



**Food and Agriculture
Organization of the
United Nations**



The International Treaty
ON PLANT GENETIC RESOURCES
FOR FOOD AND AGRICULTURE

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Item 9 of the Provisional Agenda

SIXTH SESSION OF THE GOVERNING BODY

Rome, Italy, 5 – 9 October 2015

Report of a Multi-stakeholder Workshop organized by Switzerland -The International Treaty on Plant Genetic Resources for Food and Agriculture: What Investment Strategy for the Benefit-Sharing Fund?

Executive Summary

This document contains the report of a multi-stakeholder workshop on the Benefit Sharing Fund (BSF) and its investment strategy organized by the Swiss Federal Office for Agriculture (FOAG) on 17 January 2015 in Rome, Italy. The aim of the workshop was to reflect on options of a renewed strategy how the BSF should invest the funds collected through the mechanisms of the International Treaty.

Following the request of the organizer of the workshop this Report is made available as complementary information produced by the stakeholders related to Agenda Item 9.



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The International Treaty on Plant Genetic Resources for Food and Agriculture: What Investment Strategy for the Benefit Sharing Fund?

Report of the Multi-stakeholder Workshop in Rome, January 2015



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Executive Summary

The Swiss Federal Office for Agriculture (FOAG) organized an international multi-stakeholder workshop on the Benefit Sharing Fund (BSF) and its investment strategy on January 17, 2015, in the Città dell'Altra Economia, Rome. The aim of the workshop was to reflect on options of a renewed strategy how the BSF should invest the funds collected through the mechanisms of the International Treaty on Plant Genetic Resources for Food and Agriculture (the Treaty).

The following **key points** could be identified:

- The BSF *has to make a difference on the ground* by impacting positively on the livelihoods of farmers and local communities. The seed value chains were identified as the points of intervention for BSF supported activities;
- In order to focus on seed-value-chain interventions it is *important that the local and regional levels formulate their needs*. Priorities of the BSF should be based on these needs. It would be important for the BSF to achieve a balance between bottom-up and top-down approaches in strategy formulation;
- The participation of stakeholders in Treaty deliberations on the BSF was noted as important. The BSF should *strengthen stakeholder participation in its decision-making* on the strategic as well as the operational levels in order to foster the inclusion of views coming bottom up. The CFS approach to governance could serve as a model;
- The BSF is embedded in the Treaty. Its *strategy should support and be supported by the other programs* of the Treaty;
- The *Governing Body (GB) of the Treaty should address the BSF investment strategy at its next meeting*. The revision of the financial strategy for the Treaty was identified as a window of opportunity to launch the deliberations on the BSF investment strategy.

Based on the key points above these **key messages** have been enunciated:

Vision / Theory of Change

- A compelling *vision* (e.g. “Seeds for all”) is needed to make the Treaty a *priority for governments and stakeholders*;
- *Gaps and shortcomings in a given seed value chain* would provide entry points for different actions of the BSF;
- The BSF would not necessarily have a global theory of change, but several *local ones*.

Beneficiaries

- The final beneficiaries of the BSF should be the *farmers in developing countries* who conserve and sustainably use PGRFA;
- Lack of inclusion of farmers in current funding scheme could be overcome by reserving a part of BSF funding for projects *focusing on building social capital and partnerships among neglected communities*;
- Importance of achieving *spillover and scaling-up effects* through adequate measures.

Role of Farmers

- The *priorities of funding for farmers* need to be taken into account more strongly;
- Need to change *perception of the farmers’ role* in the MLS to facilitate their participation in the BSF: farmers should not only be seen as beneficiaries of BSF supported activities but also as *providers of PGRFA*;
- Importance to *establish effective monitoring processes* that would allow assessing the impact of BSF supported projects on the PGRFA diversity in farmers’ field.

Selection Criteria / Allocation Processes

- A project cycle should include *several windows with a range of different approaches*
- The selection committee should *include stakeholders in an advisory capacity* and should have the discretion to recommend mergers of proposals;
- In order to foster the *BSF’s potential as a catalyst for new partnerships* and collaborations, the BSF should include exploration grants for partnerships before proposals are made.

Substantive Areas / Priorities

- Importance of *improved livelihoods* of farmers, local breeders and communities and of *food security* as the main long-term objectives of the BSF;
- *Farmers* should be a *major stakeholder group* participating in the process of setting the priorities.

1. Introduction

The conservation and sustainable use of Plant Genetic Resources for Food and Agriculture (PGRFA) are essential for agriculture worldwide. PGRFA enable society to respond to both the population growth and the environmental challenges including climate change. Thus, the effective global implementation of FAO's International Treaty on Plant Genetic Resources for Food and Agriculture (the Treaty) is critical to ensure access to plant genetic resources for research and breeding for long-term global food security. This international convention establishes an international fund, the Benefit Sharing Fund (BSF, the Fund), to contribute to achieve the Treaty's objectives in particular in the developing countries. Users of genetic resources, including Governments, the private sector, funding agencies and other institutions, are expected to invest in this fund through mandatory and voluntary contributions.

In 2013, the Swiss Federal Office for Agriculture mandated an initial study entitled "Reflections on the Resource Allocation Strategy of the Benefit Sharing Fund". A policy brief was presented at a side event during the 5th session of the Governing Body (GB). Based on the fruitful discussion in Oman the Office decided to pursue this project through a more in-depth analysis of the operation of the BSF and by inviting stakeholders' views.

The Treaty stipulates that benefits should flow directly and indirectly to farmers who conserve and sustainably use PGRFA. What does this mean for the BSF and its project support? How should its funds best be used in order to foster research, breeding and conservation of PGRFAs in the developing world? What is needed to do this? Who should be involved?

These and other questions were discussed during a multi-stakeholder workshop that was held on 17th January 2015 in the "Città dell'Altra Economia" in Rome / Italy. The aim of the workshop was to reflect on possible options for a renewed investment strategy for the Benefit Sharing Fund. It focused on the questions how and what the BSF should invest its financial resources in. Should the Fund continue to operate using calls for proposals with different thematic or organizational windows? Who should be the direct and indirect beneficiaries of BSF's support? What are the differences and complementarities to other international institutions in the field of PGRFA? How should the Fund be managed? To address these and other questions in a multi-stakeholder fashion, the organizers invited stakeholders from among governments, gene banks, farmers' organizations, as well as the private and civil sectors to discuss these pertinent questions under the Chatham House Rule.

2. Setting the Stage

The workshop offered a platform that facilitated the generation and exchange of ideas. It started with a series of presentations in order to ensure a minimum level of knowledge among all participants. Shakeel Bhatti, the Secretary of the International Treaty, gave an overview of the present strategic direction and the operations of the Benefit Sharing Fund (see annex 5.2, p.16). He recalled the legal basis of the BSF, its sources of financing and the general approach the Governing Body applies when using the funds in the BSF at its disposal. Shakeel reported on the strategic plan for the funding strategy, its targets per type of contribution (mandatory/voluntary, contributions from the public and the private sectors etc.) and its implementation. Explanations followed on the first and second project cycles, in particular on their geographical distribution and their results. The presentation also provided details on the proceedings of the third project cycle. The selection process of proposals under this cycle was ongoing at the time of the workshop. Finally, remarks on the helpdesk for project applicants and on perspectives for the fourth call for proposals closed the first presentation of the day.

Alwin Kopše reported on conversations he had had with 30 stakeholders from various backgrounds over the course of June to December 2014 (see annex 5.3, p.24). He first outlined the methodology used for the interviews and emphasized that representatives of all relevant stakeholder groups participated in the interviews. Alwin's presentation then indicated areas of convergence of views and pointed to issues where different points of views could be clearly identified. The BSF mission should make sure that benefits reach farmers either as individuals or as a group. The stakeholders identified breeders and the Multilateral System itself as other beneficiaries. The Global Plan of Action (GPA) should be used as strategic guidance to give direction to the BSF strategy while being clear about the focus of this strategy. Hence, the BSF could be used to conserve and enhance diversity in farmers' fields that is useful for food security and economic development today. A different focus would be to use the BSF in a more long-term perspective as the saver of the safeguard: This would mean that the BSF would support "Plan B", i.e. the conservation and sustainable use of PGRFA that are not used in commercial agriculture today but that would be needed as a strategic reserve in case the current agricultural system would no longer function properly. There was consensus among stakeholders that the BSF should not distribute cash to individual farmers.

Activities supported by the BSF should focus on projects along the seed value chain with concrete results that are relevant on the ground. Alwin pointed out that stakeholders were of the view that the BSF should play a role in linking *in situ* and *ex situ* conservation. He reported that there was an emerging consensus that, in the framework of the BSF, *in situ* conservation was understood as a dynamic albeit slow process whereby farmers keep, use and further develop their traditional varieties and landraces. Stakeholders shared also the view that the BSF should not duplicate work done by others and that it should support and be supported by other programs under the International Treaty, such as the program on sustainable use of PGRFA or on the global information system. In the current early phase of BSF's existence, the Fund should focus on a few landmark projects as proof of concepts. Finally, in terms of governance, the stakeholders' large majority was of the opinion that their participation in strategic and operational decision making regarding BSF's agenda should be strengthened, indicating the governance of the Committee on World Food Security as a model of inspiration.

Next in the proceedings of the workshop, Sélim Louafi and Isabel López Noriega shared with the participants their research on existing practices of non-monetary benefit sharing. The presentation of Sélim highlighted the key features of the BSF namely the collective and global nature of its benefits, the importance of cooperation for its proper management and its link with the other components of the benefit-sharing mechanisms of the Treaty (see annex 5.4, p.30). It then pointed to the importance of realizing the non-monetary benefits of the Treaty, i.e. capacity building, access and transfer to technology, exchange of information, for addressing the equity challenge inherent to the creation and use of the global pool of PGRFA. Indeed, these non-monetary mechanisms are crucial in compensating for the difference in capabilities to access to the material pooled in the multilateral system (MLS). By putting its emphasis on increasing the cooperative capacities of the various actors involved in PGRFA conservation, use and exchange, the BSF could then play a critical role in realizing these non-monetary benefits and hence, in the full and well-functioning of the MLS.

In her talk Isabel López Noriega presented the results of a study that was one of a package of studies mandated by the Treaty Secretariat for the benefit of the Ad hoc open-ended Working Group on the improvement of the MLS (see annex 5.5, p.32). The study focused on the projects supported by the BSF in its first two project cycles and on the pre-proposals submitted in the course of the third project cycle in order to identify those projects that included non-monetary benefit sharing mechanisms. Isabel and her team searched for activities dealing with technology transfer, capacity development and information sharing. They studied the weight of these activities in the projects' overall budget and established a typology of technologies, capacities and information supported. The different categories of actors involved were identified and the team investigated whether the activities and partnerships described in the projects were of local, national or international nature. Finally, the study took into account what use was made of the PGRFA from the MLS and which contributions of PGRFA to the MLS were made.

Isabel explained that the BSF could be a useful instrument to facilitate non-monetary benefit sharing although the Treaty's non-monetary benefit sharing obligation were not directly linked to the functioning of the BSF. She emphasized that it was important that the BSF maintain a local and on-the-ground impact. But there were opportunities and potentials to increase spillover effects by increasing international collaboration, promoting more diverse partnerships and increasing the linkages with the MLS. Isabel noted that many of the supported activities were not new and that international and national donors also funded the same kind of activities. She wondered whether the BSF should focus on some possible funding gaps and/or on some particular types of partnerships. Isabel concluded her presentation by stating that the projects supported by the BSF follow a rather classic approach. This raised the question whether there were opportunities for more horizontal ways of collaboration, such as between farmers' organizations.

3. Identifying Elements of a BSF Investment Strategy

After these presentations, the workshop changed format. It used the OPEN SPACE meeting methodology in order to foster discussions and joint consideration of ideas. Cards were distributed and each workshop participant had time to identify at least one issue/phrase and to note it down on a card. These cards were posted on a paper wall. The plenary then discussed these cards and asked, where necessary, for clarification of the notions reflected. It formed clusters of those cards that belonged to the same bigger theme, noting that there was no need to reach consensus on the clusters identified. Only those cards were disregarded that mentioned an aspect on fund raising/fund generating for the BSF as that issue was outside the scope of the workshop. The following clusters were identified and included the following phrases as formulated on the cards:

- *Vision for the BSF / Theory of change:*
Clarify theory of change; lack of global brand; boundaries between BSF and Global Crop Diversity Trust (GCDDT); unique selling point of BSF as opposed to other funds.
- *Beneficiaries:*
BSF to prioritize funding of regional institutions; (funds) recipient = beneficiary?; institutional support to governments; project outputs for farmers and breeders; reaching those who do not usually have access to BSF; how to target farmers as beneficiaries vis-à-vis national agriculture research/CGIAR; regional programs = making distribution of funds political?; BSF as a mechanism with farmer focus and as a tool to support MLS and the BSF itself.
- *Role of farmers:*
How to strengthen the engagement of farmers in the fund?; capacity building for farmers on breeding; BSF to contribute to eradicate poverty in farmer families; how to ensure benefit flows to farmers who conserve and use PGRFA sustainably.
- *Selection criteria / Allocation processes:*
Stakeholders in selection process of projects; long term sustainability of impacts; how do we ensure new partnerships and find the BSF niche through a competitive process?; how to ensure that voluntary donors do not drive the Fund's agenda?; programs vs. projects; projects should be interesting to funders; how to contribute mainstreaming needs for PGRFA at national level into national policies? BSF window for competitive bids to collect/characterize unique PGRFA and include them in MLS; do efficient and strong regional partnerships lead to losing the link to specific benefits for farmers on the ground?
- *Substantive areas / Priorities:*
Keep focus on impact and be crop specific and focused on certain areas; the BSF as catalyst for new and diversified partnerships; making the results of BSF activities available for all; creation of global public goods and services; fit global public goods and services into national plans of action; how to ensure that international agenda reflects real local needs; focus on seed value chain; the BSF needs to focus on long term in situ conservation and use.

After having identified these clusters the plenary broke into five smaller groups a, b, c, d and e. Each breakout group discussed the cluster assigned to it. Workshop participants were free to change groups during the course of discussion in order to participate in the deliberations on another cluster. The results of the discussions in the breakout groups were presented to the plenary.

The following paragraphs summarize the discussions of the breakout groups and the following discussions in the plenary.

3.1. Vision / Theory of Change

Key messages

- A compelling *vision* (e.g. “Seeds for all”) is needed to make the Treaty a *priority for governments and stakeholders*;
- *Gaps and shortcomings* in a given seed value chain would provide entry points for different actions of the BSF;
- The BSF would not necessarily have a global theory of change, but several *local ones*.

There was a consensus that the Treaty suffers from not being widely known/ understood. Therefore, a compelling story is needed to make the Treaty a priority for governments and stakeholders. This should start with a simple vision for the BSF: “Seeds for all”.

This vision would mean that the BSF’s strategy should lead to a net increase in the choice of crops and the varieties within a crop. Hence, diversity and relevance of PGRFA would be key. The focus should be on ensuring healthy seed value chains. This would encompass areas of activities, such as *in situ* conservation, seed production, distribution, access, breeding, and climate adaptation. *Ex situ* conservation should be mainly left to the Global Crop Diversity Trust.

Gaps and shortcomings in a given seed value chain would provide entry points for different actions of the BSF. This would mean that the needs for support by the BSF would be defined or at least triggered at the local level. Hence, the BSF would not necessarily have a global theory of change, but several regional or situational ones. The BSF investment strategy could include different regional approaches and focus areas for its activities.

Both, the Treaty and the GCDT should be seen as parts of the same insurance policy to provide future generations with sufficient and good-quality PGRFA for food and agriculture. Ensuring food security would be the objective of this insurance policy, and diversity its basis.

3.2. Beneficiaries

Key messages

- As stated by the Treaty, the final *beneficiaries* of the BSF should be *the farmers in developing countries* who conserve and sustainably use PGRFA;
- Lack of inclusion of farmers in current funding scheme could be overcome by reserving a part of BSF funding for projects *focusing on building social capital and partnerships among neglected communities*;
- Importance of *achieving spillover and scaling-up effects* through adequate measures.

The group was of the view that the Treaty already mentions the final beneficiaries: farmers in developing countries who conserve and sustainably use PGRFA. There was a discussion whether the BSF should focus first on farmers in areas where rapid change is taking place.

The bigger part of the group discussion centered on the question of who the intermediary beneficiaries should be and whether the BSF should focus on these. These intermediary beneficiaries were defined as those who are in charge of generating benefits for farmers: national agriculture research centers, gene banks, extension services, local breeders, the seed industry, NGOs and CSOs. The question was discussed whether the BSF should favor or prioritize some of these actors. Participants tended towards the opinion that this would probably not be the best approach as priority setting should be country driven and based on national programs on PGRFA: Gaps in the seed value chain should be identified on the country level. Finding the right balance between bottom-up and top-down approaches would be key. However, there was also a view expressed that the BSF should focus primarily on farmers as the immediate beneficiaries.

The group noted that there were few examples in funded projects on the inclusion of farmers as direct beneficiaries and recipients of project funding. The “Parque de la papa” model was not a common one. Reasons for this were seen in the fact that information about the BSF would not reach farmers. The BSF should also reach those farmers who other funding mechanisms do not reach. It would be important to assess who these farmers were and why they were excluded from project funding. One option to address this lack of inclusion was to reserve a part of BSF funding for projects focusing on building social capital and partnerships among neglected communities.

The group also considered the importance of achieving spillover and scaling-up effects. It identified the following measures as helpful in this regard: investment in communities’ capacities to make interventions self-sufficient; favoring horizontal collaborations among communities; and investing in regional collaboration.

3.3. Role of Farmers

Key messages

- Need to better take into account the *priorities of funding for farmers* The priorities of the BSF should be related and linked to the seed value chains as to *bridge the gaps* that exist in the different value chains in different locations and for different crops;
- Need to change *perception of the farmers' role* in the MLS to facilitate their participation in the BSF: farmers should not only be seen as beneficiaries of BSF supported activities but also as *providers of PGRFA*;
- Importance to *establish effective monitoring processes* that would allow assessing the impact of BSF supported projects on the PGRFA diversity in farmers' field.

The discussions of this breakout group concentrated on the identification of priorities for farmers, of factors that facilitate and that hinder farmers' participation in BSF projects, and on monitoring of farmers' participation and of misappropriation of PGRFA.

Priorities were identified in three areas: on-farm participatory research and farmer exchanges; fostering farmers' capacities and strengthening the legal situation of farmers with regard to their seeds; and increasing the economic welfare of farmers' families.

In order to facilitate farmers' participation in the BSF, farmers should not only be seen as beneficiaries of BSF supported activities but also as providers of PGRFA. This would lead to a change in perception of the farmers' role in the MLS. Fostering alliances between farmer organizations and with NGOs would also strengthen the inclusion of farmers. The effective implementation of Treaty provisions and programs that aim at strengthening farmers' position would also lead to a facilitated participation in the BSF of farmers' communities.

There were many factors identified by the group that hinder effective participation of farmers in BSF supported projects and in decision making of the BSF, including:

- Current time frame of 3-4 years for BSF supported projects was considered too short. The group considered 7-10 years more appropriate for effective farmers' participation;
- Lack of capacity of the Treaty to monitor PGRFA in the MLS. Therefore, farmers were reluctant to participate for fear of misappropriation of their PGRFA;
- The new intention of the Treaty Secretariat to favor large programs instead of smaller projects would make it even more difficult for farmers to be included;
- There was a lack of understanding of and information on the Treaty and its BFS among farmers and others.

The group also noted the importance to establish effective monitoring processes that would allow assessing the impact of BSF supported projects on the PGRFA diversity in farmers' field.

3.4. Selection Criteria / Allocation Processes

Key messages

- A project cycle should include *several windows with a range of different approaches*, such as a competitive process or a programmatic approach;
- The selection committee should *include stakeholders in an advisory capacity* and should have the discretion to recommend mergers of proposals;
- In order to foster the *BSF's potential as a catalyst for new partnerships* and collaborations, the BSF should include exploration grants for partnerships before proposals are made.

This breakout group reflected on the meaning of criteria and allocation processes. The issues and questions it identified would need further discussion down the road. The group was of the view that the current system and any change would need careful consideration in order to avoid perverse effects. The chosen selection criteria and the allocation process would depend on the fixed priorities of the BSF.

The group noted that competitive processes for project selection would privilege organizations with strong grant writing skills. Hence, it could lead to reinforce the position of organizations that were used to work with donors. Existing partnerships could also be an advantage in such processes. This would be somewhat in contradiction to the call for the enabling and establishment of new partnerships and the inclusion of disadvantaged communities and organizations. On the other hand, competitive processes could be a good means to identify and support projects that answer local needs. The group noted that a project cycle could include several windows with a range of different approaches, such as a competitive process or a programmatic approach. The selection committee, which should include stakeholders in an advisory capacity, should also have the discretion to recommend mergers of proposals.

One would need to be careful if working with other partners is made an absolute selection criterion. Such a criterion could lead to the arbitrary exclusion of potentially valuable projects or to a situation where long established partnerships are in advantage. Setting up new collaborations between different organizations can take a long time and need a lot of efforts to become effective. The BSF should therefore introduce exploration grants for partnerships in order to prepare for collaborative proposals. Such grants would foster the BSF's potential as a catalyst for new partnerships and collaborations.

3.5. Substantive areas / Priorities

Key messages

- Importance of *improved livelihoods of farmers*, local breeders and communities and of *food security* as the main long-term objectives of the BSF;
- The *priorities of the BSF* should be related and *linked to the seed value chains* as to bridge the gaps that exist in the different value chains in different locations and for different crops;
- *Farmers* should be a *major stakeholder group* participating in the process of setting the priorities as they would be able to prioritize the seeds and varieties they needed.

As the main long-term objectives of the BSF the importance of improved livelihoods of farmers, local breeders and communities and of food security have been emphasized. This breakout group suggested that the priorities for the BSF should be defined in this perspective. However, it would not be possible to establish one set of priorities for the entire planet. A breakdown of the scale would need to take place to regional and country levels in order to ensure impact on the ground. The expected outcomes of the BSF supported activities should be linked to the targets of the Global Plan of Action at the national level.

The priorities of the BSF should be related and linked to the seed value chains as to bridge the gaps that exist in the different value chains in different locations and for different crops. Supporting the development of local and national seed systems in developing countries was seen as a major priority for the BSF. In a perspective to bring the food processing industry closer to the issues related to PGRFA there would be a need to enlarge the focus on the entire food value chain.

Despite this wider focus, the group acknowledged that the role of the farmers was crucial and that farmers should be a major stakeholder group participating in the process of setting the priorities. Farmers would be able to prioritize the seeds and varieties they needed.

4. Conclusions of Workshop Organizers

François Pythoud, as the representative of the workshop organizer, thanked the participants for their active participation and their many valuable contributions during this day of intensive discussion and joint thinking. There was a need identified to invest in a BSF strategy that is clear in focus and aims at making a positive impact on the livelihoods of farmers. The reports from the breakout group discussion would include many useful elements for such a strategy. The workshop organizer highlighted the following points that were raised either in the presentations or in the deliberations of the participants:

- It was clearly noted that the BSF would have to make a difference on the ground by impacting positively on the livelihoods of farmers and local communities. The seed value chains were identified as the points of intervention for BSF supported activities.
- In order to focus on seed value chain interventions it was important that the local and regional levels formulate their needs. Priorities of the BSF should be based on these needs. It would be important for the BSF to achieve a balance between bottom-up and top-down approaches in strategy formulation.
- This is why the participation of stakeholders is important. The BSF should strengthen stakeholder participation in its decision-making on the strategic as well as the operational levels in order to foster the inclusion of views coming bottom up. The CFS approach to governance could serve as a model.
- The BSF is embedded in the Treaty. Its strategy should support and be supported by the other programs of the Treaty.

With regards to next steps, François mentioned that the Swiss Office for Agriculture was ready to help move forward the formulation of a BSF investment strategy. It is important to bring the issue to the attention of the Treaty bodies. One possible line of action could be that the Governing Body would address the BSF investment strategy at its next meeting in October 2015 as part of its discussion on the financial strategy for the Treaty. Workshop participants encouraged the workshop organizers to produce a report on the issue and present it to the Governing Body.

5. Annex

5.1. List of Participants

Name	Contact	Organization
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Group picture of the participants © François Meienberg



5.2. Power Point Presentation “Benefit-Sharing Fund Today” by Dr. Shakeel Bhatti



Benefit-Sharing Fund Today:

9

the strategic direction and operation of the BSF

Rome, 17 January 2015



Benefit-sharing Fund

•BSF established through Article 19.3 f , for receiving and utilizing financial contributions that accrue to the Governing Body to support Treaty implementation, including:

- SMTA-based payments (A.13.2)
- Other Contributions as a Central Element of the Funding Strategy (A.18).

•The Governing Body uses the funds at its disposal in the Benefit-sharing Fund strategically, to play a catalytic role in international cooperation in the area of plant genetic resources for food and agriculture (Annex 1 of Funding Strategy).

Funding Priorities of the Benefit-sharing Fund

- Clear focus on food security, adaptation of crops to climate change and conservation and sustainable use of agricultural biodiversity
- Priorities:
 - information exchange, technology transfer and capacity building.
 - on farm management and conservation
 - sustainable use.

Strategic Plan for implementation of the Funding Strategy (2009-2014)

- The Strategic Plan:
 - Contains a funding target for a given time period
 - Target was established by assessing the needs to meet BSF priorities
 - Such target may be reviewed by the Governing Body, on a regular basis.
 - Identifies a mix of voluntary contributions from Contracting Parties and other contributors and their relative weight to achieve the funding target.
 - For Contracting Parties, it established a tiered system of requests for contributions

http://www.plantreating.org

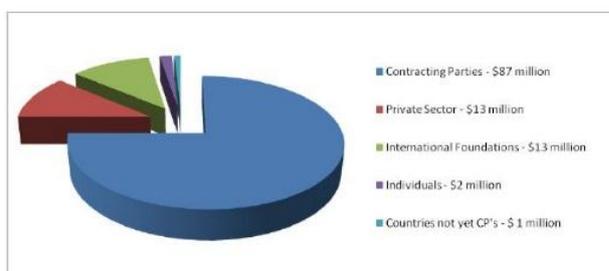
Funding target: Rationale

Priorities of the Benefit-sharing Fund	Priority Activities of the Global Plan of Action	Option A	Option B	Option C
		In million USD		
1. Information exchange, technology transfer and capacity-building	15. Building strong national programmes	5.6	12.9	29.9
	19. Expanding and improving education and training	16.6	30.6	63.3
2. Managing and conserving plant genetic resources on farm	2. Supporting on farm management and improvement of plant genetic resources	7.5	17.2	37.0
3. The sustainable use of plant genetic resources	9. Expanding the characterisation, evaluation and number of core collections to facilitate use	9.4	16.4	31.4
	10. Increased genetic enhancement and base-broadening efforts	21.2	30.7	51.2
	11. Promoting sustainable agriculture through diversification of crop production and broader diversity in crops	5.3	9.0	18.5
Total		65.6	116.8	231.3

http://www.plantreating.org

Strategic Plan: Target and contributors

- Target 2009-2014 : \$116 million



http://www.plantreating.org

Actual income July 2009-December 2014, compared to the target in The Strategic Plan 2009-2014

	TARGET		ACTUAL	
	%	USD	%	USD
CONTRACTING PARTIES				
Australia				870,000
Germany				598,500
European Commission				8,650,000
Indonesia				100,000
Ireland				659,800
Italy				4,431,577
Norway				6,495,062
Spain				2,348,935
Switzerland				28,612
Sub-total	75-85%	= 92,900,000	23.93%	21,202,486
OTHER COUNTRIES	0-1%	= 500,000	0.00%	0
PRIVATE SECTOR				
Canadian seed company				1,297
Sub-total	7-11%	= 10,440,000	0.01%	1,297
FOUNDATIONS	7-11%	= 10,440,000	0.00%	0
INDIVIDUALS	1-2%	= 1,740,000	0.00%	0
TOTAL FUNDING STRATEGY	100%	116,000,000	19.14%	21,203,783
UNPLANNED:				
INTERNATIONAL FUNDS				
IFAD				1,500,000
Sub-total	Unplanned	116,000,000	1.29%	1,500,000
UNPLANNED:				

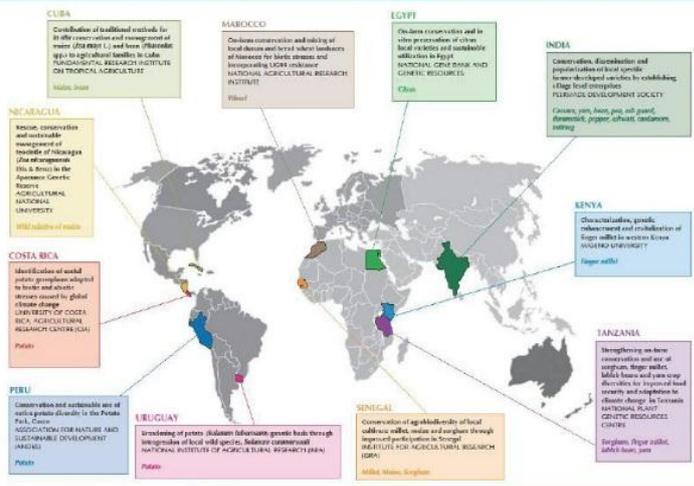
http://www.plantreeat.y.org

Benefit-sharing Fund projects

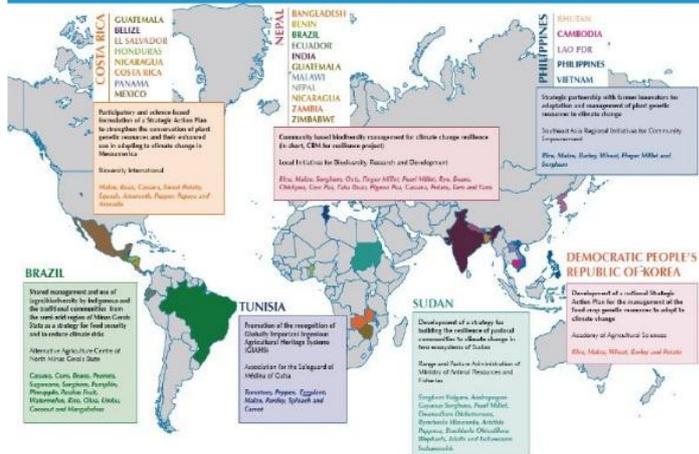
- Clear focus on food security, adaptation of crops to climate change and conservation and sustainable use of agricultural biodiversity
- Priorities:
 - sustainable use
 - on farm management and conservation
 - information exchange, technology transfer and
 - capacity building.
- 1st project cycle: 11 pilot projects
 - Total countries involved: 11
 - Funds disbursed: 543,004 USD
- 2nd project cycle: 22 projects
 - Total countries involved: 35
 - Funds disbursed: 6,497,723 USD

http://www.plantreeat.y.org

Projects 2009-2011 under the Benefit-sharing Fund

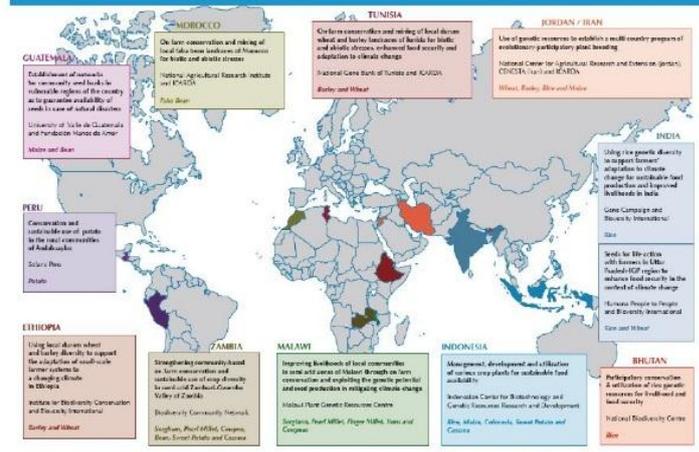


SECOND FUNDING CYCLE OF THE BENEFIT-SHARING FUND: Window 1 – Strategic Action Plans



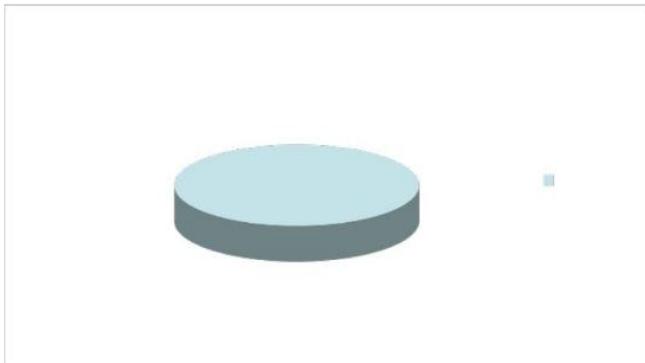
www.planttreaty.org

SECOND FUNDING CYCLE OF THE BENEFIT-SHARING FUND: Window 2 – Immediate Action Projects



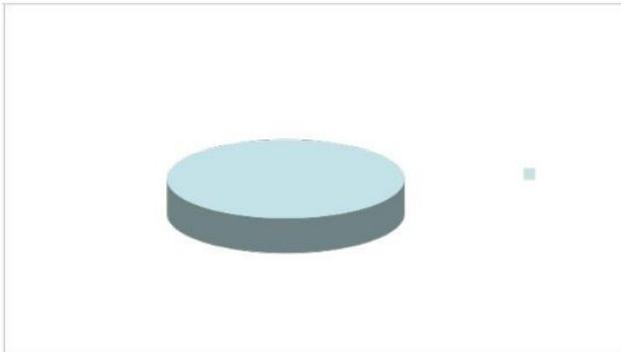
www.planttreaty.org

A total of 170 partners involved in project implementation in 35 countries:



<http://www.planttreaty.org>

22 entities leading the projects implementation:



<http://www.plantresearch.org>

Some results from BSF portfolio

- capacities of more than 6000 farmers strengthened
- over 100 locally-adapted accessions selected by farmers
- planting material of local crops distributed to over 800 farmers
- over 2200 accessions characterized for biotic and abiotic stresses
- more than 20 specific traits identified, and over 90 new breeding lines developed
- 23,000 farmers directly involved in field activities, surveys, seed fairs, participatory variety selection, plant breeding and establishment of community seed banks
- over 7000 women directly involved in ensuring conservation and biodiversity-based livelihoods

<http://www.plantresearch.org>

<p>Increased diversity on-farm</p>	<p>Conservation</p>	<p>Availability of seeds</p>
<p>Development of locally adapted varieties</p>	<p>Food security</p>	<p>Participatory Plant Breeding</p>
	<p>Farmers Field Schools</p>	

<http://www.plantresearch.org>

Sample Publications from the BSF2 projects



http://www.planetary.org

The 3rd Project cycle

- The Third Call was closed on 2 July 2014 and 188 pre-proposals that complied with the eligibility criteria were received on time through official channels.
- After the screening by an independent Panel of Experts of the eligible pre-proposals, 64 were invited to prepare full proposals. 56 applicants submitted by 31 December 2014 the full project proposal to be appraise by the Panel.
- The Panel will conclude the appraisal of the proposals by mid February and the proposals selected for funding will then be approved by the Bureau.
- The amount of funding for the 3rd project cycle is over \$11 million.

http://www.planetary.org

9

The 3rd Project cycle

- **Window 2:** Projects aim to strengthen the on-farm conservation and management of plant genetic resources for food and agriculture through appropriate action at the farm and community levels and must have potential for significant impact in the short term.
 - **Single country:** The cost of these Immediate Action Projects will be between US\$ 150,000 and US\$ 300,000 for projects involving a single country. The Immediate Action Projects involving a single country shall run for a maximum of **three years**.
 - **Multi country:** The cost of Immediate Action Projects will be between US\$ 400,000 and US\$ 800,000 for multicountry, regional and international projects. The Immediate Action Projects involving multiple countries shall run for a maximum of **four years**.
- **Window 3:** Projects supported through Window 3 aim to promote international cooperation in support of the Treaty by linking institutions across national boundaries. Funding will be provided for both the co-development and transfer of key technologies which enable the exchange of value added information about PGRFA, and in particular those that are related to the use of species in the gene pool of the Multilateral System.
 - **Single country:** The cost of these Co-development and Transfer of Technology Projects are between US\$80,000 and US\$ 150,000. The Co-development and Transfer of Technology Projects targeting a single country shall run for a maximum of **two years**.
 - **Multi country:** The cost of these Co-development and Transfer of Technology Projects will be between US\$200,000 and US\$ 500,000 for multi-country, regional and international projects. The Co-development and Transfer of Technology Projects targeting multiple countries shall run for a maximum of **three years**.

http://www.planetary.org

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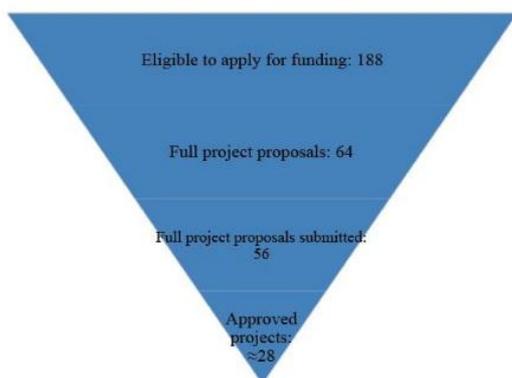
Window 3: a new window to support co-development and transfer of technologies

- The co-development and transfer of technologies has been seen by the Governing Body of the Treaty, since its outset, as a key component of the overall benefit-sharing strategy and an important area for support by the BSF.
- Key emerging technologies and information resources will have a strong impact on the livelihood of farmers and have not yet been fully integrated in institutions in developing Contracting Parties, such as technologies and information repositories for the combined use of genomic sequence data, phenotypic, accession-level and other data providing inputs for improved use of crop diversity.
- This new window seeks to focus on the transfer of technologies which create value-added information for the development of climate-ready traits and plant varieties in developing Contracting Parties.
- Projects supported through Window 3 will promote international cooperation for Treaty implementation by linking institutions in different Contracting Parties.

<http://www.plantheaby.org>

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The 3rd Project cycle



<http://www.plantheaby.org>

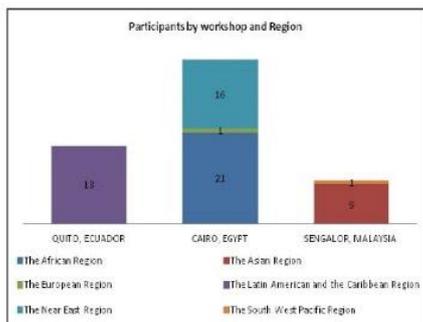


Helpdesk Workshops

- The Secretary invited 64 pre-proposals (see figure below) to prepare a full project proposal and participate in one of the three the Helpdesk workshops of two-day duration were organized from 30 October to 14 November, in Ecuador, Egypt and Malaysia.

<http://www.plantheaby.org>

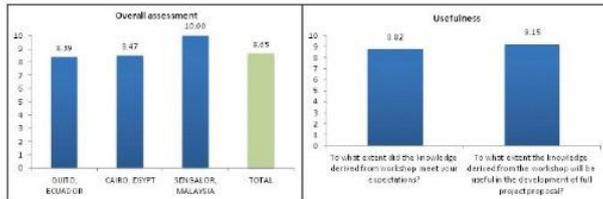
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The workshops were organized in collaboration with FAO decentralized offices through the FAO Representation in Ecuador and the FAO Regional Office for Near East. The workshop for the Asian and the South West Pacific Regions was hosted and supported by the Malaysian Agricultural Research and Development Institute (MARDI).

Helpdesk Workshops

- The workshops provided an opportunity to train a new generation of PGRFA researchers and experts in the development and use of the main operational mechanisms of the Treaty, beyond the Benefit-sharing Fund, including: the gene pool of the Multilateral System, the Global Information System and the mechanisms to promote the non-monetary benefit-sharing, in particular technology transfer. <http://www.planttreaty.org>
- The overall assessment of the three workshops was very good, with an average assessment of 8.65 out of 10. In fact, the participants considered that the workshops met their expectations and assessed that the information provided and knowledge acquired would help them develop a high quality full project proposal. <http://www.planttreaty.org>



Lookout: Call for Proposals 4

- Stronger Regional Focus
- Move from projects to programmes: perhaps 1 major programme per Region?
- Further strengthen the linkage between the Benefit-sharing Fund and the Treaty implementation mechanisms:
 - The Multilateral System;
 - Programme of Work on Sustainable Use:
 - Platform for Co-development and Transfer of Technologies;
 - Public-private partnerships for pre-breeding;
 - The Global Information System and Divseek;
- Reduce time to approval by focusing on selecting strong partners;
- Use new approaches for project operation, in particular rely further on project implementation agencies. <http://www.planttreaty.org>



The International Treaty
ON PLANT GENETIC RESOURCES FOR FOOD AND AGRICULTURE



Thank you!

Please contact us:

International Treaty Secretariat
at FAO, Building B, 6th floor
Tel.: 06-570-53554
E-mail: pgrfa-treaty@fao.org
www.planttreaty.org

<http://www.planttreaty.org>

5.3. Power Point Presentation “Stakeholders View” by Alwin Kopše

The Investment Strategy of the Benefit Sharing Fund

Synopsis of Stakeholder Conversations

Stakeholder Workshop
Città dell'Altra Economia, Rome, 17th January 2015
Alwin Kopse (Bureau ark)

Overview

- Methodology
- The BSF Mission
- The Environment
- Challenges
- Governance
- Some Operational Tips
- Conclusions

Interview Methodology

- Policy Brief of FOAG as a starting point
- Interview questionnaire prepared in collaboration with Sélim Louafi, CIRAD
- Stakeholders identified with help of representatives of OEWG-MLS
- 40 Stakeholders invited, 30 participated
- 9 industry, 8 CSO, 5 research/gene banks, 3 farmers' organisations, 5 Intl' Org
- 10 located in developing countries, 20 located in developed countries

The BSF Mission: In General

- Benefits to reach farmers, either as individuals or as group
- Improve livelihood of farmers
- This can include measures beyond PGRFA, such as
 - Soil enhancement technologies
 - Weather information
 - Climate change adaptation measures
 - Health improvement measures
- Use GPA as strategic tool to give direction and guidance

The BSF Mission: in General (II)

- Conserve and enhance diversity in farmers' fields that is useful for food security and economic development;
- Safe the safeguard: Use the BSF to support "Plan B", i.e. conserve and sustainably use PGRFA that are not used in commercial agriculture today as a strategic reserve

The BSF Mission: Beneficiaries

- Farmers:
 - Majority of voices: Farmers not reached by other organizations; heritage farmers (the ones who do not adopt technology)
 - Minority of voices: Other than small scale or subsistence farmer
 - Two different approaches: "Link traditional farming and commercial agriculture" VS "keep them apart"
 - Support to farmers' organizations directly or to organizations that work with farmers

The BSF Mission: Beneficiaries (II)

- Breeders: enhance breeders' diversity
 - Farmer-breeders
 - Local and community based breeders
 - mid-size breeders
- MLS: results of BSF supported projects have to flow back to the MLS, e.g. through the Global Information System

The BSF Mission: Supported Activities

- Do not distribute cash to individual farmers
- Focus on projects with concrete results relevant on the ground/in the field
- Support projects along the seed chain
- Breeding support only where there is lack of commercial or public breeding

THE BSF Mission: Supported Activities (II)

- Conservation:
 - Applied research
 - Characterization
 - Collection missions
 - Documentation
 - Training
 - Strengthening links between farmers and local gene banks
 - Foster establishment of local and/or community gene banks
- Sustainable use:
 - Pre-breeding
 - Collection missions
 - Facilitation of access, incl. to information on landraces and commercial varieties
 - Training in breeding, incl. establishment of regional breeding academies or centres of excellences as platforms for PPPs
 - Strengthening local seed and breeding systems
- Other:
 - Strengthen farmers' rights
 - Awareness raising about the BSF and the International Treaty
 - Support governments develop action plans

The BSF Mission: in situ VS ex situ?

- In-situ conservation is understood as a dynamic, albeit slow process whereby farmers keep, use and further develop their traditional varieties and landraces
- Do not push farmers to conserve PGRFA for conservation purposes
- Store original landraces ex situ and let farmers continue to use and develop them in situ
- In-situ projects should include an ex-situ component
- BSF as a tool to bridge the ex-situ – in-situ dichotomy
- BSF as a catalyst to make in-situ material interesting to modern breeding. For this to work, questions related patenting need to be resolved beforehand

The Environment

- BSF should function as a catalyst to make things happen
- BSF should not duplicate work of others
- BSF should not become “just another” grantor for public research
- BSF’s Treaty environment: support and use Treaty’s programmes and instruments
 - Art. 6 on sustainable use
 - Art. 9 on farmers’ rights
 - Art. 14 on the GPA
 - Art. 17 on the global information system

The Environment (II)

- BSF’s external environment: establish strong and focused partnerships with focus to promoting BSF’s mission
 - CG Centres:
 - Support for the Centres in characterization endeavours, in particular for marginal crops.
 - BSF should not become a regular donor of the Centres.
 - Relationship with Centres should focus on getting more diversity on farmers’ fields
 - Global Crop Diversity Trust:
 - “What is the difference?” “Why are there two different entities in this field?”
 - Supplement each other
 - Some call for a merger under the leadership of the Trust, knowing that the mandate of the Trust would need to be changed
 - Some see a role of the Trust as a manager/administrator of the funds of the BSF under instructions and oversight of the International Treaty

The Environment (III)

- Donor organisations: match making, criteria alignment, joint calls for proposals
 - IFAD
 - GEF
 - Bilateral donors
 - Private Foundations
- Private companies, incl. other than seed companies: potential for PPPs
 - Google, e.g. for mapping or information sharing
 - Downstream companies that already work with farmers, e.g. Kellogg

Challenges

- *Equity*: do not get lost in trying to address all inequalities
- *Public value*: food security is a public value. The BSF is more about recognizing than creating public value
- *Cooperation*: while cooperation is generally positive, it is not always necessary to achieve a given objective.
- *Trust*: there is still enormous mistrust between actors. This is a potential impediment for the good functioning of the BSF.
- *Communication*: The BSF needs to create a compelling story that is easy to tell
- *Relevance*: while the BSF is a global instrument, its activities should be relevant on the local level
- *Priorities*: The BSF needs to set clear priorities in the short and medium term in order to enable success in the long term

Governance

- The role of the Governing Body as the supreme entity is widely recognised
- One (minority) line of thought considers the current governance setting as sufficient and without the need for adjustments
- The large majority of voices are favouring changes that give stakeholders a more important role in both strategic and operational investment decision-making
- Many voices propose to outsource the administration of the BSF

Governance: Strengthening the Participation of Stakeholders

- The CFS model was identified as a model for the BSF governance, i.e. creating active stakeholder committees with equal speaking rights on the strategic and operational levels
- Two options were mentioned:
 - Attaching stakeholder advisory groups to the GB and the Bureau;or
 - Decoupling BSF governance from the ordinary Treaty governance
 - Governing Body as the oversight organ
 - Strategy committee of Contracting Parties with stakeholder participation
 - Operations committee of Contracting Parties with stakeholder participation

Some Operational Tips

- **Application procedures** should be adapted in a way to foster access to BSF funds by **farmers' organisations** and other organisations disadvantaged in grant processes
- The role of the **NFP** in the application process should be changed
- The BSF should focus on fewer but **landmark projects**
- Project funding should be **longer term**
- State-of-the-art **due diligence and risk management** processes should be adopted
- Independent **evaluation** should be in place both on the level of individual projects and of the BSF as a whole
- The BSF should **enable and foster** learning from supported projects

Conclusions

- Define the mission of the BSF
 - Focus
 - Beneficiaries
 - Supported activities
- Focus on few landmark projects first as proof of concept
- Link activities to Treaty defined programmes and tools
- Define and establish partnerships that strengthen BSF's mission
- Follow CSF model to adjust governance to strengthen both, stakeholder participation and accountability
- Ensure BSF administration is efficient and meets best financial management standards

5.4. Power Point Presentation “Existing Practices of Benefit Sharing” by Sélim Louafi

Existing Practices of Benefit Sharing

Sélim Louafi

International Treaty on Plant Genetic Resources for Food and Agriculture:
What Investment Strategy for the Benefit Sharing Fund?
Multistakeholder Workshop - 17th January 2015
Città dell'Altra Economia
Rome/Italy

KEY FEATURES OF THE BSF

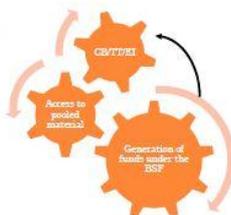
- **Global and collective nature** of the Treaty's benefits: some benefits can only or are best realized at the global level.
- **Importance of cooperation** in order to properly manage and take advantage of the interdependencies between countries, stakeholders and PGRFA activities.
- All BS mechanisms are **inter-related** and need to be equally well-functioning, if the Treaty is to deliver its benefits across countries and stakeholders

CHALLENGES

- What redistribution's principles & mechanisms in order to properly address the equity challenges created by the design of the MLS:
 - *How to target interventions in such a way that they address the unequal capacities of countries and actors to benefit from the facilitated access mechanism of the MLS?*
 - *How to ensure impacts beyond the actors or the sectors in which the funded activities are carried out?*
 - *How can funds be used in such a way that they serve a common (collective) interest and/or support the creation of a common (collective) good?*

WHY NMBS IS IMPORTANT?

- The usual distinction between MBS, NMBS and facilitated access is misleading:
 - All BS mechanisms are **inter-related: without access, no monetary BS, but without NMBS, no equitable access**
- If facilitated access is considered as the main benefit of the MLS, then the BSF, as part of the MLS, should contribute to compensate for the difference in capabilities to access to the material pooled in the MLS
- These increase of these capabilities are depending on the realization of NMBS mechanisms.



WHY COLLABORATION IS IMPORTANT?

- Collaboration is at the core of the functioning of the Treaty and its MLS
- MLS: Collective gains derived from its establishment and collective responsibility to ensure its sustainability
- **Importance of cooperation** in order to properly manage and take advantage of the interdependencies between countries, stakeholders and PGRFA activities.
- Principles underlying collaboration for the management of PGRFA are: coherence, economies of scale, reduction of transaction costs and equity

LESSON LEARNED FROM EXISTING PROJECTS

1. Lessons learned from the NMBS dimensions of the projects funded under the BSF (Galuzzi et al.)
2. Study of existing collaborative initiatives and the way they include NMBS mechanisms:
 - What are the facilitating conditions for increased collaboration across countries, stakeholders, activities, crops?
 - To what extent these initiatives have effectively integrated developing-country scientists?
 - How the gains from collaboration are divided between members?
 - What impacts on outputs?

=> Draw some lessons on how the BSF could supplement and enhance current activities related to collaboration for the provision of NMBS

5.5. Power Point Presentation “Non-monetary Benefit Sharing Mechanisms within the Projects funded by the Benefit Sharing Fund” by Isabel López



Scope

- Projects of the first and second round of BSF.
- Pre-proposals submitted to under Window 3 in the 3rd round.
- We looked at:
 - Activities dealing with tech transfer, capacity development and information sharing
 - Weight of these activities in projects' budget
 - Types of technologies, capacities and information
 - Actors involved
 - Local, national and international nature of the activities and partnerships
 - Use of PGRFA from MLS and contributions to PGRFA

Overview of the three calls

- Elements in common:
 - Priorities identified in the Second Session of the GB, based on the Global Plan of Action.
 - Info exchange, tech transfer and capacity building
 - On farm management and conservation of PGRFA
 - Sustainable use of PGRFA
- Differences:
 - Level of detail in the calls
 - Funding windows
 - Thematic focus
 - Funds available

Data sources

Funding round / Window	Year	Type of documents available	Cases analysed
Round 1	2009	Final reports	10 projects
Round 2/Window 2	2010	Technical proposals and mid-term reports	12 projects
Round 3/Window 3	2014	Pre-proposals	41 proposals

Methodology first and second rounds

1. Types of activities

Activity category	Project activities which fall within the category
Capacity Building	Training on agronomic practices (including farmer field schools)
	Training on climate change, gender, nutrition, processing, participatory learning
	Training on PGRFA (collection, evaluation, handling, storage, drying)
	Training on PGRFA (other aspects, as database management, spatial analyses)
	Training and support to seed registration processes
Adding value to ex situ collections	Training, seminars or dialogues on policies
	Collection of new materials
	Duplication of materials across genebanks (Molecular) characterization of germplasm materials

1. Types of activities

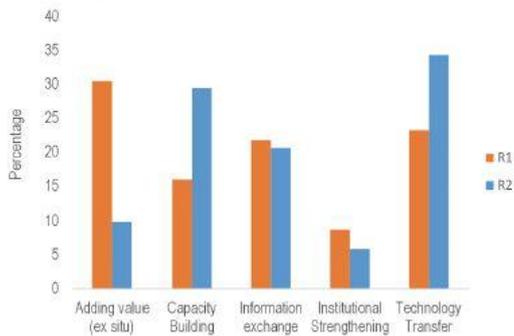
Activity category	Project activities which fall within the category
Information Exchange	Awareness raising events
	GIS-based prediction models
	Databases or inventories about PGRFA conservation or use
	Publications and communication tools
	Diversity fairs
Institutional Support	Exchange visits/conferences
	Stakeholder platforms and/or networks (establishment or strengthening)
Technology Transfer	Strengthening of local/informal seed systems (including establishment of CSBs)
	Introduction of agronomic practices
	Introduction of equipment (including for CSBs)
	Multiplication and distribution of improved varieties for cultivation
	Exchange of PGRFA for (participatory) research or experimental purposes
	Technologies for new/improved food products

2. Proportion of the budget allocated to these activities

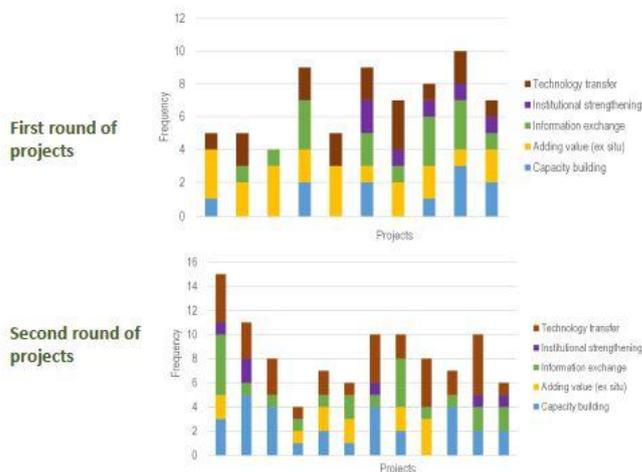
3. Types of institutions that acted as providers or recipients of technologies, capacities and information

Results first and second rounds

1. Activities



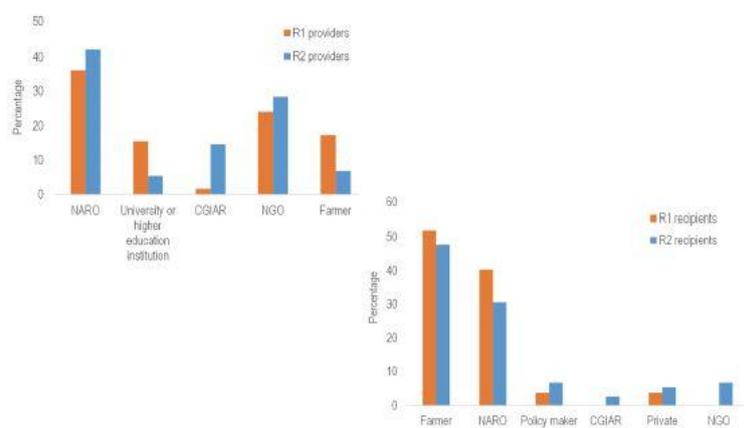
1. Activities



2. Budget allocation

Activity categories	Activity budget (all W2 projects)	Percent over total approved budget
Capacity building	554720	16.71
Adding value to ex situ collections	488545	14.72
Information exchange	354731	10.69
Institutional strengthening	307356	9.26
Technology transfer	530118	15.97
Other	1084026	32.66
Total W2 disbursement by BSF	3319496	-

3. Providers and recipients



Methodology third round

1. Types of technologies

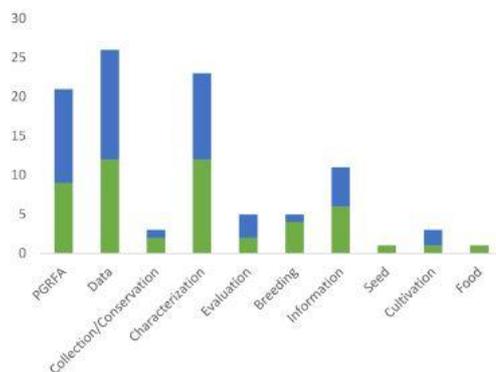
Category label	Description
TechPGRFA	Technologies in the form of new or improved PGRFA
TechData	Genomic and phenotypic data
TechColCon	Technologies related to the collection and conservation of PGRFA
TechCar	Technologies related to PGRFA characterization, including molecular marking and genotyping
TechEva	Technologies related to PGRFA evaluation
TechBree	Technologies related to breeding
TechInfo	Technologies related to PGRFA information management, including software
TechSeed	Technologies related to the production and distribution of seed (for cultivation)
TechCult	Technologies related to the cultivation of PGRFA, including agronomic practices
TechFood	Technologies related to processing of products of PGRFA

Results third round

1. Types of technologies

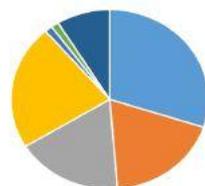
Type of technologies transferred or co-developed	Frequency
Genomic and phenotypic data	26
Technologies related to PGRFA characterization, incl. molecular marking and genotyping	23
Technologies in the form of new or improved PGRFA	20
Technologies related to PGRFA information management, including software	11
Technologies related to PGRFA evaluation	5
Technologies related to breeding	5
Technologies related to the collection and conservation of PGRFA	2
Technologies related to the cultivation of PGRFA, including agronomic practices	3
Technologies related to the production and distribution of seed (for cultivation)	1
Technologies related to processing of products of PGRFA	1

2. Modes of technology acquisition



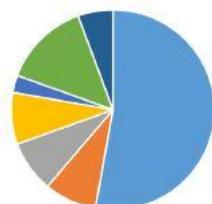
3. Providers and recipients

Providers or co-developers



- NARO
- University
- Other national research org.
- International org. (incl CGIAR)
- Private sector
- National NGO
- Farmer

Recipients



- NARO
- University
- Other national research org.
- International org. (incl CGIAR)
- Private sector
- Farmer
- Policy maker

Conclusions and reflections

- The BSF can be a useful instrument to facilitate non-monetary benefit sharing.
- Non benefit-sharing obligations are not linked to the functioning of the BSF
- While it is important to maintain local and on the ground impact, there are opportunities to increase spill-over benefits by:
 - Increasing international collaboration
 - Promoting more diverse partnerships
 - Increasing linkages with the MLS

Conclusions and reflections

- Many of these activities are not new and are funded by international and national donors. Should the BSF focus on some possible gaps in NMBS or on some particular types of partnerships?
- Projects follow a rather classic approach. Are there opportunities for more horizontal ways of collaboration?

Thanks!



Gea Galluzzi, Isabel López Noriega, Michael Halewood