

***BS-I/9. Monitoring and reporting under the Protocol (Article 33): format and timing for reporting***

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

1. *Takes note* of the note of the Executive Secretary on monitoring and reporting (UNEP/CBD/BS/COP-MOP/1/10);
2. *Recognizes* the need for clear and simple reporting requirements that:
  - (a) Consider technical, technological and financial capacity limitations in developing countries, in particular the least developed and small island developing States among them, and countries with economies in transition, as well as countries that are centres of origin and centres of genetic diversity;
  - (b) Avoid duplication of other requirements pursuant to the Convention on Biological Diversity;
  - (c) Support statistical analysis and compilation;
  - (d) Encourage Parties to provide detailed information at national as well as at regional levels, where such information can be useful to other Parties;
3. *Requests* Parties to make use of the reporting format as annexed to this decision;
4. *Recommends* that Parties prepare their reports through a consultative process involving all relevant stakeholders, as appropriate;
5. *Requests* Parties to submit their reports:
  - (i) On a general frequency of every four years, but in the initial four-year period to submit an interim report two years after the entry into force of the Protocol;
  - (ii) Twelve months prior to the meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol that will consider the report;
  - (iii) In an official language of the United Nations;
  - (iv) In both hard copy and electronic format;
6. *Decides* that the intervals and formats of the reports should be kept under review, building on the experience of Parties in preparing their reports.

*Origin of report*

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Submission	
Signature of officer responsible for submitting report:	Helmut Gaugitsch m.p.
Date of submission:	26 August 2005

Please provide summary information on the process by which this report has been prepared, including information on the types of stakeholders who have been actively involved in its preparation and on material which was used as a basis for the report:

The report has been prepared by the main competent authority, the Federal Ministry of Health and Women with input from the Federal Ministry of Agriculture, Forestry, Environment and Water Management and the Federal Ministry of Education, Science and Culture.

The material used as the basis was the Austrian legislative framework and other relevant documents.

*Obligations for provision of information to the Biosafety Clearing-House*

1. Several articles of the Protocol require that information be provided to the Biosafety Clearing-House (see the list below). For your Government, if there are cases where relevant information exists but has not been provided to the BCH, describe any obstacles or impediments encountered regarding provision of that information (note: To answer this question, please check the BCH to determine the current status of your country's information submissions relative to the list of required information below. If you do not have access to the BCH, contact the Secretariat for a summary):

The Austrian national Biosafety Clearing House is in place (<http://www.biodiv.at/bch>) but has not been updated recently. The information sent to the SCBD has not been updated since some time. Due to time constraints at the Austrian National Focal point for the BCH we have not found the time to perform these updates but will do so in the near future.

It is not fully clear to us, how to implement the information via a two-track approach (Austrian BCH and information provided to the SCBD directly).

Information required to be provided to the Biosafety Clearing-House:

- (a) Existing national legislation, regulations and guidelines for implementing the Protocol, as well as information required by Parties for the advance informed agreement procedure (Article 20.3(a))
- (b) National laws, regulations and guidelines applicable to the import of LMOs intended for direct use as food or feed, or for processing (Article 11.5);
- (c) Bilateral, multilateral and regional agreements and arrangements (Articles 14.2, 20.3(b), and 24.1);
- (d) Contact details for competent national authorities (Articles 19.2 and 19.3), national focal points (Articles 19.1 and 19.3), and emergency contacts (Article 17.2 and 17.3(e));
- (e) In cases of multiple competent national authorities, responsibilities for each (Articles 19.2 and 19.3);
- (f) Reports submitted by the Parties on the operation of the Protocol (Article 20.3(e));
- (g) Occurrence of unintentional transboundary movements that are likely to have significant adverse effects on biological diversity (Article 17.1);
- (h) Illegal transboundary movements of LMOs (Article 25.3);

- (i) Final decisions regarding the importation or release of LMOs (i.e. approval or prohibition, any conditions, requests for further information, extensions granted, reasons for decision) (Articles 10.3 and 20.3(d));
- (j) Information on the application of domestic regulations to specific imports of LMOs (Article 14.4);
- (k) Final decisions regarding the domestic use of LMOs that may be subject to transboundary movement for direct use as food or feed, or for processing (Article 11.1);
- (l) Final decisions regarding the import of LMOs intended for direct use as food or feed, or for processing that are taken under domestic regulatory frameworks (Article 11.4) or in accordance with Annex III (Article 11.6) (requirement of Article 20.3(d))
- (m) Declarations regarding the framework to be used for LMOs intended for direct use as food or feed, or for processing (Article 11.6)
- (n) Review and change of decisions regarding intentional transboundary movements of LMOs (Article 12.1);
- (o) LMOs granted exemption status by each Party (Article 13.1)
- (p) Cases where intentional transboundary movement may take place at the same time as the movement is notified to the Party of import (Article 13.1); and
- (q) Summaries of risk assessments or environmental reviews of LMOs generated by regulatory processes and relevant information regarding products thereof (Article 20.3(c)).

*Article 2 – General provisions*

2. Has your country introduced the necessary legal, administrative and other measures for implementation of the Protocol? (Article 2.1)	
a) full domestic regulatory framework in place (please give details below)	X
b) some measures introduced (please give details below)	
c) no measures yet taken	
3. Please provide further details about your response to the above question, as well as description of your country's experiences and progress in implementing Article 2, including any obstacles or impediments encountered:	
<p>This has been implemented with the Austrian "Gentechnikgesetz" (updated in October 2004). See <a href="http://www.gentechnik.gv.at">http://www.gentechnik.gv.at</a> (in German).</p> <p>A short English summary of our law can be found via the following link:</p> <p><a href="http://www.bmgf.gv.at/cms/site/detail.htm?thema=CH0254&amp;doc=CMS1113384921462">http://www.bmgf.gv.at/cms/site/detail.htm?thema=CH0254&amp;doc=CMS1113384921462</a></p>	

**Articles 7 to 10 and 12: The advance informed agreement procedure**

See question 1 regarding provision of information to the Biosafety Clearing-House.

4. Is there a legal requirement for the accuracy of information provided by exporters */ under the jurisdiction of your country? (Article 8.2)	
a) yes	EU-Regulation 1946/2003
b) no	
c) not applicable – not a Party of export	
5. If you were a Party of export during this reporting period, did you request any Party of import to review a decision it had made under Article 10 on the grounds specified in Article 12.2?	
a) yes (please give details below)	
b) no	
c) not applicable – not a Party of export	X
6. Did your country take decisions regarding import under domestic regulatory frameworks as allowed by Article 9.2(c).	
a) yes	
b) no	
c) not applicable – no decisions taken during the reporting period	X
7. If your country has been a Party of export of LMOs intended for release into the environment during the reporting period, please describe your experiences and progress in implementing Articles 7 to 10 and 12, including any obstacles or impediments encountered:	
Not applicable	
8. If your country has taken decisions on import of LMOs intended for release into the environment during the reporting period, please describe your experiences and progress in implementing Articles 7 to 10 and 12, including any obstacles or impediments encountered:	
No national decisions had to be taken	

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\*/ The use of terms in the questions follows the meanings accorded to them under Article 3 of the Protocol

**Article 11 – Procedure for living modified organisms intended for direct use as food or feed, or for processing**

See question 1 regarding provision of information to the Biosafety Clearing-House.

9. Is there a legal requirement for the accuracy of information provided by the applicant with respect to the domestic use of a living modified organism that may be subject to transboundary movement for direct use as food or feed, or for processing? (Article 11.2)	
a) yes	EU-Reg.1946/2003
b) no	
c) not applicable (please give details below)	
10. Has your country indicated its needs for financial and technical assistance and capacity building in respect of living modified organisms intended for direct use as food or feed, or for processing? (Article 11.9)	
a) yes (please give details below)	
b) no	
c) not relevant	X
11. Did your country take decisions regarding import under domestic regulatory frameworks as allowed by Article 11.4?	
a) yes	
b) no	
c) not applicable – no decisions taken during the reporting period	X
12. If your country has been a Party of export of LMOs intended for direct use for food or feed, or for processing, during the reporting period, please describe your experiences and progress in implementing Article 11, including any obstacles or impediments encountered:	
Not applicable	
13. If your country has been a Party of import of LMOs intended for direct use for food or feed, or for processing, during the reporting period, please describe your experiences and progress in implementing Article 11, including any obstacles or impediments encountered:	
Not applicable	



***Article 13 – Simplified procedure***

See question 1 regarding provision of information to the Biosafety Clearing-House.

14. If your country has used the simplified procedure during the reporting period, please describe your experiences in implementing Article 13, including any obstacles or impediments encountered:

Not applicable, no simplified procedures have been used.

***Article 14 – Bilateral, regional and multilateral agreements and arrangements***

See question 1 regarding provision of information to the Biosafety Clearing-House.

15. If your country has entered into bilateral, regional or multilateral agreements or arrangements, describe your experiences in implementing Article 14 during the reporting period, including any obstacles or impediments encountered:

Not applicable, Austria has not entered into bilateral, regional or multilateral agreements or arrangements according to Art 14 of the Protocol.

**Articles 15 and 16 – Risk assessment and risk management**

16. If you were a Party of import during this reporting period, were risk assessments carried out for all decisions taken under Article 10? (Article 15.2)	
a) yes	Yes as involved in the procedure acc. to Dir. 2001/18/EC
b) no (please clarify below)	
c) not a Party of import	
17. If yes, did you require the exporter to carry out the risk assessment?	
a) yes – in all cases	
b) yes – in some cases (please specify the number and give further details below)	
c) no	no
d) not a Party of import	
18. If you took a decision under Article 10 during the reporting period, did you require the notifier to bear the cost of the risk assessment? (Article 15.3)	
a) yes – in all cases	
b) yes – in some cases (please specify the number and give further details below)	
c) no	Not applicable
19. Has your country established and maintained appropriate mechanisms, measures and strategies to regulate, manage and control risks identified in the risk assessment provisions of the Protocol? (Article 16.1)	
a) yes	yes
b) no	
20. Has your country adopted appropriate measures to prevent unintentional transboundary movements of living modified organisms? (Article 16.3)	
a) yes	yes
b) no	
21. Does your country endeavour to ensure that any living modified organism, whether imported or locally developed, undergoes an appropriate period of observation commensurate with its life-cycle or generation time before it is put to its intended use? (Article 16.4)	
a) yes – in all cases	Yes acc. to Dir. 2001/18/EC
b) yes – in some cases (please give further details below)	
c) no (please give further details below)	
d) not applicable (please give further details below)	

22. Has your country cooperated with others for the purposes specified in Article 16.5?	
a) yes (please give further details below)	yes
b) no (please give further details below)	
23. Please provide further details about your responses to the above questions, as well as description of your country's experiences and progress in implementing Articles 15 and 16, including any obstacles or impediments encountered:	
<p>Austria has objected to nearly all applications of marketing or cultivating genetically modified plants as the undertaken environmental and health risk assessments seem incomplete so far. For those reasons Austria has also maintained national safeguard measures for the time being.</p> <p>The basis for risk assessment and risk management lies within our national legislation (see above). We have established an Advisory Board and a scientific subcommittee for deliberate release and placing on the market.</p> <p>We have ongoing co-operation within the EU on the questions raised above.</p>	

***Article 17 – Unintentional transboundary movements and emergency measures***

See question 1 regarding provision of information to the Biosafety Clearing-House.

24. During the reporting period, if there were any occurrences under your jurisdiction that led, or could have led, to an unintentional transboundary movement of a living modified organism that had, or could have had, significant adverse effects on the conservation and sustainable use of biological diversity, taking also into account risks to human health in such States, did you immediately consult the affected or potentially affected States for the purposes specified in Article 17.4?	
a) yes – all relevant States immediately	
b) partially (please clarify below)	
c) no (please clarify below)	X
25. Please provide further details about your response to the above question, as well as description of your country's experiences in implementing Article 17, including any obstacles or impediments encountered:	
Not applicable	

**Article 18 – Handling, transport, packaging and identification**

26. Has your country taken measures to require that living modified organisms that are subject to transboundary movement within the scope of the Protocol are handled, packaged and transported under conditions of safety, taking into account relevant international rules and standards? (Article 18.1)	
a) yes (please give details below)	Acc. to EU-Reg.1946/2003
b) no	
c) not applicable (please clarify below)	
27. Has your country taken measures to require that documentation accompanying living modified organisms for direct use as food or feed, or for processing, clearly identifies that they ‘may contain’ living modified organisms and are not intended for intentional introduction into the environment, as well as a contact point for information? (Article 18.2(a))	
a) yes	Acc. to EU Reg. 1946/2003
b) no	
28. Has your country taken measures to require that documentation accompanying living modified organisms that are destined for contained use clearly identifies them as living modified organisms and specifies any requirements for the safe handling, storage, transport and use, the contact point for further information, including the name and address of the individual and institution to whom the living modified organisms are consigned? (Article 18.2(b))	
a) yes	Acc. to EU-Reg.1946/2003
b) no	
29. Has your country adopted measures to require that documentation accompanying living modified organisms that are intended for intentional introduction into the environment of the Party of import and any other living modified organisms within the scope of the Protocol, clearly identifies them as living modified organisms; specifies the identity and relevant traits and/or characteristics, any requirements for the safe handling, storage, transport and use, the contact point for further information and, as appropriate, the name and address of the importer and exporter; and contains a declaration that the movement is in conformity with the requirements of this Protocol applicable to the exporter? (Article 18.2(c))	
a) yes	Acc to EU-Reg. 1946/2003
b) no	
30. Please provide further details about your responses to the above questions, as well as description of your country’s experiences and progress in implementing Article 18, including any obstacles or impediments encountered:	
See response of the EC.	

*Article 19 – Competent national authorities and national focal points*

The information is available via the national Biosafety Clearing-House (<http://www.biodiv.at/bch>)

*Article 20 – Information-sharing and the Biosafety Clearing-House*

See question 1 regarding provision of information to the Biosafety Clearing-House.

31. In addition to the response to question 1, please describe any further details regarding your country's experiences and progress in implementing Article 20, including any obstacles or impediments encountered:

The Umweltbundesamt (Austrian Federal Environment Agency) is national focal point for the BCH. The current status and problems encountered can be found in the response to question 1 above.

*Article 21 – Confidential information*

32. Does your country have procedures to protect confidential information received under the Protocol and that protect the confidentiality of such information in a manner no less favourable than its treatment of confidential information in connection with domestically produced living modified organisms? (Article 21.3)	
a) yes	Acc.to relevant EU legislation
b) no	
33. If you were a Party of import during this reporting period, did you permit any notifier to identify information submitted under the procedures of the Protocol or required by the Party of import as part of the advance informed agreement procedure that was to be treated as confidential? (Article 21.1)	
a) yes	
If yes, please give number of cases	
b) no	
c) not applicable – not a Party of import	Not applicable
34. If you answered yes to the previous question, please provide information on your experience including description of any impediments or difficulties encountered:	
35. If you were a Party of export during this reporting period, please describe any impediments or difficulties encountered by you, or by exporters under your jurisdiction if information is available, in the implementation of the requirements of Article 21:	
Not applicable.	

**Article 22 – Capacity-building**

36. If a developed country Party, during this reporting period has your country cooperated in the development and/or strengthening of human resources and institutional capacities in biosafety for the purposes of the effective implementation of the Protocol in developing country Parties, in particular the least developed and small island developing States among them, and in Parties with economies in transition?	
a) yes (please give details below)	X
b) no	
b) not applicable – not a developed country Party	
37. If yes, how has such cooperation taken place:	
<p>The Umweltbundesamt has been active in various capacity building projects, mainly in the area of Twinning (EU-PHARE) and UNEP/GEF:</p> <p>Twinning (in preparation for EU accession):</p> <p>Twinning light Biosafety Chemicals/GMOs Lithuania (8 months, completed 2003)  Twinning Biosafety Poland (2 years, together with Germany, completed 2004)  Twinning Biosafety Slovak Republic (1 year, lead, to be completed in autumn 2005)  Twinning Biosafety Bulgaria (18 months, together with Germany, to start in autumn 2005)</p> <p>UNEP/GEF:</p> <p>Training course (Risk assessment etc.) in Lithuania, autumn 2003  Final Workshop (Moderator, input on monitoring and public information) in Croatia, December 2004  Training workshop on monitoring in Bucharest (March 2005)</p> <p>Several other projects have been performed as well, such as collaboration in the MATRA project (funded and led by the Dutch government) in the CEE region (1999 – 2001), GTZ workshop on GMOs in Beijing/China (July 2004) etc.</p> <p>The main competent authority, the Federal Ministry of Health and Women has been actively involved in some of these projects as well.</p>	
38. If a developing country Party or a Party with an economy in transition, have you benefited from cooperation for technical and scientific training in the proper and safe management of biotechnology to the extent that it is required for biosafety?	
a) yes – capacity-building needs fully met (please give details below)	
b) yes – capacity-building needs partially met (please give details below)	
c) no – capacity-building needs remain unmet (please give details below)	
b) no – we have no unmet capacity-building needs in this area	
e) not applicable – not a developing country Party or a Party with an economy	x

in transition	
39. If a developing country Party or a Party with an economy in transition, have you benefited from cooperation for technical and scientific training in the use of risk assessment and risk management for biosafety?	
a) yes – capacity-building needs fully met (please give details below)	
b) yes – capacity-building needs partially met (please give details below)	
c) no – capacity-building needs remain unmet (please give details below)	
b) no – we have no unmet capacity-building needs in this area	
e) not applicable – not a developing country Party or a Party with an economy in transition	x



40. If a developing country Party or a Party with an economy in transition, have you benefited from cooperation for technical and scientific training for enhancement of technological and institutional capacities in biosafety?

a) yes – capacity-building needs fully met (please give details below)	
b) yes – capacity-building needs partially met (please give details below)	
c) no – capacity-building needs remain unmet (please give details below)	
b) no – we have no unmet capacity-building needs in this area	
e) not applicable – not a developing country Party or a Party with an economy in transition	x

41. Please provide further details about your responses to the above questions, as well as description of your country's experiences and progress in implementing Article 22, including any obstacles or impediments encountered:

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**Article 23 – Public awareness and participation**

42. Does your country promote and facilitate public awareness, education and participation concerning the safe transfer, handling and use of living modified organisms in relation to the conservation and sustainable use of biological diversity, taking also into account risks to human health? (Article 23.1(a))	
a) yes – significant extent	x
b) yes – limited extent	
c) no	
43. If yes, do you cooperate with other States and international bodies?	
a) yes – significant extent	
b) yes – limited extent	x
c) no	
44. Does your country endeavour to ensure that public awareness and education encompass access to information on living modified organisms identified in accordance with the Protocol that may be imported? (Article 23.1(b))	
a) yes – fully	x
b) yes – limited extent	
c) no	
45. Does your country, in accordance with its respective laws and regulations, consult the public in the decision-making process regarding living modified organisms and make the results of such decisions available to the public? (Article 23.2)	
a) yes – fully	x
b) yes – limited extent	
c) no	
46. Has your country informed its public about the means of public access to the Biosafety Clearing-House? (Article 23.3)	
a) yes – fully	
b) yes – limited extent	x
c) no	
47. Please provide further details about your responses to the above questions, as well as description of your country's experiences and progress in implementing Article 23, including any obstacles or impediments encountered:	
<p>The national BCH (with all its links) has been online for some time and thereby publicly accessible. The Website of the main competent authority (<a href="http://www.gentechnik.gv.at">http://www.gentechnik.gv.at</a>) contains a lot of publicly available information, which is used.</p>	

**Article 24 – Non-Parties**

See question 1 regarding provision of information to the Biosafety Clearing-House.

48. If there have been transboundary movements of living modified organisms between your country and a non-Party, please provide information on your experience, including description of any impediments or difficulties encountered:
Not applicable.

**Article 25 – Illegal transboundary movements**

See question 1 regarding provision of information to the Biosafety Clearing-House.

49. Has your country adopted appropriate domestic measures to prevent and penalize, as appropriate, transboundary movements of living modified organisms carried out in contravention of its domestic measures? (Article 25.1)	
a) yes	X
b) no	
50. Please provide further details about your response to the above question, as well as description of your country's experiences in implementing Article 25, including any obstacles or impediments encountered:	
Penalty provisions according to our national legislative framework.	

**Article 26 – Socio-economic considerations**

51. If during this reporting period your country has taken a decision on import, did it take into account socio-economic considerations arising from the impact of living modified organisms on the conservation and sustainable use of biological diversity, especially with regard to the value of biological diversity to indigenous and local communities? (Article 26.1)	
a) yes – significant extent	
b) yes – limited extent	
c) no	
d) not a Party of import	X
52. Has your country cooperated with other Parties on research and information exchange on any socio-economic impacts of living modified organisms, especially on indigenous and local communities? (Article 26.2)	
a) yes – significant extent	
b) yes – limited extent	
c) no	x
53. Please provide further details about your responses to the above questions, as well as description of your country's experiences and progress in implementing Article 26, including any obstacles or impediments encountered:	
<p>No experience. We have an article dealing with socio-economic considerations in our law but this has not been used so far.</p>	

*Article 28 – Financial mechanism and resources*

54. Please indicate if, during the reporting period, your government made financial resources available to other Parties or received financial resources from other Parties or financial institutions, for the purposes of implementation of the Protocol.	
a) yes – made financial resources available to other Parties	
b) yes – received financial resources from other Parties or financial institutions	
c) both	
d) neither	x
55. Please provide further details about your response to the above question, as well as description of your country's experiences, including any obstacles or impediments encountered:	

*Other information*

56. Please use this box to provide any other information related to articles of the Protocol, questions in the reporting format, or other issues related to national implementation of the Protocol:

No further information.

*Comments on reporting format*

The wording of these questions is based on the Articles of the Protocol. Please provide information on any difficulties that you have encountered in interpreting the wording of these questions:

No difficulties.