

APPENDICES

INITIAL DECLARATIONS

APPENDIX A

DECLARATIONS OF OFFENSIVE AND/OR DEFENSIVE BIOLOGICAL AND  
TOXIN PROGRAMMES AND/OR ACTIVITIES CONDUCTED PRIOR TO  
ENTRY INTO FORCE OF THE PROTOCOL FOR EACH STATE PARTY

1. Name of State Party:

.....

2. Date of entry into force of the Convention for the State Party:

.....

3. Date of initial declaration:

.....

[4.<sup>71</sup> Past offensive biological and toxin programmes and/or activities.

(a) Yes / No

(b) Period(s) of activities from 1 January 1946 to: .....

(c) Summary of the activities indicating whether work was performed concerning production, testing and evaluation, weaponization and/or stockpiling of biological agents, the destruction programme of such agents and weapons, and other related research:

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

5.<sup>72</sup> Past defensive biological and toxin programmes and/or activities.

(a) Yes / No

(b) Period(s) of activities from 1 January 1946 to: .....

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<sup>71</sup> A view was expressed that this question makes reassessment of questions 1 to 3 in Part A of this Appendix necessary.

<sup>72</sup> A view was expressed that this question makes reassessment of questions 1 to 3 in Part B of this Appendix necessary.

- (c) Summary of the programmes and/or activities indicating whether or not work was conducted in the following areas: prophylaxis, studies on pathogenicity and virulence, diagnostic techniques, aerobiology, detection, treatment, toxinology (studies of toxins), physical protection, decontamination, and other related research, with location, if possible:

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

PART A

OFFENSIVE BIOLOGICAL AND TOXIN PROGRAMMES AND/OR  
ACTIVITIES CONDUCTED PRIOR TO ENTRY INTO FORCE  
OF THE PROTOCOL FOR EACH STATE PARTY

- 1. At any time since [17 June 1925] [1 January 1946] [26 March 1975] [in the ten-year period prior to entry into force of the Protocol]<sup>73</sup> have you conducted any programmes and/or activities as specified in Article III, section D, subsection I, paragraph 6?

YES / NO

If yes, complete the remainder of this format, with respect to the declarable period.

- 2. Indicate the period(s) of any such programmes and/or activities:

.....

- 3. Provide a narrative statement of any such programmes and/or activities, indicating work performed concerning:

- (a) Research and development, production, testing and evaluation, weaponization, stockpiling or other acquisition or retention of microbial or other biological agents, or toxins:

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

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<sup>73</sup> Considering divergent views held by delegations on the start date of declarations of past offensive programmes, agreement on the content of part A of Appendix A is contingent on agreement on this start date.

- (b) Weapons, equipment or means of delivery designed to use such agents or toxins for hostile purposes or in armed conflict [or in hostile covert action]:

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

- 4. Provide a narrative statement of activities performed to destroy or divert to peaceful purposes:

- (a) Any agents or toxins developed, produced, weaponized, stockpiled or otherwise acquired or retained as part of any such programmes and/or activities:

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

- (b) Any weapons, equipment or means of delivery designed to use such agents or toxins for hostile purposes or in armed conflict [or in hostile covert action]:

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

- 5. Have any microbial or other biological agents or toxins been used for hostile purposes or in armed conflict [or in hostile covert action] since [17 June 1925] [1 January 1946] [26 March 1975]?

YES / NO

- 6. If “YES” in paragraph 5, give a summary of each case indicating the agent(s), date(s), place(s), mode(s) and scale(s):

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

- 7. Indicate whether any research and development activities or other work with microbial or other biological agents or toxins was carried out in the following areas as part of any such programmes and/or activities [or on pests and vectors]:

Research and development on	
Pathogenicity/virulence	YES / NO
Toxic and other pathological effects	YES / NO
Antibiotic resistance	YES / NO
Stability of agents/toxins	YES / NO

Toxinology <sup>74</sup>	YES / NO
Aerobiology	YES / NO
Transmission of agents by vectors (e.g. arthropods)	YES / NO
Vector (e.g. arthropod) ecology, dispersion and breeding	YES / NO
Genetic modification	YES / NO
Microbial/toxin production and downstream processing methods	YES / NO
Testing and evaluation	YES / NO
Aerobiological testing and evaluation	YES / NO
Production	YES / NO
Stockpiling or other retention	YES / NO
Other acquisition	YES / NO
Weaponization	YES / NO

8. Give a summary of each subject indicated as “YES” in paragraph 7 above:

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

9. Indicate whether any research and development activities or other work was carried out on weapons, equipment or means of delivery for microbial or other biological agents or toxins as part of any such programmes and/or activities:

Research and development	YES / NO
Testing and evaluation	YES / NO
Production	YES / NO
Stockpiling or other retention	YES / NO
Other acquisition	YES / NO

10. Give a summary of each subject indicated as “YES” in paragraph 9 above:

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

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<sup>74</sup> Toxinology is the study of toxins.

11. List all facilities, including test ranges, that participated in any such-programmes and/or activities [and which were not destroyed or diverted to peaceful purposes by [26 December 1975] [the date of entry into force of the Convention for your State Party]. For each such facility, provide the address and a summary of the activities and purposes which were part of any such programmes and/or activities] [Indicate which had been destroyed when, and how it was done. Describe what was done with all the facilities that were not destroyed]:

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

[12. List all facilities, including test ranges, that participated in any such programmes and/or activities and which you are declaring and/or listing pursuant to Article III, section D, subsection I, part C. For each such facility, provide the address and a summary of the activities and purposes which were part of any such programmes and/or activities:

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

[13. Was any maximum containment facility constructed for use in the biological offensive programmes and/or activities?

YES / NO

If yes, indicate the floor area of each facility:

.....]

[14. List all test ranges, including their addresses, activities and purposes, used in the programmes and/or activities and give a description including dates of the dismantling or conversion of each:

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

[15. Indicate what all the converted facilities and test ranges are presently being used for:

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

16. List any microbial or other biological agents and/or toxins developed, produced, weaponized, stockpiled or otherwise acquired or retained for hostile purposes or for use in armed conflict [or in hostile covert action]:

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

[17. If agents and/or toxins were produced, indicate the cumulative amount of each agent and toxin produced since 17 June 1925:

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

[18. If agents and/or toxins were stockpiled, indicate the cumulative amount of each agent and toxin stockpiled since 17 June 1925:

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

[19. Indicate which produced or otherwise acquired, stockpiled or weaponized agents and/or toxins listed in paragraph 16 above were destroyed, how, where and when it was done. Give a summary of what was done with those not destroyed:

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

OR

[19. Indicate any microbial or other biological agents or toxins developed, produced, weaponized, stockpiled or otherwise acquired or retained for hostile purposes or for use in armed conflict [or in hostile covert action] listed in paragraph 16 above which were not destroyed and/or converted to peaceful purposes by [26 December 1975] [the date of entry into force of the Convention for your State Party], and provide a summary of what was done with items which were not destroyed or converted:

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

- [20. Give a summary of the destruction or conversion of the equipment or means of delivery described in paragraph 10 above:

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

OR

- [20. Indicate any weapons, equipment or means of delivery designed to use such agents or toxins for hostile purposes or in armed conflict [or in hostile covert action], developed, produced, stockpiled or otherwise acquired or retained as part of any such programmes and/or activities, which were not destroyed or converted to peaceful purposes by [26 December 1975] [the date of entry into force of the Convention for your State Party], and provide a summary of what was done with items which were not destroyed or converted:

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

- [21. State the present status of the data, video recordings, etc. obtained when the programmes and/or activities were in operation:

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

PART B

DECLARATION OF DEFENSIVE BIOLOGICAL AND TOXIN  
PROGRAMMES AND/OR ACTIVITIES CONDUCTED PRIOR TO ENTRY  
INTO FORCE OF THE PROTOCOL FOR EACH STATE PARTY

1. At any time in the period from [17 June 1925] [1 January 1946] [26 March 1975, or, if you acceded to the Convention after 26 March 1975, since the date of entry into force of the Convention for your State Party] [the date [5] [10] [30] years prior to entry into force of the Protocol] until entry into force of the Protocol for your State Party, have you conducted programmes and/or activities as specified in Article III, section D, subsection I, paragraph 7?

YES / NO

If yes, complete the remainder of this format, with respect to the declarable period.

2. Indicate the period(s) of any such programmes and/or activities during the declarable period:

.....

3. Provide a summary of the general objectives of any such programmes and/or activities:

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

[4. Provide a brief narrative statement of any research and development on prophylaxis, pathogenicity/virulence, diagnostic techniques, detection, aerobiology, treatment, toxinology, physical protection, decontamination and/or microbial/toxin production and downstream processing, which was conducted as part of any such programmes and/or activities:

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

5. Indicate by ticking the appropriate box whether any work was carried out in the following areas:

Work area	Research and development	[Aerobiological] testing and/or evaluation	[Production of agents and/or toxins [listed in Annex A]]
Detection or diagnosis			
Decontamination			
Prophylaxis against disease			
Physical protection			
Treatment of disease			
Pathogenicity/virulence			
Genetic modification			
[Antibiotic resistance]			
Stability of agents/toxins			
Toxinology*			
Toxic and other pathological effects			
Aerobiology			

Work area	Research and development	[Aerobiological] testing and/or evaluation	[Production of agents and/or toxins [listed in Annex A]]
Transmission of agents by vectors (e.g. arthropods)			
Vector (e.g. arthropod) ecology, dispersion and breeding			
[Maintaining culture collections/ repositories]			
* Toxinology is the study of toxins. ** Production means [mass] cultivation of replicative biological agents by any means, or the synthesis, biosynthesis, or extraction of non-replicative biological agents including toxins.			

6. Summarize the principal objectives of and the work performed in any of the areas indicated in the response to question 5 above:

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

7. For the programmes and/or activities indicated in question 5 above, indicate:

(a) The types of pathogens and/or toxins [listed in Annex A] worked with (tick any that apply):

Human or zoonotic pathogens:

Bacteria     Viruses     Fungi     Others

Animal pathogens:

Bacteria     Viruses     Fungi     Others

Plant pathogens:

Bacteria     Viruses     Fungi     Others

Toxins:

[(b) All agents and/or toxins listed in Annex A that were worked with:

.....]

(c) Whether any agents and/or toxins listed in Annex A were worked with in any of the following types of organization (tick any that apply):

Organizations in the declaring State Party:

Industry     Academia  
 Government ministry/department/agency other than defence or military

Organizations in another State or State Party, working under contract or through collaboration:

- Industry     Academia  
 Government ministry/department/agency other than defence or military

(d) The affiliation of sources of funding that applied (tick any that apply):

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

[8. Provide the names and addresses of all facilities which were involved in any such programmes and/or activities [and which are also declared pursuant to Article III, section D, subsection I, part C] [and indicate which, if any, are still involved in a current programme]:

Name	Address	[Declared (YES / NO)]	[Whether still active in the programmes and/or activities (YES / NO)]

9. Indicate whether any such programmes and/or activities were supported by outdoor studies of aerosols containing microbial or other biological agents or toxins or their simulants:

YES / NO

10. Indicate whether, as part of any such programmes and/or activities, vaccine(s) or vaccine ingredients causing a specific and protective immune response were produced for armed forces or public use or storage:

YES / NO

ANNUAL DECLARATIONS

APPENDIX B

DECLARATION OF DEFENSIVE BIOLOGICAL AND TOXIN PROGRAMMES  
AND/OR ACTIVITIES CONDUCTED DURING THE PREVIOUS YEAR

1. Name of State Party:  
.....

2. This declaration relates to the calendar year:  
.....

3. At any time in the declaration year, have you conducted any programmes and/or activities as specified in Article III, section D, subsection I, paragraph 8?

YES / NO

If yes, complete the [remainder of this format] [respective biodefence facility formats].

[4. Did any of the programmes and/or activities continue until the end of the declaration year:

YES / NO]

[5. Describe the general objectives of any such programmes and/or activities specified in Article III, section D, subsection I, paragraph 8 (50 lines or less):

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

6.<sup>75</sup> Indicate by ticking the appropriate box whether any work has been carried out in the following areas:

---

<sup>75</sup> A view was expressed that testing and evaluation is part of research and development, and they should therefore be declared together. Another view was that testing and evaluation are distinct from research and development, and they should therefore be declared separately. A view was also expressed that a State Party providing this declaration should be invited to state whether it is declaring research and development work together with or separate from testing and evaluation.

A view was expressed that a question on testing and evaluation should only refer to acquired or procured equipment. Another view was that such a question on acquired or procured equipment should be restricted to equipment designed to protect or defend humans, animals or plants against the use of microbial or other biological agents or toxins for hostile purposes or in armed conflict.

Another view was that testing and evaluation should not be declared at all.

Work area	Research and development [(including testing and evaluation)]	[Testing or evaluation]	[Production other than in research, development, testing or evaluation]
Detection or diagnosis			
Decontamination			n.a.
Prophylaxis against disease			
[Physical protection]			n.a.
Treatment of disease			
Pathogenicity or virulence			n.a.
[Genetic modification]			n.a.
[Other characteristics of agents]			n.a.
Toxinology*			n.a.
[Toxicity other than relating to toxins]			n.a.
Aerobiology			n.a.
[Vector (e.g. insect) ecology]			n.a.
[Fermentation]			
[Other related activities]			
* Toxinology is the study of toxins.			

7. Summarize the principal objectives of and the work performed in the programmes and/or activities in the areas indicated in question 6 above [, including special reference to work described under “other characteristics of agents” or “other related activities”]:

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

As an aggregate for the programmes and/or activities in the areas indicated in question 6 above, state for the reporting period:

8. Funding

[(a) The total funding:

..... ]

(b) Affiliation of sources of funding (tick all that apply):

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

(c) Whether aspects of the work were conducted under contract with, or by, any of the following types of organization (tick any that apply):

- Industry     Academia  
 Government ministry/department/agency other than defence or military

If yes, indicate the percentage of the total funding that was expended in such organizations for this purpose (Estimates of percentages shall be rounded up to the nearest whole number):

- [  Less than 5 per cent     5-25 per cent     26-50 per cent  
   51-75 per cent         76-100 per cent ]

OR

- [  0-25 per cent         26-50 per cent  
   51-75 per cent         76-100 per cent ]

[Summarize the objectives of any such work:

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

9. For the personnel employed, including those contracted for more than six months:

[(a) Indicate the total number of personnel:

- [  1-10     11-25     26-100     101-500     greater than 500 ]

OR

- [  1-50     greater than 50 ]]

[(b) Indicate the total person years of work (Where a fraction of a person year is involved, this shall be rounded up to the nearest whole number):

- [  1-10     11-25     26-100     101-500     greater than 500 ]

OR

[ \_\_\_ 1-50 \_\_\_ greater than 50]]

[(c) Give a detailed break-down of the following personnel categories taking part in the activities and/or programmes:

	Scientific personnel including engineers	Technical assistance personnel
[Military] personnel		
[Civilian personnel]		
Contract personnel*		

\* Contract employees who have worked for more than six months in the reporting period.

OR

[(c) Estimate the percentage of person-years that are full-time active duty military (Estimates of percentages shall be rounded up to the nearest whole number):

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

(c) *bis* Estimate the percentage of person-years that are full-time civilian defence ministry/department/agency employees (include on-site contractors) (Estimates of percentages shall be rounded up to the nearest whole number):

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

10. Indicate:

[(a) All biological agents and/or toxins they worked with:

..... ]

[(a) *bis* All biological agents on which genetic modification was conducted to enhance pathogenicity, virulence, stability or resistance to antibiotics or chemical or physical methods of disinfection, or which altered the host range, the infection route or the ease of identification or diagnosis, within a high biological containment facility (BL3):

..... ]

OR

[(a) *bis* All biological agents (or toxins, if applicable) on which work was conducted, including genetic modification, in one or more of the following fields:

- Pathogenicity/virulence
- Stability
- Resistance to antibiotics or chemical or physical methods of disinfection
- The host range
- The infection route
- The ease of identification or diagnosis

Indicate whether any modification was performed:

Agent	Modification	Field	Biosafety level		
			BL2	BL3	BL4

OR

[(a) The types of pathogens and/or toxins worked on (tick any that apply):

Human or zoonotic pathogens:

Bacteria     Viruses     Fungi     Others

Animal pathogens excluding zoonotic pathogens:

Bacteria     Viruses     Fungi     Others

Plant pathogens:

Bacteria     Viruses     Fungi     Others

Toxins:  ]

[(b) All agents and/or toxins listed in Annex A which were worked on, and for each indicate whether any genetic modification was performed:

Agent	Genetic modification performed (YES / NO)
...	...
...	...

In any such work, indicate any agents and/or toxins listed in Annex A which were worked on in any of the following types of organization:

Organizations in the declaring State Party:

Industry:      agent(s): .....

Academia: agent(s): .....

Government ministry/department/agency other than defence or military:  
agent(s): .....

Organizations in another State or State Party, working under contract or  
through collaboration:

Industry: agent(s): .....

Academia: agent(s): .....

Government ministry/department/agency other than defence or military:  
agent(s): .....]

- (c) Whether fermenters/bioreactors exceeding [25] litres in volume were used to  
produce pathogens, toxins or simulants:

YES / NO

[If yes, indicate the types of products made and the purpose:

Type of product	Purpose
...	...
...	...
...	...

Were any such fermenters/bioreactors located in any of the following types of  
organization (tick any that apply):

Organizations in the declaring State Party:

Industry  Academia  
 Government ministry/department/agency other than defence or military

Organizations in another State or State Party, working under contract or  
through collaboration:

Industry  Academia  
 Government ministry/department/agency other than defence or military]

- (d) Whether vaccine or vaccine ingredients causing a specific and protective  
immune response were produced for the general public or for armed forces:

YES / NO

[If yes, provide the names of the facilities involved:

.....]

- (e) Whether the programmes and/or activities were supported by outdoor studies of biological aerosols or their simulants:

YES / NO

[Were any such outdoor studies performed in any of the following types of organization (tick any that apply):

Organizations in the declaring State Party:

- Industry     Academia
- Government ministry/department/agency other than defence or military

Organizations in another State or State Party, working under contract or through collaboration:

- Industry     Academia
- Government ministry/department/agency other than defence or military]

- 11. Provide a list of all biological defence facilities [for which a declaration format (Appendix C) or a listing format (Appendix D) has been provided (tick the appropriate box)]:

Name of biological defence facility	A declaration format has been provided (Appendix C)	A listing format has been provided (Appendix D)
...		
...		

- 12. Provide a diagram of the organizational structure of the declared programmes and/or activities, describing the reporting relationships including all the facilities mentioned in question 11 above:

.....

- 13. Describe the national publication policy for the declared programmes and/or activities:

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

APPENDIX C

FACILITIES<sup>76</sup>

DECLARATION OF FACILITIES [, EXCEPT BIODEFENCE FACILITIES]

Guidelines for completing the declaration format<sup>77</sup>

[1. These declaration formats require information on rooms, laboratories, or other buildings or structures, and on specified activities conducted therein<sup>78</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”.

2. 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.

3. 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

[1. 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

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<sup>76</sup> At the twentieth session the Friend of the Chair reminded the group that the terms used in the formats to indicate particular declaration triggers are intended as place-holders only. The exact wording will need to be reviewed and brought into line with the terminology for declaration triggers finally agreed in Article III.

<sup>77</sup> Further work needs to be done on the guidelines, including to consider making changes to the guidelines in accordance with BWC/AD HOC GROUP/WP.416, as corrected in the room-document by South Africa, dated 24 July 2000, in accordance with the room-paper by the Russian Federation, dated 25 July 2000, and in accordance with ideas already recorded in BWC/AD HOC GROUP/51 (Part II).

<sup>78</sup> A view was expressed that it would be better to use the term “facility” and refer to the definition in Article II.

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.

2. 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.

3. 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.

4. 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.]

Each declared facility shall answer the questions in sections A and B and, according to the trigger[s] involved, the following questions in section C:

<u>Trigger that applies</u>	<u>Questions to be answered in section (C)</u>
Vaccine production facility	31
Maximum biological containment facility	32
[High biological containment facility	33]
[Plant pathogen containment facility	34]
Work with listed agents and/or toxins	35
[Other production facility	36]
[Other triggers for facility declarations	37]
[Biodefence facility	[all] [38 to 41]]

\* \* \* \* \*

Reporting period

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

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)]
Vaccine production facility	...
Maximum biological containment facility	...
[High biological containment facility	...]
[Plant pathogen containment facility	...]
Work with listed agents and/or toxins	...
[Other production facility	...]
[Other triggers for facility declarations	...]
[Biodefence facility	...]

[When a facility has engaged in activities meeting the criteria for more than one of the declaration requirements set out in Article III, section D, subsection I, the facility shall submit a separate copy of [section C of ] the format for each of the declaration requirements. Indicate which of the declaration triggers is applicable to this copy by ticking one of the triggers below:

Vaccine production facility	YES / NO
Maximum biological containment facility	YES / NO
[High biological containment facility	YES / NO]
[Plant pathogen containment facility	YES / NO]
Work with listed agents and/or toxins	YES / NO
[Other production facility	YES / NO]
[Other triggers for facility declarations	YES / NO]
[Biodefence facility	YES / NO]]

(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): .....

Diagram/location<sup>79</sup>

Fixed facilities

[5. Provide a scale map of the locality, showing the declared facility:

..... ]

OR

[5. 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, [including access roads to the facility,] mountain(s), rivers (minimum size of area represented by the map should be approximately [1] square kilometre);

(ii) Direction of true north;

(b) A facility diagram. The purpose of the facility diagram is to graphically indicate the location and lay-out of the declared facility. 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. The facility diagram shall include [geographic coordinates of a designated reference point within [100] metres of the declared facility, accurate to one second,] a key with an explanation of all abbreviations and symbols, and an indication of the scale of the diagram.]

[Mobile facilities

6. (a) List the locations at which the declared facility was operated:

.....

(b) Indicate where the declared facility was normally kept, if different from above:

..... ]

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<sup>79</sup> A view was expressed that the format should state that the locations of animal holding areas may be excluded from such maps.

Owner

7. Name:

.....

8. Affiliation (tick all that apply):

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

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

9. Name(s):

.....

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

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

Funding

[[11. Affiliation of sources of funding of the declared facility (tick all that apply):

Defence Ministry/Department/Agency	wholly	partially
Other government ministry/department/ agency	wholly	partially
International organization (UN agencies, etc.)	wholly	partially
Other non-government	wholly	partially
Defence Ministry/Department/Agency of another State Party/State	wholly	partially
Other government ministry/department/ agency of another State Party/State	wholly	partially]

[11 bis Affiliation of sources of funding for declared activities at the declared facility, if different from 11 above (tick all that apply):

Defence Ministry/Department/Agency	wholly	partially
Other government ministry/department/ agency	wholly	partially

International organization (UN agencies, etc.)	wholly	partially
Other non-government	wholly	partially
Defence Ministry/Department/Agency of another State Party/State	wholly	partially
Other government ministry/department/ agency of another State Party/State	wholly	partially]

[11 *ter* Identify the primary sponsor or source of funding for declared activities at the declared facility (tick which applies):

Defence Ministry/Department/Agency  
Other government ministry/department/agency  
International organization (UN agencies, etc.)  
Other non-government]

[11 *quater* Identify the type of primary purchaser or recipient of the product or services of declared activities at the declared facility (tick which applies):

Defence Ministry/Department/Agency  
Other government ministry/department/agency  
International organization (UN agencies, etc.)  
Other non-government]]

OR

[11. Affiliation of sources of funding of the declared facility (tick all that apply):

Defence Ministry/Department/Agency	wholly	partially
Other government ministry/department/ agency	wholly	partially
International organization (UN agencies, etc.)	wholly	partially
Other non-government	wholly	partially
Defence Ministry/Department/Agency of another State Party/State	wholly	partially
Other government ministry/department/ agency of another State Party/State	wholly	partially

11 *bis* Identify the primary sponsor or source of funding for declared activities at the declared facility (tick which applies):

Defence Ministry/Department/Agency  
Other government ministry/department/agency  
International organization (UN agencies, etc.)  
Other non-government

Defence Ministry/Department/Agency of another State Party/State  
Other government ministry/department/agency of another State  
Party/State]

Personnel

[12. 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 10	11 to 50	above 50	up to 10	11 to 50	above 50	up to 10	11 to 50	above 50
Military personnel									
Civilian personnel									
Contract employees who have worked for more than six months in the reporting calendar year									

OR

[12. Indicate the number of [person-years or] personnel [(indicating which unit of measurement is applied)] of technical and scientific staff directly involved in the declared activities at the declared facility (include on-site contractors):

[Person-years (where a fraction of a person-year is involved, this shall be rounded up to the nearest whole number): \_\_\_\_ Personnel: \_\_\_\_ ]

\_\_\_\_ up to 10      \_\_\_\_ 11-50      \_\_\_\_ 51-200      \_\_\_\_ greater than 200

(a) Indicate the percentage of these personnel who hold, as their highest qualification, a diploma, bachelor's degree or technical degree in the life sciences, chemistry, engineering or physics (estimates of percentages shall be rounded up to the nearest whole number):

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

- (b) Indicate the percentage of these personnel who received a higher or advanced degree in the life sciences, chemistry, engineering or physics (estimates of percentages shall be rounded up to the nearest whole number):

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

- (c) Are full-time active duty military [or full-time civilian Defence Ministry/Department/Agency employees, including on-site contractors,] involved in the declared activity?

YES / NO

[If yes, indicate the number of [person-years or] personnel [(indicating which unit of measurement is applied)] that are involved:

[Person years (where a fraction of a person-year is involved, this shall be rounded up to the nearest whole number): \_\_\_ Personnel: \_\_\_ ]

\_\_\_ up to 10    \_\_\_ 11-50    \_\_\_ 50-200    \_\_\_ greater than 200

- [(d) Are full-time civilian Defence Ministry/Department/Agency employees (including on-site contractors) involved in the declared activity?

YES / NO

If yes, indicate the number of [person-years or] personnel [(indicating which unit of measurement is applied)] that are involved:

[Person years (where a fraction of a person-year is involved, this shall be rounded up to the nearest whole number): \_\_\_ Personnel: \_\_\_ ]

\_\_\_ up to 10    \_\_\_ 11-50    \_\_\_ 50-200    \_\_\_ greater than 200]]]

(B) SCIENTIFIC AND TECHNICAL INFORMATION

- [13. Summarize the main activities at the declared facility:

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

[14.<sup>80</sup> Summarize the scope and outcome of [the work] [the declared activities] at the declared facility ([10 lines or less] [... words or more]):

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

[15.<sup>81</sup> Indicate by ticking the appropriate box whether [the declared activities [, excluding declared vaccine production activities,] encompassed] work [was carried out] in any of the following areas. Work performed only in order to establish and carry out routine procedures or to maintain safety at the declared facility shall not be reported.

Area	Research and development [(including testing and evaluation)]	[Testing and evaluation]	[Production other than for research, development, testing or evaluation]
Detection or diagnosis			
Decontamination			
Prophylaxis against disease			
Physical protection			
Medical or veterinary treatment			
[Genetic modification]			
[Maintaining culture collection/ repository]			n.a.
[Insect ecology and insect/pest control]			
Characteristics of biological agents or toxins:			
pathogenicity/virulence		n.a.	n.a.
toxinology*		n.a.	n.a.
[environmental stability]		n.a.	n.a.
[antimicrobial resistance]		n.a.	n.a.

<sup>80</sup> The overall square brackets around this question reflect the view that the question should be moved to the trigger specific questions for biodefence facilities, to become question 38 *bis*.

<sup>81</sup> Bearing in mind the views expressed during the nineteenth session in the related context of declarations of past and current defensive biological and toxin programmes and/or activities, as to the relevance or otherwise of information on testing and evaluation (see BWC/AD HOC GROUP/51 (Part II), p. 141, footnote 49), the Friend of the Chair suggests that it may be helpful to develop a common understanding of how the term “testing and evaluation” is commonly applied to procedures used during the development or other acquisition of biological defence measures. In this context, the Friend of the Chair suggests that “testing and evaluation” is a term frequently used for a practical procedure that determines how well a defensive system or subsystem meets one or more of its assigned objectives.

Area	Research and development [(including testing and evaluation)]	[Testing and evaluation]	[Production other than for research, development, testing or evaluation]
Aerobiology			n.a.
Plant pathology			n.a.
Fermentation			
n.a. = not applicable * Toxinology is the study of toxins.			

[16.<sup>82</sup> Summarize the principal objectives of and the work performed in the [programmes and/or] activities in the areas indicated in question 15 above:

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

[17.<sup>83</sup> Was high biological containment, as defined by the Protocol, used for:

(i) Declared activities within the declared facility?

YES / NO

[(ii) Other activities within the declared facility?

YES / NO]

If [the answer to either question is] yes,

(a) Specify the floor area of the working areas by indicating which range applies:

- \_\_\_ less than 30 sq.m.
- \_\_\_ equal to or greater than 30 but less than 100 sq.m.
- \_\_\_ equal to or greater than 100 but less than 500 sq.m.
- \_\_\_ equal to or greater than 500 sq.m.

<sup>82</sup> The overall square brackets around this question reflect the view that the question should be moved to the trigger specific questions for biodefence facilities, to become question 38 *ter*.

<sup>83</sup> Views were expressed that if there is a trigger for high biological containment facilities, this paragraph should be placed in a specific section relating to that trigger.

[(b) Was genetic modification performed in [the course of declared activities in] the containment area?

YES / NO]]

[18.<sup>84</sup> Was maximum biological containment, as defined by the Protocol, used for declared activities within the declared facility?

YES / NO

If yes,

(a) Specify the floor area of the working areas by indicating which range applies:

- less than 30 sq.m.
- equal to or greater than 30 but less than 100 sq.m.
- equal to or greater than 100 but less than 500 sq.m.
- equal to or greater than 500 sq.m.

[(b) Was genetic modification performed in [the course of these activities in] the containment area?

YES / NO]]

[19.<sup>85</sup> Was plant pathogen containment, as defined by the Protocol, used for declared activities within the declared facility?

YES / NO

If yes,

(a) Specify the floor area of the working areas by indicating which range applies:

- less than 30 sq.m.
- equal to or greater than 30 but less than 100 sq.m.
- equal to or greater than 100 but less than 500 sq.m.
- equal to or greater than 500 sq.m.

---

<sup>84</sup> Views were expressed that this paragraph should be placed in a specific section relating to the maximum biological containment facilities trigger.

<sup>85</sup> Views were expressed that this paragraph should be placed in a specific section relating to the plant pathogen containment facilities trigger.

[(b) Was genetic modification performed in [the course of these activities in] the containment area?

YES / NO]]

[20. Were the following types of waste from [declared activities at] the declared facility, rendered safe by decontamination or sterilisation prior to release or removal from the facility:

Effluent from hand-washing sinks or showers?	YES / NO
Waste from fermenters?	YES / NO
Waste from down-stream processing?	YES / NO
Air exhausted from working cabinets?	YES / NO
Air exhausted from rooms?	YES / NO]]

[21. If the declared facility included room(s) for holding and/or working with live animals under maximum biological containment or high biological containment, indicate which applies:

Maximum biological containment	YES / NO
High biological containment	YES / NO]]

OR

[21. If the declared facility included room(s) for holding and/or working with live animals under maximum biological containment or high biological containment, 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	
	less than 30 sq.m.	equal to or greater than 30 but less than 100 sq.m.	equal to or greater than 100 sq.m.	Maximum	High

[If the declared facility included room(s) for holding and/or working with live animals under maximum biological containment or high biological containment, list the types of animals held:

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

22. Answer the questions about equipment at the declared facility, to be found in the attached Annex.

[23. Were culture media used in the declared [activity(ies)] [facility]?

YES / NO

If yes, indicate which range applies:

- less than 1,000 litres
- equal to or greater than 1,000 but less than 10,000 litres
- equal to or greater than 10,000 litres

24. Were embryonated eggs used to culture microorganisms [in the conduct of declared activities]?

YES / NO

If yes, indicate which range applies:

- less than 10,000 eggs
- equal to or greater than 10,000 but less than 100,000 eggs
- equal to or greater than 100,000 eggs ]

[25. Indicate the types of pathogens and/or toxins worked on [in the conduct of declared activities] (tick any that apply):

Human or zoonotic pathogens:

- Bacteria       Viruses       Fungi       Others

Animal pathogens excluding zoonotic pathogens:

- Bacteria       Viruses       Fungi       Others

Plant pathogens:

\_\_\_ Bacteria      \_\_\_ Viruses      \_\_\_ Fungi      \_\_\_ Others

Toxins: \_\_\_ ]

OR

[25.<sup>86</sup> If the facility conducted work [in the conduct of declared activities] 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)		
	less than x	equal to or greater than x but less than y	equal to or greater than y

Toxin	Estimated amount produced (dry or wet packed weight in grams)		
	less than x	equal to or greater than x but less than y	equal to or greater than y

[26. Indicate whether [in the conduct of declared activities] any agents and/or toxins listed in Annex A were transferred outside the declared facility for any of the following purposes:

To perform further studies in research and development, testing or evaluation?	YES / NO
For larger scale production?	YES / NO
For downstream processing?	YES / NO
For animal studies?	YES / NO
For aerobiology studies?	YES / NO]

[27. Were there any areas which required specific vaccination of personnel to enable them to enter [for the conduct of declared activities]?

YES / NO

---

<sup>86</sup> The values x and y need to be determined once the quantitative concepts relating to listed agents or toxins which appear in the various declaration triggers are finally agreed.

[If yes, list the vaccines that applied:

..... ]]

[28. [Was] [Were] [the declared activities at] the declared facility supported at the same location or elsewhere by:

A fixed outdoor site or fixed grid that is designed,  
intended and used for outdoor studies of  
biological aerosols? YES / NO

[An experimental facility for animals, or an  
animal holding facility? YES / NO]

A waste decontamination facility? YES / NO

[A facility for larger scale production, or for  
downstream processing? YES / NO]]

29. Indicate the publication policy for [work] [declared activities] 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

[30. Provide a list of publicly available scientific peer-reviewed papers and official facility reports relating to [declared activities at] the declared facility, published during the reporting period (to include authors, titles and full references):

..... ]

(C) ADDITIONAL INFORMATION<sup>87</sup>

31. Vaccine production

If the [declared activities at the] declared facility produced microorganisms or substances causing specific and protective immune responses as [ingredients of vaccines and/or] vaccines, provide the following information:

---

<sup>87</sup> This section needs to be reviewed and brought into line with the terminology for declaration triggers, once the individual triggers, any sub-clauses, and the exact wording, is finally agreed.

- [(a) List the microorganisms or substances causing specific and protective immune responses as vaccine ingredients, produced:

Ingredient	Intended for (tick which applies)		Disease against which the vaccine is directed	Highest level of containment used in any production	
	Human vaccine	Animal vaccine		High	Maximum

OR

- [(a) List the [vaccine ingredients or] finished vaccines, as follows:

[Ingredient or] finished vaccine (indicate which)	Intended for (tick which applies)		Disease against which the vaccine is directed	Production objective*	Level of containment used in any production		
	Human vaccine	Animal vaccine			High	Maximum	Primary production containment

\* Production objectives: A - Public sale or use; B - Defence ministry/department/agency; C - Both

- [(b) If the declared facility also produced vaccines, list and estimate the total quantity of vaccine produced (tick the appropriate box):

Vaccine intended for use with	Disease against which the vaccine is directed	Registration/ licence/ authorization number	Production objective*	Aggregate number of doses** produced		
				less than 100,000	equal to or greater than 100,000 but less than 5,000,000	equal to or greater than 5,000,000
Humans						
Animal 1 ...						
Animal 2 ...						
...						

\* Production objectives: A - Public sale or use; B - Defence ministry/department/agency; C - Both

\*\* State the number of doses produced in terms of the estimated dose for adults even if a vaccine is intended for use with children or immature animals.

OR

[(b) Estimate the total quantity of vaccine ingredients produced (tick the appropriate box):

Intended for	Highest level of containment used in any production		Quantity of vaccine ingredient produced (Litres of culture or of bulk working suspension)		
	BL3	BL4	less than 1,000	equal to or greater than 1,000 but less than 10,000	equal to or greater than 10,000
Human vaccine					
Animal vaccine					

OR

[(b) Estimate the total quantity of vaccine ingredients produced (tick the appropriate box):

Intended for	Highest level of containment used in any production		Aggregate quantity of vaccine ingredients produced (Dose equivalents* of the corresponding vaccine)		
	BL3	BL4	less than 100,000	equal to or greater than 100,000 but less than 5,000,000	equal to or greater than 5,000,000
Human vaccine(s)					
Animal vaccine(s)					

\* State the number of doses produced as an aggregate value for all vaccines intended for use with humans or for each type of animal, as appropriate, in terms of the estimated dose for adults even if a vaccine is intended for use with children or immature animals.

OR

[(b) Estimate the total quantity of vaccine [ingredients] produced, whether or not subsequently formulated into finished vaccines at the facility, in terms of the production volumes of culture before concentration/isolation:

	Aggregate culture volume		
	less than 1,000 litres	equal to or greater than 1,000 but less than 10,000 litres	equal to or greater than 10,000 litres
Human vaccine [ingredients]			
Produced under high biological containment			
Produced under maximum biological containment			
Produced under primary production containment			
Other production			
Animal vaccine [ingredients]			
Produced under high biological containment			
Produced under maximum biological containment			
Produced under primary production containment			
Other production			

[(c) Estimate the total quantity of vaccine produced (tick the appropriate box):

Intended for use with	Highest level of containment used in any production		Aggregate number of doses* produced		
	BL3	BL4	less than 100,000	equal to or greater than 100,000 but less than 5,000,000	equal to or greater than 5,000,000
Humans					
Livestock					
Poultry					
Other (state)					

\* State the number of doses produced as an aggregate value for all vaccines intended for use with humans or for each type of animal, as appropriate, in terms of the estimated dose for adults even if a vaccine is intended for use with children or immature animals.

If vaccines are produced under maximum biological containment, list those vaccines:

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

If vaccines are produced under high biological containment, list those vaccines:

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

[(d) Indicate whether any of the vaccine ingredients and/or finished vaccines produced were in the following categories (tick all which apply):

- |        |                 |           |
|--------|-----------------|-----------|
| (i)    | Killed          | YES / NO  |
| (ii)   | Live attenuated | YES / NO  |
| (iii)  | Subunit         | YES / NO  |
| (iv)   | Glycoconjugated | YES / NO  |
| (v)    | Recombinant     | YES / NO  |
| (vi)   | Synthetic       | YES / NO  |
| (vii)  | Nucleic acid    | YES / NO  |
| (viii) | Toxoid          | YES / NO  |
| (ix)   | Other           | YES / NO] |

32. Maximum biological containment

If the declared facility satisfied the requirements of the declaration trigger for maximum biological containment, provide the following information:

(a) Indicate the total floor area of the working areas, excluding shower and undressing/changing areas, by indicating which range applies:

- \_\_\_ less than 30 sq.m.  
\_\_\_ equal to or greater than 30 but less than 100 sq.m.  
\_\_\_ equal to or greater than 100 but less than 500 sq.m.  
\_\_\_ equal to or greater than 500 sq.m.

(b) Does the declared facility have any unit(s) for the management and/or treatment of patients as part of the structure of the containment area?

YES / NO

(c) Indicate whether work in these laboratories was carried out on:

Human pathogens	YES / NO
Zoonotic pathogens	YES / NO
Other animal pathogens	YES / NO

[(d) Indicate any agents and/or toxins listed in Annex A on which work was carried out:

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

[(e)<sup>88</sup> Was any genetic modification, as defined in Article II, conducted within the containment area?

YES / NO]

OR

[(e) Indicate all biological agents on which work was conducted, including genetic modification, to enhance pathogenicity, virulence, stability or resistance to antibiotics or chemical or physical methods of disinfection, or which altered the host range, the infection route or the ease of identification or diagnosis:

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

[(f) Method/system of decontamination of the biocontainment area(s) (tick all that apply):

Formaldehyde/paraformaldehyde	YES / NO
Ultraviolet light	YES / NO
Steam	YES / NO
Chlorine/perchlorate	YES / NO
Hydrogen peroxide	YES / NO
Washdown	YES / NO
Other, specify: .....	]

---

<sup>88</sup>

A view was expressed that this version of the question might be acceptable if the word “genetic” was removed; this proposal should be considered further in the inter-sessional period.

[33. High biological containment

If the declared facility satisfied the requirements of the declaration trigger for high biological containment, provide the following information:

- (a) Indicate the total floor area of the working areas, excluding shower and undressing/changing areas, by indicating which range applies:

- less than 30 sq.m.
- equal to or greater than 30 but less than 100 sq.m.
- equal to or greater than 100 but less than 500 sq.m.
- equal to or greater than 500 sq.m.

- (b) Indicate whether work in these laboratories was carried out on:

Human pathogens	YES / NO
Zoonotic pathogens	YES / NO
Other animal pathogens	YES / NO
Toxins	YES / NO

- (c) Indicate any agents and/or toxins listed in Annex A on which work was carried out:

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

[34. Plant pathogen containment

If the declared facility satisfied the requirements of the declaration trigger for plant pathogen containment, provide the following information:

- (a) Indicate the total floor area of the working areas, excluding shower and undressing/changing areas, by indicating which range applies:

- less than 30 sq.m.
- equal to or greater than 30 but less than 100 sq.m.
- equal to or greater than 100 but less than 500 sq.m.
- equal to or greater than 500 sq.m.

(b) Indicate any agents listed in Annex A on which work was carried out:

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

35. Work with listed agents and/or toxins

If the declared facility satisfied the requirements of the declaration trigger for work with listed agents and/or toxins, provide the following information:

(a) List the agents and/or toxins used:

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

(b) Did the facility produce [with the purpose of recovery] [one or more] [any single] agent[s] and/or toxin[s] listed in Annex A, using:

- (i) Any fermenter(s)/bioreactor(s) with a total internal volume of [10] [25] [50] [100] litres or more YES / NO
- (ii) Continuous or perfusion fermenters/bioreactors with a flow rate capable of exceeding [2] litres an hour YES / NO
- (iii) A chemical reaction vessel or equipment used for recovery with a total internal volume of [10] [50] [100] litres or more YES / NO
- (iv) More than [1,000] [2,000] embryonated eggs on an annual basis YES / NO
- (v) More than [100] [1,000] [2,500] litres of tissue culture or other medium on an annual basis YES / NO

[(c) Did the facility conduct intentional aerosolization of any agent and/or toxin listed in Annex A in [or any work with aerosolized agents and/or toxins listed in Annex A in/by]:

- (i) An explosive aerosol test chamber YES / NO
- [(ii) A dynamic aerosol test chamber YES / NO

(ii *bis*) A static aerosol test chamber YES / NO]

OR

[(ii) Any other aerosol test chamber that has a total internal volume of 5 m<sup>3</sup> or more YES / NO]

(iii) Open air YES / NO

(iv) Application to the respiratory tract of an animal YES / NO]

[(d) Did the facility conduct modification of any nucleic acid sequence of agents, or coding for toxins, listed in Annex A [which would increase pathogenicity/virulence or facilitate the production of toxins or their toxic subunits] [which creates or results in change of antigenicity or immunogenicity, increased antibiotic resistance, stability, or toxic or disease-causing properties, or ease of production]?

YES / NO

[If yes, name the agent(s) and/or toxin(s) [and give a short description of the purpose]:<sup>89</sup>

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

OR

[If yes, name the agent(s) and toxins and indicate whether work with any of the following results was carried out (tick any that apply):

Increased pathogenicity/virulence YES / NO

Increased antigenicity or immunogenicity YES / NO

Increased antibiotic resistance YES / NO

Increased stability YES / NO

---

<sup>89</sup> Further work needs to be done on whether, and if so, what details should be provided.

Facilitating production YES / NO]]

[(e) Did the facility conduct insertion of a nucleic acid sequence coding for any pathogenicity/virulence factor from an agent or toxin listed in Annex A, or for a subunit of such toxin, into any organism, resulting in a genetically modified organism with increased disease-causing or toxic properties [(including facilitating the production of the toxin or its toxic subunit(s))]?]

OR

[(e) Did the facility conduct insertion of a nucleic acid sequence from an agent or coding for any toxin listed in Annex A or coding for a toxic subunit of such a toxin, into any organism, resulting in a genetically modified organism with imposed disease-causing or toxic properties characteristic of one or more agents and/or toxins listed in Annex A or facilitating the production of any such toxin or its toxic subunit?]

YES / NO

[If yes, name the agent(s) and/or toxin(s) listed in Annex A [, and the recipient organism involved,] [and give a short description of the purpose]:<sup>90</sup>

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

OR

[If yes, name the agent(s) and toxins and indicate whether work with any of the following results was carried out (tick any that apply):

Increased pathogenicity/virulence	YES / NO
Increased antigenicity or immunogenicity	YES / NO
Increased antibiotic resistance	YES / NO
Increased stability	YES / NO
Facilitating production	YES / NO]

---

<sup>90</sup>

Further work needs to be done on whether, and if so, what details should be provided.

Agent	Estimated amount produced (litres of culture or of working suspensions of agents)		
	less than x	equal to or greater than x but less than y	equal to or greater than y

Toxin	Estimated amount produced (dry or wet packed weight in grams)		
	less than x	equal to or greater than x but less than y	equal to or greater than y

[36.<sup>91</sup> Other production

If the declared facility satisfied the requirements of the declaration trigger for other production facilities, provide the following information:

- (a) Did the facility produce any microorganisms [or other substances] for use, directly or after chemical modification, as an active ingredient in:
- (i) Any preparation, other than vaccine or food and beverages for humans and animals, for the prevention or treatment of disease in humans and animals? YES / NO
  - (ii) Diagnostic reagents? YES / NO
  - (iii) Biocontrol agents or plant inoculants? YES / NO
- (b) Did the facility use:
- (i) Any fermenter/bioreactor exceeding [30] [300] litres in volume? YES / NO
  - (ii) Any continuous or perfusion fermenter/bioreactor with a flow rate exceeding [2] [50] litres per hour? YES / NO
  - (iii) More than 15,000 embryonated eggs annually? YES / NO

<sup>91</sup> A view was expressed that if questions 23 and 24 earlier in this format are deleted, quantitative questions need to be reinserted in this question.

- (iv) More than 10,000 litres of tissue culture medium annually? YES / NO
- (v) More than 10,000 litres of growth medium annually? YES / NO]

[37. Other

If the declared facility satisfied the requirements of the declaration trigger other facilities, provide the following information:

- (a) Did the facility:
- (i) Possess aerosol test chambers of [0.1] [10] m<sup>3</sup> or above for work with microorganisms or toxins? YES / NO
- (ii) Possess equipment with a capacity of ... litres or more for aerosol dissemination in the open air with a particle mass median diameter not exceeding [10] microns excluding those for agricultural, health or environmental use, animal husbandry or forestry? YES / NO
- (iii) Conduct genetic modification to enhance pathogenicity, virulence, stability or resistance to antibiotics or chemical or physical methods of disinfection, or which altered the host range, the infection route or the ease of identification or diagnosis, within a high biological containment facility (BL-3)? YES / NO

- [(b)<sup>92</sup> Did the facility conduct dispersion of aerosols in the open air, or into enclosed spaces other than at the facility?

YES / NO

If yes,

- (i) Indicate the type of area in which the work was conducted:
- |             |          |
|-------------|----------|
| Grassland   | YES / NO |
| Tundra      | YES / NO |
| Forest      | YES / NO |
| Mountain    | YES / NO |
| Desert      | YES / NO |
| Lake/ocean  | YES / NO |
| Residential | YES / NO |

---

<sup>92</sup>

A view was expressed that this should be a question for biological defence facilities.

Industrial YES / NO  
Enclosed space YES / NO

Combined YES / NO

If yes, indicate for each combination  
which of the above types of area were  
combined: .....

.....  
.....

(ii) Indicate the type of biological agents and/or toxins [, or simulants,]  
employed in generating the aerosols:

Listed biological agents YES / NO  
Listed toxins YES / NO  
Other pathogenic microorganisms YES / NO  
[Simulants YES / NO]

(iii) Indicate the state of the material containing the biological agent or  
toxin which was used to generate the aerosol:

Dry YES / NO  
Wet YES / NO

(iv) Indicate the size of the areas where specific work was carried out with  
the use of the aerosol (strike out where not applicable):

\_\_\_ less than 1 sq km  
\_\_\_ equal to or greater than 1 but less than 10 sq km  
\_\_\_ equal to or greater than 10 sq km

(v) Indicate whether or not animals were used in the work:

YES / NO

(vi) Number of specific experiments/hours/days spent disseminating the  
aerosols:

.....

(vii) Indicate the purposes of the work carried out (briefly):

..... ]]

[38. Biodefence facilities

Diagram/location

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:

.....

[39. Were vaccines or vaccine ingredients causing a specific and protective immune response produced?

YES / NO]

[40. 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):

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

[41.<sup>93</sup> Did part or all of the declared facility conduct work under the defensive biological and toxin programmes and/or activities at any time during the period starting five years before entry into force of the Protocol for the State Party?

YES / NO ]]

[DECLARATION OF BIODEFENCE FACILITIES<sup>94</sup>

Reporting period

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

---

<sup>93</sup> A view was expressed that this question makes question 8 in part B of Appendix A superfluous. Another view was expressed that this was not the case.

<sup>94</sup> A view was expressed that this format, like the preceding one, should commence with a set of guidelines.

[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):

- |   |            |
|---|------------|
| Vaccine production facility               | YES / NO   |
| Maximum biological containment facility   | YES / NO   |
| [High biological containment facility     | YES / NO]  |
| [Plant pathogen containment facility      | YES / NO]  |
| Work with listed agents and/or toxins     | YES / NO   |
| [Other production facility                | YES / NO]  |
| [Other triggers for facility declarations | YES / NO]] |

(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>95</sup>

Fixed facilities

5. 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, [including access roads to the facility,] mountain(s), rivers (minimum

---

<sup>95</sup> A view was expressed that the format should state that the locations of animal holding areas may be excluded from such maps.

size of area represented by the map should be approximately [1] square kilometre);

- (ii) Direction of true north;
- (b) A facility diagram. The purpose of the facility diagram is to graphically indicate the location and lay-out of the declared facility. 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. The facility diagram shall include [geographic coordinates of a designated reference point within [100] metres of the declared facility, accurate to one second,] a key with an explanation of all abbreviations and symbols, and an indication of the scale of the diagram.

Mobile facilities

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

Owner

- 7. Name:  
.....
- 8. Affiliation (tick all that apply):

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

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

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

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



SCIENTISTS

	Military	Civilian	Contract*
Microbiologists			
Pathologists			
Molecular biologists			
Epidemiologists			
Entomologists			
Plant pathologists			
Others			
* Contract employees who have worked for more than six 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 six months in the reporting calendar year.			

OR

- [14. Indicate the number of [person-years or] personnel [(indicating which unit of measurement is applied)] of technical and scientific staff directly involved in the declared activities at the declared facility (include on-site contractors):

[Person-years (where a fraction of a person-year is involved, this shall be rounded up to the nearest whole number): \_\_\_\_ Personnel: \_\_\_\_ ]

\_\_\_\_ up to 10      \_\_\_\_ 11-50      \_\_\_\_ 51-200      \_\_\_\_ greater than 200

- (a) Indicate the percentage of these personnel who hold, as their highest qualification, a diploma, bachelor's degree or technical degree in the life sciences, chemistry, engineering or physics (estimates of percentages shall be rounded up to the nearest whole number):

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

- (b) Indicate the percentage of these personnel who received a higher or advanced degree in the life sciences, chemistry, engineering or physics (estimates of percentages shall be rounded up to the nearest whole number):

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

(c) Are full-time active duty military [or full-time civilian Defence Ministry/Department/Agency employees, including on-site contractors,] involved in the declared activity?

YES / NO

If yes, indicate the number of [person-years or] personnel [(indicating which unit of measurement is applied)] that are involved:

[Person years (where a fraction of a person-year is involved, this shall be rounded up to the nearest whole number): \_\_\_ Personnel: \_\_\_ ]

\_\_\_ up to 10                      \_\_\_ 11-50                      \_\_\_ 50-200                      \_\_\_ greater than 200

[(d) Are full-time civilian Defence Ministry/Department/Agency employees (including on-site contractors) involved in the declared activity?

YES / NO

If yes, indicate the number of [person-years or] personnel [(indicating which unit of measurement is applied)] that are involved:

[Person years (where a fraction of a person-year is involved, this shall be rounded up to the nearest whole number): \_\_\_ Personnel: \_\_\_ ]

\_\_\_ up to 10                      \_\_\_ 11-50                      \_\_\_ 50-200                      \_\_\_ greater than 200]]

(B) SCIENTIFIC AND TECHNICAL INFORMATION

[15. Summarize the main activities at the declared facility:

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

16. Summarize the scope and outcome of [the work] [the declared activities] at the declared facility ([10 lines or less] [... words or more]):

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

- 17.<sup>96</sup> Indicate by ticking the appropriate box whether [the declared activities [, excluding declared vaccine production activities,] encompassed] work [was carried out] in any of the following areas. Work performed only in order to establish and carry out routine procedures or to maintain safety at the declared facility shall not be reported.

Area	Research and development [(including testing and evaluation)]	[Testing and evaluation]	[Production other than for research, development, testing or evaluation]
Detection or diagnosis			
Decontamination			
Prophylaxis against disease			
Physical protection			
Medical or veterinary treatment			
[Genetic modification]			
[Maintaining culture collection/repository]			n.a.
[Insect ecology and insect/pest control]			
Characteristics of biological agents or toxins:			
pathogenicity/virulence		n.a.	n.a.
toxinology*		n.a.	n.a.
[environmental stability]		n.a.	n.a.
[antimicrobial resistance]		n.a.	n.a.
Aerobiology			n.a.
Plant pathology			n.a.
Fermentation			
n.a. = not applicable * Toxinology is the study of toxins.			

<sup>96</sup> Bearing in mind the views expressed during the nineteenth session in the related context of declarations of past and current defensive biological and toxin programmes and/or activities, as to the relevance or otherwise of information on testing and evaluation (see BWC/AD HOC GROUP/51 (Part II), p. 141, footnote 49), the Friend of the Chair suggests that it may be helpful to develop a common understanding of how the term “testing and evaluation” is commonly applied to procedures used during the development or other acquisition of biological defence measures. In this context, the Friend of the Chair suggests that “testing and evaluation” is a term frequently used for a practical procedure that determines how well a defensive system or subsystem meets one or more of its assigned objectives.

18. Summarize the principal objectives of and the work performed in the [programmes and/or] activities in the areas indicated in question 17 above:

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

[19.<sup>97</sup> Was high biological containment, as defined by the Protocol, used for:

(i) Declared activities within the declared facility?

YES / NO

[(ii) Other activities within the declared facility?

YES / NO]

If [the answer to either question is] yes,

(a) Specify the floor area of the working areas by indicating which range applies:

- \_\_\_ less than 30 sq.m.
- \_\_\_ equal to or greater than 30 but less than 100 sq.m.
- \_\_\_ equal to or greater than 100 but less than 500 sq.m.
- \_\_\_ equal to or greater than 500 sq.m.

[(b) Was genetic modification performed in [the course of declared activities in] the containment area?

YES / NO]]

20.<sup>98</sup> Was maximum biological containment, as defined by the Protocol, used for declared activities within the declared facility?

YES / NO

---

<sup>97</sup> Views were expressed that if there is a trigger for high biological containment facilities, this paragraph should be placed in a specific section relating to that trigger.

<sup>98</sup> Views were expressed that this paragraph should be placed in a specific section relating to the maximum biological containment facilities trigger.

If yes,

(a) Specify the floor area of the working areas by indicating which range applies:

- less than 30 sq.m.
- equal to or greater than 30 but less than 100 sq.m.
- equal to or greater than 100 but less than 500 sq.m.
- equal to or greater than 500 sq.m.

(b) Was genetic modification performed in [the course of these activities in] the containment area?

YES / NO

[21.<sup>99</sup> Was plant pathogen containment, as defined by the Protocol, used for declared activities within the declared facility?

YES / NO

If yes,

(a) Specify the floor area of the working areas by indicating which range applies:

- less than 30 sq.m.
- equal to or greater than 30 but less than 100 sq.m.
- equal to or greater than 100 but less than 500 sq.m.
- equal to or greater than 500 sq.m.

[(b) Was genetic modification performed in [the course of these activities in] the containment area?

YES / NO]]

[22. Were the following types of waste from [declared activities at] the declared facility, rendered safe by decontamination or sterilisation prior to release or removal from the facility:

Effluent from hand-washing sinks or showers?	YES / NO
Waste from fermenters?	YES / NO
Waste from down-stream processing?	YES / NO

---

<sup>99</sup> Views were expressed that this paragraph should be placed in a specific section relating to the plant pathogen containment facilities trigger.

Air exhausted from working cabinets? YES / NO  
 Air exhausted from rooms? YES / NO]

[23. If the declared facility included room(s) for holding and/or working with live animals under maximum biological containment or high biological containment, indicate which applies:

Maximum biological containment YES / NO  
 High biological containment YES / NO]

OR

[23. If the declared facility included room(s) for holding and/or working with live animals under maximum biological containment or high biological containment, 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	
	less than 30 sq.m.	equal to or greater than 30 but less than 100 sq.m.	equal to or greater than 100 sq.m.	Maximum	High

[If the declared facility included room(s) for holding and/or working with live animals under maximum biological containment or high biological containment, list the types of animals held:

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

24. Answer the questions about equipment at the declared facility, to be found in the attached Annex.

[25. Were culture media used in the declared [activity(ies)] [facility]?

YES / NO

If yes, indicate which range applies:

- less than 1,000 litres
- equal to or greater than 1,000 but less than 10,000 litres
- equal to or greater than 10,000 litres

26. Were embryonated eggs used to culture microorganisms?

YES / NO

If yes, indicate which range applies:

- less than 10,000 eggs
- equal to or greater than 10,000 but less than 100,000 eggs
- equal to or greater than 100,000 eggs ]

[27. Indicate the types of pathogens and/or toxins worked on (tick any that apply):

Human or zoonotic pathogens:

Bacteria       Viruses       Fungi       Others

Animal pathogens excluding zoonotic pathogens:

Bacteria       Viruses       Fungi       Others

Plant pathogens:

Bacteria       Viruses       Fungi       Others

Toxins:  ]

OR

[27.<sup>100</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:

---

<sup>100</sup> The values x and y need to be determined once the quantitative concepts relating to listed agents or toxins which appear in the various declaration triggers are finally agreed.

Agent	Estimated amount produced (litres of culture or of working suspensions of agents)		
	less than x	equal to or greater than x but less than y	equal to or greater than y

Toxin	Estimated amount produced (dry or wet packed weight in grams)		
	less than x	equal to or greater than x but less than y	equal to or greater than y

28. Indicate whether any agents and/or toxins listed in Annex A were transferred outside the declared facility for any of the following purposes:

- To perform further studies in research and development, testing or evaluation? YES / NO
- For larger scale production? YES / NO
- For downstream processing? YES / NO
- For animal studies? YES / NO
- For aerobiology studies? YES / NO

29. Were there any areas which required specific vaccination of personnel to enable them to enter?

YES / NO

[If yes, list the vaccines that applied:

.....]

[30. Were vaccines or vaccine ingredients causing a specific and protective immune response produced?

YES / NO]

31. [Was] [Were] [the declared activities at] the declared facility supported at the same location or elsewhere by:

A fixed outdoor site or fixed grid that is designed, intended and used for outdoor studies of biological aerosols?

YES / NO

- [An experimental facility for animals, or an animal holding facility? YES / NO]  
A waste decontamination facility? YES / NO  
[A facility for larger scale production, or for downstream processing? YES / NO]

32. Indicate the publication policy for [work] [declared activities] 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. Provide a list of publicly available scientific peer-reviewed papers and official facility reports relating to [declared activities at] the declared facility, published during the reporting period (to include authors, titles and full references):

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

[34.<sup>101</sup> Did part or all of the declared facility conduct work under the defensive biological and toxin programmes and/or activities at any time during the period starting five years before entry into force of the Protocol for the State Party?

YES / NO ]

[*The trigger specific questions 31 to 41 above would be reproduced here in an actual format.*]

---

<sup>101</sup> A view was expressed that this question makes question 8 in part B of Appendix A superfluous. Another view was expressed that this was not the case.

[APPENDIX D<sup>102</sup>

LISTING OF FACILITIES PARTICIPATING IN  
BIOLOGICAL DEFENSIVE ACTIVITIES

1. Name of the facility: .....
2. Address: .....
3. Postal address, if different: .....
4. Monetary amount of funding in the calendar year for defensive biological activities:  
.....
5. Funding of the contract or grant (tick all that apply):

Ministry/Department/Agency of Defence	wholly	partially
Other government	wholly	partially
Non-government	wholly	partially
International organization	wholly	partially
6. Duration of contract or grant:

Less than 1 year	1 to 3 years	more than 3 years
------------------	--------------	-------------------
7. Number of person years of scientific and technical staff devoted to the defensive biological activities:  
.....
8. Brief description of the objective(s) of the work:  
.....  
.....  
.....]

---

<sup>102</sup> This appendix reproduces parts of BWC/AD HOC GROUP/WP.384. It was not discussed during the fifteenth, sixteenth, seventeenth, eighteenth, nineteenth, twentieth, twenty-first or twenty-second session of the Ad Hoc Group.

[APPENDIX E<sup>103</sup>

FACILITIES EXISTING ON THE TERRITORY OF A STATE PARTY  
BUT FALLING UNDER THE JURISDICTION OR CONTROL OF  
ANOTHER STATE PARTY/STATE

States Parties shall submit to the Organization the information at their disposal regarding a facility or facilities existing on their territory but falling under the jurisdiction or control of another State Party to the Protocol/State which meet one or more of the criteria triggering declaration under the Protocol. The information shall be submitted in the prescribed format. This format may be set out as follows:

1. Name of the State Party on whose territory the facility is situated:

.....

Postal address of the legal authority of the State Party through which communications may be routed:

.....

2. This declaration relates to the calendar year:

.....

3. Name of the facility situated in the territory of the State:

.....

4. Postal address of the declared facility:

.....

5. Name of the State(s) under whose jurisdiction or control the facility falls:

.....

---

<sup>103</sup> This reflects BWC/AD HOC GROUP/WP.423 as corrected in BWC/AD HOC GROUP/WP.423/Corr.1; it was not discussed during the twentieth, twenty-first or twenty-second session of the Ad Hoc Group.

Name of the department or firm to which the facility belongs:

.....

6. Area occupied by the facility:

..... sq m

Including:

Buildings: ..... sq m

Laboratories: ..... sq m

Production areas: ..... sq m

Areas for biological work: ..... sq m

7. Criteria triggering the declaration which apply to the facility:

Biological protection (protection against BW)	YES / NO
Vaccine production	YES / NO
Work with listed agents/toxins	YES / NO
Maximum biological containment (BL4)	YES / NO
High biological containment (BL3)	YES / NO
[Other production facilities	YES / NO]
Aerosol tests in the open air	YES / NO
Other factors	YES / NO

8. Personnel present at the facility:

Military	YES / NO
Civilian	YES / NO
Recruited from the State where the facility is situated	YES / NO

9. List the biological agents/toxins on which work is conducted at the facility:

.....

10. Does the facility use biological agents and toxins which are to be found in the country of location?

YES / NO

If yes, specify which they are:

.....

11. Does the facility enlist the services of volunteers drawn from the population of the State Party for the testing of biological preparations?

YES / NO

Indicate the number of volunteers enlisted per year: .....

12. Does the facility provide vaccinations for the local population:

Living in the vicinity of the facility	YES / NO
Recruited to work in the facility	YES / NO
Others	YES / NO

13. Does the facility process the waste from its biological activities:

In the territory of the facility	YES / NO
Outside the territory of the facility	YES / NO

14. Is the facility accessible to:

Health and epidemiological monitoring authorities of the State Party where the facility is situated	YES / NO
Other officials of the State Party	YES / NO

15. Are yearly reports on the work of the facility submitted to the State Party on whose territory the facility is situated?

YES / NO

16. Are biological agents and toxins exported to the State under whose jurisdiction or control the facility falls?

YES / NO

Are the procedures and the quantities of such exports approved by the State Party?

YES / NO ]

APPENDIX F

INFORMATION TO BE PROVIDED IN THE DECLARATIONS  
REQUIRED UNDER PARAGRAPHS ... OF ARTICLE VII

1. A general description of measures taken to facilitate the fullest possible exchange of equipment, materials and scientific and technological information for the use of the bacteriological (biological) agents, toxins for peaceful purposes.
2. A general description of measures taken to further the development and application of scientific discoveries in the field of bacteriology (biology) for the prevention of disease or for other peaceful purposes.
3. A general description of any other measure that the State Party has taken to implement Article X of the Convention and Article VII of the Protocol.
4. A general description of the outcome of any review undertaken on the existing national trade legislation or regulations, in accordance with section C, paragraph 6 (c) of Article VII.

APPENDIX G

[LIST OF APPROVED INVESTIGATION/VISIT EQUIPMENT

	Description	Notes
	SAMPLING AND IDENTIFICATION EQUIPMENT <sup>104</sup>	
1	Transport media	
2	Sample containers	
3	Shipping containers	
4	Preserving media and fixatives (i.e. formalin, alcohol, silica gel)	
5	Forceps (various sizes)	
6	Post mortem sets	
7	Syringes and needles for blood samples	
8	Thermometers and probes	
9	Incinerator and disinfectant tanks/sprays	
10	Biohazard bench, glove box	
11	Gas burners	
12	Microscopes, stains and slides	
13	Culture media	
14	Autoclave/pressure cooker	
15	Incubator and anaerobic equipment	
16	Freezer: -70EC best	
17	Refrigerator	
18	Portable PH metre/millivolt metre with ion-specific electrodes	
19	Glucose analyser	
20	Dissolved oxygen metre	
21	Pruning shears	
22	Spades	
23	Soil augers	
24	Sampling equipment for: Air samples Surface samples Fluid samples other than water	

<sup>104</sup> The list of sampling equipment will depend on whether analyses will be done on-site or off-site.

	Description	Notes
25	Water sampling equipment	
26	Portable water pump	
27	Seals (fibre optic and packages)	
28	Seals (frangible, fractural, adhesive)	
29	Vacuum sealing equipment	
30	Tags/tie on/markers (permanent)	
31	Centrifuges	
32	Portable spectroscopic analyser	
33	Portable flow cytometers	
34	PCR equipment	
35	DNA sequencer	
36	Particle counter	
37	Electrophoretic apparatus	
38	Pipettes	
39	Freeze drying equipment (lyophilizers)	
40	Water baths	
41	Diagnostic kits	
42	Entomological equipment	
	PROTECTIVE EQUIPMENT	
1	Protective clothing	
2	Boots (disposable)	
3	Protective gloves with liners	
4	Protective masks (military type)	
5	Spare filter canisters (military)	
6	Spare filter canisters (industrial)	
7	Surgical gloves	
8	Safety goggles	
9	Leather work gloves	
10	Industrial safety helmet	
11	Hearing protection	
12	Cotton coveralls	
13	Disposable coveralls	
14	UV protective glasses	
15	Water bottle	
16	Flashlight explosion proof	
17	First aid kits (personal)	
18	Self-contained breathing apparatus (SCBA)	

	Description	Notes
19	Respirator (industrial/microbiological)	
20	Equipment bags	
21	Mask fit test kit	
22	Cooling vest	
23	Cold weather gear	
24	Safety lantern	
25	Safety shoes	
26	Flammability/explosive/air quality/monitor	
27	Mosquito nets	
28	Insect repellent	
29	Water filter kit	
	MEDICAL EQUIPMENT	
1	General first aid kit	
2	Patient monitoring equipment	
3	General medical examination equipment	
4	Mobile blood gas analyser	
5	Blood cell counter - Coulter counter	
6	Portable chemical pathology set	
	ADMINISTRATIVE EQUIPMENT	
1	Portable photo-copying machine	
2	Portable document scanner	
3	Portable document shredder	
4	Waterproof pens	
5	Tape measure (3 m, 30 m, 100 m)	
6	Callipers and steel ruler	
7	Maps	Geographic maps necessary for a specific field investigation procured for that investigation.
8	Graph paper, pencils and labels	
9	Calculator	
10	Computer (notebook) with printer/plotter and modem	Software to include geographical information.
11	Satellite link telephones	
12	Portable fax machines	
13	Exterior extension cords	
14	Secure voice telephone	
15	Short-range radios	

	Description	Notes
16	Electric plug-socket adaptors	
17	Portable over-head projector	
18	Image transmission equipment	This aspect needs further discussion.
	OTHER TECHNICAL EQUIPMENT	
1	Maintenance tool kit	
2	Equipment transport containers	
3	Global positioning system (GPS)	
4	Weighing equipment	
5	Polaroid-type camera with flash, zoom, macro lens systems and films	
6	35 mm camera with flash, zoom, macro lens systems and films	
7	Digital video camera - portable video player with tapes	
8	Audio (tape) recorder with tapes	
9	Binoculars	
10	Data scope	
11	Night-vision scope	
12	Magnifying glass	
13	Rechargeable batteries (Ni-Cd) and battery chargers	
14	Shoulder bag	
15	Tool belt	
16	Compass	
17	Thermochromic tape packages	
18	Electrical power generators	
19	Barometer, anemometer, hygrometer with recording attachments	For use in establishing background conditions which might influence survival of microorganisms.
20	Wet bulb globe thermometer	
21	[Chemical agent monitor]	
	NON-DESTRUCTIVE EVALUATION EQUIPMENT	
1	Portable X-ray equipment	
2	Ultrasonic pulse echo	

[APPENDIX H

STANDARDIZED FORMATS FOR REPORTING INTERNATIONAL  
 TRANSFERS OF EQUIPMENT

Each State Party shall use the following formats for the implementation of its obligations under Article III, section F, paragraph 6.

(A) ANNUAL REPORTS ON IMPORTS

1. Name of the importing country: .....

2. National Authority: .....

A	B	C	D	E	F	G
Type of equipment	Final exporter State	Number of items	State of origin (if not exporter)	State of trans-shipment (if any)	Type of the facility for intended use	Specificities of the equipment and proposed application (optional)

(B) ANNUAL REPORT ON EXPORTS

1. Name of the exporting country: .....

2. National Authority: .....

A	B	C	D	E	F	G
Type of equipment	Final importer State	Number of items	State of origin (if not exporter)	State of trans-shipment (if any)	Type of the facility for intended use	Specificities of the equipment and proposed application (optional)

]

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Annex I

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ANNEX II

INDICATIVE PROGRAMME OF WORK FOR THE TWENTY-THIRD SESSION<sup>105</sup>

(23 April - 11 May 2001)

First week: 23 - 27 April 2001

	23 April	24 April	25 April	26 April	27 April
AM	AHG	AHG/SEAT	INF	INF	AHG
PM	AHG	AHG	INF	INF	AHG

Second week: 30 April - 4 May 2001

	30 April	1 May	2 May	3 May	4 May
AM	AHG	AHG	AHG	AHG	AHG
PM	PREPCOM	HOST	AHG	AHG	AHG

Third week: 7 - 11 May 2001

	7 May	8 May	9 May	10 May	11 May
AM	AHG	AHG	AHG	AHG	AHG
PM	AHG	AHG	AHG	AHG	AHG

- AHG - Ad Hoc Group meetings  
 HOST - The Headquarters Agreement with the Host Country (FAC)  
 INF - Informal consultations  
 SEAT - Seat of the Organization (FOC)  
 PREPCOM - Decision on the establishment of a Preparatory Commission (FAC)

<sup>105</sup> In order to provide time, as necessary, for Friend of the Chair and Facilitator discussions, this timetable should be regarded as indicative and subject to adjustment in the light of developments in the negotiations.

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Annex II

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ANNEX III

LIST OF DOCUMENTS SUBMITTED AT THE TWENTY-SECOND SESSION

<u>Document Symbol</u>	<u>Title</u>
BWC/AD HOC GROUP/WP.438	Working paper submitted by the Netherlands on several issues raised during the presentation in the Ad Hoc Group on 7 December 2000 of the Netherlands bid to host the future organization for the prohibition of biological weapons (OPBW)
BWC/AD HOC GROUP/WP.439	Working paper submitted by South Africa - Article V. Confidentiality provisions
BWC/AD HOC GROUP/WP.440	Working paper submitted by South Africa - Article IV. Investigations
BWC/AD HOC GROUP/WP.441	Working paper submitted by the United States of America - Investigations
BWC/AD HOC GROUP/WP.442	Working paper submitted by the United States of America - Annex C, section II. Field investigations
BWC/AD HOC GROUP/WP.443	Working paper submitted by Australia, Austria, Belgium, Canada, the Federal Republic of Germany, Italy, Republic of Korea, Sweden and the United Kingdom of Great Britain and Northern Ireland - Article III, section F
BWC/AD HOC GROUP/WP.444	Working paper submitted by the United Kingdom of Great Britain and Northern Ireland - Suggested amendments to Article III, section F, paragraph 2

- BWC/AD HOC GROUP/L.117 Draft procedural report of the 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.118 Outcome of discussions by the Friend of the Chair on Investigations
- BWC/AD HOC GROUP/L.119 Outcome of discussions by the Friend of the Chair on Preamble
- BWC/AD HOC GROUP/L.120 Outcome of discussions by the Friend of the Chair on Definitions of Terms and Objective Criteria
- BWC/AD HOC GROUP/L.121 Outcome of discussions by the Friend of the Chair on Confidentiality Issues
- BWC/AD HOC GROUP/L.122 Outcome of discussions by the Friend of the Chair on Measures Related to Article X
- BWC/AD HOC GROUP/L.123 Outcome of discussions by the Friend of the Chair on Declaration Formats
- BWC/AD HOC GROUP/L.124 Outcome of discussions by the Friend of the Chair on Measures to Promote Compliance
- BWC/AD HOC GROUP/55-1  
and  
BWC/AD HOC GROUP/55-2 Procedural Report of the 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/MISC.14 Provisional list of participants
- BWC/AD HOC GROUP/INF.28 List of participants  
and Add.1
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