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2006 年 11 月 20 日至 12 月 8 日，日内瓦

议程项目 10

按照第十二条的规定

审查《公约》的实施情况

## 关于修订建立信任措施表格格式的提议

瑞士提交

### 一、本工作文件的目的

1. 建立信任措施是在 1986 年《生物武器公约》第二次审查会议上发起的。在 1991 年《生物武器公约》第三次审查会议上扩大并修订了建立信任措施表格。自那时以来，没有对建立信任措施的内容或表格作任何新的修订。《生物武器公约》第六次审查会议在会议期间审议了建立信任措施，人们普遍同意，这一问题应当进一步全面加以注意。瑞士还注意到第六次审查会议上的一些发言，说有些缔约国在现有建立信任措施表格方面遇到一些技术困难，因此，本工作文件具体侧重格式的修订问题。

2. 瑞士相信，对用户更加友好的建立信任措施表格将有助于增加定期提交信息的缔约国数目；有助于提高数据的质量、准确性和完整性。此外，瑞士相信，提议的建立信任措施表格将有助于最大限度地减少含混之处。

3. 为了给缔约国在第七次审查会议之前及时审议提供一个基础，瑞士提出了一套完整的建立信任措施表格。兼顾其他缔约国在本次会议期间提出的建议，提议的表格在格式方面做了修订。尽管对措辞做了一些小的修订，但第三次审查会议所商定的实质内容没有变动。

## 二、提议的建立信任措施表格

4. 附件载有提议供缔约国审议的建立信任措施表格(只有英文)  
附件一 表格 0(无情况可供宣布或无新情况可供宣布)  
附件二 表格 1-9(涵盖建立信任措施 A-G)  
附件三 用户手册(提供解释、模式、参考定义, 如第三次审查议所商定)。

## 三、前进的道路

5. 瑞士鼓励各缔约国考虑提议的表格, 并敦促各缔约国开展卓有成效的意见交换, 早日通过改进的表格。
6. 瑞士准备听取缔约国关于进一步改进建立信任措施表格的评论, 并请各缔约国在第七次审查会议之前这段时期提出意见。

Annex I

[English only]

**CONVENTION ON THE PROHIBITION OF  
THE DEVELOPMENT, PRODUCTION AND  
STOCKPILING OF BACTERIOLOGICAL  
(BIOLOGICAL) AND TOXIN WEAPONS  
AND ON THEIR DESTRUCTION**

**CONFIDENCE-BUILDING MEASURES  
SUBMISSION FORMS**

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

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

**Form 0**

**Confidence Building Measures  
Nothing to declare or Nothing new to declare**

0. A declaration on Nothing to declare or Nothing new to declare

This Form 0, in accordance with the agreement by States Party to the Convention at the Third Review Conference, contains all declarations on Nothing to declare or Nothing new to declare for the subsequent paragraphs 1 to 9.

In addition it guides through the declaration process and indicates what question needs to be addressed next.

Confidence-Building Measure A: Research centres, laboratories and national biological defence programmes:

1. - Part 1: Research centres and laboratories;
2. - Part 2: National biological defence research and development programmes.

Confidence-building measure B: Outbreaks of infectious diseases and similar occurrences caused by toxins:

3. - Part 1: Background information on outbreaks of reportable infectious diseases;
4. - Part 2: Outbreaks of infectious diseases and similar occurrences that seem to deviate from the normal pattern.

5. Confidence-building measure C: Encouragement of publication of results and promotion of use of knowledge.

6. Confidence-building measure D: Active promotion of contacts.

7. Confidence-building measure E: Legislation, regulations and other measures.

8. Confidence-building measure F: Past activities in offensive and/or defensive biological research and development programmes.

9. Confidence-building measure G: Vaccine production facilities.

**Form 0****Confidence Building Measures  
Nothing to declare or Nothing new to declare****CONFIDENCE-BUILDING MEASURE A****PART 1 : RESEARCH CENTRES AND LABORATORIES**

<b>Q1.</b> Does your State Party have anything new to declare in relation to research centres and laboratories ?	<input type="checkbox"/> NO ; <i>it has nothing at all to declare on this form</i>		Go to CBM A. Part 2, <i>Question 3</i>		
	<input type="checkbox"/> NO ; <i>information has already been declared and has not changed</i>		Go to Question 2		
	<input type="checkbox"/> YES ; <i>for the first time</i>		Go to Form 1		
	<input type="checkbox"/> YES ; <i>previously declared and needs to update or modify details</i>		Go to Form 1		
<b>Q2.</b> In which year did your State Party provide this information ?					
<input type="checkbox"/> 1987	<input type="checkbox"/> 1988	<input type="checkbox"/> 1989	<input type="checkbox"/> 1990	<input type="checkbox"/> 1991	<input type="checkbox"/> 1992
<input type="checkbox"/> 1993	<input type="checkbox"/> 1994	<input type="checkbox"/> 1995	<input type="checkbox"/> 1996	<input type="checkbox"/> 1997	<input type="checkbox"/> 1998
<input type="checkbox"/> 1999	<input type="checkbox"/> 2000	<input type="checkbox"/> 2001	<input type="checkbox"/> 2002	<input type="checkbox"/> 2003	<input type="checkbox"/> 2004
<input type="checkbox"/> 2005	<input type="checkbox"/> 2006	<input type="checkbox"/> 2007	<input type="checkbox"/> 2008	<input type="checkbox"/> 2009	<input type="checkbox"/> 2010
<input type="checkbox"/> 2011			(Go to CBM A Part 2, <i>Question 3</i> )		

**PART 2 : NATIONAL BIOLOGICAL DEFENCE RESEARCH AND DEVELOPMENT PROGRAMMES**

<b>Q3.</b> Does your State Party have anything new to declare in relation to national biological defence programmes ?	<input type="checkbox"/> NO ; <i>it has nothing at all to declare on this form</i>		Go to CBM B Part 1, <i>Question 5</i>		
	<input type="checkbox"/> NO ; <i>information has already been declared and has not changed</i>		Go to Question 4		
	<input type="checkbox"/> YES ; <i>previously declared and needs to update or modify details</i>		Go to Form 2		
	<input type="checkbox"/> YES ; <i>for the first time</i>		Go to Form 2		
<b>Q4.</b> In which year did your State Party provide this information ?					
<input type="checkbox"/> 1987	<input type="checkbox"/> 1988	<input type="checkbox"/> 1989	<input type="checkbox"/> 1990	<input type="checkbox"/> 1991	<input type="checkbox"/> 1992
<input type="checkbox"/> 1993	<input type="checkbox"/> 1994	<input type="checkbox"/> 1995	<input type="checkbox"/> 1996	<input type="checkbox"/> 1997	<input type="checkbox"/> 1998
<input type="checkbox"/> 1999	<input type="checkbox"/> 2000	<input type="checkbox"/> 2001	<input type="checkbox"/> 2002	<input type="checkbox"/> 2003	<input type="checkbox"/> 2004
<input type="checkbox"/> 2005	<input type="checkbox"/> 2006	<input type="checkbox"/> 2007	<input type="checkbox"/> 2008	<input type="checkbox"/> 2009	<input type="checkbox"/> 2010
<input type="checkbox"/> 2011			(Go to CBM B Part 1, <i>Question 5</i> )		

**Form 0****Confidence Building Measures  
Nothing to declare or Nothing new to declare****CONFIDENCE-BUILDING MEASURE B****PART 1 : BACKGROUND INFORMATION ON OUTBREAKS OF  
REPORTABLE INFECTIOUS DISEASES**

<b>Q5.</b> Does your State Party have anything new to declare in relation background information on outbreaks of reportable infectious diseases ?	<input type="checkbox"/> NO ; <i>it has nothing at all to declare on this form</i>	Go to CBM B Part 2, <i>Question 7</i>			
	<input type="checkbox"/> NO ; <i>information has already been declared and has not changed</i>	Go to Question 6			
	<input type="checkbox"/> YES ; <i>previously declared and needs to update or modify details</i>	Go to Form 3			
	<input type="checkbox"/> YES ; <i>for the first time</i>	Go to Form 3			
<b>Q6.</b> In which year did your State Party provide this information ?					
<input type="checkbox"/> 1987	<input type="checkbox"/> 1988	<input type="checkbox"/> 1989	<input type="checkbox"/> 1990	<input type="checkbox"/> 1991	<input type="checkbox"/> 1992
<input type="checkbox"/> 1993	<input type="checkbox"/> 1994	<input type="checkbox"/> 1995	<input type="checkbox"/> 1996	<input type="checkbox"/> 1997	<input type="checkbox"/> 1998
<input type="checkbox"/> 1999	<input type="checkbox"/> 2000	<input type="checkbox"/> 2001	<input type="checkbox"/> 2002	<input type="checkbox"/> 2003	<input type="checkbox"/> 2004
<input type="checkbox"/> 2005	<input type="checkbox"/> 2006	<input type="checkbox"/> 2007	<input type="checkbox"/> 2008	<input type="checkbox"/> 2009	<input type="checkbox"/> 2010
<input type="checkbox"/> 2011	(Go to CBM B Part 2, <i>Question 7</i> )				

**PART 2 : OUTBREAKS OF INFECTIOUS DISEASES AND SIMILAR OCCURRENCES  
THAT SEEM TO DEVIATE FROM THE NORMAL PATTERN**

<b>Q7.</b> Does your State Party have anything new to declare in relation to outbreaks of infectious diseases and similar occurrences that seem to deviate from the normal pattern ?	<input type="checkbox"/> NO ; <i>it has nothing at all to declare on this form</i>	Go to CBM C, <i>Question 9</i>			
	<input type="checkbox"/> NO ; <i>information has already been declared and has not changed</i>	Go to Question 8			
	<input type="checkbox"/> YES ; <i>previously declared and needs to update or modify details</i>	Go to Form 4			
	<input type="checkbox"/> YES ; <i>for the first time</i>	Go to Form 4			
<b>Q8.</b> In which year did your State Party provide this information ?					
<input type="checkbox"/> 1987	<input type="checkbox"/> 1988	<input type="checkbox"/> 1989	<input type="checkbox"/> 1990	<input type="checkbox"/> 1991	<input type="checkbox"/> 1992
<input type="checkbox"/> 1993	<input type="checkbox"/> 1994	<input type="checkbox"/> 1995	<input type="checkbox"/> 1996	<input type="checkbox"/> 1997	<input type="checkbox"/> 1998
<input type="checkbox"/> 1999	<input type="checkbox"/> 2000	<input type="checkbox"/> 2001	<input type="checkbox"/> 2002	<input type="checkbox"/> 2003	<input type="checkbox"/> 2004
<input type="checkbox"/> 2005	<input type="checkbox"/> 2006	<input type="checkbox"/> 2007	<input type="checkbox"/> 2008	<input type="checkbox"/> 2009	<input type="checkbox"/> 2010
<input type="checkbox"/> 2011	(Go to CBM C, <i>Question 9</i> )				

**Form 0****Confidence Building Measures  
Nothing to declare or Nothing new to declare****CONFIDENCE-BUILDING MEASURE C****ENCOURAGEMENT OF PUBLICATION OF RESULTS AND PROMOTION OF USE OF KNOWLEDGE**

<b>Q9.</b> Does your State Party have anything new to declare in relation to the encouragements of publication of results and promotion of use of knowledge ?	<input type="checkbox"/> NO ; <i>it has nothing at all to declare on this form</i>	Go to CBM D, <i>Question 11</i>			
	<input type="checkbox"/> NO ; <i>information has already been declared and has not changed</i>	Go to Question 10			
	<input type="checkbox"/> YES ; <i>previously declared and needs to update or modify details</i>	Go to Form 5			
	<input type="checkbox"/> YES ; <i>for the first time</i>	Go to Form 5			
<b>Q10.</b> In which year did your State Party provide this information ?					
<input type="checkbox"/> 1987	<input type="checkbox"/> 1988	<input type="checkbox"/> 1989	<input type="checkbox"/> 1990	<input type="checkbox"/> 1991	<input type="checkbox"/> 1992
<input type="checkbox"/> 1993	<input type="checkbox"/> 1994	<input type="checkbox"/> 1995	<input type="checkbox"/> 1996	<input type="checkbox"/> 1997	<input type="checkbox"/> 1998
<input type="checkbox"/> 1999	<input type="checkbox"/> 2000	<input type="checkbox"/> 2001	<input type="checkbox"/> 2002	<input type="checkbox"/> 2003	<input type="checkbox"/> 2004
<input type="checkbox"/> 2005	<input type="checkbox"/> 2006	<input type="checkbox"/> 2007	<input type="checkbox"/> 2008	<input type="checkbox"/> 2009	<input type="checkbox"/> 2010
<input type="checkbox"/> 2011	(Go to CBM D, <i>Question 11</i> )				

**CONFIDENCE-BUILDING MEASURE D****ACTIVE PROMOTION OF CONTACTS**

<b>Q11.</b> Does your State Party have anything new to declare in relation to active promotion of contacts ?	<input type="checkbox"/> NO ; <i>it has nothing at all to declare on this form</i>	Go to CBM D, <i>Question 13</i>			
	<input type="checkbox"/> NO ; <i>information has already been declared and has not changed</i>	Go to Question 12			
	<input type="checkbox"/> YES ; <i>previously declared and needs to update or modify details</i>	Go to Form 6			
	<input type="checkbox"/> YES ; <i>for the first time</i>	Go to Form 6			
<b>Q12.</b> In which year did your State Party provide this information ?					
<input type="checkbox"/> 1987	<input type="checkbox"/> 1988	<input type="checkbox"/> 1989	<input type="checkbox"/> 1990	<input type="checkbox"/> 1991	<input type="checkbox"/> 1992
<input type="checkbox"/> 1993	<input type="checkbox"/> 1994	<input type="checkbox"/> 1995	<input type="checkbox"/> 1996	<input type="checkbox"/> 1997	<input type="checkbox"/> 1998
<input type="checkbox"/> 1999	<input type="checkbox"/> 2000	<input type="checkbox"/> 2001	<input type="checkbox"/> 2002	<input type="checkbox"/> 2003	<input type="checkbox"/> 2004
<input type="checkbox"/> 2005	<input type="checkbox"/> 2006	<input type="checkbox"/> 2007	<input type="checkbox"/> 2008	<input type="checkbox"/> 2009	<input type="checkbox"/> 2010
<input type="checkbox"/> 2011	(Go to CBM E, <i>Question 13</i> )				

## Form 0

**Confidence Building Measures**  
**Nothing to declare or Nothing new to declare**

**CONFIDENCE-BUILDING MEASURE E**

**LEGISLATION, REGULATIONS AND OTHER MEASURES**

<b>Q13.</b> Does your State Party have anything new to declare in relation to legislation, regulations and other measures ?	<input type="checkbox"/> NO ; <i>it has nothing at all to declare on this form</i>	Go to CBM F, <i>Question 15</i>			
	<input type="checkbox"/> NO ; <i>information has already been declared and has not changed</i>	Go to Question 14			
	<input type="checkbox"/> YES ; <i>previously declared and needs to update or modify details</i>	Go to Form 7			
	<input type="checkbox"/> YES ; <i>for the first time</i>	Go to Form 7			
<b>Q14.</b> In which year did your State Party provide this information ?					
<input type="checkbox"/> 1987	<input type="checkbox"/> 1988	<input type="checkbox"/> 1989	<input type="checkbox"/> 1990	<input type="checkbox"/> 1991	<input type="checkbox"/> 1992
<input type="checkbox"/> 1993	<input type="checkbox"/> 1994	<input type="checkbox"/> 1995	<input type="checkbox"/> 1996	<input type="checkbox"/> 1997	<input type="checkbox"/> 1998
<input type="checkbox"/> 1999	<input type="checkbox"/> 2000	<input type="checkbox"/> 2001	<input type="checkbox"/> 2002	<input type="checkbox"/> 2003	<input type="checkbox"/> 2004
<input type="checkbox"/> 2005	<input type="checkbox"/> 2006	<input type="checkbox"/> 2007	<input type="checkbox"/> 2008	<input type="checkbox"/> 2009	<input type="checkbox"/> 2010
<input type="checkbox"/> 2011			(Go to CBM F, <i>Question 15</i> )		

**CONFIDENCE-BUILDING MEASURE F**

**PAST ACTIVITIES IN OFFENSIVE AND/OR DEFENSIVE  
 BIOLOGICAL RESEARCH AND DEVELOPMENT PROGRAMMES**

<b>Q15.</b> Does your State Party have anything new to declare in relation to past activities in offensive and defensive biological research and development programmes ?	<input type="checkbox"/> NO ; <i>it has nothing at all to declare on this form</i>	Go to CBM F, <i>Question 17</i>			
	<input type="checkbox"/> NO ; <i>information has already been declared and has not changed</i>	Go to Question 16			
	<input type="checkbox"/> YES ; <i>previously declared and needs to update or modify details</i>	Go to Form 8			
	<input type="checkbox"/> YES ; <i>for the first time</i>	Go to Form 8			
<b>Q16.</b> In which year did your State Party provide this information ?					
<input type="checkbox"/> 1987	<input type="checkbox"/> 1988	<input type="checkbox"/> 1989	<input type="checkbox"/> 1990	<input type="checkbox"/> 1991	<input type="checkbox"/> 1992
<input type="checkbox"/> 1993	<input type="checkbox"/> 1994	<input type="checkbox"/> 1995	<input type="checkbox"/> 1996	<input type="checkbox"/> 1997	<input type="checkbox"/> 1998
<input type="checkbox"/> 1999	<input type="checkbox"/> 2000	<input type="checkbox"/> 2001	<input type="checkbox"/> 2002	<input type="checkbox"/> 2003	<input type="checkbox"/> 2004
<input type="checkbox"/> 2005	<input type="checkbox"/> 2006	<input type="checkbox"/> 2007	<input type="checkbox"/> 2008	<input type="checkbox"/> 2009	<input type="checkbox"/> 2010
<input type="checkbox"/> 2011			(Go to CBM G, <i>Question 17</i> )		



**Form 0****Confidence Building Measures  
Nothing to declare or Nothing new to declare****CONFIDENCE-BUILDING MEASURE G****VACCINE PRODUCTION FACILITIES**

<b>Q17.</b> Does your State Party have anything new to declare in relation to vaccine production facilities	<input type="checkbox"/> NO ; <i>it has nothing at all to declare on this form</i>	Go to Question 19			
	<input type="checkbox"/> NO ; <i>information has already been declared and has not changed</i>	Go to Question 18			
	<input type="checkbox"/> YES ; <i>previously declared and needs to update or modify details</i>	Go to Form 9			
	<input type="checkbox"/> YES ; <i>for the first time</i>	Go to Form 9			
<b>Q18.</b> In which year did your State Party provide this information ?					
<input type="checkbox"/> 1987	<input type="checkbox"/> 1988	<input type="checkbox"/> 1989	<input type="checkbox"/> 1990	<input type="checkbox"/> 1991	<input type="checkbox"/> 1992
<input type="checkbox"/> 1993	<input type="checkbox"/> 1994	<input type="checkbox"/> 1995	<input type="checkbox"/> 1996	<input type="checkbox"/> 1997	<input type="checkbox"/> 1998
<input type="checkbox"/> 1999	<input type="checkbox"/> 2000	<input type="checkbox"/> 2001	<input type="checkbox"/> 2002	<input type="checkbox"/> 2003	<input type="checkbox"/> 2004
<input type="checkbox"/> 2005	<input type="checkbox"/> 2006	<input type="checkbox"/> 2007	<input type="checkbox"/> 2008	<input type="checkbox"/> 2009	<input type="checkbox"/> 2010
<input type="checkbox"/> 2011	(Go to <i>Question 19</i> )				

**Submission of CONFIDENCE-BUILDING MEASURE**

**Q19.** Submit this Form 0 (filled in) and Forms 1 to 9, as applicable and in accordance with your national procedures, annually by **15 APRIL** each year to

BWC Implementation Support Unit  
 Department for Disarmament Affairs  
 United Nations Office at Geneva  
 Palais des Nations  
 CH-1211 Geneva 10  
 Switzerland

Fax : +41 22 917 0483  
 E-mail : bwc@unog.ch

Annex II

[English only]

**Form 1****Research centres and laboratories****CONFIDENCE-BUILDING MEASURE A****PART 1 : RESEARCH CENTRES AND LABORATORIES**

Complete a copy of Form A-P1-1 for each research centre or laboratory in your State Party which has any maximum containment laboratories meeting those criteria for such maximum containment laboratories as specified in the 1983 WHO Laboratory Biosafety Manual such as those designated as biosafety level 4 (BL4) or P4 or equivalent standards. Containment units which are fixed patient treatment modules, integrated with laboratories, should have a form of their own.

Q 1.1	Name of facility:			
Q 1.2	Is the facility being declared as part of the national biological defence programme in accordance with CBM A Part 2: <input type="checkbox"/> NO; go to Q 1.3 <input type="checkbox"/> YES; go to Form 2, Section 3			
Q 1.3	Responsible public or private organization or company:			
Q 1.4	Location and postal address:			
Q 1.5	Does the Ministry of Defence wholly or partially finance the reported activity? <input type="checkbox"/> YES → Go to Question 1.7 <input type="checkbox"/> NO → Go to Question 1.6			
Q 1.6	What other governmental agencies or private entities wholly or partially finance the facility ?			
Q 1.7	Number of maximum containment units in the facility (in accordance with the WHO Laboratory Biosafety Manual, 1983/2004, or equivalent) and Indication of the size of the containment units:	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5 <input type="checkbox"/> 6 <input type="checkbox"/> 7 <input type="checkbox"/> If more than 7 How many: ____	1 _____(m <sup>2</sup> ). 3 _____(m <sup>2</sup> ). 5 _____(m <sup>2</sup> ). 7 _____(m <sup>2</sup> ). 9 _____(m <sup>2</sup> ). 11 _____(m <sup>2</sup> ). 13 _____(m <sup>2</sup> ). 15 _____(m <sup>2</sup> ). 17 _____(m <sup>2</sup> ). 19 _____(m <sup>2</sup> ).	2 _____(m <sup>2</sup> ). 4 _____(m <sup>2</sup> ). 6 _____(m <sup>2</sup> ). 8 _____(m <sup>2</sup> ). 10 _____(m <sup>2</sup> ). 12 _____(m <sup>2</sup> ). 14 _____(m <sup>2</sup> ). 16 _____(m <sup>2</sup> ). 18 _____(m <sup>2</sup> ). 20 _____(m <sup>2</sup> ).
Q 1.9	If no maximum containment unit, indicate highest level of protection (equivalent to biosafety levels designated by WHO Laboratory Biosafety Manual) <input type="checkbox"/> BSL 2 <input type="checkbox"/> BSL 3			
Q 1.10	Scope and general description of activities including type(s) of microorganisms and/or toxins as appropriate:			

**Return to Form 0, CBM A part 2, Question 3**

## Form 2

## National biological defence research and development programmes

## CONFIDENCE-BUILDING MEASURE A

## **PART 2 : NATIONAL BIOLOGICAL DEFENCE RESEARCH AND DEVELOPMENT PROGRAMMES**

## Section I – Declaration

Q 2.1 Is there a national programme to conduct biological defence research and development within the territory of the State Party, under its jurisdiction or control anywhere ?

☐ **YES** → Go to Section II, Q 2.2

☐ **NO** → Go to CBM B (Form 3)

Activities of such a programme would include prophylaxis, studies on pathogenicity and virulence, diagnostic techniques, aerobiology, detection, treatment, toxinology, physical protection, decontamination and other related research.

## Section II - Description

Q	2.2	State the objectives of the programme :
Q	2.3	Summarize the principal research and development activities conducted in the programme. Areas to be addressed shall include : prophylaxis, studies on pathogenicity and virulence, diagnostic techniques, aerobiology, detection, treatment, toxinology, physical protection, decontamination and other related research.
Q	2.4	Total funding for the programme and its source :

**Form 2****National biological defence research  
and development programmes**

Q 2.5	Are aspects of this programme conducted under contract with industry, academic institutions, or in other non-defence facilities ?	<input type="checkbox"/> <b>YES</b> → Go to Question 2.6 <input type="checkbox"/> <b>NO</b> → Go to Question 2.8	
Q 2.6	Proportion of the total funds of the programme expended on these contracted or other facilities ?	<input type="checkbox"/> 1 – 10% <input type="checkbox"/> 21 – 30% <input type="checkbox"/> 41 – 50% <input type="checkbox"/> 61 – 70% <input type="checkbox"/> 81 – 90%	<input type="checkbox"/> 11 – 20% <input type="checkbox"/> 31 – 40% <input type="checkbox"/> 51 – 60% <input type="checkbox"/> 71 – 80% <input type="checkbox"/> 91 – 100%
Q 2.7	Summarize the objectives and research areas of the programme performed by the contracted or other facilities :		
Q 2.8	Provide a diagram of the organisational structure of the programme and the reporting relationships (include individual facilities participating in the programme) :		
Q 2.9	How many facilities, both governmental and non-governmental, have a substantial proportion of their resources devoted to the national biological defence programme ?	<input type="checkbox"/> 1 <input type="checkbox"/> 3 <input type="checkbox"/> 5 <input type="checkbox"/> 7 <input type="checkbox"/> 9	<input type="checkbox"/> 2 <input type="checkbox"/> 4 <input type="checkbox"/> 6 <input type="checkbox"/> 8 <input type="checkbox"/> 10 or more

**Go to Section III**

**Form 2**

**National biological defence research  
and development programmes**

**Section III - Facilities**

Complete a copy of Form 2, Section III for each facility which has a substantial proportion of its resources devoted to the national biological defence programme and are within the territory of the reporting State, or under its jurisdiction or control anywhere. (Those listed in Q 2.9)

Q 2.10	Name of facility :	
Q 2.11	Location and postal address :	
Q 2.12	Total laboratory floor area :	m <sup>2</sup>
Q 2.13	Floor area with containment level BSL 2 or equivalent :	m <sup>2</sup>
Q 2.14	Floor area with containment level BSL 3 or equivalent :	m <sup>2</sup>
Q 2.15	Floor area with containment level BSL 4 or equivalent :	m <sup>2</sup>
Q 2.16	Total number of personnel :	
Q 2.17	Number of military personnel :	
Q 2.18	Number of civilian personnel :	
Q 2.19	Number of scientists :	
Q 2.20	Number of engineers	
Q 2.21	Number of technicians	
Q 2.22	Number of administrative staff :	
Q 2.23	List the scientific disciplines represented in the scientific / engineering staff.	
Q 2.24	Are contractor staff working in the facility ?	<input type="checkbox"/> YES → Go to Question 2.25 <input type="checkbox"/> NO → Go to Question 2.26

## National biological defence research and development programmes

Q	2.25	Approximate number of contractor staff :	
Q	2.26	Does the Ministry of Defence wholly finance the facility?	<input type="checkbox"/> <b>YES</b> → Go to Question 2.28 <input type="checkbox"/> <b>NO</b> → Go to Question 2.27
Q	2.27	Other source(s) of financing:	
Q	2.28	Funding level for research	
Q	2.29	Funding level for development	
Q	2.30	Funding level for testing and evaluation :	
Q	2.31	Briefly describe the publication policy of the facility :	
Continue on additional pages if necessary			
Q	2.32	Provide a list of publicly-available papers and reports resulting from the work during the previous 12 months : (To include authors, titles and full references.)	
Continue on additional page if necessary			

**Form 2**

**National biological defence research  
and development programmes**

Q 2.33 Briefly describe the biological defence work carried out at the facility, including type(s) of micro-organisms (including viruses and prions) and/or toxins studied, as well as outdoor studies of biological aerosols :

Continue on additional pages if necessary

**Return to Form 0, CBM B part 1, Question 5**

## Background information on outbreaks of reportable infectious diseases

## **PART 1 : BACKGROUND INFORMATION ON OUTBREAKS OF REPORTABLE INFECTIOUS DISEASES**

Disease	Number of cases per year					
	10 years ago	5 years ago	4 years ago	3 years ago	2 years ago	Last year

Continue on additional pages if necessary

**Return to Form 0, CBM B part 2, Question 7**



**Form 4**

**Outbreaks of infectious diseases and similar occurrences that  
seem to deviate from the normal pattern**

**CONFIDENCE-BUILDING MEASURE B**

**PART 2 : OUTBREAKS OF INFECTIOUS DISEASES AND SIMILAR OCCURRENCES  
THAT SEEM TO DEVIATE FROM THE NORMAL PATTERN**

Complete a copy of Form 4 for each outbreak of infectious disease, or similar occurrence caused by toxins, that seems to deviate from the normal pattern. This form should be used, to the extent information is known and/or applicable, for the exchange of initial as well as annual information.

Q	4.1	Time of cognisance of outbreak :	
Q	4.2	Location of outbreak :	
Q	4.3	Approximate area affected :	
Q	4.4	Suspected source of disease or intoxication :	
			Continue on additional pages if necessary
Q	4.5	Possible causative agent(s) :	
Q	4.6	Main characteristics of symptoms :	
			Continue on additional pages if necessary
Q	4.7	Approximate number of primary cases :	
Q	4.8	Approximate number of total cases :	
Q	4.9	Number of deaths :	
Q	4.10	Description of the development of the outbreak :	
			Continue on additional pages if necessary

**Form 4****Outbreaks of infectious diseases and similar occurrences that seem to deviate from the normal pattern**

Q 4.11	Detailed respiratory symptoms :	Continue on additional pages if necessary
Q 4.12	Detailed neurological or behavioural symptoms :	Continue on additional pages if necessary
Q 4.13	Detailed intestinal symptoms :	Continue on additional pages if necessary
Q 4.14	Detailed dermatological symptoms :	Continue on additional pages if necessary
Q 4.15	Detailed nephrological symptoms :	Continue on additional pages if necessary
Q 4.16	Detailed other symptoms :	Continue on additional pages if necessary
Q 4.17	Deviation from the normal type of agent :	Continue on additional pages if necessary

**Form 4**

**Outbreaks of infectious diseases and similar occurrences that  
seem to deviate from the normal pattern**

Q 4.18	Deviation from the normal development of outbreak :	Continue on additional pages if necessary
Q 4.19	Deviation from the normal place of occurrence of outbreak :	Continue on additional pages if necessary
Q 4.20	Deviation from the normal time of occurrence of outbreak :	Continue on additional pages if necessary
Q 4.21	Deviation from the normal symptoms :	Continue on additional pages if necessary
Q 4.22	Deviation from the normal drug resistance pattern :	Continue on additional pages if necessary
Q 4.23	Deviation from the normal ability to diagnose the agent :	Continue on additional pages if necessary
Q 4.24	Deviation from the normal presence of vectors :	Continue on additional pages if necessary
Q 4.25	Other deviations :	Continue on additional pages if necessary

**Form 4**

**Outbreaks of infectious diseases and similar occurrences that  
seem to deviate from the normal pattern**

Q 4.26 Measures taken :

Continue on additional pages if necessary

**Return to Form 0, CBM C, Question 9**

**Form 5**

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

**CONFIDENCE-BUILDING MEASURE C**

Q 5.1 Briefly provide information on the general policy regarding publication of results of biological research :

Continue on additional pages if necessary

Q 5.2 Briefly provide information on the policy regarding publication of results of biological research from research centres and laboratories relevant to CBM A.1 :

Continue on additional pages if necessary

**Form 5**

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

Q 5.3 Briefly provide information on the policy regarding publication of results of biological research from national biological defence programme facilities relevant to CBM A.2 :

Continue on additional pages if necessary

Q 5.4 Briefly provide information on the policy regarding publication of results of biological research on outbreaks of diseases covered by CBM B :

Continue on additional pages if necessary

Q 5.5 Briefly provide information on relevant scientific journals and other relevant scientific publications generally available to States Parties:

Continue on additional pages if necessary

**Return to Form 0, CBM D, Question 11**

**Form 6**

**Active promotion of contacts**

**CONFIDENCE-BUILDING MEASURE D**

**Section I – Planned international conferences,  
symposia, seminars, and other forums for exchange**

Complete a copy of Form 6, Section I, for of the events listed above.

Q 6.1	Name of event:
Q 6.2	Arranging organization(s):
Q 6.3	Date(s):
Q 6.4	Location:
Q 6.5	Main subject(s) of the event:
Q 6.6	Conditions for participation:
Q 6.7	Point of contact for further information, registration, etc.:

**Form 6**

**Active promotion of contacts**

**Section II – Information regarding other opportunities**

Q 6.8 Please provide details of other opportunities for the active promotion of contacts:

Continue on additional pages if necessary

**Return to Form 0, CBM E, Question 13**



**Form 7**

**Legislation, regulations and other measures**

**CONFIDENCE-BUILDING MEASURE E**

Q 7.1	Indicate if the State Party has any of the following :				
	<b>Measures Relating to :</b>	<b>Legislation</b>	<b>Regulations</b>	<b>Other Measures</b>	<b>Amended since last year</b>
	The development, production, stockpiling, acquisition or retention of microbial or other biological agents, or toxins, weapons, equipment and means of delivery specified in Article I :	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO
	The export of microorganisms and toxins :	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO
	The import of microorganisms and toxins :	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO
	If any of the above questions is answered with yes → go to Question 7.2				
Q 7.2	Provide details of relevant measures :				
	<b>Title</b>	<b>Date</b>	<b>Summary</b>		

Continue on additional pages if necessary

**Return to Form 0, CBM F, Question 15**

**Form 8****Past activities in offensive and/or defensive  
biological research and development programmes****CONFIDENCE-BUILDING MEASURE F**

Q 8.1	Date of entry into force of the Convention for the State Party:	
Q 8.2	Has the State Party had an offensive biological research and development programme?	<input type="checkbox"/> <b>YES → Go to Question 8.3</b> <input type="checkbox"/> <b>NO → Go to Question 8.5</b>
Q 8.3	Provide the period(s) of related activities:	
Q 8.4	Provide a summary of the research and development activities indicating whether work was conducted on production, test and evaluation, weaponization, stockpiling of biological agents, the destruction programme of such agents and weapons, and other related research :	
Continue on additional pages if necessary		
Q 8.5	Has the State Party had a defensive biological research and development programme?	<input type="checkbox"/> <b>YES → Go to Question 8.6</b> <input type="checkbox"/> <b>NO → Go to CBM G</b>
Q 8.6	Provide the period(s) of related activities:	
Q 8.7	Provide a summary of the research and development activities indicating whether work was conducted in the following areas : prophylaxis, studies on pathogenicity and virulence, diagnostic techniques, aerobiology, detection, treatment, toxinology, physical protection, decontamination, and other related research, with location if possible :	
Continue on additional pages if necessary		

**Return to Form 0, CBM G, Question 17**

**Form 9**

**Vaccine production facilities**

**CONFIDENCE-BUILDING MEASURE G**

Complete a copy of Form 6, Section I, for of each vaccine production facility.

Q 9.1	Name of facility :
Q 9.2	Location and postal address :
Q 9.3	General description of the types of diseases covered :

Continue on additional pages if necessary  
**Return to Form 0, Submission, Q 19**

Annex III

[English only]

**CONVENTION ON THE PROHIBITION OF  
THE DEVELOPMENT, PRODUCTION AND  
STOCKPILING OF BACTERIOLOGICAL  
(BIOLOGICAL) AND TOXIN WEAPONS  
AND ON THEIR DESTRUCTION**

**CONFIDENCE-BUILDING MEASURES**

**USER MANUAL FOR FILLING IN  
SUBMISSION FORMS**

## Introduction

1. This user manual is intended to provide the individual(s) tasked with the completion of the CBM Forms with the necessary information to do so in an efficient manner. The manual contains modalities, explanations, definitions and footnotes that are contained in the forms agreed to by the Third and Fourth Review Conferences, respectively.

2. The structure and logic of the revised CBM forms is as follows : Form 0 is the starting point of each annual reporting. Form 0 asks whether there is anything to be declared and, if so, on which of the forms 1 to 9 the information has to be filled in. Forms 1 to 9 then cover the substantive part of the CBM and upon completion will indicate where on Form 0 to continue.

Form 0 : A declaration on Nothing to declare or Nothing new to declare

Form 1 : Confidence-building Measure A : Research centres, laboratories and national biological defence programmes :

Part 1 : Research centres and laboratories.

Form 2 : Confidence-Building Measure A : Research centres, laboratories and national biological defence programmes :

Part 2 : National biological defence research and development programmes.

Form 3 : Confidence-building measure B : Outbreaks of infectious diseases and similar occurrences caused by toxins :

Part 1 : Background information on reportable infectious diseases.

Form 4 : Confidence-building measure B : Outbreaks of infectious diseases and similar occurrences caused by toxins :

Part 2 : Outbreaks of infectious disease and similar occurrences, that seem to deviate from the normal pattern.

Form 5 : Confidence-building measure C : Encouragement of publication of results and promotion of use of knowledge.

Form 6 : Confidence-building measure D : Active promotion of contacts.

Form 7 : Confidence-building measure E : Legislation, regulations and other measures.

Form 8 : Confidence-building measure F : Past activities in offensive and/or defensive biological research and development programmes.

Form 9 : Confidence-building measure G : Vaccine production facilities.

## **CONFIDENCE-BUILDING MEASURES**

### **Form 0 :      Nothing to declare or Nothing new to declare**

3.      Form 0 asks for Confidence-Building Measures A to G whether the State Party has nothing at all or nothing new to declare.
4.      If that is the case for any of the CBMs A to G, it is not necessary to go to the respective form but to continue with the subsequent questions on Form 0. If any question indicates that there is information to be submitted, Form 0 indicates on which of the Forms 1 to 9 the information is to be filled in. Upon completion of any of the Forms 1 to 9, these forms indicate where on Form 0 to continue with the process.
5.      The set forms leads through the whole process in an easily understandable way and increase the internal consistency of the compiled set of forms.
6.      Question 19 on Form 0 indicates to where the completed Form 0 and any of the Forms 1 to 9 (as applicable) are to be submitted.

## **CONFIDENCE-BUILDING MEASURE A**

### **Form 1 :      Part 1 : Research centres and laboratories**

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

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

### **Modalities :**

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

**Footnotes to Form 1 :**

- To the title of Part 1 : The containment units which are fixed patient treatment modules, integrated with laboratories, should be identified separately.
- To the name of Facility : Facilities with maximum containment units participating in the national biological defence research and development programme, please fill in name of facility and mark “Declared in accordance with Form 2 (CBM A, part 2 (iii))”.
- To maximum containment units : In accordance with the 1983 WHO Laboratory Biosafety Manual, or equivalent.  
(currently valid version is the 2004 WHO Laboratory Biosafety Manual, ISBN 92 4 154650 6 (LC/NLM classification : QY 25) WHO/CDS/CSR/LYO/2004.11)

**Form 2 :      Part 2 : National biological defence research and development programmes**

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

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

States Parties will make declarations in accordance with the attached forms, which require the information in accordance with Form 2.

**CONFIDENCE-BUILDING MEASURE B**

**Form 3 :      Part 1 : Background information on outbreaks of reportable infectious diseases**

**Form 4 :      Part 2 : Outbreaks of infectious diseases and similar occurrences that seem to deviate from the normal pattern**

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

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

**Modalities :**

11. The Third Review Conference agreed the following definition :

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

Furthermore, reference was made to the following definition :

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

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

12. The Third Review Conference agreed on the following :

- In determining what constitutes an outbreak States Parties are recommended to take guidance from the above ;
- Since no universal standards exist for what might constitute a deviation from the normal pattern, States Parties agreed to utilize fully existing national reporting systems on human diseases as well as animal and plant diseases, where possible, and systems within the WHO to provide annual update, using Form 3, of background information on diseases caused by organisms which meet the criteria for risk groups II, III and IV according to the classification in the 1983 WHO Laboratory Biosafety Manual, the occurrence of which, in their respective areas, does not necessarily constitute a deviation from normal patterns ;
- Exchange of data on outbreaks that seem to deviate from the normal pattern is considered particularly important in the following cases :



- When the cause of the outbreak cannot be readily determined or the causative agent is difficult to diagnose (It is understood that this may include organisms made pathogenic by molecular biology techniques, such as genetic engineering) ;
  - When the disease may be caused by organisms which meet the criteria for risk groups III or IV, according to the classification in the 1983 WHO Laboratory Biosafety Manual ;
  - When the causative agent is exotic to a given region ;
  - When the disease follows an unusual pattern of development ;
  - When the disease occurs in the vicinity of research centres and laboratories subject to exchange of data under item A ;
  - When suspicions arise of the possible occurrence of a new disease.
- In order to enhance confidence, an initial report of an outbreak of an infectious disease or a similar occurrence that deviate from the normal pattern should be given promptly after cognizance of the outbreak and should be followed up by annual reports. To enable States Parties to follow a standardized procedure, the Conference has agreed that Form 4 should be used, to the extent information is known and/or applicable, for the exchange of initial as well as annual information.
  - In order to improve international cooperation in the field of peaceful bacteriological (biological) activities and in order to prevent or reduce the occurrence of ambiguities, doubts and suspicions, States Parties are encouraged to invite experts from other States Parties to assist in the handling of an outbreak, and to respond favourably to such invitations.

**Footnotes to Form 2 :**

- To Deviation from normal patterns : This information should be provided in accordance with Form 2 (CBM B, part 1)
- To Causative Agent : It is understood that this may include organisms made pathogenic by molecular biology technique, such as genetic engineering.

## **CONFIDENCE-BUILDING MEASURE C**

### **Form 5 :      Encouragement of publication of results and promotion of use of knowledge**

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

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

#### **Modalities :**

14.      The Third Review Conference agreed on the following :

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

## **CONFIDENCE-BUILDING MEASURE D**

### **Form 6 :      Active promotion of contacts**

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

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

**Modalities :**

16. The Third Review Conference agreed on the following :

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

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

**CONFIDENCE-BUILDING MEASURE E**

**Form 7 :      Legislation, regulations and other measures**

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

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

- (a) to prohibit the development, production, stockpiling, acquisition or retention of microbial or other biological agents, or toxins, weapons, equipment and means of delivery, specified in Article I of the Convention, within their territory or anywhere under their jurisdiction or control ;
- (b) in relation to the export or import of micro-organisms pathogenic to man, animals and plants or of toxins in accordance with the Convention ;

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

**Footnote to Form 7 :**

- To Import and Export of micro-organisms : Micro-organisms pathogenic to man, animals and plants in accordance with the convention.

## **CONFIDENCE-BUILDING MEASURE F**

### **Form 8 : Past activities in offensive and/or defensive biological research and development programmes**

18. At the Third Review Conference it was agreed that States Parties :

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

## **CONFIDENCE-BUILDING MEASURE G**

### **Form 9 : Vaccine production facilities**

19. At the Third Review Conference it was agreed that States Parties :

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

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