



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



The International Treaty
**ON PLANT GENETIC RESOURCES
FOR FOOD AND AGRICULTURE**

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Item 9.2 of the Provisional Agenda

EIGHTH SESSION OF THE GOVERNING BODY

Rome, 11 – 16 November 2019

**Reports of the Tenth and Eleventh Meetings of the Ad Hoc Advisory
Committee on the Funding Strategy and Resource Mobilization**

Executive Summary

This document contains the Reports of the Tenth and Eleventh Meetings of the Ad Hoc Advisory Committee on the Funding Strategy and Resource Mobilization, which took place in September 2018 and May 2019 respectively.

*This document can be accessed using the Quick Response Code on this page;
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Other documents can be consulted at [http://www.fao.org/plant-treaty/meetings/meetings-
detail/en/c/1111365](http://www.fao.org/plant-treaty/meetings/meetings-detail/en/c/1111365)*



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Food and Agriculture
Organization of the
United Nations



The International Treaty
ON PLANT GENETIC RESOURCES
FOR FOOD AND AGRICULTURE

**INTERNATIONAL TREATY ON PLANT GENETIC RESOURCES
FOR FOOD AND AGRICULTURE**

**TENTH MEETING OF THE *AD HOC* ADVISORY COMMITTEE ON THE FUNDING
STRATEGY AND RESOURCE MOBILIZATION**

Rome, Italy, 5-7 September 2018

REPORT

ITEM I. OPENING OF THE MEETING

1. The tenth meeting of the *Ad Hoc* Advisory Committee on the Funding Strategy and Resource Mobilization was opened by Mr. Kent Nnadozie, Secretary of the Treaty. He recalled Resolution 3/2017 by which the Governing Body decided to reconvene the *Ad Hoc* Advisory Committee on the Funding Strategy (the Committee), in order to update the Funding Strategy for consideration of the Eighth Session of the Governing Body. He emphasized the critical role that the Funding Strategy plays in ensuring that financial resources are made available for implementation of the International Treaty and wished the Committee a productive week.

ITEM II. ELECTION OF THE CO-CHAIRS

2. The Secretary informed the Committee that Mr Pierre du Plessis (Namibia) would be stepping down as the Co-Chair and thanked him for his support and the very constructive guidance he provided during his tenure. Members also expressed their appreciation for his invaluable contributions, and hoped that he would continue to contribute his knowledge and expertise, to the extent possible, to the work of the Committee.
3. The Committee elected Mr. Yacoob Mungroo (Mauritius) as the new Co-Chair to work with Mr. Alwin Kopse (Switzerland) as the Co-Chair of the Committee.

ITEM III. ADOPTION OF THE AGENDA AND TIMETABLE

4. The Committee adopted its Agenda as provided in *Appendix 1*. The list of participants of the meeting is contained in *Appendix 2*.
5. The Co-Chairs invited the Co-Chair of the *Ad Hoc* Opened-ended Working Group to Enhance the Functioning of the Multilateral System of Access and Benefit-sharing (Working Group), Mr Javad Mozafari, to provide an update on the work of the Working Group, particularly on issues of relevance to the work of the Committee. Mr Mozafari highlighted the interlinkages between the mandates of the two groups and noted that, for instance, a target for the Benefit-sharing Fund needed to be set in order to facilitate progress in the work of the Working Group. The importance of synchronizing the scheduling of their respective meetings was also noted.

ITEM IV. UPDATED FUNDING STRATEGY AND RELATED ANNEXES

6. The Secretariat provided an overview of the Annotated Outline of the Updated Funding Strategy (Annotated Outline) and its related annexes, noting that Sections I – III were already very detailed but that other sections still needed to be further elaborated, including the Annexes. The Annotated Outline also contained a Results Framework (Appendix 1 of the Annotated Outline) and a Matrix of Funding Tools and the Areas and Programmes under the International Treaty.
7. The Committee made a number of recommendations on the further development of the Funding Strategy and requested the Secretariat to provide a complete draft of the text of the Funding Strategy and its annexes at the next meeting of the Committee.
8. The Committee reviewed the Results Framework of the *Annotated Outline: Funding Strategy*, as contained in Appendix 3 to this Report. It requested the Secretary to add an accompanying explanatory text to paragraph 18 of the Annotated Outline of the Funding Strategy, to further demonstrate how the implementation of the Treaty contributes to the 2030 Agenda for Sustainable Development and its targets.
9. The Secretariat gave a presentation on the progress made towards populating the Matrix. It emphasized that the Matrix provides a first provisional snapshot of funding flows to the areas of the Treaty and that it should be improved through an iterative process to build greater awareness of the various funding tools contributing to the implementation of the International Treaty. The Committee emphasized that the Matrix is a strategic tool to enable the Governing Body to understand which funding tools are supporting financially the different Areas and Programmes of the International Treaty and to identify opportunities for building cooperation and synergies. It recommended that further work was needed to enhance the Matrix further and make it more useful to the Governing Body. Specifically, the Committee recommended:
 - a. That further work should be undertaken on the Matrix using the revised Matrix format contained in the document *Provisionally Populated Matrix of Funding Tools*.
 - b. That the Matrix should be complemented by the provision of an accompanying report, such as the *Report on Progress: Funding Strategy Matrix of Funding Tools*. The Report will provide an analysis of each funding tool described in the Matrix, including concerning any needs assessment carried out that is of relevance to the Treaty, and opportunities for future cooperation with each funding tool. The Report will also contain a tool for further analysis such as the network analytical tools described in the recommendations of the document *Report on Progress: Funding Strategy Matrix of Funding Tools*.
 - c. That further work should be undertaken to provide more clarity on the categories listed under the Areas and Programmes of the International Treaty, contained in the Matrix.
 - d. That the issue of double-counting might be addressed through the provision of further clarity on the Matrix categories and through enhancing the guidance provided in the collection of information to help to eliminate or avoid duplication.
 - e. To reissue the Notification on the request for information on bilateral programmes and funding for National and Regional PGRFA activities.
 - f. In the longer-term to consider how the national reporting format for Treaty Contracting Parties might be expanded to provide more streamlined information.
10. The Secretariat introduced the document, *Funding Strategy Target Setting: Methodology Options (Methodology Options)* on the options for setting targets for the overall Funding Strategy and the Benefit-sharing Fund.

11. The Committee made the following recommendations to the Secretariat regarding the overall target of the Funding Strategy:
- a. Undertake the “Cost-based” methodology described in the document *Methodology Options* to estimate the costs related to the implementation of the Treaty, in particular to meet the needs for implementation of the Second Global Plan of Action. The “Cost-based” methodology should be complemented with the information arising from the Funding Tools listed in the Matrix, drawing upon existing needs assessments of relevance to the International Treaty. The methodology should take into account the need to implement the International Treaty to support the achievement of the Sustainable Development Goals and climate change action. The objective of the exercise would be to improve understanding of total cost of needs and the financial gap.
 - b. Clarify the limitations of the overall methodology, with the understanding that it would be an initial step in the process.
 - c. Explore the possibility of undertaking an analysis on Cost of Inaction that could be used in future communication and awareness related to the Treaty’s Funding Strategy, building on previous research available.
 - d. Explore the possibility to derive regional targets from this exercise.
 - e. Make information available about how the costings of the Priority Activities of the Global Plan of Action for Plant Genetic Resources for Food and Agriculture (GPA) have been calculated to the Committee, for further guidance, well in advance of the next ACFSRM meeting.
 - f. Further develop the methodologies for calculating the target of the overall Funding Strategy and share them with the Committee for further guidance and agreement at a check-point that would allow sufficient time for the calculation of the target so that it could be discussed at the respective meetings of the Committee and the Working Group, in early 2019. The mode and timing of the check-point meeting to review the updated methodologies will be advised by the Committee, at a later time.
12. The Committee recommended that the timeframe for the overall target for the Funding Strategy should align with that of the Funding Strategy, which it recommended to cover a 5-year period.
13. For the target on the Benefit-sharing Fund, the Committee recommended to follow an integrated approach of employing, in parallel, two methodologies to arrive at a target, one being the needs-based modular approach and the other the supply-based methodology option. The needs-based modular approach considers the relevant GPA priorities, and the supply-based methodology option calculates the costs of a selection of activities within those priorities that the Benefit-sharing Fund could make a strategic contribution to.
14. The Committee requested the Secretariat to:
- a) Further develop the supply-based methodology to incorporate:
 - i. voluntary contributions to the BSF over the past five years;
 - ii. realistic contributions from users and of anticipated user-based payments;
 - iii. additional voluntary contributions from enabling partners, including the food processing industry.
 - b) Submit the further developed methodologies for calculating the funding target of the Benefit-sharing Fund together with those of the overall Funding Strategy at the check-point established by the Committee as referred to in paragraph 11f.

15. The Committee emphasized the need to articulate the importance for the Governing Body to define Priorities within the updated Funding Strategy in section III (Enabling Treaty Implementation through a Funding Strategy: Programmatic Approach) and section IV (Programmatic Approach and the Instruments under the direct control of the Governing Body).

16. The Committee reviewed the document *Annotated Annexes to the Annotated Outline of the Updated Funding Strategy* and provided a number of recommendations to the Secretariat to be incorporated in their further development:

- a) Annex I – Operations Manual: Fund for Agreed Purposes
 - i. The importance of reporting to the Governing Body and aligning its operations with the overall programmatic approach of the Funding Strategy.
- b) Annex II – Operations Manual: Benefit-sharing Fund
 - i. The Resource Mobilization section should start by making clear the funding sources for the Benefit-sharing Fund. It should recognize the paramount importance of the user-based income arising from the enhanced Multilateral System. Other funding sources will be voluntary contributions from Contracting Parties, Philanthropic Organizations and the private sector, including the Food Processing Industry.
 - ii. Make clear that, as specified in 19.3.f of the International Treaty, the Benefit-sharing Fund is the mechanism established by the Governing Body for receiving and utilizing the financial resources that will accrue from the Multilateral System.
 - iii. The user-based income arising from the Multilateral System and deposited within the Benefit-sharing Fund would not be earmarked.
 - iv. The resource mobilization manual will emphasize that priority would be given to un-earmarked voluntary contributions. Earmarked voluntary contributions will be acceptable but will be kept under regular review given the implications of such earmarking, to ensure that there are no adverse effects on the Fund. The effects of earmarking on the allocation of un-earmarked funds requires further discussion.
 - v. The resource mobilization manual will include relevant aspects of the previous Strategic Plan.
 - vi. The procedures for development and approval of projects and programmes were informed by the existing procedures and reflect the lessons learnt and recommendations made from previous project cycles. The procedures should establish clear linkages with the programmatic approach of the Funding Strategy to enable the Benefit-sharing Fund to fill gaps identified. The responsibilities and steps for the project development and approval should be clearly identified for their review by the Committee, at its next meeting.
 - vii. The Monitoring and Evaluation Framework section should link the storyline and theory of change for the Benefit-sharing Fund with the targets and indicators established to enable the monitoring and evaluation of projects and programmes. These should enable that lessons learned and continuous learning are regularly provided to all Regions so that they will be committed to the Fund.

- c) Annex III - Additional Information on implementation, monitoring and review.
- i. The Committee agreed that there is a need to keep the Governing Body updated on a regular basis on the progress in the implementation of the Funding Strategy, and that the comprehensive review of the Funding Strategy should be carried out after a 5-year period.
 - ii. The timing of the implementation, monitoring and review should be specified in this Annex.

ITEM V. ADVISE ON RESOURCE MOBILIZATION EFFORTS AND ON LEVERAGING FUNDING AND DEVELOPING SYNERGIES BETWEEN DIFFERENT FUNDING SOURCES AND PARTNERS DURING THE BIENNIUM

17. The Secretariat gave a presentation on specific areas where guidance was sought on resource mobilization, leveraging funding and developing synergies between different funding sources and partners.
18. The Committee made the following recommendations:
- a. Invites the Secretariat to provide information to the Treaty National Focal Points (NFPs) about the relevant focal points of the GCF, the Adaptation Fund and the GEF, on the opportunities for engaging in the Readiness and Preparatory Support Programme of the GCF, the Readiness Programme for Climate Finance of the Adaptation Fund and the usefulness of the World Bank Group Climate Smart Agricultural donor tool.
 - b. Supports the suggestion of the Panel of Experts to consider providing a certificate of excellence for the best proposals to the Benefit-sharing Fund that were not able to be funded.
 - c. Recommends that the Secretary liaise with relevant partners, including FAO, UNEP, UNDP, IFAD, GCDT, the WBG, Commitment 2 “Protecting Land and Water Against Climate Change” of the One Planet Summit, the private sector and philanthropic organisations, to explore how they might be able to support the Fourth Call for Proposals (CFP4) accessing climate finance programmes and funds and to present to the Eighth Session of the Governing Body pilot models, funding partnerships and ways of mobilising support from climate finance mechanisms.
 - d. Advises the Secretariat to continue to seek means of collaboration within FAO, and recommends to the Governing Body that FAO is invited to consider including the Treaty, in its climate finance activities, such as the development and implementation of its climate finance projects, and its activities within GCF, the GEF and any other relevant activities. And to further consider how the Treaty’s contribution to the aims of the GCF might be promoted more widely in the GCF family.
 - e. Recommends that the Governing Body consider supporting the establishment of the focal point/helpdesk to, *inter alia*, notify Treaty NFPs of upcoming opportunities, develop a network of climate finance partners and expertise for NFPs, liaise with the key partners in climate finance and provide links to expertise to develop proposals.

- f. Recommends that the Secretariat prioritize relationship building with philanthropic organizations and networks.
- g. Recommends that the Secretariat explore the notion of the “cost of inaction” as a possible tool for communication for policy-makers and donors.
- h. Recommends that the Secretariat consider approaching the Food Processing industries in collaboration with the Crop Trust and in line with Article 13.6 of the International Treaty, which states that Contracting Parties shall consider modalities of a strategy of voluntary benefit-sharing contributions whereby Food Processing Industries that benefit from plant genetic resources for food and agriculture shall contribute to the Multilateral System.

ITEM VI. COMMUNICATION AND VISIBILITY OF FUNDING TOOLS IN SUPPORT OF THE INTERNATIONAL TREATY DURING THE BIENNIUM

19. The Secretary provided an update on the activities undertaken to continue the work on communication and visibility since the Seventh Session of the Governing Body.
20. The Committee expressed its appreciation for the efforts made by Secretary and emphasized the importance of continuing the work on communication, recognizing its crucial role in enhancing funding for and giving visibility to the Funding Tools of the Funding Strategy.

ITEM VII. DELIVERY OF NON-MONETARY BENEFIT-SHARING THROUGH THE FUNDING STRATEGY

21. The Committee recognised the importance of non-monetary benefit-sharing as an element of the Funding Strategy and programmatic approach, and suggested non-monetary benefit-sharing is further integrated into the Funding Strategy through elaborating links with the Funding Strategy and how to promote its delivery.
22. The Committee requested the Secretariat to produce a list of non-monetary benefit-sharing, guided by the relevant sections of the Treaty, and to consider using an economic study to cost out its elements.

ITEM VIII. DRAFT TERMS OF REFERENCE FOR A POTENTIAL STANDING COMMITTEE ON THE FUNDING STRATEGY AND RESOURCE MOBILIZATION

23. The Committee requested that the Secretariat develop a draft of the Terms of Reference for a potential Standing Committee for the consideration of the Committee at its next meeting.
24. It recommended that the existing Terms of Reference for the Committee could be used as a basis, with consideration given to the longer-term nature of the work of the Standing Committee. It also made the following recommendations for inclusion:

- a. It recalled the basis for proposing a Standing Committee was linked to the programmatic approach and the need for regular review of the Funding Strategy, and recommended this notion is reflected in the rationale of the Standing Committee Terms of Reference document.
- b. The Committee recommended that the Standing Committee use a staggered membership model to ensure continuity.
- c. Consideration should be given to the participation of entities that are funding tools of the Funding Strategy and other Treaty stakeholders as observers or experts.

ITEM IX. DATE AND PLACE OF THE ELEVENTH MEETING OF THE COMMITTEE

25. The Committee requested the Co-Chairs to work in close coordination with the Secretariat and with the Co-Chairs of the Ad Hoc Opened-ended Working Group to Enhance the Functioning of the Multilateral System of Access and Benefit-sharing, to establish a date for the next meeting given the interlinkages between the Committee and the Working Group and the timeframe of the Eighth Session of the Governing Body.

ITEM X. OTHER BUSINESS

26. The Committee did not consider any other business.

XI. ADOPTION OF THE REPORT

27. The Committee adopted the report of the Tenth Meeting.

*Appendix 1***INTERNATIONAL TREATY ON PLANT GENETIC RESOURCES FOR
FOOD AND AGRICULTURE****TENTH MEETING OF THE *AD HOC* ADVISORY COMMITTEE ON THE
FUNDING STRATEGY AND RESOURCE MOBILIZATION****Rome, Italy, 5 – 7 September 2018****Draft Provisional Agenda**

1. Opening of the meeting
2. Election of Co-Chairs
3. Adoption of the agenda and timetable
4. Updated Funding Strategy and related Annexes
5. Advise on resource mobilization efforts and on leveraging funding and developing synergies between different funding sources and partners during the biennium
6. Communication and visibility of Funding Tools in support of the International Treaty during the biennium
7. Delivery of non-monetary benefit-sharing through the Funding Strategy
8. Draft Terms of Reference for a potential Standing Committee on the Funding Strategy and Resource Mobilization
9. Date and place of the eleventh meeting of the Committee
10. Other business
11. Adoption of the report

Appendix 2

INTERNATIONAL TREATY ON PLANT GENETIC RESOURCES FOR FOOD AND AGRICULTURE
TENTH MEETING OF THE <i>AD HOC</i> ADVISORY COMMITTEE ON THE FUNDING STRATEGY AND RESOURCE MOBILIZATION
Rome, Italy, 5 – 7 September 2018
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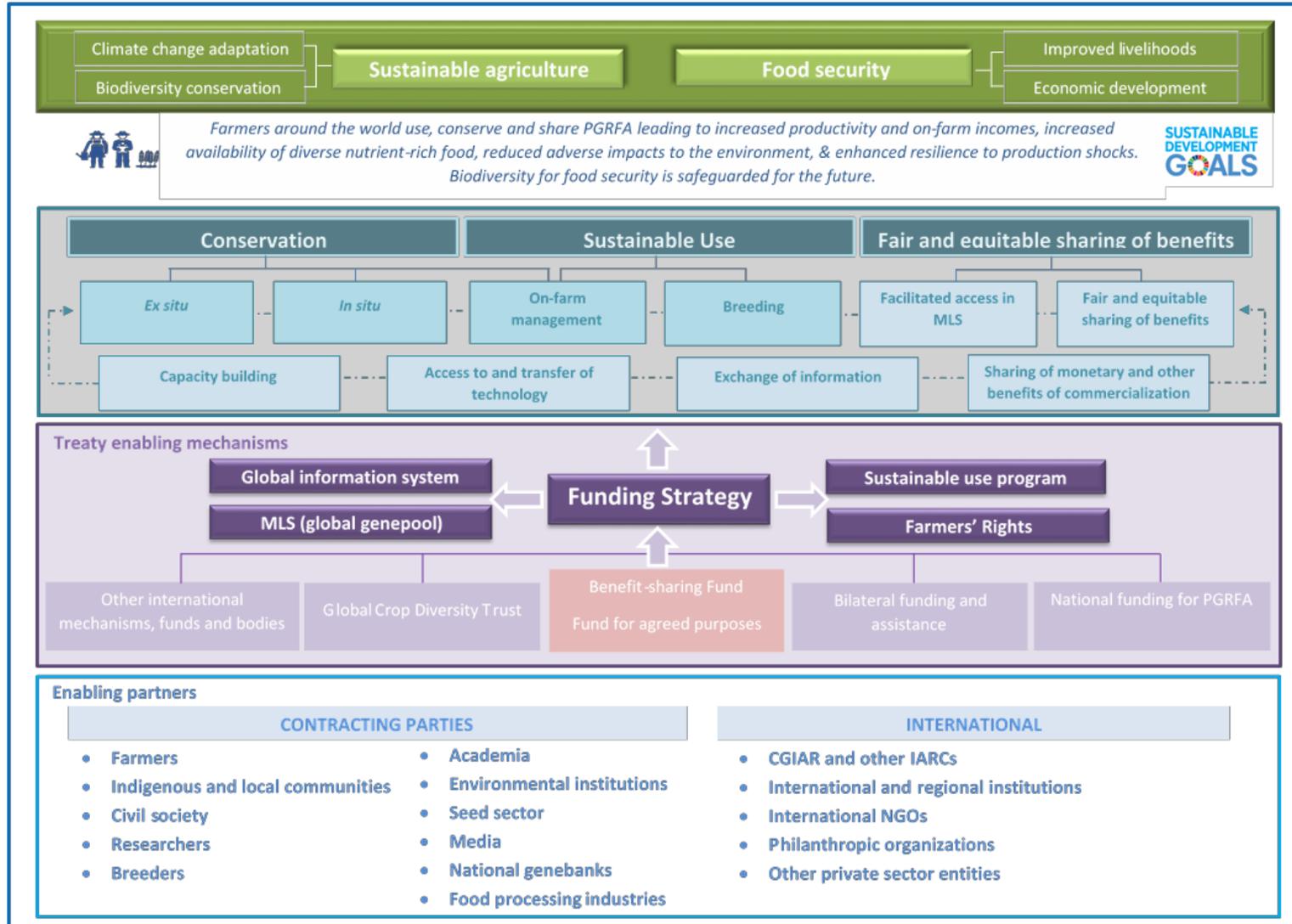
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Reviewed Results Framework of the Funding Strategy





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**The International Treaty
ON PLANT GENETIC RESOURCES
FOR FOOD AND AGRICULTURE**

INTERNATIONAL TREATY ON PLANT GENETIC RESOURCES FOR FOOD AND AGRICULTURE
ELEVENTH MEETING OF THE <i>AD HOC</i> ADVISORY COMMITTEE ON THE FUNDING STRATEGY AND RESOURCE MOBILIZATION
Rome, Italy, 7 – 10 May 2019
REPORT

ITEM I. OPENING OF THE MEETING

1. The Eleventh meeting of the *Ad Hoc* Advisory Committee on the Funding Strategy and Resource Mobilization (the Committee) was opened by the Co-chair, Mr. Alwin Kopse (Switzerland). Mr. Kopse conveyed the apologies of his Co-Chair Yacoob Mungroo (Mauritius), who was unable to attend the meeting.
2. The Co-Chairs welcomed the Members of the Committee and observers and provided an overview of the work undertaken in preparing for this meeting. Mr. Kent Nnadozie, Secretary of the International Treaty, in his welcome statement, recalled the outcomes of the Committee's Tenth meeting and the importance of completing its tasks in preparation for the Eighth Session of the Governing Body.
3. The meeting was preceded by an informal Information Event under the theme, *Partnership to Operationalize the Treaty's Funding Strategy*, where a number of presentations of relevance to the Committee in the development of the updated Funding Strategy were provided. Ms. Marie Haga, the Executive Director of the Global Crop Diversity Trust provided a presentation and participated in a panel discussion on innovative approaches to resource mobilization. Two representatives from FAO's Business Development and Resource Mobilization Division and Partnerships Division, respectively, provided presentations and participated in a panel discussion on FAO's Resource Mobilization Strategy, private sector engagement and opportunities for strengthening collaboration in the future.

ITEM II. ADOPTION OF THE AGENDA

4. The Committee adopted its Agenda, as provided in *Appendix 1*. The list of participants is provided in *Appendix 2*.

ITEM III. ELECTION OF THE INTERIM CO-CHAIR

5. The Committee elected Mr. Pierre du Plessis, nominated by the Africa Region in place of Mr. Mungroo, as interim Co-Chair.

ITEM IV. UPDATED FUNDING STRATEGY AND RELATED ANNEXES

6. The Committee recalled that, at its Tenth meeting, it requested the Secretary to provide a complete draft of the text of the Funding Strategy and its annexes for the consideration of the Committee at its Eleventh meeting, incorporating the recommendations it made.

7. The Secretary provided an overview of the complete draft of the Funding Strategy and its related Annexes. The Committee revised and finalized the draft, including by considering the related working documents prepared for the meeting.

8. The Co-Chairs invited the Co-Chair of the Ad Hoc Opened-ended Working Group to Enhance the Functioning of the Multilateral System of Access and Benefit-sharing (the Working Group), Mr Javad Mozafari. He provided an update on the Working Group, particularly on issues of relevance to the work of the Committee and highlighted the interlinkages between the mandates of the two groups.

9. The Committee prepared a report to the Governing Body on the outcomes of its work during the biennium, as provided for in *Appendix 3*. The report includes a draft Resolution as well as the draft Funding Strategy, for the consideration of the Governing Body at its Eighth Session.

ITEM V. ADVICE ON RESOURCE MOBILIZATION EFFORTS AND ON LEVERAGING FUNDING AND DEVELOPING SYNERGIES BETWEEN DIFFERENT FUNDING SOURCES AND PARTNERS DURING THE BIENNIUM

10. The Secretary gave an update on the areas of guidance provided by the Committee at its last meeting in relation to resource mobilization, leveraging funding and developing synergies between different funding sources and partners. The Committee thanked the Secretary for the efforts made and requested that the Secretary continue to pursue such opportunities in the remainder of the biennium.

ITEM VI. COMMUNICATION AND VISIBILITY OF FUNDING TOOLS IN SUPPORT OF THE INTERNATIONAL TREATY DURING THE BIENNIUM

11. The Secretary provided an update on the activities undertaken to continue the work on communication and visibility since the Seventh Session of the Governing Body.

12. The Committee expressed its appreciation for the efforts made by the Secretary and emphasized the importance of continuing the work on communication, recognizing its crucial role in enhancing funding for and giving visibility to the Funding Tools of the Funding Strategy.

ITEM VII. DELIVERY OF NON-MONETARY BENEFIT-SHARING THROUGH THE FUNDING STRATEGY

13. Recalling the request made by the Governing Body at its Seventh Session for the Committee to recommend measures to promote the delivery of non-monetary benefit-sharing through the Funding Strategy, the Committee considered the document, IT/GB-8/ACFSRM-11/19/4, *Measures to Promote the Delivery of Non-monetary Benefit-sharing through the Funding Strategy*. The document set out a number of possible measures to promote the delivery of non-monetary benefit-sharing in the context of the updating Funding Strategy, and contained a list of possible non-monetary benefit-sharing areas referred in relevant provisions of the Treaty.

14. The Committee noted that there is no agreed definition of non-monetary benefit-sharing and decided to include an element in the draft Terms of Reference of the Standing Committee for the Committee to further consider the potential of synergies between the programmatic approach of the Funding Strategy and non-monetary benefit-sharing with a view to recommending specific measures for the promotion of non-monetary benefit-sharing through the Funding Strategy in its implementation.

ITEM VIII. DRAFT TERMS OF REFERENCE FOR A POTENTIAL STANDING COMMITTEE ON THE FUNDING STRATEGY AND RESOURCE MOBILIZATION

15. The Committee reviewed the draft Terms of Reference for a Potential Standing Committee on the Funding Strategy. The draft Terms of Reference prepared by the Committee for the consideration of the Governing Body are contained in Annex ii to the Draft Resolution.

ITEM IX. OTHER BUSINESS

16. The Committee discussed no other business.

ITEM X. ADOPTION OF THE REPORT

17. The Committee adopted the Report of its Eleventh meeting, containing the proceedings of the meeting and its report to the Eighth Session of the Governing Body.

INTERNATIONAL TREATY ON PLANT GENETIC RESOURCES FOR FOOD AND AGRICULTURE
ELEVENTH MEETING OF THE <i>AD HOC</i> ADVISORY COMMITTEE ON THE FUNDING STRATEGY AND RESOURCE MOBILIZATION
Rome, Italy, 7 –10 May 2019
AGENDA

1. Opening of the meeting
2. Election of the interim Co-Chair
3. Adoption of the agenda and timetable
4. Updated Funding Strategy and related Annexes
5. Advise on resource mobilization efforts and on leveraging funding and developing synergies between different funding sources and partners during the biennium
6. Communication and visibility of Funding Tools in support of the International Treaty during the biennium
7. Delivery of non-monetary benefit-sharing through the Funding Strategy
8. Draft Terms of Reference for a potential Standing Committee on the Funding Strategy and Resource Mobilization
9. Other business
10. Adoption of the Report including the Report of the Committee to the Eighth Session of the Governing Body, and draft resolution.

Appendix 2

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Rome, Italy, 8-10 May 2019

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REPORT OF THE *AD HOC* ADVISORY COMMITTEE ON THE FUNDING STRATEGY AND RESOURCE MOBILIZATION TO THE EIGHTH SESSION OF THE GOVERNING BODY OF THE INTERNATIONAL TREATY

I. INTRODUCTION

1. At its Seventh Session, the Governing Body decided to reconvene the *Ad Hoc* Advisory Committee on the Funding Strategy and Resource Mobilization (the Committee), with a revised mandate, in order to, *inter alia*, develop the updated Funding Strategy and related Annexes, including the Results Framework, for consideration and approval by the Eighth Session of the Governing Body.
2. The Committee held two meetings during this biennium, being its tenth and eleventh meetings, in September 2018 and in May 2019, both in Rome, Italy. The full Report of the Tenth meeting is contained in the document, IT/GB-8/ACFSRM-11/18/Report.¹
3. The Committee elected Mr. Yacoob Mungroo (Mauritius) and Mr. Alwin Kopse (Switzerland) as its Co-Chairs. At its eleventh meeting, the Committee elected Pierre du Plessis, nominated by the Africa Region in the absence of Mr Mungroo, as interim Co-Chair.
4. This report describes the work undertaken by the Committee during the biennium in updating the Funding Strategy and its Annexes, as requested by the Governing Body.

II. DEVELOPMENT OF THE UPDATED FUNDING STRATEGY AND RELATED ANNEXES, INCLUDING THE RESULTS FRAMEWORK

5. Based on its work, the Committee has prepared, for the consideration of the Governing Body, a draft Resolution on the Funding Strategy of the International Treaty, as contained in *Annex 1* of this report, which provides the draft *Updated Funding Strategy* and its Annexes.
6. As requested by the Governing Body at its Seventh Session, draft Terms of Reference for a possible Standing Committee on the Funding Strategy and Resource Mobilization are also provided in *Annex ii* to the draft Resolution.
7. The Committee used the methodology contained in the document, IT/ACFSRM-11/19/5, *Funding Strategy Target Setting: Cost-based Methodology*, to propose the overall target for the Funding Strategy included in paragraph 25 of the Funding Strategy.
8. The Committee discussed the target for the Benefit-sharing Fund and agreed on the methodology used to calculate the target as described in paragraphs 34-36 of the Funding Strategy. Some Members considered the need for a realistic target, while others considered the need for a realistic but also ambitious target. The Committee at its eleventh meeting was not able to reach consensus on a concrete target for the Benefit-sharing Fund to propose to the Governing Body.
9. As described in Section II of the Operations Manual for the Benefit-sharing Fund, achieving the target will require resources from two main sources: user-based income from the Multilateral System for Access and Benefit-sharing and voluntary contributions from Contracting Parties and others. The methodology should enable the establishment of a target that takes into account the financial environment, the average rate of voluntary contributions over the past five years, and the potential of the Multilateral System to realize user-based income during the period of 2020-2025.

¹ Available at: <http://www.fao.org/3/CA1485EN/ca1485en.pdf>

10. The following target ranges for the Benefit-sharing Fund were discussed following the methodology referred to above:

- By 2025, the annual income of the Benefit-sharing Fund would have to reach the range of 1 – 3 USD million in order for the Benefit-sharing Fund to contribute 4 – 12 % of the multilateral-bilateral effort to achieve a high-level of implementation of priorities PA2 and PA11 by 2030;
- By 2025, the annual income of the Benefit-sharing Fund would have to reach the range of 8 – 10 USD million in order for the Benefit-sharing Fund to contribute 30 – 40 % of the multilateral-bilateral effort to achieve a high-level of implementation of priorities PA2 and PA11 by 2030;
- By 2025, the annual income of the Benefit-sharing Fund would have to reach the range of 20 – 25 USD million in order for the Benefit-sharing Fund to contribute 80 – 100 % of the multilateral-bilateral effort to achieve a high-level of implementation of priorities PA2 and PA11 by 2030;

III. ADVICE ON RESOURCE MOBILIZATION EFFORTS AND ON LEVERAGING FUNDING AND DEVELOPING SYNERGIES BETWEEN DIFFERENT FUNDING SOURCES AND PARTNERS

11. The Committee made the following recommendations:

- a. Invites the Secretariat to provide information to the Treaty National Focal Points (NFPs) about the relevant focal points of the GCF, the Adaptation Fund and the GEF, on the opportunities for engaging in the Readiness and Preparatory Support Programme of the GCF, the Readiness Programme for Climate Finance of the Adaptation Fund and the usefulness of the World Bank Group Climate Smart Agricultural donor tool.
- b. Supports the suggestion of the Panel of Experts to consider providing a certificate of excellence for the best proposals to the Benefit-sharing Fund that were not able to be funded.
- c. Recommends that the Secretary liaise with relevant partners and initiatives, including FAO, UNEP, UNDP, IFAD, GCDT, the World Bank Group, the private sector and philanthropic organisations, and engages with ongoing processes such as Commitment 2 “Protecting Land and Water Against Climate Change” of the One Planet Summit, to explore how they might be able to support the Fourth Call for Proposals accessing climate finance programmes and funds and to present to the Eighth Session of the Governing Body pilot models, funding partnerships and ways of mobilising support from climate finance mechanisms.
- d. Advises the Secretariat to continue to seek means of collaboration within FAO, and recommends to the Governing Body that FAO is invited to consider including the Treaty, in its climate finance activities, such as the development and implementation of its climate finance projects, and its activities within GCF, the GEF and any other relevant activities, and to further consider how the Treaty’s contribution to the aims of the GCF might be promoted more widely in the GCF family.
- e. Recommends that the Governing Body consider supporting the establishment of the focal point/helpdesk to, *inter alia*, notify Treaty NFPs of upcoming opportunities, develop a network of climate finance partners and expertise for NFPs, liaise with the key partners in climate finance and provide links to expertise to develop proposals.
- f. Recommends that the Secretariat prioritize relationship building with philanthropic organizations and networks.

- g. Recommends that the Secretariat explore the notion of the “cost of inaction” as a possible tool for communication for policy-makers and donors.
- h. Recommends that the Secretariat consider approaching the Food Processing industries in collaboration with the Crop Trust and in line with Article 13.6 of the International Treaty, which states that Contracting Parties shall consider modalities of a strategy of voluntary benefit-sharing contributions whereby Food Processing Industries that benefit from plant genetic resources for food and agriculture shall contribute to the Multilateral System.

IV. COMMUNICATION AND VISIBILITY OF FUNDING TOOLS IN SUPPORT OF THE IMPLEMENTATION OF THE INTERNATIONAL TREATY

12. The Committee expressed its appreciation for the efforts made by Secretary and emphasized the importance of continuing the work on communication, recognizing its crucial role in enhancing funding for and giving visibility to the Funding Tools of the Funding Strategy.

DRAFT RESOLUTION **/2019 – IMPLEMENTATION OF THE UPDATED FUNDING STRATEGY OF THE INTERNATIONAL TREATY 2020 – 2025

THE GOVERNING BODY,

Recalling Articles 13.2, 13.3, 18 (in particular 18.4) and 19.3f of the International Treaty;

Recalling Resolutions 3/2017 and 2/2015 which set the basis for the review of the Funding Strategy and other previous Resolutions on the implementation of the Funding Strategy;

1. *Welcomes* the report of the *Ad Hoc* Committee on the Funding Strategy and Resource Mobilization and the progress made in updating the Funding Strategy;

PART I: FUNDING STRATEGY OF THE INTERNATIONAL TREATY ON PLANT GENETIC RESOURCES FOR FOOD AND AGRICULTURE

2. *Decides* to adopt the Funding Strategy of the International Treaty for the period 2020 to 2025, as contained in Annex 1 of this Resolution, in order to enhance the availability, transparency, efficiency and effectiveness of the provision of financial resources to implement activities under this Treaty;
3. *Decides* to establish, within the Funding Strategy, a target of USD. \$0.9-1.1 billion per year over a period of 10 years with a milestone of 40% to be achieved by 2026 to support the implementation of the International Treaty through a wide range of sources and channels;
4. *Urgently calls upon* Contracting Parties to undertake efforts to mobilize resources to meet the targets of the Funding Strategy;
5. *Invites* the private sector and others to continue making and increasing financial contributions in order to meet the targets of the Funding Strategy;
6. *Calls upon* FAO to prioritize the delivery of programmes and projects supportive of implementation of the Treaty, and to support the nexus between biodiversity and climate change, in particular, through its involvement in the Global Environment Facility and Global Climate Fund, as appropriate, and to actively contribute to the work of the Committee;
7. *Invites* relevant international mechanisms, funds and bodies, stakeholder groups and other international organizations to provide information to the Secretariat that will enable the Committee to better leverage funding for Treaty implementation and the delivery of non-monetary benefit-sharing;
8. *Welcomes* the dynamic and synergistic programmatic approach developed for the Funding Strategy that is expected to:
 - i. Improve funding opportunities for the implementation of the International Treaty by making the case to national decision-makers and development agencies of the importance of PGRFA as well as the interlinkages with other development issues;
 - ii. Strengthen linkages between different funding sources and partners relevant to the International Treaty, by pursuing collaborative planning and co-spending opportunities and identifying appropriate channels to make such linkages; and,
 - iii. Provide for a process for monitoring, evaluating and learning from lessons, experiences and information gained in previous implementation phases, and to structure new funding opportunities and identify and fill in gaps, including through the engagement of Treaty stakeholders.

9. **Requests** the Committee on the Funding Strategy and Resource Mobilization to play a leading role in advancing the realization and monitoring of the Funding Strategy in order to provide the necessary strategic guidance as well as operational oversight of relevant processes and activities relating to the Funding Strategy;
10. **Decides** to make the Committee a standing Committee;
11. **Establishes** a basis for the work of the Committee through the Terms of Reference contained in *Annex (xx)*;
12. **Decides** that the Committee shall be composed of two representatives from each region and that the Co-Chairs will have the capacity to extend the invitation to Observers on the basis of expertise and relevance;
13. **Decides** that the meetings of the Funding Committee will be open to silent observers unless the Committee decides otherwise and **requests** the Co-Chairs to continue to invite active Observers on the basis of expertise and relevance and to encourage participation from a wide range of experts and stakeholders involved in the implementation of the Funding Strategy, as appropriate;
14. **Invites** the Global Crop Diversity Trust as an active observer to provide advice to the work of the Committee;
15. **Decides** that the costs of the meetings of and the preparatory work for the Committee, including those to facilitate the participation of members of the Committee, shall be included in the Core Administrative Budget as may be adopted by the Governing Body, supplemented by any voluntary contributions made available for that purpose, and **requests** the Secretary to include such costs into the Core Administrative Budget that is presented to the Governing Body for approval at its Regular Sessions;
16. **Calls on** donors to support developing countries and the Secretary with the costs of the work of the Committee.

PART II: THE FUNDING STRATEGY AND THE FINANCIAL INSTRUMENTS UNDER THE GUIDANCE AND DIRECT CONTROL OF THE GOVERNING BODY

17. **Emphasizes** that the Benefit-sharing Fund and the Fund for Agreed Purposes are essential to the realization of the programmatic approach of the updated Funding Strategy and will play a critical role in its implementation.
18. **Welcomes** the finalization of the Operations Manual for the Funds for Agreed Purposes as contained in *Annex 1* of the Funding Strategy and **requests** the Secretary to provide information and reports on the Fund for Agreed Purposes to the Governing Body regularly;
19. **Decides** to establish a target for the Benefit-sharing Fund for the period from 2020 to 2025 of [xx million] USD;
20. **Welcomes** the finalization of the Operations Manual for the Benefit-sharing Fund as contained in *Annex 2* of the Funding Strategy, which brings together, for the first time, the resource mobilization, allocation and disbursement for the Fund in an integrated manner;

PART III: IMPLEMENTATION OF THE FUNDING STRATEGY DURING THE BIENNIUM 2018-2019

21. [...]

THE FUNDING STRATEGY OF THE INTERNATIONAL TREATY ON PLANT GENETIC RESOURCES FOR FOOD AND AGRICULTURE:

2020-2025

I. INTRODUCTION

1. This document sets out the Funding Strategy of the International Treaty on Plant Genetic Resources for Food and Agriculture (the International Treaty) for the period 2020 to 2025. [This Strategy was adopted by the Governing Body of the International Treaty, at its Eighth Session, in November 2019].
2. Plant genetic resources for food and agriculture make an essential contribution to increasing and safeguarding food security and nutrition, improving rural livelihoods and economies, supporting the maintenance of biodiversity and to meeting the challenges of adapting to climate change.
3. The objectives of the International Treaty are the conservation and sustainable use of plant genetic resources for food and agriculture (PGRFA) and the fair and equitable sharing of the benefits arising out of their use, in harmony with the Convention on Biological Diversity, for sustainable agriculture and food security.
4. The implementation of the International Treaty contributes to the achievement of the Sustainable Development Goals (SDGs) of the United Nation's 2030 Agenda for Sustainable Development.
5. An effective Funding Strategy is critical to the implementation of the International Treaty and its regular review and improvement supports the enhancement of other Treaty mechanisms, such as the Multilateral System of Access and Benefit-sharing.

II. VISION, RATIONALE & STRATEGIC OBJECTIVES

Vision

6. A new Vision for the Funding Strategy:

The Funding Strategy enables the Governing Body, Contracting Parties, funding agencies, farmers and other relevant actors to secure funding and other resources for the programmatic implementation of the International Treaty in a long-term, coordinated, synergistic and effective manner.

Rationale

7. The implementation of the International Treaty is achieved through a wide range of financial resources provided via a range of channels that connect enabling partners of the Treaty. The Results Framework of the Funding Strategy set out in Section III further details this operating framework. Whilst the Governing Body has established key instruments that hold financial resources under its guidance and control (e.g. the Benefit-sharing Fund and the Fund for Agreed Purposes) that it uses to play a catalytic role to fill gaps and enhance synergies, the majority of the financial resources contributing to the implementation of the Treaty are not under its direct control. For this reason, the Funding Strategy strives to ensure that sufficient resources are mobilized through all channels mentioned in Section III for the implementation of the Treaty.

8. The first Funding Strategy was adopted in 2006 which the Governing Body decided to review in 2017 with a view to enhancing its functioning. The Funding Strategy has been enhanced to be more responsive to emerging funding trends, more flexible to adapt to a changing environment, and to ensure an efficient and coherent funding approach across Treaty mechanisms. The Funding Strategy takes into account global trends and realities of the financial environment and the need for the conservation and sustainable use of PGRFA.

9. Contracting Parties recognize that funding opportunities for Treaty implementation can be improved by making the case to national decision-makers and development agencies of the importance of PGRFA as well as the interlinkages with other development issues. This Funding Strategy utilizes a programmatic approach to strengthen linkages between different funding sources and partners, as set out in Section III.

10. The updated Funding Strategy has an increased focus on resources other than those provided by the Benefit-sharing Fund, including by addressing cooperation with other international mechanisms and improving reporting on national, bilateral and multilateral funding for the activities relevant to Treaty implementation.

11. It builds on the experience gained and lessons learned in the management of resources under the direct control of the Governing Body, in particular those of the Benefit-sharing Fund. Such resources should be used strategically to leverage additional resources and cover critical gaps in programmatic implementation for the ultimate benefit of farmers, which are the target beneficiaries identified in Article 18.5 of the Treaty. The Operational Manuals of the Fund for Agreed Purposes and the Benefit-sharing Fund have been developed to adapt and evolve to donor and recipient needs, thus increasing its potential to attract adequate, and diverse funding that ensures a long-term perspective.

12. This Funding Strategy has been designed to improve linkages with the implementation of other programmes of work of the International Treaty, such as the Multilateral System of Access and Benefit-sharing, and national reporting on Treaty implementation in accordance with the Compliance Procedures. It also improves links with other areas of work including FAO's Second Global Plan of Action (GPA) for Plant Genetic Resources for Food and Agriculture and its monitoring through the World Information and Early Warning System (WIEWS) on PGRFA. The GPA states that through the monitoring of the Funding Strategy, the Governing Body of the Treaty will be able to monitor resources available for the implementation of the Second Global Plan of Action.

13. Recognizing its critical role to the Treaty, the Funding Strategy has been designed to be regularly reviewed. It now integrates a process for monitoring, evaluating and learning and for structuring new funding opportunities and identifying and filling in gaps. The [Standing] Committee on the Funding Strategy and Resource Mobilization (the Funding Committee) established by the Governing Body will facilitate such processes.

Strategic Objectives

14. The objective of the Funding Strategy is to enhance the availability, predictability, transparency, efficiency and effectiveness of the provision of financial resources to implement activities under the Treaty, in accordance with Article 18 of the Treaty.

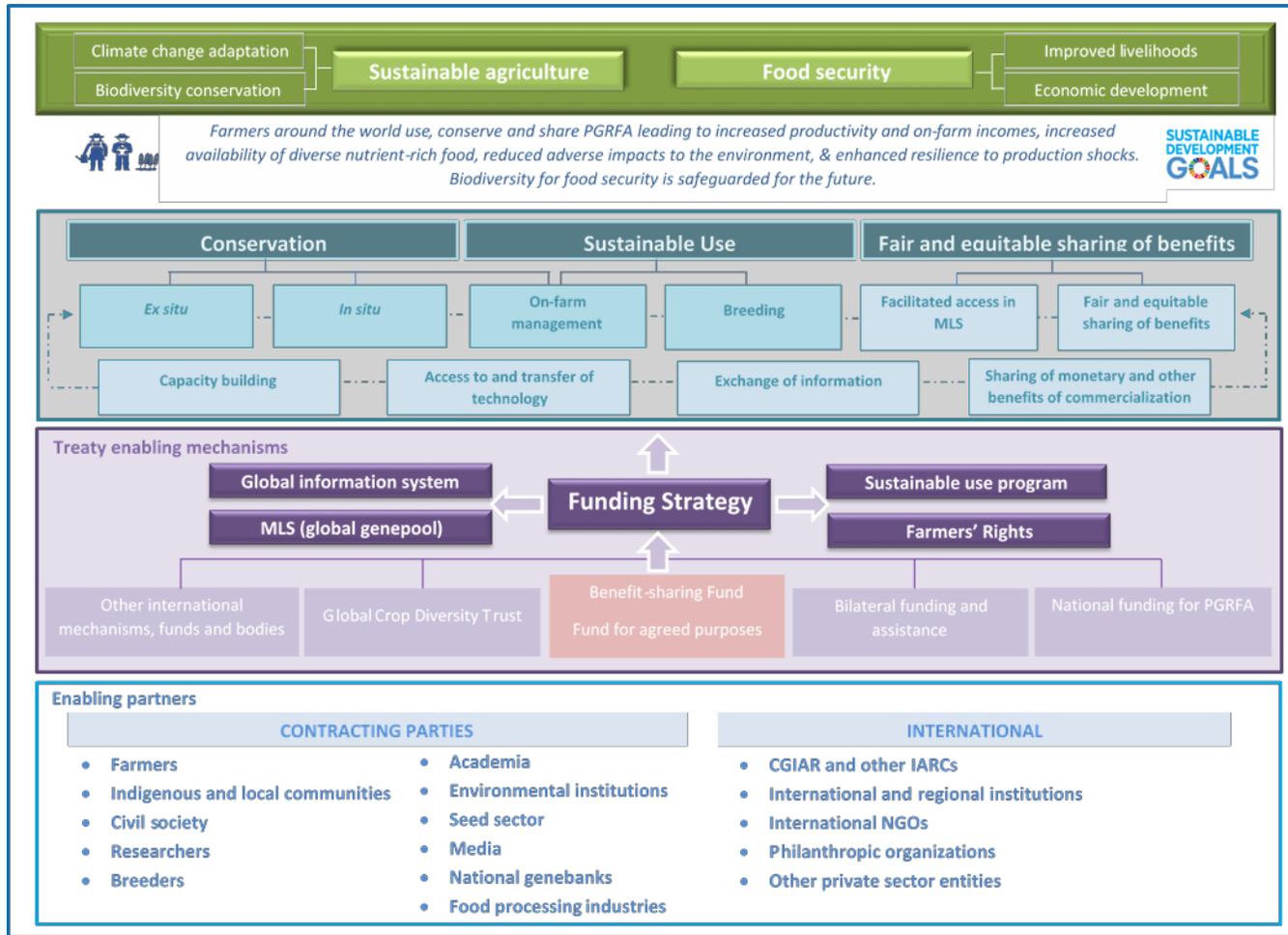
15. The Funding Strategy gives priority to implementation of agreed plans and programmes for farmers in developing countries who conserve and sustainably utilize PGRFA.

III. ENABLING TREATY IMPLEMENTATION THROUGH THE FUNDING STRATEGY: PROGRAMMATIC APPROACH

16. The programmatic approach of the Funding Strategy aims to identify and recognize the many contributions made by partners enabling the implementation of the Treaty. It also identifies and addresses the gaps in its implementation and resourcing. It aims at leveraging further support of current and new partners including by pursuing collaborative planning and co-spending opportunities, and identifying appropriate channels to make such linkages.

17. A Results Framework for the Funding Strategy has been developed to underpin the programmatic approach. The Results Framework is provided in *Figure 1* and further described in the paragraphs below.

Figure 1 Results Framework of the Funding Strategy



18. Food security and sustainable agriculture are the purpose of the International Treaty objectives, and PGRFA conservation and use contribute directly and indirectly to the implementation of the United Nation's Agenda 2030, including SDGs 1 (No Poverty), 2 (Zero Hunger), 12 (Responsible Production and Consumption), 13 (Climate Action), 15 (Life on Land) and 17 (Partnerships for the Goals). This is represented in the top level of the Results Framework.

19. The three objectives of the International Treaty are the conservation and sustainable use of PGRFA and the fair and equitable sharing of benefits arising from their use. Benefit-sharing through the Treaty is realized through multiple types of multilateral benefit-sharing. This is reflected in the second tier of the Results Framework.

20. The third tier of the Results Framework sets out the Treaty enabling mechanisms and the main type of funding mechanisms and channels within the Funding Strategy. The International Treaty has established a number of unique mechanisms that enable the implementation of the Treaty, including in particular: the Funding Strategy itself; the Multilateral System of Access and Benefit-sharing which provides for a global genepool to enable PGRFA research, training and breeding; the Global Information System; and the programme on Sustainable Use and Farmers' Rights.

21. The Funding Strategy encompasses a range of funding mechanisms and channels which include:

- a. Funding channels not under direct control of the Governing Body:
 - i. National Funding for PGRFA;
 - ii. Bilateral funding and assistance;
 - iii. Other relevant international mechanisms, funds and bodies such as FAO, CGIAR, World Bank, GEF, GCF and IFAD.
- b. Funding mechanisms for which the Governing Body provides policy guidance:
 - i. The Global Crop Diversity Trust, with which the Governing Body has entered into an agreement in relation to the Funding Strategy.
- c. Tools under direct control or guidance of the Governing Body:
 - i. Fund for agreed Purposes;
 - ii. Benefit-sharing Fund.

22. The success of the Funding Strategy will require the participation and contributions of all partners enabling the implementation of the International Treaty, at national and international levels. The most relevant Treaty actors are listed in the final level of the Results Framework.

23. Important contributions are made to the effective implementation of the International Treaty that are not funding contributions as such, including the in-kind contributions of farmers to agro-biodiversity conservation. Enabling partners of the Treaty provide non-monetary benefit-sharing through a wide range of mechanisms. The implementation of the Funding Strategy provides an avenue to identify synergies between the provision of financial resources and the delivery of non-monetary benefit-sharing, and to develop specific measures as needed for promoting non-monetary benefit-sharing within the Funding Strategy.

24. In order to mobilize funding for priority activities, plans and programmes, in particular in developing countries and countries with economies in transition, and taking the Global Plan of Action into account, the Governing Body has established a target range for the Funding Strategy of an additional USD. \$0.9 – 1.1 billion per year over a period of 10 years with a milestone of 40% to be achieved by 2026.

25. Given the critical role that PGRFA play in food security and sustainable agriculture, the target for the Funding Strategy is necessarily ambitious. The methodology to establish the Funding Strategy target aims for a high level of implementation for all GPA priority actions to be achieved by 2030.² However, there are various caveats that need to be understood by Contracting Parties and Treaty enabling partners.

- a. While a comprehensive methodology has been used for the first time to calculate the target, there remain several areas of uncertainty that need to be highlighted. The process of establishment of the Funding Strategy target needs to be viewed as iterative, and one which would be improved over time as more information becomes available on funding flows from all Treaty enabling partners. The limitations of the current methodology include the possibility of double-counting, under-reporting and the need to estimate the current flow of resources. While in reality the priorities of the GPA are realized in a synergistic and integrated manner, the methodology makes no assumption that there is any interdependence between them.
- b. The overall Funding Target is to be met through multiple channels and by multiple Treaty enabling partners. Contracting Parties provide financial resources to support national activities for PGRFA conservation and use. The private sector invests in breeding and wider PGRFA research and development. Donors support the Treaty through bilateral, regional and multilateral channels. The Global Crop Diversity Trust supports ex situ conservation. Philanthropic organizations and new and innovative funding sources and mechanisms will also contribute to the realization of the target.
- c. The methodology for target setting builds upon the information available on the status of implementation of second Global Plan of Action on PGRFA, which relies on national assessments made by National Focal Points.

26. In calling for an increase of resources for the implementation of the Treaty, it is recognised that there is also a need to use existing resources more efficiently and effectively and this can be supported, *inter alia*, by using the synergies enabled by the programmatic approach.

27. This target will be periodically reviewed through the regular reviews of the overall Funding Strategy, as guided by the monitoring framework contained in Section V.

28. The Governing Body calls upon all Contracting Parties, other Members of the FAO and all enabling partners of the Treaty to take an active role in mobilizing the funding needed to reach the target established by the Funding Strategy. Resource Mobilization efforts and allocation should be undertaken in accordance with Art.18.4 and 18.5 of the International Treaty.

29. In order to achieve the Funding Strategy target by 2025, the Governing Body:

- a. Calls on Contracting Parties to enhance integration of PGRFA in national development plans, national budgets and priorities for donor support and external funding, including the national prioritization of GEF System for Transfer of Allocated Resources (STAR);
- b. Calls upon Contracting Parties to share information about the results of the further integration of PGRFA in national budgets and priorities with the Secretariat, and requests the Secretariat to use such information to develop strategic tools that National Focal Points and others can use to leverage new resources;
- c. Encourages bilateral and multilateral donors to promote the implementation of the Strategy and further integrate the Treaty implementation in their programmes, and increase the visibility and recognition of their efforts;

² Funding Strategy Target Setting: Cost-based Methodology <http://www.fao.org/3/ca4319en/ca4319en.pdf>

- d. Encourages Contracting Parties to share information about the results and impact of donor initiatives related to the implementation of the Treaty with the Secretariat and requests the Secretariat to use such information in the development of communication tools and products to help resource mobilization efforts and increase visibility and recognition of donors.
- e. Requests the Secretariat to increase the visibility and recognition of donors making voluntary contributions to mechanisms under its control or guidance, such as the Benefit-sharing Fund and the Fund for Agreed Purposes, including through donor relations initiatives and donor reporting.
- f. Calls on relevant international mechanisms, funds and bodies, including within FAO's programmes, partnerships with the Global Environment Facility (GEF) and other multilateral mechanisms, to increase the priority and attention given to the Treaty by;
- g. Calls on the Secretariat to establish a network of Treaty enabling partners which have successfully integrated PGRFA in larger sustainable development and climate change programmes, and share the lessons learned to build the capacity of others to participate in such programmes;
- h. Calls on the Funding Committee to develop a strategy to mobilize funds from food processing industries, as called for in Article 13.6 of the Treaty;
- i. Calls on the Funding Committee to develop a range of initiatives to mobilize funds from innovative sources and mechanisms;
- j. Calls on the Funding Committee to strengthen the monitoring and reporting of the Funding Strategy, including by undertaking periodic overviews of finance flows to areas of Treaty implementation by combining existing tools, as well as those of Governing Body and other institutions such as the OECD and FAO, as well as expert input;
- k. Calls on the Funding Committee to develop relevant policy criteria for specific assistance under the Funding Strategy for the conservation of PGRFA in developing countries, and countries with economies in transition whose contributions to the diversity of PGRFA in the Multilateral System is significant and / or has special needs, as is called for in Article 13.4 of the Treaty.

30. The Funding Committee of the Governing Body will play a leading role in advancing the realization and monitoring of this programmatic approach, including through the measures outlined above and in its Terms of Reference.

IV. PROGRAMMATIC APPROACH AND THE INSTRUMENTS UNDER THE GUIDANCE AND DIRECT CONTROL OF THE GOVERNING BODY

31. As described in the Results Framework, the Benefit-sharing Fund and the Fund for Agreed Purposes are essential to the realization of the programmatic approach of the Funding Strategy and will play a catalytic role in its implementation.

32. The Fund for Agreed Purposes was established in 2006 by the Governing Body. It is an FAO Trust Fund for purposes agreed between a donor and the Secretary of the Treaty. It plays a critical role in the implementation of decisions of the Governing Body, in particular to strengthen the global Treaty-enabling mechanisms, implement agreed priorities, build capacity at international and regional levels, and facilitate decision-making of the Governing Body to enhance Treaty implementation. It offers a flexible and responsive mechanism for the Treaty Secretary to secure and manage funds from a range of donors to take forward the programmatic implementation of the Treaty. Annex 1 contains

the Operations Manual for the Fund, which details scope, resource mobilization and information and reporting.

33. The Benefit-sharing Fund is an essential element of the Funding Strategy and of the Multilateral System of Access and Benefit-sharing. The Fund is the operational mechanism for receiving, utilizing and sharing the monetary benefits arising from Multilateral System, as specified in Article 19.3.f of the Treaty. The Benefit-sharing Fund was established by the Governing Body and has been evolving since it first became operational in 2009; its integration into the programmatic approach of the Funding Strategy is another step in its development.

34. The methodology used to calculate the target for the Benefit-sharing Fund³ derives from that used to calculate the overall target of the Funding Strategy, which aims for a high level of implementation of all priority areas within the Global Plan of Action by 2030. Consequently, similar limitations apply, as noted in paragraph 25.

35. As specified in the Operational Manual of the Benefit-sharing Fund, the programmatic approach of the Benefit-sharing Fund focuses on:

- Priority area 2 (PA2): Supporting on-farm management and improvement of plant genetic resources for food and agriculture, and
- Priority area 11 (PA11): promoting the development and commercialization of all varieties, primarily farmers' varieties/landraces and underutilized crops.

Nevertheless, the programmatic approach puts in place supportive practices and enabling initiatives for the implementation of other priorities of the Second Global Plan of Action.

36. The Governing Body establishes a target range for the Benefit-sharing Fund:

By 2025, the annual income of the Benefit-sharing Fund would have to reach the range of [A – B] USD million in order for the Benefit-sharing Fund to contribute [C – D] % of the multilateral-bilateral effort to achieve a high-level of implementation of priorities PA2 and PA11 by 2030.

37. Consistent with the overall target for the Funding Strategy, the target for the Benefit-sharing Fund will be periodically reviewed through the regular reviews of the Funding Strategy.

38. The primary beneficiaries of the Benefit-sharing Fund, in accordance with Article 13.3 of the International Treaty, are farmers around the world, especially in developing countries, and countries with economies in transition, who conserve and sustainably utilize plant genetic resources.

39. The Benefit-sharing Fund supports *in-situ* and on-farm management and improvement and creates linkages with broader *ex-situ* conservation efforts. It enhances and facilitates both, farmer-to-farmer exchanges of seed and enables the flow of PGRFA material from farmers to *ex-situ* collections and back. Funded projects put in place efforts to improve local seed value chains and make a wide range of adapted and improved varieties available to small scale farmers. Plant breeding efforts with the participation of farmers are supported and the capacity to develop varieties particularly adapted to socio-environmental conditions and of high quality are being strengthened.

40. The Operations Manual for the Benefit-sharing Fund in Annex 2 brings together resource mobilization, allocation and disbursement in an integrated manner. Lessons learnt from previous project cycles have been integrated into the development of the Manual, which now contains a storyline and theory of change for the Benefit-sharing Fund for the period 2020-2025.

³ Funding Strategy Target Setting: Cost-based Methodology <http://www.fao.org/3/ca4319en/ca4319en.pdf>

V. IMPLEMENTATION, MONITORING, REVIEW AND RE-PLANNING

41. In recognition of its critical role to the Treaty, the Funding Strategy has been designed to be regularly reviewed so that it can be continuously improved, and remain dynamic, responsive and relevant. It integrates processes for implementing, monitoring, evaluating and learning, and for identifying and filling in gaps.
42. The Funding Committee established by the Governing Body will regularly monitor and review progress of the Funding Strategy's implementation and make recommendations for adjustments, as reflected in its Terms of Reference. The Terms of Reference may be revised according the cycles of Funding Strategy. The Committee will keep the Governing Body updated on a regular basis on the progress in the implementation of the Funding Strategy. It will provide a comprehensive review of the Funding Strategy after a 5-years for the consideration of the Governing Body at its subsequent session.
43. Information related to the implementation, monitoring and review of the overall Funding Strategy will be provided by Contracting Parties and other relevant organizations at reporting intervals agreed to by the Committee.
44. The Committee will develop an Operational Plan for the implementation of the Funding Strategy that will be reviewed and updated on a biennial basis and will include the following considerations related to its implementation, monitoring, review and re-planning:
- a. The implementation, monitoring and review of the Funding Strategy should be dynamic and support the programmatic approach outlined in this Funding Strategy.
 - b. The targets of the Funding Strategy and Benefit-sharing Fund will be reviewed periodically. This will include monitoring progress towards targets, reviewing the targets themselves and identifying gaps, including by undertaking overviews of finance flows to areas of Treaty implementation by combining existing tools of the Governing Body and other institutions such as the OECD and FAO, as well as expert input.
 - c. Periodic monitoring and reporting on the use of the different funding channels and the current donor environment so to make necessary adjustments, identify and structure new funding opportunities.
 - d. Biennial reviews of the implementation of the Funding Strategy and a five-year strategic period review.
 - e. The monitoring and evaluation frameworks for the Benefit-sharing Fund and the Fund for Agreed Purposes are established in the Operations Manuals and include regular reporting to the Governing Body. These frameworks are an integral part of the monitoring of the Funding Strategy. The monitoring and review of the overall Funding Strategy should be coherent with these processes, and also with those of the International Treaty's Multi-year Program of Work (MYPOW). As funds under the control of the Governing Body, the Benefit-sharing Fund and the Fund for Agreed Purposes are also subject to FAO's existing standard procedures, including financial audits and reports.
 - f. The monitoring and review of the Funding Strategy should take into account monitoring, evaluating and learning from lessons, experiences and information gained in previous reviews of the Funding Strategy, as decided by the Governing Body through Paragraph 2, iii) of Resolution 3/2017.
 - g. The implementation, regular review and improvement of the Funding Strategy should support the enhancement of other Treaty mechanisms, such as the Multilateral System (Resolution 2/2015, paras. 1 and 2).

ANNEX 1: OPERATIONS MANUAL: FUND FOR AGREED PURPOSES

I. SCOPE

1. The Fund for Agreed Purposes (FAP) is a Trust Fund for purposes agreed between a donor and the Secretary of the Treaty.
2. As a fund that is under the guidance of the Governing Body, this manual serves as a general guide for the Secretary regarding the FAP in the context of the Updated Funding Strategy, of which it is a part.
3. Advice provided pertains specifically to the FAP but with a view to how it may link and contribute to achieving the overarching vision and aims of the Updated Funding Strategy.
4. As illustrated in the Results Framework of the Funding Strategy, the FAP is a key enabling mechanism of the Funding Strategy. The advice provided in this manual aims to help secure funding to the FAP for the programmatic implementation of the International Treaty in a long-term, coordinated, synergistic and effective manner. This is in line with the Vision for the Updated Funding Strategy adopted by the Governing Body at its Seventh Session, and the principles of synergies and complementarity.
5. This manual provides elements of guidance to the Secretary on aspects of the FAP's operation that are considered of particular relevance to the Updated Funding Strategy, such as resource mobilization and information and reporting. These elements also apply, *mutatis mutandis*, to the Special Fund to Support the Participation of Developing Countries.

II. RESOURCE MOBILIZATION

1. The FAP offers a flexible and responsive mechanism for the Treaty Secretary to secure and manage funds from a range of donors and sources to take forward the programmatic implementation of the Treaty.
2. Sessions of the Governing Body should provide opportunities to acknowledge and welcome contributions as well as garner future concrete commitments to the FAP.
3. Resource mobilization aspects should consider a programmatic approach to the FAP.
4. Aspects of Resource Mobilization are interlinked with those related to improving the communication and visibility of the FAP as a key Funding Tool in support of the implementation of the International Treaty, as further detailed in the Information and Reporting section.

III. INFORMATION AND REPORTING

1. Information and reporting on resources under the FAP should consider the programmatic approach of the Funding Strategy and the importance of continuing the work on resource mobilization, communication, promotion, and the International Treaty's branding and media presence to enhance funding for, and the visibility of, the Fund for Agreed Purposes.
2. Information and reports will be provided to the Governing Body at reporting intervals agreed by the Funding Committee, and will include:
 - a) Highlights of the results and impact achieved of activities implemented through the FAP, particularly how they contribute to the Results Framework of the Funding Strategy and the programmatic implementation of the Treaty.
 - b) A high level overview of the main contributors and status of funds received and disbursed.
3. At the project level, progress and other reports will be made available to donors according to the contractual conditions and requirements, and in accordance with FAO rules.

Annex 2**ANNEX 2: OPERATIONS MANUAL: BENEFIT-SHARING FUND****I. INTRODUCTION**

1. The Benefit-sharing Fund is an essential element of the Funding Strategy and of the Multilateral System of Access and Benefit-sharing. The Fund is the operational mechanism for receiving, utilizing and sharing the monetary benefits arising from Multilateral System, as specified in Article 19.3.f of the Treaty.
2. Established by the Governing Body and operational since 2009, the Benefit-sharing Fund has supported four project cycles with 80 projects funded around the world. The Governing Body has regularly worked to improve the operational procedures of the Fund, its selection process and priority areas of intervention. The Benefit-sharing Fund is an evolving mechanism, and the development of the programmatic approach for the Fund is another to step in its development.
3. This Operations Manual brings together resource mobilization, allocation and disbursement in an integrated manner, and is incorporated into the overall Funding Strategy. Lessons learnt from previous project cycles have been integrated in this Manual.

Beneficiaries and priorities

4. The primary beneficiaries of the Benefit-sharing Fund are farmers, especially in developing countries, and countries with economies in transition, who conserve and sustainably utilize plant genetic resources for food and agriculture, as stated in Art. 13.3 of the International Treaty.
5. All projects funded will demonstrate the benefits that PGRFA brings to farmers, with a special emphasis on support to on-farm/*in situ* management, farmer-to-farmer exchanges, local seed value chains, and a better flow of PGRFA from ex-situ collections to farmers and back.
6. Within the agreed priorities of the Second Global Plan of Action, the programmatic approach of the Benefit-sharing Fund specifically focuses on:
 - Priority area 2: Supporting on-farm management and improvement of plant genetic resources for food and agriculture, and
 - Priority area 11: Promoting development and commercialization of all varieties, primarily farmers' varieties/landraces and underutilized crops.
7. Nevertheless, the programmatic approach puts in place supportive practices and enabling initiatives for the implementation of other priorities of the Second Global Plan of Action.
8. These priorities have been selected to fill in gaps in the implementation of the Second Global Plan of Action and after having undertaken a thorough mapping of funding made available through other channels within the Funding Strategy.

The Benefit-sharing Fund within the Funding Strategy

9. Funds under the Benefit-sharing Fund are used strategically to play a catalytic role in international cooperation in the area of plant genetic resources for food and agriculture.

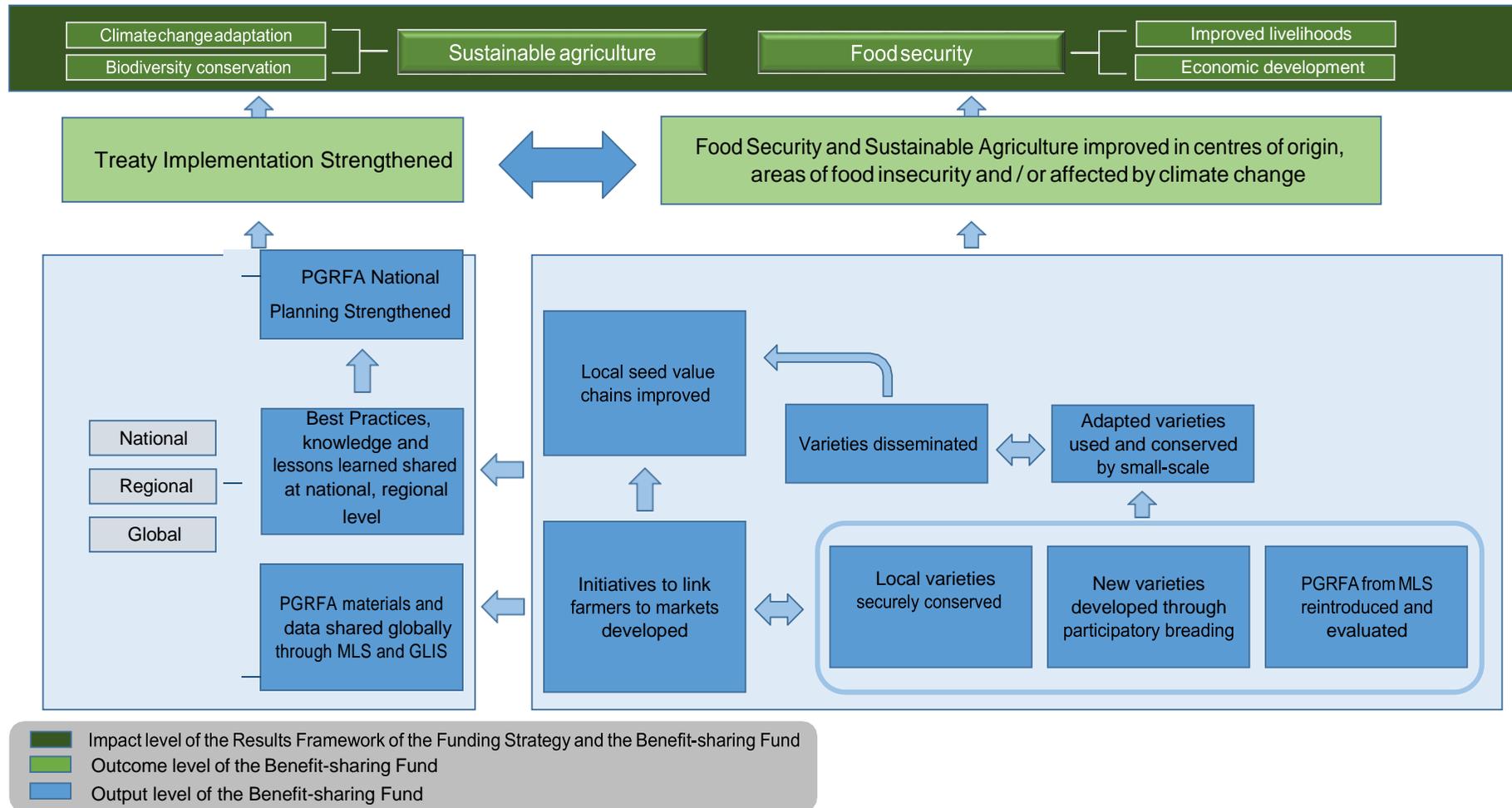
10. Funding provided through the Benefit-sharing Fund will also assist to mobilize additional resources not under the direct control of the Governing Body. The leading partners working through the Benefit-sharing Fund will have to build linkages between different funding sources and explore collaborative planning and co-spending opportunities with others.
11. In addition, the Benefit-sharing Fund facilitates the implementation of the various Treaty enabling mechanisms such as the Multilateral System, through the conservation, use and inclusion of materials, and the Global Information System.

Storyline and Theory of Change

12. In the last century, parts of the world's food crop diversity disappeared forever reducing coping strategies and resources needed to grow crops that are more resilient, more productive and nutritious.
13. Small-scale farmers, especially those most vulnerable to climate change and food insecurity, greatly depend on PGRFA to ensure their livelihoods. The Benefit-sharing Fund gives farmers access to a wide range of seeds that are adapted to their needs. This enables farmers to grow different types of crops so that they are not dependent on only one or two, to grow crops with higher yields or varieties that are more resilient to pests, diseases and adverse climate conditions, and crops that taste better and that are more nutritious. The Benefit-sharing Fund enables small-scale farmers, scientists and breeders to tap into the Treaty's global gene pool of millions of different genetic material to undertake research and develop new crop varieties.
14. Through helping farmers at local level to find solutions to climate change and other challenges, the Treaty system for agricultural diversity is strengthened. The Benefit-sharing Fund transcends the divide that is often seen between *in-situ*/on-farm and *ex-situ* conservation, and shows how different initiatives from farming communities through national and international genebanks are linked together through the International Treaty. Knowledge, information and germplasm generated through the Benefit-sharing Fund feeds back into the Treaty enabling mechanisms, expanding the resources available all over the world to improve food security and sustainable agriculture.
15. Figure 2 contains the Theory of Change of the Benefit-sharing Fund. The Theory of Change demonstrates the links between the Benefit-sharing Fund and the Results Framework of the Funding Strategy, particularly as they contribute to addressing major development challenges that farmers around the world are facing.
16. The Benefit-sharing Fund supports *in situ* and on-farm management and improvement and creates linkages with broader *ex-situ* conservation efforts. It enhances and facilitates both farmer to farmer exchanges of seed and enables the flow of PGRFA material from farmers to *ex-situ* collections and back. Funded projects put in place efforts to improve local seed value chains and make a wide range of adapted and improved varieties available to small scale farmers. Plant breeding efforts with the participation of farmers are supported and the capacity to develop varieties particularly adapted to socio-environmental conditions and of high quality are being strengthened. Lessons learned from actions funded help to inform national planning and decision-making on PGRFA.
17. The Benefit-sharing Fund is demand driven and responsive to the different needs and interests of farmers and other PGRFA providers and users. Funded projects result in strong consortia of Treaty enabling partners collaborating to enhance the implementation and visibility of the Treaty. The partnerships established are inclusive, dynamic and multiple level between a wide range of PGRFA institutions and stakeholders so as to create a sense of ownership of results and promote social inclusiveness.

Figure 2 Theory of Change: Benefit-sharing Fund

Theory of Change: Benefit-sharing Fund



II. FINANCIAL RESOURCES OF THE BENEFIT-SHARING FUND AND RESOURCE MOBILIZATION

1. The Governing Body has set a funding target of [xx million] USD for the Benefit-sharing Fund for the period of 2020 to 2025. This target anticipates resources from two main sources:
 - User-based income from the Multilateral System for Access and Benefit-sharing, which is considered of paramount importance to the delivery of sustainable and predictable resources to the Fund;
 - Voluntary contributions from Contracting Parties and others.

MLS user-based income

2. As specified in Article 19.3.f of the International Treaty, the Benefit-sharing Fund is the mechanism established by the Governing Body for receiving and utilizing the financial resources that will accrue from the Multilateral System. The user-based income arising from the Multilateral System and deposited within the Benefit-sharing Fund will not be earmarked.
3. The user based payments identified in the SMTA of the Multilateral System are expected to generate a predictable stream of funding from PGRFA users to the Benefit-sharing Fund. Communication and visibility efforts for the Benefit-sharing Fund will be extended to also recognize contributors to the Multilateral System.
4. The reviews of the Funding Strategy will enable the Governing Body to take stock of the user-based income generated by the Multilateral System, in order to inform future decision-making on the Funding Strategy and the Multilateral System.

Voluntary contributions

5. Achieving the Benefit-sharing Fund target will require the Treaty to maximise all funding opportunities. This section provides an overview of the various constituencies that are considered viable prospects for the Benefit-sharing Fund in the 2020-2025 period.
6. Prospects for voluntary contributions to the Benefit-sharing Fund include: Contracting Parties and their respective ministries of agriculture, foreign affairs, development assistance and other relevant institutions.
7. Other contributors may include: States which are not yet Contracting Parties of the Treaty; philanthropic organizations; the private-sector, including the food processing industry and relevant international mechanisms.
8. The Benefit-sharing Fund may also benefit from the initiatives that will be explored through the programmatic approach of the Funding Strategy to mobilize funds from innovative sources and mechanisms.
9. The ambition is to have further diversified the sources of funding to the Benefit-sharing Fund by end of the period 2020-2025. The new programmatic approach of the Fund will enable the development of long-term partnerships with donors for the provision of predictable and long-term funding.
10. Emphasis would be given to un-earmarked voluntary contributions. Earmarked voluntary contributions would be acceptable but will be kept under regular review by the Governing Body in accordance with Resolution 3/2017 given the implications of such earmarking, to ensure that there are not adverse effects on the Fund.

11. Donor recognition and visibility is an important feature of the programmatic approach and an opportunity to maximize donor involvement and help attract new resources and partners.
12. The Funding Committee will regularly provide advice on new prospects for voluntary contributions, donor partnerships for the Benefit-sharing Fund and donor recognition activities. In providing such advice, the Committee may draw upon the elements of the former Strategic Plan for the Implementation of the Benefit-sharing Fund of the previous Funding Strategy.

III. OPERATIONAL PROCEDURES FOR THE USE OF RESOURCES UNDER THE BENEFIT-SHARING FUND

Principles

1. These operational procedures are based on the following principles:
 - Transparency and impartiality;
 - Simplicity and accessibility;
 - Efficiency and effectiveness;
 - Quality and technical merit.

Project Cycle

2. The Benefit-sharing Fund is under the direct control of the Governing Body, which delegates the authority for the operations of the Benefit-sharing Fund during the biennium to the Funding Committee. The Committee, during the biennium, may:
 - a. establish and launch a new round of the project cycle, as needed;
 - b. decide whether to provide funding to projects that previously received a certificate of excellence from the Panel of Experts or to a second phase of projects previously funded by the Benefit-sharing Fund;
 - c. decide whether to contribute to larger development programmes to support the implementation of interventions that are aligned with the programmatic approach of the Benefit-sharing Fund;
 - d. decide whether to provide project preparation funding for larger project proposal development contributing to the programmatic approach of the Fund.
3. The independent Panel of Experts will conduct the screening of pre-proposals and final review of project proposals. The panel of experts will be designated, from a Roster, by the Bureau in consultation with their Regions. It will consist of 2 experts from each FAO Region. The independent Panel of Experts will work without remuneration with resources provided under the core administrative budget for any necessary meetings. Terms of Reference of the Panel to be made public.
4. The Helpdesk, will support applicants in the preparation of pre-proposals and full project proposals in the Treaty languages.
5. The project cycle will consist of:
 - a. **Opening a call for proposals:**
 - i. issued by the Committee, in the official languages of the Treaty, and containing relevant information on the thematic focus, expected outcomes, steps and procedures of the Call;

- ii. advertisement on the Treaty website and through the national focal points and relevant regional bodies;
 - iii. responsibility: prepared by the Secretariat, under the guidance of the Committee.
- b. Submission of pre-proposals:**
- i. in any of the Treaty languages, plus, where necessary, a translation to a working language;
 - ii. according to an agreed format and within agreed deadlines;
 - iii. addressing the eligibility and screening criteria;
 - iv. responsibility: applicant Contracting Parties or legal or natural persons,¹ in consultation with the Contracting Party or Contracting Parties in question. The formal submission should be by or through a Contracting Party or Parties in question to the Secretary of the Governing Body.
- c. Screening of pre-proposals:**
- i. according to eligibility and screening criteria, established as part of the call for proposals;
 - ii. in accordance with the Policy of Conflicts of Interest;
 - iii. will result in a Panel Report with recommendations and a short list of high-quality pre-proposals that will receive a Certificate of Excellence;
 - iv. responsibility for screening: independent Panel of Experts, with support from the Secretariat;
- d. Approval of pre-proposals that will develop a project proposal within the project cycle and issuing of certificates of excellence:**
- i. according to the funds at the disposal of the Governing Body in that project cycle and the recommendations of the independent Panel of Experts;
 - ii. according to additional possible considerations, such as geographical balance, with the aim of keeping the list of approved pre-proposals short;
 - iii. in accordance with the Policy of Conflicts of Interest;
 - iv. short list of high-quality pre-proposals to be made public;
 - v. responsibility for the approval: the Committee, which will request the Secretary to invite the selected applicants to develop a project proposal, which will eventually be funded, and provide a Certificate of Excellence to all short-listed pre-proposals;
- e. Submission of project proposals from approved pre-proposals:**
- i. in any of the Treaty languages, plus, where necessary, a translation to a working language;
 - ii. according to an agreed submission form of project proposals and within stipulated deadlines;
 - iii. addressing the recommendations made by the Panel of Experts;
 - iv. recipient and channels of payment will be identified;
 - v. Helpdesk to be provided to support preparation of project proposals, in all Treaty languages, including to ensure that all project proposals are aligned with the programmatic approach of the Benefit-sharing Fund and to support building synergies within and outside of the Benefit-sharing Fund;

¹ Any governmental or non-governmental organization, including genebanks and research institutions, farmers and farmers' organizations, and regional and international organizations, based in countries that are Contracting Parties to the International Treaty, may apply for funding under the Benefit-sharing Fund.

- vi. Helpdesk to focus on Contracting Parties that have special needs, including small island developing states;
- vii. responsibility: Applicant Contracting Parties or legal or natural persons, in consultation with the Contracting Party or Contracting Parties in question. The formal submission should be by or through a Contracting Party or Parties in question to the Secretary of the Governing Body.

f. Final review of project proposals:

- i. in accordance with the Policy of Conflict of Interests;
- ii. Responsibility: the Panel of Experts will conduct a final review of the project proposals to ensure that the recommendations made during the screening have been taken into account in the development of project proposals and make suggestions for further improvement of project proposals, if needed. The Secretary will provide regular updates to the Committee on the finalization of project proposals.

g. Signature of project agreements and disbursement:

- i. according to rules and procedures set by FAO, and any procedures adopted by the Governing Body;
- ii. project agreements providing relevant legal and financial provisions and requirements from the Governing Body;
- iii. responsibility: Secretary and senior management of executing institutions.

Selection Criteria

- 6. The general framework of criteria that will be used in the screening of pre-proposals and review of project proposals is contained in Section III of Annex 1 of Resolution 3/2013 Implementation of the Funding Strategy of the International Treaty. The exact criteria for screening in each round of the project cycle will be published in the Call for Proposals and will give consideration to the United Nation's Sustainable Development Goals.

Conflict of Interest

- 7. The Policy on Conflicts of Interest and Related Standards of Conduct for the Benefit-sharing Fund is contained in Annex 2 of Resolution 3/2013 Implementation of the Funding Strategy of the International Treaty.

IV. MONITORING, EVALUATION AND LEARNING FRAMEWORK

- 1. The Monitoring, Evaluation and Learning Framework (MEL framework) of the Benefit-sharing Fund is an integral part of the monitoring of the overall Funding Strategy as is described in Section V of the Funding Strategy).
- 2. This section of the Operations Manual sets out the objectives, basic principles, steps and responsibilities under the MEL framework.
- 3. The objectives of the MEL framework are the following:
 - a. Promote accountability for the achievement of the priorities, storyline, Theory of Change and Results Framework of the Benefit-sharing Fund as established by the Governing Body through the assessment of results, effectiveness, processes, and performance.
 - b. Promote learning, feedback, and knowledge-sharing on results and lessons learned, as a basis for decision-making on policies, strategies, programmes, and project management.

4. The Governing Body will regularly receive a Report on the Benefit-sharing Fund with the information arising from the MEL framework. The contribution of the Benefit-sharing Fund to the programmatic approach of the Funding Strategy should be subject to review and continuous improvement.
5. The MEL framework will be further developed under the guidance of the [Standing] Funding Committee and will link outcomes and outputs within the storyline and Theory of Change of the Benefit-sharing Fund with clear targets and indicators established to enable the monitoring and evaluation of projects and programmes. The MEL framework will include but not be limited to the following targets:
 - a. PGRFA re-introduced, conserved, disseminated or bred with farmers' participation;
 - b. Farmers supported to sustainably use and conserve PGRFA;
 - c. Young scientists and researchers supported;
 - d. Co-funding mobilized to support Treaty implementation through BSF interventions;
 - e. Plans and policies strengthened or developed to support national Treaty implementation;
 - f. Gender mainstreaming and inclusion of vulnerable groups.
6. The following steps will be undertaken for each project cycle of the Benefit-sharing Fund after the signing of project agreements and disbursement:
 - h. Reporting and monitoring**
 - i. according to rules and procedures set by FAO, and any procedures adopted by the Governing Body;
 - ii. should inform Communication and Resource Mobilization efforts;
 - iii. responsibility: The executing entity develops the monitoring products and submits them to the Secretary for approval.
 - i. Independent Evaluation**
 - iv. use of standard evaluation procedures based on norms and standards of the United Nation's Evaluation Group;
 - v. evaluation of the sustainable effects and impacts of projects or groups of projects, providing accountability on results and aiming at facilitating the further development of the overall Funding Strategy;
 - vi. funds will be set aside at the beginning of each project cycle of the Benefit-sharing Fund to enable the independent evaluation;
 - vii. a review of the Benefit-sharing Fund and its programmatic approach will be commissioned by the Governing Body as part of each review and update of the Funding Strategy;
 - viii. according to rules and procedures set by FAO, and any procedures adopted by the Governing Body;
 - ix. responsibility: the evaluation team is led by independent experts not otherwise involved with projects of the Benefit-sharing Fund. An Approach Paper and Terms of Reference for evaluation are prepared by the Secretary and the FAO Evaluation Office, in consultation with the [Standing] Funding Committee. The evaluation team is solely responsible for the independent evaluation report. The evaluation report shall contain findings and recommendations and will be made public through the website. The response to the evaluation report will also be made available through the website.
 - j. Learning**
 - x. enabled within and between projects and programmes and the external environment;

- xi. lessons learned and continuous learning are regularly provided to all Regions so to increase commitment to the Fund;
- xii. should occur on a continuous basis so that knowledge and lessons can be applied and
- xiii. facilitated through a community of practice of enabling partners.
- xiv. responsibility: the executing entities and the Secretariat, and the wider dissemination of synthesis of lessons learned by National Focal Points, donors, the Funding Committee and others enabling partners;
- xv. should inform the regular review of the Funding Strategy.

Draft Terms of Reference
[Standing] Committee on the Funding Strategy and Resource Mobilization
(Funding Committee)

1. The Funding Committee will assist the Governing Body in exercising its functions with respect to the Funding Strategy of the International Treaty through activities such as:
 - a. Making recommendations on how to improve the coherence, effectiveness and efficiency of the Funding Strategy;
 - b. Providing to the Governing Body draft guidance for the implementation of the Funding Strategy, taking into account the reports on the Funding Strategy and other reports, as well as submissions from Contracting Parties;
 - c. Developing cooperation for the implementation of the Funding Strategy, and in doing so, Members are encouraged to promote the implementation of the Funding Strategy in their capacity as Funding Committee Members;
 - d. Providing guidance and decisions on the operations of the Benefit-sharing Fund during the biennium, as outlined in the Operational Manual: Benefit-Sharing Fund (*Annex 2* of the Funding Strategy);
 - e. Monitoring and reviewing the implementation of non-monetary benefit-sharing measures, with a view to recommending any additional measures as appropriate;
 - f. Providing expert input, including through independent reviews and assessments on the implementation of the Funding Strategy;
 - g. Preparing periodic overviews of finance flows to areas of Treaty implementation, including information on the sources and thematic balance of such flows, and use of the different funding tools, *inter alia* by continuing to develop the provisionally populated Matrix appended as an Annex;
 - h. Strengthening cooperation with the Global Crop Diversity Trust, in its role as an essential element of the Funding Strategy of the Treaty in relation to *ex situ* conservation;
 - i. Providing a forum for communication and continued exchange of information among bodies and entities dealing with finance for agrobiodiversity and climate change in order to promote linkages and coherence, as appropriate;
 - j. Maintaining linkages with other relevant subsidiary bodies of the Governing Body;
 - k. Performing any other functions that may, from time to time, be assigned to it by the Governing Body including the relevant tasks specified in the Funding Strategy adopted by the Governing Body through Resolution **/2019.

Provisionally Populated Matrix of Funding Tools II

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1. Introduction

Through Resolution 3/2017, the Governing Body of the International Treaty on Plant Genetic Resources for Food and Agriculture (hereinafter ‘the Treaty’) decided to reconvene the *Ad Hoc* Advisory Committee on the Funding Strategy and Resource Mobilization (hereinafter ‘the Committee’) with the mandate to update the Funding Strategy and related Annexes for consideration and approval by the Eighth Session of the Governing Body. The present document provides the second iteration of a provisionally filled Matrix of Funding Tools and the Areas and Programmes under the International Treaty (hereinafter ‘the Matrix’). The main information basis to populate the Matrix is the document, *Report on Progress II: Matrix of Funding Tools Analysis*. The Matrix has been filled as part of an iterative review of the funding landscape of relevance to Treaty implementation, which is meant to inform deliberations in of the Committee. The first iteration of the review was presented to the 10th meeting of the Committee (see IT/GB-8/ACFSRM-10/18/2.Add2 and IT/GB-8/ACFSRM-10/18/Inf.4/Rev1).

Due to the many challenges associated with data collection for the purposes of this Matrix, as discussed more fully in the *Report on Progress II* which is to be read in conjunction with the present document, the Matrix presented here visualizes only a limited data set, and may be further refined in future iterations of this exercise. However, while there is certainly scope to improve the information through further iterations of the analysis, it is important to note that there are pernicious limitations inherent in the Matrix-centred approach itself, which cannot be overcome within the confines of this approach.

The Matrix presented in the present document does not show levels of funding flow in USD amounts, primarily due to the very poor inter-institutional comparability of data – such as is due to different reporting periods, and financial accounting frameworks. Instead it visualises where areas of work and programming priorities of each funding tool are commensurate with the areas and programmes under the Treaty.

In addition to the provisionally populated Matrix, this document also provides a short summary of findings by Treaty area. This is a qualitative analysis of the contribution of each funding tool to the different areas and programmes under the Treaty.

2. Summary of findings by Treaty area

Ex situ conservation – global level

The two institutions leading efforts in this Treaty area are the Global Crop Diversity Trust (hereinafter ‘the Crop Trust’) and the Centres of the Consultative Group on International Agricultural Research (CGIAR Centres). There is a long term vision and programming mechanisms to ensure funding to genebanks functioning at the global level through these institutions. It needs to be recognized that the World Bank contributes as key donor to the CGIAR Centres.

Ex situ conservation – regional level

The Crop Trust is the only institution that has reported some specific funding for regional genebanks and that has a long term programmatic approach to support a number of regional collections, which are managed under Article 15 of the International Treaty. These collections also receive funding from bilateral or regional programmes on a more ad hoc basis. More data needs to be gathered on financing regional genebanks.

Ex situ conservation – national level

While there appears to be no leading multilateral channel to support national ex situ collections of plant genetic resources for food and agriculture (PGRFA), these collections receive funding, on an *ad hoc* basis, through projects from many multilateral and bilateral channels. While the core funding for national *ex situ* collections will come from national budgets, more information is needed on levels and trends for such funding.

In situ conservation

There is strong indication that the main multilateral channel through which support flows specifically to *in situ* conservation efforts of crop diversity and crop wild relatives is the Global Environment Facility (GEF). Surprisingly, the GEF has recently invested more in on-farm management and sustainable use than in any other Treaty area. There are other actors that contribute to this Treaty area, such as IFAD and the CGIAR in the area of research for *in situ* conservation, but the main global player is GEF.

On-farm management

A wide range of players interface in this Treaty area. The Benefit-sharing Fund has on-farm management of PGRFA as one of its main priorities and there are specific programmes within GEF to support this area. Many IFAD grants have a focus on on-farm management coupled with crop diversification and market value chains, and the same holds for projects funded by the GCF. While the CGIAR may be seen by others as a leader in *ex situ* conservation and breeding, there is considerable amount of funding channelled through the CGIAR to support on-farm management.

Breeding/Sustainable Use

The CGIAR channels considerable amounts of funding towards breeding of the crops listed in *Annex I* of the Treaty. Other multilateral and regional mechanisms that channel funding towards breeding need to be further explored; for example, there have been many regional breeding initiatives funded by bilateral programmes or foundations in Africa in recent years. This needs further exploration. The roles of the World Bank and the regional development banks in this context need to be further explored, as well. The role of the private sector has so far not been considered.

There are two highlights in the area of sustainable use (other than breeding): the survey conducted as part of this review has shown that many projects funded in support of on-farm management deal with crop diversification, markets and seed delivery, including those projects funded by the

GEF, GCF, IFAD and the Treaty's Benefit-sharing Fund (BSF). Other projects in this area are more focused on seed systems and seed policies, where FAO has a long tradition.

Technology transfer

The dissemination of improved breeding lines by the CGIAR is an important technology transfer mechanism under the International Treaty. Technology transfer is therefore embedded in the final stages of the breeding programmes of the CGIAR. The BSF has piloted the implementation of specific projects targeting different technology transfer models (North-South, South-South, CGIAR-NARS). Most other funding tools integrate technology transfer in the entirety of their project portfolios. The role of the World Bank needs to be further explored in this area, as well as those of the regional banks and the private sector.

Information systems and Global Information System

The main resource partners for PGRFA information systems and the Global Information System (GLIS) are FAO, the Crop Trust, the CGIAR, and certain donors through the Fund for Agreed Purposes (FAP) of the Treaty. These are the key institutions and entities that contribute to maintaining the global information infrastructure, as stipulated under Article 17 of the Treaty. The national and regional programmes that contribute data to the GLIS and manage their information systems receive funding mainly from national sources.

Capacity building

Almost all the funding tools listed in the Matrix that were surveyed are involved in capacity building as part of the majority of their projects related to PGRFA. FAO, the Treaty through its FAP, the CGIAR and the Crop Trust are currently the resource partners best placed to provide highly specific capacity building on PGRFA and the Treaty implementation.

The Multilateral System

Funding to support the Multilateral System (MLS) is channelled primarily through (i) the funding provided to the global, regional, and national genebanks that sustain the System, that is, mainly the Crop Trust, the CGIAR and national sources, and (ii) the policy and capacity building programmes that the CGIAR and the FAP support to facilitate developing countries' participation in the Multilateral System. The 7th replenishment cycle of the GEF is set to support the joint implementation of the Nagoya Protocol and the Treaty and opens up the possibility of funding to enable a policy environment conducive to the functioning of the MLS.

Farmers' Rights

There are currently no funding tools that prioritize Farmers' Rights. However, while very limited *ad hoc* funding is provided by some donors through the FAP, on-farm management projects regularly have policy and capacity building components that relate to the implementation of Farmers' Rights.

Policy development

The leading institution in policy development is probably FAO, with the CGIAR, and the Treaty itself playing important roles. As indicated above, GEF and IFAD projects will have policy components within individual projects. In this context, the role of the World Bank, as well as the role of agencies such as the UNDP, need to be explored.

3. Understanding the provisionally populated Matrix

Figure 1 below highlights, in blue, which areas are being addressed by each funding tool, that is, to which areas funding has been provided to date or in which areas work has been carried out by each tool.

This visualization of the linkages between funding tools and Treaty areas is based on the data gathered during the first two iterations of this exercise, as documented in the *Report on Progress II*. More concrete data is needed from the CGIAR and FAO, but it is foreseen that these organizations contribute, in one way or the other, to most of the areas of Treaty implementation. However, we have here highlighted only the areas for which we have robust data.

ⁱ “Farmers’ contributions” was removed from this Matrix for reasons of clarity. See also p. 8 of Report on Progress II.

ⁱⁱ A column on “policy development” was added as this is a relevant area under the Treaty and funding flows in this respect were part of our findings.

ⁱⁱⁱ While our preliminary analyses show that most domestic spending concentrates on Ex situ Conservation as well as Sustainable use and Plant Breeding, it needs to be borne in mind that the data set available for this review was too small to be able to draw any robust conclusions. This row has been filled considering the data provided by 14 Contracting Parties. Only when at least 50% of them (i.e. seven countries) had expenditures in a particular area has that area been highlighted.

^{iv} It is important to note that the data presented in the associated ‘Report on Progress II’ highlights only ex situ and in situ conservation, sustainable use, and capacity building as areas supported through FAO funds. However, these data were obtained through work on the Global Plan of Action (GPA), meaning the figures were divided according to the four priority areas of the Second GPA and may have been broken up differently when mapped across the entirety of the thematic areas under the International Treaty as defined in the Matrix. It is expected that FAO will contribute, in one way or the other, to all of the areas under the Treaty.

^v This heading has been amended to reflect the fact that the Fund for Agreed Purposes falls under the guidance of the Governing Body.