\_\_
2. Location and approximate area affected \_\_\_\_\_
3. Type of disease/intoxication \_\_\_\_\_
4. Suspected source of disease/intoxication \_\_\_\_\_
5. Possible causative agent(s) \_\_\_\_\_
6. Main characteristics of systems \_\_\_\_\_
7. Detailed symptoms, when applicable \_\_\_\_\_
  - respiratory \_\_\_\_\_
  - circulatory \_\_\_\_\_
  - neurological/behavioural \_\_\_\_\_
  - intestinal \_\_\_\_\_
  - dermatological \_\_\_\_\_
  - nephrological \_\_\_\_\_
  - other \_\_\_\_\_
8. Deviation(s) from the normal pattern as regards \_\_\_\_\_
  - type \_\_\_\_\_
  - development \_\_\_\_\_
  - place of occurrence \_\_\_\_\_
  - time of occurrence \_\_\_\_\_
  - symptoms \_\_\_\_\_
  - virulence pattern \_\_\_\_\_
  - drug resistance pattern \_\_\_\_\_
  - agent(s) difficult to diagnose \_\_\_\_\_
  - presence of unusual vectors \_\_\_\_\_
  - other \_\_\_\_\_
9. Approximate number of primary cases \_\_\_\_\_
10. Approximate number of total cases \_\_\_\_\_
11. Number of deaths \_\_\_\_\_
12. Development of the outbreak \_\_\_\_\_
13. Measures taken \_\_\_\_\_

#### 4. Confidence-Building Measure "C"

##### **Encouragement of publication of results and promotion of use of knowledge**

At the Third Review Conference it was agreed that States parties continue to implement the following:

"Encouragement of publication of results of biological research directly related to the Convention, in scientific journals generally available to States parties, as well as promotion of use for permitted purposes of knowledge gained in this research."

##### **Modalities**

The Third Review Conference agreed on the following:

1. It is recommended that basic research in biosciences, and particularly that directly related to the Convention should generally be unclassified and that applied research to the extent possible, without infringing on national and commercial interests, should also be unclassified.
2. States parties are encouraged to provide information on their policy as regards publication of results of biological research, indicating, *inter alia*, their policies as regards publication of results of research carried out in research centres and laboratories subject to exchange of information under item A and publication of research on outbreaks of diseases covered by item B, and to provide information on relevant scientific journals and other relevant scientific publications generally available to States parties.
3. The Third Review Conference discussed the question of cooperation and assistance as regards the safe handling of biological material covered by the Convention. It concluded that other international forums were engaged in this field and expressed its support for efforts aimed at enhancing such cooperation.

## **5. Confidence-Building Measure "D"**

### **Active promotion of contacts**

At the Third Review Conference it was agreed that States parties continue to implement the following:

"Active promotion of contacts between scientists, other experts and facilities engaged in biological research directly related to the Convention, including exchanges and visits for joint research on a mutually agreed basis."

### **Modalities**

The Third Review Conference agreed on the following:

In order to actively promote professional contacts between scientists, joint research projects and other activities aimed at preventing or reducing the occurrence of ambiguities, doubts and suspicions and at improving international cooperation in the field of peaceful bacteriological (biological) activities, States parties are encouraged to provide information, to the extent possible:

- on planned international conferences, seminars, symposia and similar events dealing with biological research directly related to the Convention,
- on other opportunities for exchange of scientists, joint research or other measures to promote contacts between scientists engaged in biological research directly related to the Convention.

To enable States parties to follow a standardized procedure, the Third Review Conference has agreed that Form D should be used for exchange of information under this item.

**Form D**

**Active promotion of contacts**

**1. Planned international conferences, symposia, seminars, and other similar forums for exchange**

For each such event, the following information should be provided:

- name of the conference, etc. \_\_\_\_\_
  
- arranging organization(s), etc. \_\_\_\_\_
  
- time \_\_\_\_\_
  
- place \_\_\_\_\_
  
- main subject(s) for the conference, etc. \_\_\_\_\_  
\_\_\_\_\_
  
- conditions for participation \_\_\_\_\_  
\_\_\_\_\_
  
- point of contact for further information, registration, etc. \_\_\_\_\_  
\_\_\_\_\_

**2. Information regarding other opportunities**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## 6. Confidence-Building Measure "E"

### Declaration of legislation, regulations and other measures

At the Third Review Conference the States parties agreed to implement the following:

As an indication of the measures which they have taken to implement the Convention, States parties shall declare whether they have legislation, regulations or other measures:

(a) To prohibit the development, production, stockpiling, acquisition or retention of microbial or other biological agents, or toxins, weapons, equipment and means of delivery, specified in Article I of the Convention, within their territory or anywhere under their jurisdiction or control;

(b) In relation to the export or import of micro-organisms pathogenic to man, animals and plants or of toxins in accordance with the Convention;

States parties shall complete the attached form (Form E) and shall be prepared to submit copies of the legislation or regulations, or written details of other measures on request to the United Nations Department for Disarmament Affairs or to an individual State party. On an annual basis States parties shall indicate, also on the attached form, whether or not there has been any amendment to their legislation, regulations or other measures.

### Form E

### Declaration of legislation, regulations and other measures

	Relating to	Legislation	Regulations	Other measures	Amended since last year
(a)	Development, production stockpiling, acquisition or retention of microbial or other biological agents, or toxins, weapons, equipment and means of delivery specified in Article I	Yes/No	Yes/No	Yes/No	Yes/No
(b)	Exports of micro-organisms* and toxins	Yes/No	Yes/No	Yes/No	Yes/No
(c)	Imports of micro-organisms* and toxins	Yes/No	Yes/No	Yes/No	Yes/No

---

\* Micro-organisms pathogenic to man, animals and plants in accordance with the Convention.

## 7. Confidence-Building Measure "F"

### **Declaration of past activities in offensive and/or defensive biological research and development programmes**

In the interest of increasing transparency and openness, States parties shall declare whether or not they conducted any offensive and/or defensive biological research and development programmes since 1 January 1946.

If so, States parties shall provide information on such programmes, in accordance with Form F.

#### **Form F**

### **Declaration of past activities in offensive and/or defensive biological research and development programmes**

1. Date of entry into force of the Convention for the State party.
  
2. Past offensive biological research and development programmes:
  - Yes – No
  
  - Period(s) of activities
  
  - Summary of the research and development activities indicating whether work was performed concerning production, test and evaluation, weaponization, stockpiling of biological agents, the destruction programme of such agents and weapons, and other related research.
  
3. Past defensive biological research and development programmes:
  - Yes – No
  
  - Period(s) of activities
  
  - Summary of the research and development activities indicating whether or not work was conducted in the following areas: prophylaxis, studies on pathogenicity and virulence, diagnostic techniques, aerobiology, detection, treatment, toxinology, physical protection, decontamination, and other related research, with location if possible.

## **8. Confidence-Building Measure "G"**

### **Declaration of vaccine production facilities**

To further increase the transparency of biological research and development related to the Convention and to broaden scientific and technical knowledge as agreed in Article X, each State party will declare all facilities, both governmental and non-governmental, within its territory or under its jurisdiction or control anywhere, producing vaccines licensed by the State party for the protection of humans. Information shall be provided on Form G attached.

### **Form G**

### **Declaration of vaccine production facilities**

1. Name of facility:
  
2. Location (mailing address):
  
3. General description of the types of diseases covered:

## Annex II

[ENGLISH ONLY]

## Participation in the CBMs since 1987

Key: x = participated in that year; Review Conference years are highlighted in grey.

<i>State Party</i>	<i>Year</i>	87	88	89	90	91	92	93	94	95	96	97	98	99	00	01	02	03	04	05	06	07	08	09	10	11	<i>Totals</i>
Afghanistan																											0
Albania																									x		1
Algeria																											0
Antigua and Barbuda																											0
Argentina						x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	21
Armenia		x	x	x	x	x						x	x	x		x		x			x	x	x	x	x	x	16
Australia		x			x		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	22
Austria					x	x	x	x	x	x	x	x	x	x	x	x	x		x	x	x	x	x	x	x	x	21
Azerbaijan		x	x	x	x	x																		x	x	x	9
Bahamas																											0
Bahrain																									x		1
Bangladesh											x												x		x	x	4
Barbados																											0
Belarus							x	x		x	x	x		x	x	x	x	x	x	x	x	x	x	x	x	x	18
Belgium			x				x				x	x		x	x	x		x	x	x	x	x	x	x	x	x	16
Belize																		x									1
Benin																											0
Bhutan										x															x		2
Bolivia									x																		1
Bosnia and Herzegovina						x	x																				2
Botswana																											0
Brazil						x		x	x	x	x	x	x		x	x		x	x	x	x	x		x	x	x	16
Brunei Darussalam																							x		x		2
Bulgaria			x	x	x	x	x	x	x	x	x	x	x		x	x	x	x	x	x	x	x	x	x	x	x	23
Burkina Faso																											0
Cambodia																											0
Canada		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	25
Cape Verde																											0
Chile					x	x					x	x	x		x	x		x		x	x	x	x	x	x	x	15

<i>State Party</i>	<i>Year</i>	87	88	89	90	91	92	93	94	95	96	97	98	99	00	01	02	03	04	05	06	07	08	09	10	11	<i>Totals</i>
China				x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	23
Colombia													x														1
Congo (Republic of the)																											0
Cook Islands																											0
Costa Rica															x	x											2
Croatia						x	x			x				x	x				x		x	x	x	x	x	x	12
Cuba						x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	21
Cyprus						x	x	x		x	x										x	x	x	x		x	11
Czech Republic		x	x	x	x	x	x		x		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	23
Democratic People's Republic of Korea					x																						1
Democratic Republic of the Congo																											0
Denmark		x	x	x	x	x	x	x	x	x	x	x								x	x	x	x	x	x	x	18
Dominica																											0
Dominican Republic																											0
Ecuador					x			x	x	x	x											x	x				7
El Salvador																											0
Equatorial Guinea																											0
Estonia		x	x	x	x	x			x	x	x	x	x	x	x	x		x	x	x	x	x	x	x	x	x	22
Ethiopia																										x	1
Fiji									x	x	x	x															4
Finland		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	25
France					x	x	x	x	x	x	x	x	x	x	x	x	x		x	x	x	x	x	x	x	x	21
Gabon																											0
Gambia																									x	x	2
Georgia		x	x	x	x	x									x		x	x	x	x	x	x	x	x	x	x	16
Germany		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	25
Ghana																											0
Greece					x	x			x	x										x	x	x	x	x		x	10
Grenada																					x						1
Guatemala																											0
Guinea-Bissau																											0
Holy See																											0
Honduras																											0

**BWC/CONF.VII/INF.1**

<i>State Party</i>	<i>Year</i>	87	88	89	90	91	92	93	94	95	96	97	98	99	00	01	02	03	04	05	06	07	08	09	10	11	<i>Totals</i>
Hungary		x				x	x	x	x	x	x	x	x	x	x	x			x	x	x	x	x	x	x	x	20
Iceland						x		x	x																		3
India												x											x	x	x	x	5
Indonesia																							x	x	x		3
Iran (Islamic Republic of)													x	x			x				x	x	x	x	x		8
Iraq								x		x	x	x											x	x	x	x	8
Ireland			x		x	x	x		x	x	x	x					x			x	x	x	x	x	x	x	15
Italy				x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	22
Jamaica																									x	1	
Japan			x			x	x	x		x		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	20
Jordan							x			x	x											x		x		5	
Kazakhstan		x	x	x	x	x																	x			x	7
Kenya																									x		1
Kuwait											x																1
Kyrgyzstan		x	x	x	x	x		x														x					7
Lao People's Democratic Republic																											1
Latvia		x	x	x	x	x											x		x	x	x	x	x	x	x	x	14
Lebanon																						x	x	x	x		4
Lesotho																											0
Libyan Arab Jamahiriya																				x	x	x	x		x		5
Liechtenstein																x	x		x	x	x		x	x	x	x	9
Lithuania		x	x	x	x	x									x	x	x	x	x	x	x	x	x	x	x	x	17
Luxembourg									x		x	x	x							x	x	x			x		8
Madagascar																											0
Malaysia																					x				x	x	3
Maldives																											0
Mali													x														1
Malta							x		x	x	x		x		x				x	x	x	x	x	x	x		13
Mauritius																				x	x	x	x				6
Mexico					x		x		x										x				x	x	x	x	9
Monaco																											0
Mongolia					x		x	x	x	x																	5
Montenegro						x	x														x	x					4
Morocco																					x	x	x	x	x	x	7

<i>State Party</i>	<i>Year</i>	87	88	89	90	91	92	93	94	95	96	97	98	99	00	01	02	03	04	05	06	07	08	09	10	11	<i>Totals</i>	
Mozambique																											0	
Netherlands		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	25
New Zealand		x	x	x	x		x	x		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	23
Nicaragua								x																				1
Niger																												0
Nigeria																							x	x				2
Norway		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	25
Oman																												0
Pakistan																												0
Palau																												0
Panama						x																						1
Papua New Guinea											x																	1
Paraguay										x																		1
Peru						x	x										x											3
Philippines						x																			x			2
Poland		x	x			x			x	x	x	x	x	x		x	x	x	x	x	x	x	x	x	x	x	x	20
Portugal					x				x	x	x											x	x	x	x	x	x	11
Qatar						x				x	x		x								x			x	x	x	x	9
Republic of Korea							x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	20
Republic of Moldova		x	x	x	x	x																		x	x	x		8
Romania						x	x	x	x	x	x	x	x	x	x	x	x	x	x		x	x	x	x	x	x	x	20
Russian Federation		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	25
Rwanda																												0
Saint Kitts and Nevis																												0
Saint Lucia										x																		1
Saint Vincent and the Grenadines																												0
San Marino										x	x				x	x					x	x						7
Sao Tome and Principe																												0
Saudi Arabia											x	x																2
Senegal						x																x		x	x	x		5
Serbia						x	x														x	x		x	x	x		8
Seychelles									x																			1
Sierra Leone																												0
Singapore																												0
Slovakia		x	x	x	x	x	x		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	24

**BWC/CONF.VII/INF.1**

<i>State Party</i>	<i>Year</i>	87	88	89	90	91	92	93	94	95	96	97	98	99	00	01	02	03	04	05	06	07	08	09	10	11	<i>Totals</i>
Slovenia						x	x	x	x	x	x	x	x	x	x		x				x	x	x	x	x	x	17
Solomon Islands																											0
South Africa								x		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	18
Spain		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	24
Sri Lanka									x																		1
Sudan																											0
Suriname																											0
Swaziland																											0
Sweden		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x			x	x	x	x	x	x	x	x	23
Switzerland			x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	24
Tajikistan		x	x	x	x	x																				x	6
Thailand					x		x																	x	x	x	5
The former Yugoslav Republic of Macedonia						x	x																		x		3
Timor-Leste																											0
Togo		x																									1
Tonga																											0
Trinidad and Tobago																											0
Tunisia							x								x						x	x		x	x	x	7
Turkey						x		x	x	x	x	x	x	x	x	x	x	x	x	x	x		x	x	x	x	19
Turkmenistan		x	x	x	x	x														x							6
Uganda											x																1
Ukraine							x	x		x	x	x	x		x	x	x	x	x	x	x	x	x		x	x	17
United Arab Emirates																									x		1
United Kingdom of Great Britain and Northern Ireland		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	25
United States of America		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	25
Uruguay																											0
Uzbekistan		x	x	x	x	x							x	x		x	x	x	x	x	x	x	x	x	x	x	17
Vanuatu																											0
Venezuela (Bolivarian)																											0

State Party	Year	87	88	89	90	91	92	93	94	95	96	97	98	99	00	01	02	03	04	05	06	07	08	09	10	11	Totals	
Republic of)																												
Viet Nam																												0
Yemen																									x			1
Zambia																												0
Zimbabwe																												0
<b>Totals</b>		<b>30</b>	<b>32</b>	<b>31</b>	<b>41</b>	<b>56</b>	<b>43</b>	<b>39</b>	<b>42</b>	<b>51</b>	<b>52</b>	<b>46</b>	<b>42</b>	<b>38</b>	<b>40</b>	<b>41</b>	<b>41</b>	<b>33</b>	<b>43</b>	<b>52</b>	<b>58</b>	<b>66</b>	<b>63</b>	<b>65</b>	<b>72</b>	<b>63</b>		

Chart showing number and percentage of States Parties participating in CBMs

