



منظمة الأغذية
والزراعة
للأمم المتحدة

联合国
粮食及
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Food
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des
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Unies
pour
l'alimentation
et
l'agriculture

Organización
de las
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Unidas
para la
Agricultura
y la
Alimentación

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Item 5 of the Provisional Agenda

INTERNATIONAL TREATY ON PLANT GENETIC RESOURCES FOR FOOD AND AGRICULTURE

SECOND SESSION OF THE GOVERNING BODY

Rome, Italy, 29 October – 2 November 2007

REPORT OF THE CHAIR – ADDENDUM

INFORMATION DOCUMENT ON THE SURVEY ON CAPACITY BUILDING FOR IMPLEMENTATION OF THE TREATY

I. Introduction

1. Under Article 19.3 of the International Treaty on Plant Genetic Resources for Food and Agriculture, it is stated that *“the functions of the Governing Body shall be to promote the full implementation of this Treaty, keeping in view its objectives, and, in particular, to:*
 - (a) *provide policy direction and guidance to monitor, and adopt such recommendations as necessary for the implementation of this Treaty and, in particular, for the operation of the Multilateral System;*
 - (b) *adopt plans and programmes for the implementation of this Treaty;*
2. In addition, in Article 18.4, it is recognized that, *“[p]ursuant to th[e] funding strategy, (...), [t]he extent to which Contracting Parties that are developing countries and Contracting Parties with economies in transition will effectively implement their commitments under this Treaty will depend on the effective allocation, particularly by the developed country Parties, of the resources referred to in this Article. Contracting Parties that are developing countries and Contracting Parties with economies in transition will accord due priority in their own plans and programmes to building capacity in plant genetic resources for food and agriculture”.*
3. In its resolution 1/2006, para 13 of the Funding Strategy of its first session held in Madrid from 12 to 16 June 2006, the Governing body of the International Treaty *“Invite[d] Contracting Parties to provide information to the Secretariat of the Governing Body on their own plans and programmes for building capacity in plant genetic resources for food and agriculture, and for the conservation and sustainable use of plant genetic resources for food and agriculture, to be made available through the website of the Treaty”.*

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Meeting documents are available on Internet at <http://www.planttreaty.org>

4. Considering those elements, the Secretariat prepared a questionnaire entitled “Capacity-building needs for implementation of the International Treaty on Plant Genetic Resources for Food and Agriculture”. This questionnaire was sent to all national focal points on 21st of September and put on the website Treaty at http://www.surveymonkey.com/s.aspx?sm=Ce4GYe1F8viPSf0f2tXyZA_3d_3d. The deadline for submitting the responses to the questionnaire was 30 September 2007.

II. Conceptual framework for capacity building to implement the Treaty

5. It is important to recognize the distinction in capacity building between:
- 5.1 **General capacity building** in plant genetic resources for food and agriculture, as part of the benefit-sharing mechanism of the MLS, in accordance with Article 13.2 (c)¹,
 - 5.2 **Specific capacity building** “for the full implementation of this Treaty, keeping in view its objectives”² (CB-IT) which include the various provisions of the International Treaty, including : Conservation, Exploration, Collection, Characterization, Evaluation and Documentation of Plant Genetic Resources for Food and Agriculture; Sustainable use of plant genetic resources, Farmers’ Rights; and the Multilateral System of Access and Benefit Sharing.
6. **General capacity building** is executed and facilitated by various Contracting parties, organizations, institutions, departments and entities competent in PGRFA, in accordance with their plans and programmes, with the national needs, and with the priorities of the Global plan of Action.
7. **Specific capacity building** must be guided by the policy decisions of the Governing Body, through its Secretariat, in the interest of a coordinated, coherent and effective implementation of the Treaty. Indeed, the International Treaty is an *operational* Treaty, which establishes functional systems (in particular the Multilateral System). It needs daily transactions on a concrete and practical levels to be processed by numerous actors and institutions. The success and future of the Treaty will depend on this practical functioning of these systems and will therefore depend on CB-IT.

¹ Taking into account the needs of developing countries and countries with economies in transition, as expressed through the priority they accord to building capacity in plant genetic resources for food and agriculture in their plans and programmes, when in place, in respect of those plant genetic resources for food and agriculture covered by the Multilateral System, the Contracting Parties agree to give priority to (i) establishing and/or strengthening programmes for scientific and technical education and training in conservation and sustainable use of plant genetic resources for food and agriculture, (ii) developing and strengthening facilities for conservation and sustainable use of plant genetic resources for food and agriculture, in particular in developing countries, and countries with economies in transition, and (iii) carrying out scientific research preferably, and where possible, in developing countries and countries with economies in transition, in cooperation with institutions of such countries, and developing capacity for such research in fields where they are needed. (Article 13.2 (c))

² Art.19.3

III. Capacity building needs for implementation of the Treaty

1. SURVEY ON CAPACITY BUILDING NEEDS FOR THE IMPLEMENTATION OF THE TREATY

a. Purpose and objectives

8. To date no systematic analysis of stakeholder capacity building needs and priorities in Contracting Parties countries, in particular for the operationalization of the Multilateral System, and the exchange of plant genetic resources through the Standard Material Agreement, has been undertaken. The present questionnaire is a first stage which aims at gathering information from all relevant stakeholders in contracting parties' countries on their capacity-building needs and priorities for the implementation of the International Treaty. This identification of the capacity needs of Contracting Parties and other relevant stakeholders is a critical first step in developing successful capacity-building strategies and programmes for the effective implementation of the International Treaty. It is also the only way to ensure that capacity building is truly driven by the needs and expectations of Contracting Parties.
9. Information provided will be useful in developing a general understanding of the priority capacities required for the effective implementation of the International Treaty in order to develop strategic measures to address those needs.
10. The results of this questionnaire would be available as a resource to assist those planning and undertaking capacity building initiatives.

b. Methodology of the survey

11. The methodology is based on similar surveys done by other Conventions: the Cartagena Protocol on Biosafety, the Bonn Guidelines on Access and Benefit Sharing under the CBD, the Convention on International Trade in Endangered Species (CITES) or the Budapest Treaty on the Recognition of the Deposit of Micro-organisms for the Purposes of Patent Procedure, among others.
12. The questionnaire has been organized so that it can be answered very briefly and even answered online in electronic form, so that inputs could come from the widest possible range of stakeholders in PGRFA. A pdf file (see Annex I) has also been sent to National Focal Point emphasizing the need of the participation of stakeholders.
13. The questionnaire has been divided in three parts: 1) needs and priorities, 2) means useful in responding to the needs and priorities for the implementation of the Treaty and 3) activities related to coordination mechanisms to be put in place by the Secretariat. For each part, a selection of items has been provided and it has been asked to rank according five degrees ("from very high" to "very low"). A blank line has also been provided for making it possible to add other items that have not been mentioned.

c. Responses received

a) Description of responses

14. As of the October 26, 2007, the Secretariat had received responses to the questionnaire from the following countries: American Samoa, Central African Republic, Colombia, Ecuador, France, Gabon, Guatemala, Indonesia, Italy, Madagascar, Malaysia, Namibia, Niger, Niue Island, Pakistan, Peru, Philippines, Samoa, Syria, Uruguay, and Zambia.

15. Responses have been mainly provided by government representatives and/or national science, research & academic sector and/or national genebank or ex situ collections of plant genetic resources for food and agriculture (72%). Other responses were provided by International/Regional organizations (6.5%), private sector (3%) or from unknown sources (20.5%).

b) Results and analysis of responses

16. Countries have different capacity building needs and priorities with respect to the effective implementation of the International Treaty. Differences depend on three criteria
1) existing national PGRFA activities, 2) financial and technical resources availability, 3) cost-effectiveness assessment.
17. An analysis of the submissions received reveals that the three most critical capacity needs expressed by the majority of the countries are by order of priority (see Annex 1):
1. Strengthening of institutional capacities, including administrative actions that need to be taken (implementation of the Multilateral System, Benefit sharing provisions, Farmers'rights)
 2. Information technology support (software and hardware for SMTA management; search and ordering tools; reporting on SMTAs to the Governing Body).
 3. Human resources development
18. The other areas where more capacity-building was required for developing and implementing the treaty needs are by order of priority :
4. Comprehensive stakeholder consultations and participation (Government, NGOs, scientific community, genebanks managers, farmers' organizations, extension agents, etc...)
 5. Public awareness
 6. Design of a comprehensive national legal framework Information exchange, data management (monitoring of geneflows)
 7. Assessment of legal and policy options in the implementation of the Treaty
 8. Assessment of existing capacities, policies, laws and administrative practices related to PGRFA and of their conformity with the International Treaty
 9. Regional coordination
 10. Participation in the Funding Strategy of the Treaty
 11. Identification of relevant national organisations that are concerned by the implementation of the International Treaty.
19. Those results clearly indicate that a large number of countries have not yet begun to apply the Multilateral System in any way, and many of them are seeking basic advice and support in order to begin. Many countries are having real difficulties in identifying materials to be included in the System and in identifying the legal and practical measures they will need to take.
20. If, not surprisingly, institutional and human resources capacities are important requirements expressed by most countries, the importance given to information technology tools should be noted. It is probably a reflection that countries and their stakeholders consider those tools as crucial in order to be able to take fully advantage of the Treaty. Countries and institutions that wish to include their material into the Multilateral System need clear procedures and practical tools to do so without much administrative burden.
21. This emphasis put on the operational and functional parts of the Treaty confirms the specific features of this Treaty which regulates daily transactions of materials between

countries and jurisdictions and which consequently requires adequate institutions and human resources and accurate and reliable procedures of information management.

22. A similar conclusion could be drawn with regard to question of the means by which countries would like to be assisted in order to address the capacity needs. Indeed, the majority express that their three top suitable means useful in responding to their needs are, by order of priority, 1) Funding, 2) Scientific and technical cooperation on PGRFA, 3) Establishment of functional procedures.
23. Other means by other of priority are 4) Training modules, support materials, FAQs, open dialogues forum, 5) Legal-technical assistance with legislative drafting or comments on existing draft legislation, 6) Membership to professional networks or associations.
24. The above analysis presents a first indicative picture of the challenges in term of capacity building that need to be addressed for the expedient implementation of the International Treaty. It provides a basis for further and more precise analysis on a case by case and dynamic approach that consider the evolution of the needs. However, from this first broad picture, it is already possible to develop strategic interventions and help designing capacity building programmes toward country-defined priorities and needs.

IV. Elements for a coordination mechanism

25. The task in terms of capacity building is so vast that no single organization could be expected to carry it out alone. Coordination on work related to implementation and representation of the Treaty at the same time, could be further improved within FAO and in relation to other international organizations.
26. In order to efficiently respond to those different challenges, a coordination mechanism should be considered. Indeed, other Conventions and international agreements have, in their early implementation stage, set up such a mechanism to ensure coherent implementation of operational systems established by those Treaties. The operationally and functional coherence of the multilateral system requires similar mechanisms to ensure that guidance of Capacity Building for implementation of the Treaty come only from the Governing Body based on the needs and priorities of the Contracting Parties.
27. The results of the third set of questions give to the Secretariat some useful insights on how Contracting Parties foresee such a mechanism.
28. It appears clearly that the main priority in term of coordination pertains to exchange of information through virtual libraries, network building, dissemination of information, best practices, lessons learned, etc...
29. Another important area where coordination is required is the implementation of a liaison group. This seems crucial to identify gaps in existing capacity building initiatives, to report on progress, and to advice on complex legal or policy that arise in the process of capacity building for implementation. Such a liaison group is also key in order to take into account the different situations, needs, capabilities and stages of development of each country.

30. Other coordination mechanisms by order of priority are : 1) database of existing initiatives on capacity-building; 2) coordination meetings; 3) reporting mechanism.

V. Conclusion

31. Considering the short time left to countries to answer to this questionnaire, this survey does not claim to have fully represented the totality of the countries' need and priorities. However, it gives first insights that permit to highlight some key aspects regarding capacity building needs and priorities and paves the way for a more comprehensive analysis to be done after the second Governing Body.

Annex 1 : Summary results of the survey on capacity building needs and priorities for the implementation of the International Treaty

PART I : IDENTIFICATION OF KEY CAPACITIES NEEDED FOR TREATY IMPLEMENTATION

On the basis of the indicative list of required capacities needed for Treaty implementation, please rate the areas your country requires according to your priorities.

	Very High Priority	High	Medium	Low	Very Low Priority	Rating Average ³	Responses
A. Assessment of existing capacities, policies, laws and administrative practices related to PGRFA and of their conformity with the International Treaty	30.2% (19)	44.4% (28)	14.3% (9)	11.1% (7)	0% (0)	3.94	63
B. Identification of relevant national organisations that are concerned by the implementation of the International Treaty	15.0% (9)	45.0% (27)	26.7% (16)	13.3% (8)	0% (0)	3.44	60
C. Comprehensive stakeholder consultations and participation (Government, NGOs, scientific community, Genebank managers, farmers' organizations, extension agents...)	41.9% (26)	30.6% (19)	21.0% (13)	6.5% (4)	0% (0)	4.08	62
D. Assessment of legal and policy options in the implementation of the Treaty	34.9% (22)	38.1% (24)	19.0% (12)	7.9% (5)	0% (0)	4.00	63
E. Design of a comprehensive national legal framework	27.6% (16)	53.4% (31)	15.5% (9)	3.4% (2)	0% (0)	4.05	58
F. Strengthening of institutional capacities, including administrative actions that need to be taken (implementation of the Multilateral System, Benefit sharing provisions, Farmers'rights)	47.5% (28)	37.3% (22)	11.9% (7)	3.4% (2)	0% (0)	4.29	59
G. Information exchange, data management (monitoring of geneflows)	32.8% (19)	43.1% (25)	19.0% (11)	3.4% (2)	1.7% (1)	4.02	58
H. Participation in the Funding Strategy of the Treaty	25.0% (14)	32.1% (18)	33.9% (19)	7.1% (4)	1.8% (1)	3.71	56
I. Human resources development	39.7% (23)	41.4% (24)	13.8% (8)	5.2% (3)	0% (0)	4.16	58

³ Rating average = (n° of responses(VHP)*5+ n° of responses(H)*4+ n° of responses(M)*3+ n° of responses(L)*2+ n° of responses(VLP)*1)/Total n° of responses

J. Public awareness	38.2% (21)	40.0% (22)	14.5% (8)	3.6% (2)	3.6% (2)	4.05	55
K. Regional coordination	18.2% (10)	56.4% (31)	21.8% (12)	1.8% (1)	1.8% (1)	3.87	55
L. Information technology support (software and hardware for SMTA management; search and ordering tools; reporting on SMTAs to the Governing Body).	41.4% (24)	37.9% (22)	19.0% (11)	1.7% (1)	0% (0)	4.19	58

PART II : OPTIONS AND MEANS FOR ACHIEVING THE REQUIRED CAPACITIES FOR TREATY IMPLEMENTATION

Please rank the different means you consider to be useful in responding to the needs and priorities of your country for the implementation of the Treaty.

	Very High Priority	High	Medium	Low	Very Low Priority	Rating Average	Responses
1. Scientific and technical cooperation (incl. scholarship, fellowship, internship)	40.0% (24)	50.0% (30)	8.3% (5)	1.7% (1)	0% (0)	4,28	60
2. Membership to professional networks or associations	15.5% (9)	44.8% (26)	32.8% (19)	5.2% (3)	1.7% (1)	3,67	58
3. Training modules, support materials, FAQs, open dialogues forum	31.7% (19)	43.3% (26)	20.0% (12)	5.0% (3)	0% (0)	4,02	60
4. Legal-technical assistance with legislative drafting or comments on existing draft legislation	25.4% (15)	52.5% (31)	20.3% (12)	1.7% (1)	0% (0)	4,02	59
5. Establishment of functional procedures (SMTA modules, Inventory and management databases, Documentation and monitoring genetic resources flows, etc.)	32.2% (19)	54.2% (32)	11.9% (7)	1.7% (1)	0% (0)	4,17	59
6. Funding (project support, one-off support or investment)	51.7% (31)	36.7% (22)	8.3% (5)	3.3% (2)	0% (0)	4,37	60

PART III: COORDINATION MECHANISMS TO BE PUT IN PLACE BY THE SECRETARIAT

Please rank the activities related to coordination mechanisms that you would like to see put in place by the Secretariat.

	Very High Priority	High	Medium	Low	Very Low Priority	Rating Average	Responses
1. Contact/liaison group	33.3% (20)	53.3% (32)	10.0% (6)	3.3% (2)	0% (0)	4,17	60
2. Database of existing initiatives on Capacity Building	25.9% (15)	55.2% (32)	19.0% (11)	0.0% (0)	0% (0)	4,07	58
3. An information sharing mechanism (virtual library, capacity building network, systematic communication and information dissemination channels)	43.3% (26)	45.0% (27)	11.7% (7)	0.0% (0)	0% (0)	4,32	60
4. A reporting mechanism	23.7% (14)	49.2% (29)	22.0% (13)	5.1% (3)	0% (0)	3,92	59
5. Coordination meetings (roundtables, forums, or informal consultations)	25.4% (15)	57.6% (34)	13.6% (8)	3.4% (2)	0% (0)	4,05	59