



September 2010

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

**SIXTH MEETING OF THE *AD HOC* ADVISORY COMMITTEE ON THE  
FUNDING STRATEGY**

**Rome, Italy, 13-15 October 2010**

**RESOURCE MOBILISATION: IMPLEMENTATION OF THE  
STRATEGIC PLAN FOR THE IMPLEMENTATION OF THE BENEFIT-  
SHARING FUND**

**I. Introduction**

1. Since the last meeting of the Ad-hoc Advisory Committee the Treaty continues to make strong progress in developing a firm foundation for the Benefit-sharing Fund's \$116 million 'Leading the Field' initiative.
2. Early financial success, particularly from Contracting Parties came from already committed and engaged Treaty supporters, a number of which were existing donors to the Fund. Since the Third Session of the Governing Body, and particularly since the last meeting of the Ad-Hoc Advisory Committee, the Secretariat has continued to make clear progress in engaging new prospects, developing a diverse prospect pool which includes member Governments, the private sector and Foundations.
3. This investment of time and resources is paving the way for support to the Fund as it moves toward the next major milestone as outlined by the Strategic Plan – cumulatively US\$27 million by December 2011. The Contracting Parties undertake to implement a funding strategy for the implementation of the International Treaty on Plant Genetic Resources for Food and Agriculture in accordance with the provisions of its Article 18. The objectives of the funding strategy are to enhance the availability, transparency, efficiency and effectiveness of the provision of financial resources to implement activities under the Treaty.
4. This document provides an overview of resource mobilization efforts, in particular since the last meeting of the Committee. It first provides some key highlights on resource mobilization and reviews the progress to achieve the funding target of the Strategic Plan. It then summarizes the on-going relationships with donors and informs about a number of communication efforts and tools. The document finally seeks advice from the Committee after identifying some key challenges for resource mobilization.

## II. Resource mobilization: highlights

5. These have been the highlights in resource mobilization since the fifth meeting of the *Ad Hoc* Advisory Committee on the Funding Strategy:

- Directly and more thoroughly developed relationships with 10 new Contracting Party prospects, through presentations, conference calls and tailored written materials.
- Ongoing process of research and strategy development with a view to securing new supporters for the Fund.
- A further 10% of Contracting Parties have been briefed in detail on the Benefit-sharing Fund, bringing this figure to 30%. The Secretariat actively engages with member governments and encourages further participation by all members.
- Spain hosted 30 guests at the Treaty's first donor cultivation event in Cordoba on September 13th. Guests had an opportunity to learn more about the role they might play in supporting the Benefit-sharing Fund and in particular how the Fund addresses global food security. From a resource mobilization point of view, it is important that further cultivation events will be hosted by other members or donors to the Fund. One Contracting Party is considering hosting an event at their Embassy in Rome later this year.
- The 2010 Call for Proposals was designed and issued, with the 'Leading the Field' branding.
- The Secretary continues to meet Ministers and High Level global representatives, presenting to them the Treaty and underlining the important role the Fund is playing in addressing global food security and adaptation of crops to the effects of climate change. The Ministers from Australia, Austria, Brazil, Canada, Finland, Indonesia, Kenya, Malaysia and Norway have been briefed by the Secretary in recent months.
- New relationships with other funding bodies have been established. These include UNDP, IFAD and others - prompted in large part by the opening of the Call for Proposals and the partnerships sought.
- Developed traction in the area of International Foundations – particularly in prompting a new relationship with the Bill and Melinda Gates Foundation. It is anticipated that this will be developed over the coming months.
- Engaged and early discussions underway with major private sector seed companies.
- The prospect pool continues to grow with 50 new private sector leads and 40 new environmentally focused Foundations added. From these, early research is developing into the priority prospects.
- Weekly actions focused meetings continue between CCS (the Treaty's professional fundraising counsel) and the Secretariat, with input from London, New York and their on-site staff in Rome.
- Since the last meeting of the *Ad-Hoc* Committee the Treaty Secretariat has strengthened its relationship with the Global Crop Diversity Trust through practical coordinated resource mobilization activities. The Treaty and the Trust made their first joint resource mobilization presentation to the Ministries of Agriculture and Foreign

Affairs of the Netherlands. The meeting was welcomed by the Dutch government and has opened new partnership opportunities between the Treaty and the Trust. A collaborative side event during the High Level meeting on Agriculture, Food Security and Climate Change in the Hague is being explored as an immediate follow-up. Other substantive resource mobilization partnership opportunities are expected to follow.

- The P3 hire has been confirmed with a formal written offer being made by the end of September 2010. It is anticipated the candidate will start in Rome by the end of October.
- CCS's contract has been extended until the end of October.
- The second Treaty newsletter is being prepared for dispatch in the Autumn.

### III. Progress on achievement of the target

#### *Summary of key elements from the Strategic Plan*

6. At Governing Body 3 a Strategic Plan to raise \$116 million by December 2014 was adopted. The plan anticipated incomes as detailed in chart 1.



7. The Strategic Plan established the financial targets in table 1.

Year	2010	2011	2012	2013	2014
Cumulative	\$10m	\$27m	\$50m	\$80m	\$116m

8. Contracting Parties were asked to consider making voluntary investments in the Fund, relative to a Tiered structure which reflects their interest in the issue, capacity and history of giving to other global initiatives. The Tiering Structure is outlined in Table 2.

Tier	Annual investment level
Tier I	Up to \$2.6 million
Tier II	Up to \$870,000

Tier III	Up to \$345,000
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*Analysis of progress to date*

9. To date, \$14.37 million has been committed to the 2010 Call for Proposals of the Fund as shown in Table 3.

Investor	Level
Spain	\$2.2 million
Italy	\$1.2 million
Australia	\$870,000
UNDP	\$10 million
Norway	0.1% of seed sales (\$101,368)
Kenya	Level to be confirmed
Total	\$14.37 million

*Details of investments confirmed*

10. The Spanish Government was first to invest at the Top of Tier level indicated in the Strategic Plan. The investment of \$2.2 million reflected a Tier I investment by Spain, a Tier II level member. The investment was announced during a Policy Seminar hosted in Bari in December and the transfer of funds was made on 23 March 2010.

11. Spanish leadership was followed shortly after by Italy who made a Top of Tier II investment of \$1.2 million. The investment was announced at the Settimana della Biodiversita in Rome on 22 May 2010. The Settimana della Biodiversita was hosted by Bioversity International in partnership with the International Treaty and others to celebrate the International Year of Biodiversity.

12. The United Nations Development Programme (UNDP) committed \$10 million into the Treaty's Call for Proposals 2010. Following detailed discussions between UNDP and the Ad-hoc committee on the modalities of the investment at its fifth meeting this was welcomed and approved by the Ad-hoc Advisory Committee at a meeting in Geneva on 26 May 2010. This investment in particular, raised expectations significantly among all parties.

13. Australia made a Top of Tier investment of \$870,000, comprising \$20,442 on 16 June 2010 and \$849,558 on 18 June 2010.

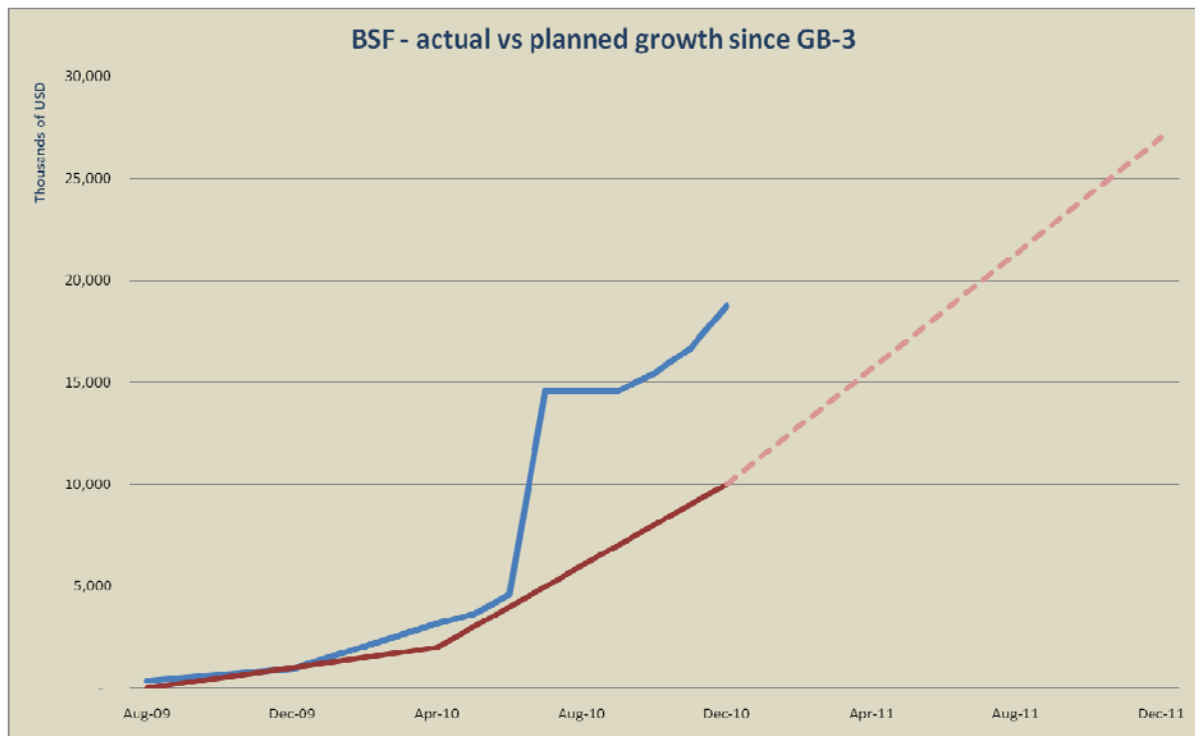
14. Norway has confirmed an annual investment of 0.1% of national seed sales to the Fund. In 2009, the value of this contribution was \$101,368 and was received on 15 June 2010.

### *Progress summary*

15. These investments leave the Benefit-sharing Fund's Call for Proposals 2010 significantly ahead of the levels outlined in the Strategic Plan. Building on this early momentum, the Secretary, supported by CCS, have actively engaged with an extensive prospect pool and developed a strong foundation on which to build this \$116 million initiative.

16. It is important to note that while the current status is ahead of plan, this is heavily reliant on three Governments (2.4% of the membership), and one major UN supporter. As the Treaty works toward the next milestone of \$27 million by the end of 2011 it is of critical importance to:

- Broaden the investor pool - to include additional members, the private sector and international Foundations;
- Secure multi-annual investments;
- Continue to invest appropriate time and resources in Resource Mobilisation.

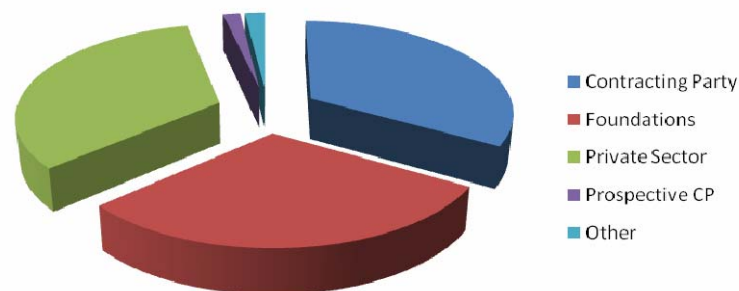


17. A number of countries are exploring the possibility of developing multi-annual partnerships directly with the International Treaty. These partnerships would incorporate support to the Benefit-sharing Fund in addition to support for other aspects of the Treaty. This support would come directly to the Treaty. The Strategic Plan assumes such relationships, as they allow for direct donor engagement and foster longer term commitment between the parties. The Treaty has been requested by donors for a framework to make this process clear and accessible and the Committee might wish to advise how such frameworks should be structured and should relate to existing frameworks maintained by FAO.

#### IV. Summary of relationships with donors

18. Since the last Ad-hoc advisory committee meeting, the Secretariat, supported by CCS has continued to participate in briefing meetings and to prepare tailored written materials for key priority prospects. As outlined in the Strategic Plan priority has been given to securing early leadership investments from Contracting Parties and in this area there has been significant progress in developing new relationships. The Treaty's prospect tracking chart has more than 470 entries at varying levels of engagement.

19. Chart 3 illustrates the breakdown of the Treaty's prospective tracking chart.



20. Strong relationships with donors is central to securing investments at the level and speed the Fund has experienced. Relationships forged by the Secretary at the highest level, including Ministerial, in Contracting Parties and other UN agencies have been key to the Funds success.

21. The Treaty has been successful in securing funding where the donor prospect has been actively engaged with the Treaty and where a 'local champion' has served as the Treaty's voice outside of briefings and in meetings where decisions are made. This is a dynamic which the Secretariat anticipates in future relationships where successful contributions will be secured.

#### *Contracting Parties*

22. The Strategic Plan places much expectation (75%+ of income) on the participation of Contracting Parties. Experience since Governing Body 3 illustrates that Foundations and the Private Sector also look to members for leadership. Much of the time and resources available since the last Governing Body meeting has been invested in securing Top of Tier investments from Contracting Parties.

23. 25 Contracting Parties can be categorized as actively engaged

- 10 are advanced

- 10 need further cultivation
- 5 are at an early stage

24. Of these:

- 3 – Tier I
- 12 – Tier II
- 10 – Tier III

25. In addition to direct financial support, the strong working relationships the Secretary has developed with key supporters has allowed for additional support in the form of political leverage, media profiling and investor cultivation activities among others.

26. Of Contracting Party support received since the adoption of the Strategic Plan, 75% have given at the Top of Tier levels indicated, with Spain, a Tier II country investing at the Top of Tier I.

27. Of those Contracting Parties who have supported to date, the current split between once-off and multi-annual investments is 75%:25%. The Secretariat is working with all donors to encourage multi-annual investments allowing the Governing Body to make clearer longer-term commitments. The Strategic Plan encourages investments directly to the Treaty via the Secretariat, allowing it to foster clear long-term relationships and avoid delays or uncertainties through third party systems.

#### ***Private Sector***

28. There has been a gradual increase in engagement levels with the Private Sector, with the strategic focus on seed, food and food processing and agricultural businesses. Since the last meeting of the Ad-hoc advisory committee, pre-existing early relationships have been developed. A new list of companies will be targeted beginning in late October.

#### ***International Foundations***

29. Significant work remains to be done to secure the attention of International Foundations but early meetings have taken place with the Bill and Melinda Gates Foundation and the Nippon Foundation in Japan. Telephone conversations include those with the Heads of Agriculture departments in several large scale Foundations that are investing in the field of agriculture and food security.

#### ***Other***

30. Significant opportunities exist for partnership opportunities with other global funding mechanisms. 'Leading the Field's' most notable financial success has been its US\$10 million partnership with UNDP. The request for partnerships during the Call for Proposals 2010 underlined the interest which exists from bodies which include the World Bank and others, particularly in the area of climate, change a central component of the Fund. This is an area which should be explored further.

### **V. Summary of cultivation events and engagement of key individuals**

31. The Strategic Plan identified the importance of cultivation activities for investor prospects as a central part of a successful resource mobilisation activity. Due to the active leadership of numerous Contracting Parties a series of activities have taken place since the third Governing Body and have been supported by the Secretariat. While the Governing Body itself provides a significant occasion for donor recognition, these cultivation events have proven to be central to the success of the implementation of the Fund and its Strategic Plan.

32. The cultivation activities have included:

- A meeting hosted by Norwegian Agriculture Minister Lars Peder Brekk on the fringes of the World Food Summit in November 2009. This meeting, soon after the adoption of the Strategic Plan, allowed the Secretariat to directly engage and inform prospects, develop the levels of understanding of key investor contacts and increase the profile of the Treaty and its new Benefit-sharing Fund. The meeting was attended by the then Australian Minister of Agriculture, the Honourable Tony Burke MP and Professor MS Swaminathan among others.
- A Policy Seminar hosted in Bari in December 2009 by the Italian Government. This meeting, in addition to providing an announcement platform for the Treaty's first Top of Tier investment from Spain developed the technical focus of the Fund, particularly around adaptation to climate change and food security. It also further developed existing relationships between the Secretariat and the guests who represented more than 30 developed and developing countries.
- In partnership with Bioversity International and others, the International Treaty played an important role in a week-long celebration in Rome marking the International Day of Biodiversity which culminated in Italy's announcement of a \$1.2 million commitment to the Benefit-sharing Fund. The week provided the Treaty with the opportunity to raise its profile to a new audience and to present the details of its new Benefit-sharing Fund. Additional materials are available on the Treaty websites: [www.planttreaty.org](http://www.planttreaty.org) and <http://diversityforlife.org/news/la-settimana-della-biodiversita>
- The Spanish Government, in partnership with the International Treaty, hosted an event in Cordoba in September 2010 to discuss the role of the Benefit-sharing Fund in addressing global food security. The meeting, for the first time brought together representatives from Contracting Parties, the private sector and international foundations. The meeting provided a platform to broaden the Treaty's prospect pool, prompt investment decisions, and update and inform guests on the most recent activity of the Fund, including the 2010 Call for Proposals.
- The Italian Government are in the process of organising a High-Level Round Table for all member Governments, hosted in Rome, on 7 December 2010. The meeting entitled "High Level Round Table on the Importance of the International Treaty on Plant Genetic Resources for Food and Agriculture in Meeting the Challenge of Enhancing Food Security in the Face of Climate Change and Erosion of Agro-biodiversity" provides an important high-level opportunity for member governments to announce their support of the Benefit-sharing Fund.

33. To date, the Treaty has secured three high profile individuals to support and endorse its Benefit-sharing Fund by increasing awareness and make the Case for Support to decision makers:

- Minister Lars Peder Brekk, Norwegian Minister of Agriculture
- Professor Ms Swaminathan, Father of the Green Revolution in India

- Ambassador Walter Fust, Former Director General of Kofi Annan's Global Humanitarian Forum

34. Each has undertaken varying tasks over the last 12 months. However, the Strategic Plan envisaged up to 9 active members and accordingly this is an area that needs additional attention between now and the Governing Body meeting in Bali. As is foreseen in the Strategic Plan, it is important that the Secretary receives support from Contracting Parties, Ministers and other contacts to develop relationships with key high-level prospective champions of the Treaty's work. Further progress could probably be made prior to the Fourth Session of the Governing Body of the Treaty.

## **VI. Branding efforts: Leading the Field**

35. In December 2009, the Benefit-sharing Fund was branded 'Leading the Field'. The title has been warmly received by prospective investors and others. It was felt that this brand reflected well the Fund's aims and objectives and positioned it well with a view to achieving mainstream media recognition, which is of central importance for the future resource mobilization of the Fund.

36. All materials including the Case for Support, call for proposals, letters to prospects and newsletters have incorporated this branding. The Secretariat is considering a move to register a mark for the name over the coming months.

## **VII. Innovative approaches**

37. Norway has committed 0.1% of seed sales annually to the Fund. The value of this contribution was \$101,368 and was received on 15 June 2010. Informal interest has been expressed by the private sector in developing further innovative approaches or exploring the possibility thereof. Representatives of the relevant private sector associations will be invited to inform the Committee about current thinking and explorations on such possible innovative approaches, if they so wish.

38. As foreseen in the Strategic Plan, the Secretary with the support of CCS continues to developing relationships with the private sector in particular with a view to creating new and innovative approaches. Early engagement has demonstrated an openness to working with the Treaty.

39. Each prospect has demonstrated various interests, motivations and engagement levels.

## **VIII. Adequate Fundraising Services**

40. CCS has had an on-site presence since September 2009 and has worked in close partnership with the Secretariat, supported by their New York and London offices. CCS's primary objectives have been:

- Securing Top of Tier investments
- Developing momentum for the initiative
- Supporting the Secretariat develop its in-house fundraising capacity

41. The delivery of the Strategic Plan is to be supported by P5 and P3 level positions. Budgetary constraints prevented the immediate hire of both and in light of the financial constraints the P3 hire moved first. In January, the recruitment process began. Since then

more than 80 resumes have been reviewed and considered. 10 candidates have been interviewed and the process is now at offer stage. Internal Human Resources rules and regulations have slowed this process down considerably. A candidate is anticipated to begin in Rome by the end of October.

42. CCS is developing an appropriate hand over plan. The hand-over period will require between 1 and 2 months full time transitional support. As fundraising to-date has relied on CCS's on-site and off-site capacity appropriate support for the P3 will be required until the P5 hire has been made.

43. The hand-over will ensure the new P3 candidate is:

- Fully briefed on the Treaty, the Benefit-sharing Fund and its processes and objectives;
- Introduced to individual prospects and their points of contact in Rome or elsewhere;
- Comfortable presenting the Case to prospective donors.

44. Given the time lag experienced with the P3 position, processing the P5 position should begin immediately. At least until this hire has been made a significant time commitment will be required from the Secretary to maintain the momentum which he has built together with CCS for this initiative.

## **IX. Challenges for the future**

### ***Appropriate resourcing for the fundraising function***

45. Appropriate resourcing of the fundraising function will directly reflect the Fund's financial success. It is advisable that in spite of budgetary constraints elsewhere in the Treaty appropriate resources be made available to the Fund which has already proven itself in its first full year and yielded a significant return on investment.

### ***High-level cultivation events to sustain momentum***

46. To date, cultivation activities have proven the most effective tool in engaging new donors and in prompting investment announcements from existing Treaty supporters. These events provide global donor recognition opportunities for early leaders, send a positive message to other prospects, and amplify the Treaty's message to new audiences. Events including the Treaty's partnership with Bioversity in May, the Spanish led Cordoba meeting and the Italian led High Level Round Table in December are among those hosted or scheduled in the lead up to Governing Body 4 which offer greatest impact.

47. As outlined in the Strategic Plan, cultivation events are planned to 'take place and be carefully planned in each of the five years of the Strategic Plan'. Continued Contracting Party-led, High-level events will ensure appropriate platforms for future 'Top of Tier' announcements to the Fund. They also provide an opportunity for the host of the event to highlight its contribution to the Treaty and the Fund; strengthen its bilateral relations with other Contracting Parties and donors; and to combine a Treaty-specific event with an already planned high-level event. The Committee and its members might wish to encourage potential hosts to consider conducting such events with the 'Leading the Field' initiative.

### ***Securing mainstream media attention***

48. In spite of its significant successes neither the Treaty nor its 'Leading the Field' initiative have secured any mainstream media attention since Governing Body 3. The Treaty's ability to communicate a coherent mainstream message based on climate change and food security will play a large part in securing additional funding. In addition to being clearly grasped, easily conveyed and championed by donors, food security and climate change have multiplier effects allowing the Treaty to access other global funds which are receiving significant global attention and financial support. This area will require additional resourcing in the form of additional capacity, an increased number of press conferences, strategic media insertions, newsletters and regular press releases.

### ***Maintaining appropriate impetus for the initiative***

49. The multi-faceted nature of the Treaty, i.e. commitments in addition to Resource Mobilisation, its early stage of development and its small supporter pool pose some challenges in maintaining the initiatives momentum.

50. Key factors in maintaining momentum:

- Quarterly cultivation activities in varied regions
- Continued series 'Top of Tier' investments
- Diverse donor pool to include members, the private sector and Foundations
- Regular media profiling
- Success stories from projects funded

### ***Demonstrating a clear track record of success***

51. Finding, investing in and stewardship of the best projects will be central to the Benefit-sharing Fund's long term success. Transparency in the process, science based decisions and expert advisors will support the Treaty's ability to secure long term investments. The Ad-hoc advisory committee and the Treaty Secretariat have an important role in ensuring this is achieved by implementing a rigorous selection process and a results centred reporting framework with regular review and assessment.

### ***Ability to recruit appropriate active High Level volunteer leadership***

52. The Benefit-sharing Fund has been slow to gain traction in this area, with active high level individuals championing the Fund in high level global settings. To deliver the ambitions outlined in the Strategic Plan, this should be addressed promptly and will require the support of all Parties, Committees and the Bureau to achieve.

53. This will have two impacts which are needed to further implement the Strategic Plan for the Fund:

- Increased public awareness

- Increased political profiling
54. Requirements:
- The Secretary will rely on introductions to key global leaders
  - Leaders need to actively engage with the Treaty
  - Champions of the Treaty must use their positions in International meetings to convey the Treaty message
  - Results-driven selection of volunteer leaders based on their ability for high-value asks and securing of monetary commitments
  - 6 to 8 individuals will be sought over the next 12 months.

### *The global economic environment*

55. 2010 has been a challenging year globally, the effects of which are being felt by all prospects. However, the Treaty must remember investments in this Fund are minimal relative to the operational budgets of the donors. In addition, the Fund is addressing key pressing global issues.

### *Availability of key Treaty Secretariat staff to support Resource Mobilisation activities*

56. The Secretary and other Secretariat staff play an active role in Resource Mobilisation activities. This will be required at a similar level moving forward if the success achieved to date is to be replicated.

### *Securing multi-annual investments*

57. In addition to significantly impacting this goal will allow the Treaty to plan for the future. Annex 4 of the Funding Strategy, under its section III, requests international organizations that have signed agreements with the Governing Body to report on resources provided and activities undertaken in support of the implementation of the Treaty.

## **X. ADVICE SOUGHT FROM THE COMMITTEE**

58. The Committee is invited to advise the Bureau and the Secretary on resource mobilization efforts and on measures to be taken in preparation of, and by, the Governing Body.