

**AD HOC GROUP 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**

BWC/AD HOC GROUP/L.71/Add.5  
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Geneva, 22 November - 10 December 1999

**Outcome of discussions by the Friend of the Chair  
on Measures to Promote Compliance**

Addendum

APPENDIX C

[ FACILITIES

Guidelines for completing the declaration format

[These declaration formats require information on rooms, laboratories, or other buildings or structures, and on specified activities conducted therein<sup>1</sup>, which in the reporting year met the criteria set out in one or more of the declaration triggers of the Protocol, and which are therefore to be declared as facilities under the Protocol. Such facilities are referred to throughout the format as the “declared facility”.

It is recognized that in most cases the rooms, laboratories or buildings or other structures and the activities therein that satisfy the requirements of one or more triggers may involve only a part of a location, perhaps even only part of a building. That is to say, the facility declarable under the Protocol may be co-located with one or more other facilities the activities of which are not declarable. In other cases, however, the declared facility may cover the entire location. The declaration formats are designed to cover this range of possibilities.

Submit a separate copy of the facility declaration format for each facility satisfying the requirements of a declaration trigger. When scientific/technical activities in different parts of a location, for example in different buildings and/or departments at a university campus or at a commercial installation operated by a single company, jointly satisfy the requirement of a particular clause in a declaration trigger because they are working cooperatively, but would not satisfy it individually, they shall be considered one declarable facility and must be declared on a single copy of the format. When such activities at a location are not connected, and separately satisfy one or more declaration triggers, they shall be considered separate declarable facilities and must be declared on separate copies of the format. ]

OR

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1. A view was expressed that it would be better to use the term “facility” and refer to the definition in Article II.

[The facility declaration format requires information on facilities meeting the criteria set out in one or more of the declaration triggers of the Protocol. Such facilities are referred to throughout the format as the “declared facility”. A common format is to be utilized by declared facilities to report activities captured by each declaration trigger.

The design of the format takes account of the differing sizes, complexities and scope of facilities satisfying the requirements of one or more of the Protocol declaration triggers. It is recognized that in some cases the rooms, laboratories or structures that satisfy the requirements of the trigger - and that therefore are to be the facility - may involve only part of a building. That is to say, the facility declarable under the Protocol may be co-located with or within one or more other facilities or activities that are not declarable. In other cases, however, the declared facility may be much larger.

The facility declaration format is designed to cover this range of possibilities. The facility to be declared is the combination of room(s), laboratory(ies) or structures which carried out activities during the reporting calendar year that satisfied the requirements of one or more of the declaration triggers.

When a declared facility has been used during the reporting period for the conduct of more than one declarable activity, the facility shall submit a separate format for each of the declared activities conducted therein.]

Declared facilities should answer the questions in sections A and B and, according to the trigger involved, the following questions in section C:

<u>Trigger that applies</u>	<u>Questions to be answered in section (C)</u>
Biological defence facility	[all] [34] [...]
Vaccine production facility	36 [and 39] [...]
Maximum biological containment (BL-4 - ...) facility	37 [...]
High biological containment (BL3 - ...) facility	38 [and 39] [...]
Work with listed agents and/or toxins	39 [...]
Other production facility	40 [and 38] [and 39] [...]
Other triggers for facility declarations	41 [and 38] [and 40] [...]

### *Option One*

#### [FORMAT I. DECLARATION OF A BIOLOGICAL DEFENCE FACILITY

##### Reporting period

This declaration covers the calendar year: .....  
INTRODUCTION

(i) Other declaration trigger(s) that apply to the facility

This facility is being declared because it satisfies the requirements of the declaration trigger for a biological defence facility. Indicate if any of the following declaration triggers also apply, by circling the appropriate trigger(s) [and indicating the approximate percentage of the total work of the declared facility that relates to each trigger]:

	[Approximate percentage (in person-years)]
Vaccine production facility	...
Maximum biological containment (BL-4 - ...) facility	...
High biological containment (BL3 - ...) facility	...
Work with listed agents and/or toxins	...
Other production facility	...
Other triggers for facility declarations	...

[If any of these other triggers apply, estimate the proportion of the total work of the declared facility that relates to the work being declared under the trigger for a biological defence facility:

up to 10 per cent      10 - 50 per cent      over 50 per cent ]

(ii) Declared facilities should answer the questions in sections A and B, and questions in section C from question 35 to the end.]

OR

*Option Two*

[FORMAT. DECLARATION OF FACILITIES

Reporting period

This declaration covers the calendar year: .....

INTRODUCTION

(i) Declaration trigger(s) that apply to the facility

Submit a separate copy of the facility declaration format for each facility satisfying the requirements of a declaration trigger identified below. Indicate which of the declaration

triggers is applicable to this copy, by ticking one of the triggers below [and indicating the approximate percentage of the total work of the declared facility that relates to each trigger]:

	[Approximate percentage (in person-years)]
Biological defence facility	...
Vaccine production facility	...
Maximum biological containment (BL-4 - ...) facility	...
High biological containment (BL3 - ...) facility	...
Work with listed agents and/or toxins	...
Other production facility	...
Other triggers for facility declarations	...

Were any other activities conducted within this declared facility that will be declared pursuant to another declaration trigger?

YES / NO

If yes, indicate the relevant declaration trigger(s) (select all applicable):

Biological defence facility	YES / NO
Vaccine production facility	YES / NO
Maximum biological containment (BL-4 - ...) facility	YES / NO
High biological containment (BL3 - ...) facility	YES / NO
Work with listed agents and/or toxins	YES / NO
Other production facility	YES / NO
Other triggers for facility declarations	YES / NO]

OR

*Option Three*

[FORMAT. DECLARATION OF FACILITIES

Reporting period

This declaration covers the calendar year: .....

INTRODUCTION

(i) Declaration trigger(s) that apply to the facility

Submit a copy of the facility declaration format for each facility satisfying the requirements of one or more of the declaration triggers identified below. Indicate which of the declaration triggers is applicable to this facility, by ticking the appropriate triggers below [and indicating the approximate percentage of the total work of the declared facility that relates to each trigger]:

	[Approximate percentage (in person-years)]
Biological defence facility	...
Vaccine production facility	...
Maximum biological containment (BL-4 - ...) facility	...
High biological containment (BL3 - ...) facility	...
Work with listed agents and/or toxins	...
Other production facility	...
Other triggers for facility declarations	... ]

*Common text*

SECTION (A) GENERAL INFORMATION

Name and address

1. Name of the declared facility:
2. Address of the declared facility:
3. Postal address of the declared facility, if different:
4. Building details for the declared facility.

State, as appropriate, building name(s): .....  
building number(s): .....  
room number(s): .....  
[floor level(s): ]

Diagram/location<sup>2</sup>

5. [Fixed facilities. Provide a [scale] [indicative] map of the locality, showing the declared facility:

.....]

OR

[Provide the following:

- (a) An orientation map (with scale, and a key explaining any abbreviations and symbols) of the location of the declared facility, including the following elements:
  - (i) The principal natural and/or man-made topographical features surrounding the declared facility, e.g., major highways or roads, mountain(s), rivers (minimum size of area represented by the map should be approximately [1] square kilometre);
  - (ii) Geographic coordinates of a designated reference point where the declared facility is located, accurate to one second;
  - (iii) Direction of true north;
  - (iv) For current biological defence facilities only: In addition, provide the general boundary of the site within which the declared biological defence facility is located, including all major access routes.
- (b) A facility diagram. The purpose of the facility diagram is to graphically indicate the location of the declared facility (e.g., the area(s) where declared activities took place). The facility diagram can be one or multiple diagrams and should include the entire declared facility, with boundaries of the declared facility building(s), room(s) or other structures, as appropriate, clearly marked. If the declared facility is defined as room(s), or floor(s) within buildings, the diagram must include floor plan(s) with boundaries of the declared facility's spaces clearly marked. The facility diagram shall include the following elements:

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2. A view was expressed that the format should state that the locations of animal holding areas may be excluded from such maps.

- (i) Clearly marked boundary of the declared facility (e.g., the area(s) where declared activities took place, which could be building(s), room(s) or other structures);
- (ii) Geographic coordinates of a designated reference point within [100] metres of the declared facility, accurate to one second;
- (iii) Direction of true north;
- (iv) A key with an explanation of all abbreviations and symbols, and with an indication of the scale of the diagram.]

[6. Mobile facilities.

- (a) List the locations at which the declared facility is usually operated:  
.....
- (b) Indicate where the declared facility was normally kept, if different from above:  
.....
- (c) List the locations at which the declared facility was operated:  
.....]

Owner

7. Name:  
.....
8. Affiliation (tick all that apply):
- |   |   |   |        |   |           |
|---|---|---|--------|---|-----------|
| 9 | Ministry/Department/Agency of Defence           | 9 | wholly | 9 | partially |
| 9 | Other government ministry/department/<br>agency | 9 | wholly | 9 | partially |
| 9 | Non-government                                  | 9 | wholly | 9 | partially |

Operator(s) (Only provide details if different from the owner)

9. Name(s):  
.....
10. Affiliation(s) (tick all that apply):

9	Ministry/Department/Agency of Defence	9	wholly	9	partially
9	Other government ministry/department/ agency	9	wholly	9	partially
9	Non-government	9	wholly	9	partially

[Funding]

[11.<sup>3</sup> Estimate the funding levels for the current biological defensive programme work at the declared facility:

.....]

12. Affiliation of sources of funding (tick all that apply):

9	Ministry/Department/Agency of Defence	9	wholly	9	partially
9	Other government ministry/department/ agency	9	wholly	9	partially
9	Non-government	9	wholly	9	partially
9	International organization	9	wholly	9	partially

[(a) Identify the primary sponsor of or source of funding for declared activities at the declared facility (tick all that apply):

9	Ministry/Department/Agency of Defence	9	wholly	9	partially
9	Other government agency or department	9	wholly	9	partially
9	International body (e.g. WHO, UN, etc.)	9	wholly	9	partially
9	Other non-government	9	wholly	9	partially

(b) Identify the type of primary purchaser or recipient of the product or services of declared activities at the declared facility (tick all that apply):

9	Ministry/Department/Agency of Defence	9	wholly	9	partially
9	Other government agency or department	9	wholly	9	partially
9	International body (e.g. WHO, UN, etc.)	9	wholly	9	partially
9	Other non-government	9	wholly	9	partially]

Personnel

---

3. Only the delegations which saw this format I as the format for biodefence facilities wanted to retain this question in this place.

13. [Estimated number of personnel. Do not include personnel who make minor contributions to the declared activity. Examples may be administrative or health and safety personnel.

	Total personnel			Scientific personnel including engineers			Technical assistance/support personnel		
	[up to x]	[x to y]	[above y]	[up to x]	[x to y]	[above y]	[up to x]	[x to y]	[above y]
[Military] personnel									
[Civilian personnel]									
Contract employees who have worked for more than 6 [person] months in the reporting calendar year									

SCIENTISTS

	Military	Civilian	Contract*
Microbiologists			
Pathologists			
Molecular biologists			
Epidemiologists			
Entomologists			
Plant pathologists			
Others			

\* Contract employees who have worked for more than 6 months in the reporting calendar year.

ENGINEERS

	Military	Civilian	Contract*
Mechanical engineers			
Chemical engineers			
Electronics/instrumentation engineers			
Others			

\* Contract employees who have worked for more than 6 months in the reporting calendar year.

OR

]

[13. Estimate the person-years of technical and scientific staff directly involved in the declared activities at the declared facility (include on-site contractors):

\_\_\_ 0 - 10      \_\_\_ 11 - 25      \_\_\_ 26 - 50      \_\_\_ greater than 50

(a) Estimate the percentage of these personnel who hold, as their highest qualification, a diploma, bachelors degree or technical degree in the life sciences, chemistry, engineering or physics:

\_\_\_ none                      \_\_\_ 1 - 25 per cent                      \_\_\_ 26 - 50 per cent  
\_\_\_ 51 - 75 per cent      \_\_\_ 76 - 100 per cent

(b) Estimate the percentage of these personnel who received a higher or advanced degree in the life sciences, chemistry, engineering or physics:

\_\_\_ none                      \_\_\_ 1 - 25 per cent                      \_\_\_ 26 - 50 per cent  
\_\_\_ 51 - 75 per cent      \_\_\_ 76 - 100 per cent

(c) Estimate the percentage of person-years that are full-time active duty military:

\_\_\_ none                      \_\_\_ 1 - 25 per cent                      \_\_\_ 26 - 50 per cent  
\_\_\_ 51 - 75 per cent      \_\_\_ 76 - 100 per cent

(d) Estimate the percentage of person-years that are full-time civilian ministry/department/agency of defence employees (include on-site contractors):

\_\_\_ none                      \_\_\_ 1 - 25 per cent                      \_\_\_ 26 - 50 per cent  
\_\_\_ 51 - 75 per cent      \_\_\_ 76 - 100 per cent]

**SECTION (B) SCIENTIFIC AND TECHNICAL INFORMATION**

[14. State the aims and objectives of the work at the declared facility ([10 lines or less] [... words or more]):

.....  
.....  
.....]

[15. Describe the work at the declared facility in the reporting year ([10 lines or less] [... words or more]):

.....  
.....  
.....]

[16. Fields of activity at the declared facility

Did the work include research and development, testing and evaluation, or [production] [manufacturing] in any of the following areas (tick all that apply)?

	Research and development	Testing and evaluation	[Production] [Manufacturing]
Detection, identification and diagnosis			
Decontamination, disinfection and pest control			
Prophylaxis			
Physical protection			
Medical or veterinary treatment			
Genetic modification			
[Maintaining culture collection/ repository]			n.a.?
Insect/pest control techniques for use in agriculture/horticulture			
Characteristics of biological agents and toxins:			
pathogenicity/virulence			n.a.?
toxicity			n.a.?
toxinology			n.a.?
environmental stability			n.a.?
[production]			n.a.?
antimicrobial resistance			n.a.?
Aerobiology studies, including open-air release			n.a.?



OR

- [21. If the declared facility included room(s) for holding and/or working with live animals under maximum biological containment (BL-4 - ...) or high biological containment (BL3 - ...), specify the floor area of the holding/working areas, excluding shower areas, by indicating which range applies:

Type of animal	Floor area			Indicate biological containment level that applies	
	up to 30 sq.m.	30 - 100 sq.m.	over 100 sq.m.	Maximum	High

22. Answer the questions about equipment at the declared facility, to be found in the attached Annex ...<sup>5</sup>

- [23. Indicate whether tissue culture media was used:

YES / NO

If yes, [indicate which range applies:

up to 1,000 litres      1,000-10,000 litres      over 10,000 litres]

[estimate the amount used, to an accuracy of +/- 20 per cent: . . . . . ]]

- [24. Indicate whether other complex culture media was used:

YES / NO

If yes, [indicate which range applies:

up to 1,000 litres      1,000-10,000 litres      over 10,000 litres]

[estimate the amount used, to an accuracy of +/- 20 per cent: . . . . . ]]

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5. The list as developed in the rolling text, Annex A, section II should be used.

[25. Indicate whether embryonated eggs were used to culture microorganisms:

YES / NO

If yes, [indicate which range applies:

[up to 1,000 eggs    1,000 - 15,000 eggs    over 15,000 eggs]  
 [1 - 10,000 eggs    10,000 - 100,000 eggs    over 100,000 eggs]  
 [up to 10,000 eggs    over 10, 000 eggs]]

[estimate the number used, to an accuracy of +/- 20 per cent: . . . . . ]]

[26.<sup>6</sup> If the facility conducted work with agents and/or toxins listed in Annex A, whether or not it satisfied the declaration trigger for work with listed agents and/or toxins, provide the following information:

Agent	Estimated amount produced (litres of culture or of working suspensions of agents)		
	up to x	x to y	above y

Toxin	Estimated amount produced (dry or wet packed weight in grams)		
	up to x	x to y	above y

OR

[26. If the facility conducted work with agents and/or toxins listed in Annex A, whether or not it satisfied the declaration trigger for work with listed agents and/or toxins, provide the following information:

---

6. Only the delegations which saw this format I as the format for biodefence facilities wanted to retain this question in this place.

(a) List the agents worked with:

.....  
.....  
.....

(b) Estimate the quantity of human, animal or plant pathogen agents produced, as a single total for all agents, in ranges of litres of culture or of working suspensions of agents:

up to x      x to y      above y

(c) Estimate the quantity of toxins produced, as a single total, in ranges of dry weight or wet packed weight, in grams:

up to x      x to y      above y ]

OR

[26.<sup>7</sup> Indicate if declared activities at the declared facility utilized toxins or [pathogenic strains of] agents listed below:

...	YES / NO
...	YES / NO]

[27. Indicate other classes of microorganisms and/or toxins not included in the previous question involved in declared activities at the declared facility (check all that apply):

Bacteria	YES / NO
Viruses	YES / NO
Rickettsia	YES / NO
Toxins	YES / NO

---

7. The items from the list of agents and toxins in Annex A will be included here later, when that list is agreed.

Fungi

YES / NO]

[28. Were there any areas which could be entered only by specifically vaccinated personnel?

YES / NO

If yes, list the vaccines that applied:

.....]

OR

[28. Were any declared facility personnel vaccinated against any agents or toxins listed in question ... in connection with declared activities at the declared facility?

YES / NO

28 bis Were any declared facility personnel vaccinated against any other agents or toxins in connection with declared activities at the declared facility?

YES / NO]

[29. Did any declared activities of the declared facility involve aerobiological work (excluding nasal and oral inhalers intended for personal prophylactic use)?

YES / NO

30. Were declared activities at the declared facility supported by a fixed outdoor site or fixed grid that is designed, intended and used for outdoor studies of biological aerosols?

YES / NO]

[31. Were any agents and/or toxins listed in Annex A transferred between the declared facility and any other areas at the same location or at a different location (indicate which)?

Same location

YES / NO

Different location

YES / NO

If yes, were any of these other areas at the same location:

Laboratories	YES / NO
Animal houses	YES / NO
Production areas	YES / NO
Areas involved in downstream processing, formulation or packaging	YES / NO
Waste treatment areas	YES / NO
Areas involved in field testing or evaluation	YES / NO ]

32. Indicate the publication policy for work at the declared facility:

Publishing in the open literature and/or at open scientific/technical meetings	YES / NO
Scientific/technical reports on limited distribution only	YES / NO
No publications or reports	YES / NO

33. Attach a list of the papers that were published in the open literature and/or at open scientific/technical meetings by personnel involved in the declared activities, during the reporting calendar year, in scientific/technical/medical/veterinary journals or books, or in conference proceedings, or made available in an electronic format (state authors, title and full reference):

.....  
.....  
.....

SECTION (C) ADDITIONAL INFORMATION

[34.<sup>8</sup> Facility declared as a biological defence facility

(a) Name of site if different from name of facility: .....

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8. Delegations which saw this format I as the format for biodefence facilities did not want to keep this paragraph.

(b) Estimate the funding levels for the current biological defensive programme work at the declared facility:

.....]

(c) Indicate the average person-years spent on the current biodefence activities [in ranges]:

[ ..... ] [ up to x      x to y      above y ]

(d) State the aims and objectives of the current biological defensive programme work at the declared facility (10 lines or less):

.....  
.....  
.....]

OR

[If the declared facility satisfied the requirements of the declaration trigger for biological defence facilities in accordance with Annex ..., answer the following:

(a) Did declared activities at the declared facility include work on pathogenicity?

YES / NO

If yes, summarize the aims and objectives of biological defence work on pathogenicity at the declared facility (10 lines or less):

.....  
.....  
.....

(b) Did declared activities at the declared facility include work on virulence?

YES / NO

If yes, summarize the aims and objectives of biological defence work on virulence at the declared facility (10 lines or less):

.....  
.....  
.....

(c) Did declared activities at the declared facility include work on aerobiology?

YES / NO

If yes, summarize the aims and objectives of biological defence work on aerobiology at the declared facility (10 lines or less):

.....  
.....  
.....

(d) Did declared activities at the declared facility include work on toxinology?

YES / NO

If yes, summarize the aims and objectives of biological defence work on toxinology at the declared facility (10 lines or less):

.....  
.....  
..... ]]

*The remainder of Appendix C was not discussed during the seventeenth session of the Ad Hoc Group. It remains unchanged except for the addition to paragraph 40 in format I, as follows:*

[40. (d) If the declared facility included room(s)/other enclosure(s) with quarantine for plants or plant pathogens, specify the floor area of the working areas, excluding shower areas, by indicating which range applies:

up to 30 sq.m.      30-100 sq.m.      over 100 sq.m.]

\_\_\_\_\_