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

Rome, Italy, 8 – 10 May 2019

**REPORT ON PROGRESS: FUNDING STRATEGY MATRIX OF
FUNDING TOOLS ANALYSIS**

This document contains a report on progress in the development of the Matrix of Funding Tools and the Areas and Programmes under the International Treaty. It responds to the decision of the Governing Body, as set out in paragraph 7 i) a) of Resolution 3/2017, to reconvene the Ad Hoc Advisory Committee on the Funding Strategy and Resource Mobilization, with a revised mandate, in order to develop the updated Funding Strategy and related Annexes, for consideration and approval by the Eighth Session of the Governing Body.

Through the same Resolution the Governing Body decided to update the Funding Strategy with a view to adopt a dynamic and synergistic programmatic approach that will 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. This report on progress details the information gathering and analysis undertaken through studies by the Secretary on the various Funding Tools available to enable implementation of the Treaty, as detailed in the Matrix.

The full text of the Resolution is made available to the Committee through document IT/GB-7/17/Res3 contained in other documents made available.

Report on Progress II: Matrix of Funding Tools Analysis

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This document was prepared at the request of the Secretariat of the International Treaty on Plant Genetic Resources for Food and Agriculture. The contents of this document are entirely the responsibility of the author and do not necessarily represent the views of the Secretariat of the International Treaty.

Report on Progress: Matrix of Funding Tools Analysis

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1. Introduction

Through Resolution 3/2017,¹ 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. Appendix 2 of the Annotated Outline of the Updated Funding Strategy is the *Matrix of Funding Tools and Areas and Programmes under the International Treaty* (hereinafter ‘the Matrix’), the further development of which is the overarching goal of the exercise to which the present document is the second progress report.

MATRIX OF FUNDING TOOLS AND THE AREAS AND PROGRAMMES UNDER THE INTERNATIONAL TREATY

Funding Tools	PGRFPA Conservation & Sustainable Use					Treaty Enabling Mechanisms & Provisions					
	In situ			On-farm management	Breeding	Non-monetary benefit-sharing			Multilateral System	Global Information System	Farmers' contributions, Farmers' Rights
	Glob	Reg	Net			Technology transfer	Information systems	Capacity building			
Funds under the direct control of the Governing Body											
Benefit-sharing Fund											
Fund for Agreed Purposes											
GCDT											
CGIAR											
FAO											
Other international mechanisms, funds and bodies											
GEF											
GCF											
World Bank and IFC											
IFAD											
Bilateral funding and assistance											
National funding for PGRFPA											

As noted in Paragraph 19 of the Annotated Outline of the Updated Funding Strategy, the premise of the Matrix is to make the link between the different funding tools and the areas and programmes under the Treaty. It is also intended to provide a preliminary snapshot, to be able to develop a set of initial measures to strengthen implementation of the Funding Strategy, as well as to identify gaps and value addition that the funding tools under the direct control of the Governing Body need to fill in and make. The complexity of making a comprehensive assessment is also noted in the Annotated Outline, which is could then be improved once the reporting on different funding tools has been enhanced.

Not least due to this complexity, the process of Matrix development and completion must be understood as iterative. While this progress report provides a second iteration of tentative figures and best estimates of funding flows from a range of “Funding Tools” to the areas and programmes under the Treaty, it is above all an exploration of possible analytical and methodological approaches. As such, it should be considered as a preliminary attempt to understand the questions represented in and raised by the Matrix. It identifies not only what data is available, but also what data is not available, as well as other limitations that may usefully be considered in planning any further stages of analysis and development of the Matrix. It documents preliminary information about the Funding

¹ IT/GB-7/17/Res3, available at <http://www.fao.org/3/a-mv101e.pdf>.

Tools and financial flows to the different areas and programmes under the Treaty Areas, set out in the Matrix.

The present document is to be read in conjunction with the document *Provisionally Populated Matrix of Funding Tools II*, which provides a provisionally populated Matrix based on the analysis presented here and in the first Progress Report². Neither document would have been possible without the generous collaboration of a range of people, both at the Secretariat of the Treaty, as well as beyond, especially but not exclusively in the organisations listed as “Funding Tools” in the Matrix. Particular thanks are due to the officers at the Commission for Genetic Resources of the FAO, the Global Crop Diversity Trust, the CGIAR Systems Office, the Global Environment Facility, the Green Climate Fund, the World Bank, and the International Fund for Agricultural Development who contributed valuable information and guidance.

Section 2 of this report consists of a discussion of the methodology adopted in this preliminary review of the funding landscape for Treaty implementation, as well as of the data limitations encountered. Section 3 provides definitions of the areas and programmes under the Treaty (the column headings of the Matrix), and Section 4 presents and discusses the provisional data that was able to be collated on each of the Matrix “Funding Tools”. Recommendations regarding possible strategies for future iterations of this exercise are made throughout this report and briefly summarised in its conclusion.

2. Methodology and data limitations

Methodological approach

This review used desk research and two initial rounds of interviews with key stakeholders in order to build its analysis and structure its findings. Based on the assumption that each organisation listed in the Matrix is likely to hold most useful information for our purposes themselves, and in order to provide useful information on each individual organisation over and above the relevant financial information, a largely organisation-centred approach was used, i.e. information gathering and analysis began at the individual organisation level. In order to provide a useful “snapshot” of funding flows,³ the aim was to collate data for the past five years (approximately from 1st January 2013 up until Mid-2018) and the coming five years (from now until approximately the end of December 2022).

Wherever possible, we identified and reviewed key governance documents – Charters, Governing Instruments, Strategic Plans, among others – of the various organisations (“Funding Tools”) identified in the Matrix. Annual reports, financial statements and other publications for data relevant to this review were then mined, especially at its most disaggregated level. Other publications, by other organisations, think tanks and scholars were also reviewed, particularly for further aggregated data (e.g. global funding flows) and in-depth analyses of specific sectors or themes (e.g. agriculture; biodiversity). All information presented in this review is referenced for future follow-up, and further information is held on file.

² Available online at <http://www.fao.org/3/CA1169EN/ca1169en.pdf>

³ Paragraph 19, IT/GB-7/17/Res3, available at <http://www.fao.org/3/a-mv101e.pdf>.

Interviews were scheduled and held with representatives of all of the organisations listed in the Matrix. Information was also directly provided by the Secretary and key officers of the International Treaty Secretariat, involved in the management of the Benefit-sharing Fund and the Fund for Agreed Purposes. A total of fourteen interviews and data gathering calls were held as part of this preliminary review.

Interviews were structured so as to provide information on an organisation's mandate, current activity and investments, future commitments and comparative advantage. Interview questions and background information – which were made available to interviewees in advance – are provided in Annex 1 and 2 to this document. Information provided by interviewees was then followed up with another round of desk research, often based on interviewees' recommendations of relevant documents to review or data to include.

Data on domestic spending by Contracting Parties was gathered by the Secretariat of the Treaty through a survey reporting format. The survey template is provided in Annex 3 to this document.

During data collection, we encountered a series of challenges which are discussed in the remainder of this section.

Data availability and quality

Useful data on funding flows is not readily available. While there have been increasing efforts in recent years, both at the national and the international level, to improve how data and information about international aid and other financial flows is collected and shared, more work is needed. Internationally, the growth of the International Aid Transparency Initiative (IATI) has drastically increased the availability of open aid data to over 800⁴ bilateral, multilateral, non-government and private sector development partners who are now publishing data to its standard (IATI standard). However, although significant amounts of aid data are now published to the IATI standard, IATI itself is largely unknown and therefore the data is underused and quality issues remain unseen and unaddressed.

Moreover, only three of the funding tools identified in the Matrix report to IATI: FAO, IFAD and the World Bank. Many donor countries have started reporting to IATI, but there are still many data quality issues to be addressed. Sometimes, data remains incomplete or difficult to understand. In all cases, the data collected via IATI needs detailed follow-up in order to assess the relevance of the results.

For a discussion of data issues with the OECD's Creditor Reporting System, see the section on bilateral funding below.

Categorisation of findings

Taking an organisation-centred approach and beginning data collection by investigating particular organisations' financial accounts (as has been done for this review) has the advantage of ensuring access to comprehensive expenditure, as available. However, and unsurprisingly, none of the organisations listed in the Matrix report on their spending according to Treaty areas. This means that

⁴ At the time of writing, 813 organisations had published to the IATI Standard.

even the most disaggregated data, such as that of individual project, needs to be broken down into separate components and classified according to Treaty-relevant categories.

Reading through project reports, proposals or other available documents in order to effect such a classification amounts to a qualitative analysis that easily results in more than one possible (and correct) outcome. Projects usually work to achieve several objectives, address multiple areas in parallel and provide benefits across a range of outcomes. Hence, there is often no “right” or “wrong” way of allocating particular budgets to particular areas of Treaty implementation.

Comparability of data

Moreover, within one organisation – especially the large ones – there is often more than one way of presenting financial information. For example, we may see a variety of different financial reports addressed to different audiences, or reporting on different time periods or different programmes or departments of the organisation. While this is not an issue *per se*, it often means that the financial information reported differs to varying degrees – one report reports on actual expenditure, the other exclusively on new approvals or commitments made; figures in one table include project administration costs and other fees, and another table reports spending without these.

Furthermore, these issues are magnified when more than one organisation is involved. There is virtually no cross-institutional comparability of the available data. This comparability needs to be created – by adjusting reporting periods, stripping some budgetary data of particular items (e.g. project preparation costs or administrative expenses), adding or subtracting the associated figures for co-finance.

Implications of data choice

Some of these issues may require further guidance provided by the ACFSRM on the data being collected. For example, should analysis be based on the figures for actual annual disbursements or for the projects (and budgets) approved each year? Except for cases where commitments are not actually followed up with disbursements, the particular decision would increase comparability across different institutions, but should not greatly distort the results regarding overall funding flows.

However, other questions carry more implication. For example, a decision on whether the analysis should include data on loans as well as grants will not only have major effects on the level of overall funding flows determined, but will also carry conceptual implications that must be addressed: Do loans respond to funding needs in the same way as do grants? What are the long-term implications of loan-based finance? Do these differ with the particular nature of the loan (e.g. concessional vs. market-based loans)? Who carries the burden of debt, and what does this mean for the sustainability of Treaty implementation?

Similarly, what does it mean for an analysis of funding flows if a particular organisation’s expenditure is consistently higher than its revenue? This issue may be dealt with simply by accounting for the deficit within an additional need-based analysis of different Treaty areas (such an analysis may be part of the determination of targets for particular Treaty areas), but it should not be left unaddressed.

Double-counting

A key challenge of the Matrix, and an associated analysis of funding flows, is how to avoid the double-counting of funds. This was particularly challenging given the selection of Funding Tools listed in the Matrix: the Crop Trust and FAO regularly fund the CGIAR, FAO is one of the accredited entities of the Green Climate Fund, IFAD and FAO receive financing from the World Bank, and all of these entities are financed to varying degrees by country donations and regular contributions. Donor entanglement is the key challenge of this kind of analysis, and it would be worthwhile to explore a two-pronged approach by including a funding recipient-based analysis for a further iteration of this review. This would require mapping actors in Treaty areas: implementing agencies, NGOs, research institutes among others, and analyse activity as well as resource flows from the recipient angle in addition to the donor angle.

Matrix design

Furthermore, the Matrix in its current form may not consider the full suite of “Funding Tools” that are contributing to areas and programmes of the Treaty. Importantly, private sector and philanthropic foundations are not listed, nor are a number of key UN agencies and relevant Funds (e.g. UNDP, the Adaptation Fund, the Sustainable Development Goals Fund, the UK’s Darwin Initiative amongst a range of others). Columns for research and policy work along the horizontal axis may also add relevant dimensions to the Matrix analysis.

The question of how to determine and quantify in-kind contributions will also have to be addressed in a future iteration of this review. The original Matrix includes “Farmers’ contributions” alongside “Farmers’ Rights” as one of the Treaty areas. Including “Farmers’ contributions” is recommended rather as an additional “funding mechanism”.⁵ An additional row in the Matrix might be added in order to assess these contributions in terms of their input and added value to the implementation efforts of different Treaty areas. Alternatively, the way in which financial flows are understood to contribute to Farmers’ contributions would need to be clarified.

However, even with such updates, the Matrix format does not allow us to account for the complexity of the relationships and resource flows at play. A less dualistic and linear format may allow us to visualise attention to particular Treaty areas in terms of financial flows as well as in kind contributions and other efforts. It may also map the broader community of actors involved in work of relevance to Treaty implementation for future leverage, collaboration and synergy. To this end, a network analysis, that is, a thorough mapping of all actors involved in Treaty implementation, the connections and flows of resources between them, might be a useful starting point for a more comprehensive and nuanced follow-up study.

Conceptual limitations

There are several further issues which could fruitfully be considered in future iterations of this exercise in order to strengthen the approach conceptually, as well as increase its utility.

Even if accurate figures could be determined, without financial targets, or an assessment of financial need for each Treaty area, these figures would not be very informative. Any future iteration of this review must hence continue to be complemented by work on potential target setting.

⁵ “Funding tools and mechanisms” should probably be renamed to a more appropriate “resource partners”.

Similarly crucial, if a better understanding of funding gaps is part of the ultimate objective of this analysis, the actual *impact* of the funding needs to be addressed. Does the level of funding channelled towards different Treaty areas actually address the particular implementation needs or does it merely lead to a concentration of activity without any real effects? Not every dollar of finance is equal – different sources of financing and different mechanisms for expenditure will have differential impacts on outcomes.⁶ Moreover, and as is well established, without appropriate policies, good management and implementation capacity, finance is less effective and efficient in achieving agreed goals. As such, finance is just one of many contributing factors to achieving desired change, and ought not to be addressed in isolation from other key factors. It is possible that a network analysis with appropriate network visualisation may more adequately account for such additional factors and, ultimately, funding impact, than the linear Matrix format allows.

3. Definitions: areas and programmes under the International Treaty Ex situ conservation of plant genetic resources for food and agriculture (PGRFA)

A large and important amount of plant genetic resources, vital to world food security, is stored in genebanks as *ex situ* collections that are held at national, regional or global level. The Treaty calls upon its Members to cooperate in promoting the development of an efficient and sustainable system of *ex situ* conservation. Securing adequate storage conditions for the genetic materials already collected and providing for their regeneration and safety duplication is essential, as well as supporting targeted collections to fill gaps in *ex situ* conservation.

Provisions of Article 5 of the International Treaty and the following priorities of the 2nd Global Plan of Action for PGRFA: 5-7 are reflected here.

In situ conservation of PGRFA

The conservation of plant genetic resources in natural ecosystems provide for the continued evolution and adaptation of these resources. The Treaty promotes the *in situ* conservation of wild crop relatives and wild plants for food production, including in protected areas, by supporting, *inter alia*, the efforts of indigenous and local communities.

Provisions of the Article 5 of the Treaty and the following priorities of the 2nd Global Plan of Action for PGRFA: 1 & 4 are reflected here.

On-farm management of PGRFA

The on-farm management of PGRFA provides for the continued evolution and adaptation of these resources to changing environmental forces and are thus essential for the generation of new diversity important for future crop improvements. Farmers and indigenous and local communities play a critical role in the development and conservation of plant genetic diversity.

⁶ See also the 2013 ODI Working Paper 366 “Paying for progress: How will emerging post-2015 goals be financed in the new aid landscape?”, available at <https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/8319.pdf>.

Provisions of articles 5 & 6 of Treaty and the following priorities of the 2nd Global Plan of Action for PGRFA: 1-3 are reflected here.

Plant breeding / Sustainable use

The sustainable use of PGRFA encompasses a wide range of activities from crop diversification and supporting a wider use of varieties to crop improvement to plant breeding and seed delivery. The sustainable use of PGRFA is essential to add value to agricultural biodiversity, and to act as bridge between ex situ and on farm activities.

Provisions of articles 6 of the Treaty and the following priorities of the 2nd Global Plan of Action for PGRFA: 8-12 are reflected here.

The Treaty's Multilateral System of Access and Benefit-sharing

The Contracting Parties have established a Multilateral System both to facilitate access to plant genetic resources for food and agriculture and to share, in a fair and equitable way, the benefits arising from the utilization of these resources. At global level, the Governing Body has supported the development and continuous improvement of a number of tools to facilitate the operations and on-going functioning of the Multilateral System.

In order to participate in the Multilateral System, Contracting Parties need to take necessary legal and other appropriate measures to provide access to PGRFA, and this may include the strengthening and review of national laws and policies related to inter alia access and benefit-sharing.

The institutions which have concluded agreements with the Governing Body of the Treaty under Article 15 (Article 15 Institutions), in particular the CGIAR Centres, are key providers and a critical component to the functioning of the System, and need to make sure to follow the terms and conditions established by the Treaty and the guidance of the Governing Body.

Provisions of articles 10-13, 15 of the Treaty are reflected here.

The Treaty's Global Information System on PGRFA & other information systems

The Contracting Parties cooperate to develop and strengthen a global information system to facilitate the exchange of information, based on existing information systems, on scientific, technical and environmental matters related to plant genetic resources for food and agriculture, with the expectation that such exchange of information will contribute to the sharing of benefits by making information on plant genetic resources for food and agriculture available to all Contracting Parties. In developing the Global Information System, cooperation will be sought with the Clearing House Mechanism of the Convention on Biological Diversity. Existing information systems important to the Global System include Genesys, WIEWS or Eurisco.

At global level, the Governing Body has supported the development and continuous improvement of a number of tools to facilitate the operations and on-going functioning of the Global Information System.

Provisions of article 17 and 13.2.a of the Treaty and priority 15 of the 2nd Global Plan of Action for PGRFA: 8-12 are reflected here.

Farmers' Rights

The International Treaty recognizes the enormous contribution that the local and indigenous communities and farmers of all regions of the world, particularly those in the centres of origin and crop diversity, have made and will continue to make for the conservation and development of plant genetic resources which constitute the basis of food and agriculture production throughout the world. The responsibility for realizing Farmers' Rights, as they relate to plant genetic resources for food and agriculture, rests with national governments.

Provisions of Article 9 of the Treaty are reflected here.

Technology transfer

The access to and transfer of technologies is one of the benefit-sharing mechanisms of the Multilateral System of the International Treaty. The Contracting Parties undertake to provide or facilitate access to technologies for the conservation, characterization, evaluation and use of PGRFA. The Treaty recognizes that some technologies can only be transferred through genetic material, including improved varieties.

Article 13.2 b provides a number of measures to realize technology transfer in the implementation of the International Treaty.

Capacity building

Capacity building is another benefit-sharing mechanism of the Multilateral System of the International Treaty. Article 13.2 c provides a number of measures to realize capacity-building in the implementation of the International Treaty including through strengthening scientific and technical education and training in PGRFA, PGRFA facilities and carrying out scientific research preferably in developing countries.

Building and strengthening human resource capacity is priority 17 of the 2nd GPA.

4. Resource partners and funding tools: organisations and mechanisms providing funding

Funds under the guidance or direct control of the Governing Body

Background

All contributions to the Treaty are held in Trust Funds administered by FAO. The Treaty's Core Administrative Budget as well as the Working Capital Reserve and the Third Party Beneficiary Operational Reserve are held in the Treaty's General Trust Fund into which flow Contracting Parties' and other contributions. In addition to the General Fund, a number of other Special Funds exist.

The Governing Body of the Treaty has direct control of the Treaty's Benefit-sharing Fund, which receives Mandatory and voluntary contributions pursuant to Article 13.2d, as well as contributions from international mechanisms, funds and bodies.

The Treaty also receives voluntary payments by Contracting Parties and other entities to support the participation of developing countries, which are then held in a Special Fund for the participation of developing countries.

The Treaty also receives funds through a multi-donor trust fund, which is solely for purposes agreed between the donor and the Secretary of the Treaty. A number of similar, yet separate single-donor funds also for purposes agreed between the donor and the Secretary cater for the reporting or administrative needs of donors who require single-donor funds. We refer to the collection of these funds (both multi- and single-donor) as the Fund for Agreed Purposes. This Fund is under the guidance of the Governing Body.

For the purposes of this review, we have compiled some preliminary data for the Treaty's Benefit-sharing Fund as well as the Fund for Agreed Purposes.

Benefit-sharing Fund

Objectives

The International Treaty on Plant Genetic Resources for Food and Agriculture provides for a Funding Strategy, which aims to enhance the provision of financial resources for the implementation of the Treaty. The Funding Strategy includes a Benefit-sharing Fund which supports projects and programmes for the benefit of farmers and local communities in developing countries and countries with economies in transition who work towards maintaining and increasing the use of genetic resources for food and agriculture.

Through its Benefit-sharing Fund, the Treaty seeks to support adaptation to climate change, food security and on-farm conservation of crop diversity, contributing to the implementation of the Treaty and the 2030 Agenda for Sustainable Development, particularly Sustainable Development Goal (SDG) 2.5 and SDG 15.6 which refer to plant genetic resources.

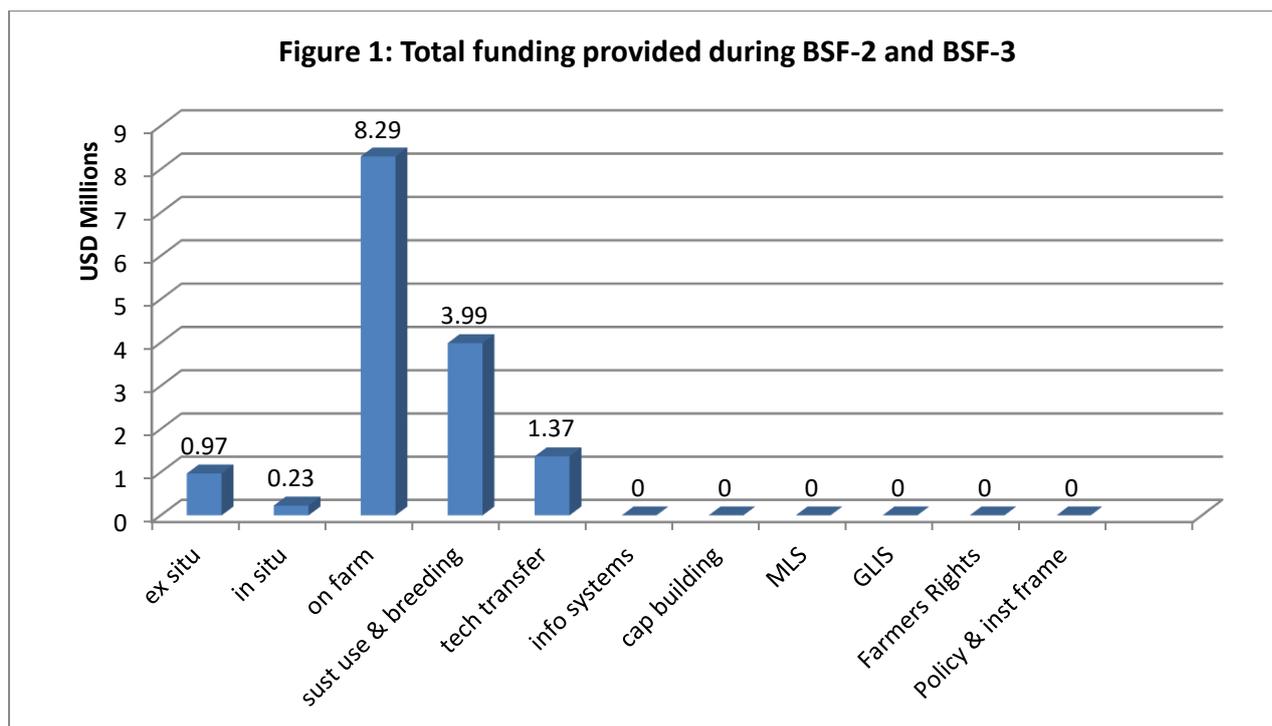
Current activity and investments

To date, the International Treaty's Benefit-sharing Fund has invested more than USD 20 million on 61 projects in 55 developing countries over three project cycles,⁷ positively impacting the lives of about 1 million people. BSF projects have supported the development, testing and use of climate ready crops, resulting in over 3000 important food crop varieties, which are now available to the international scientific and breeding community under the International Treaty's Multilateral System of Access and Benefit-sharing.

For the purposes of this review, we have broken down funding by Treaty area identified in the Matrix for two of the three project cycles (BSF-2 and BSF-3)⁸, and hence capture almost 15 million USD in funding flows from the Benefit-sharing Fund between 2012 and today.

⁷ The Fourth Call for BSF (BSF-4) project proposals was launched in December 2017.

⁸ These two cycles cover the scope of our study (past five years). Contracts with partners for BSF-2 were signed in 2012, and for BSF-3 in 2015. The first project cycle of the Benefit-sharing Fund provided USD 500,000 to the projects it funded.



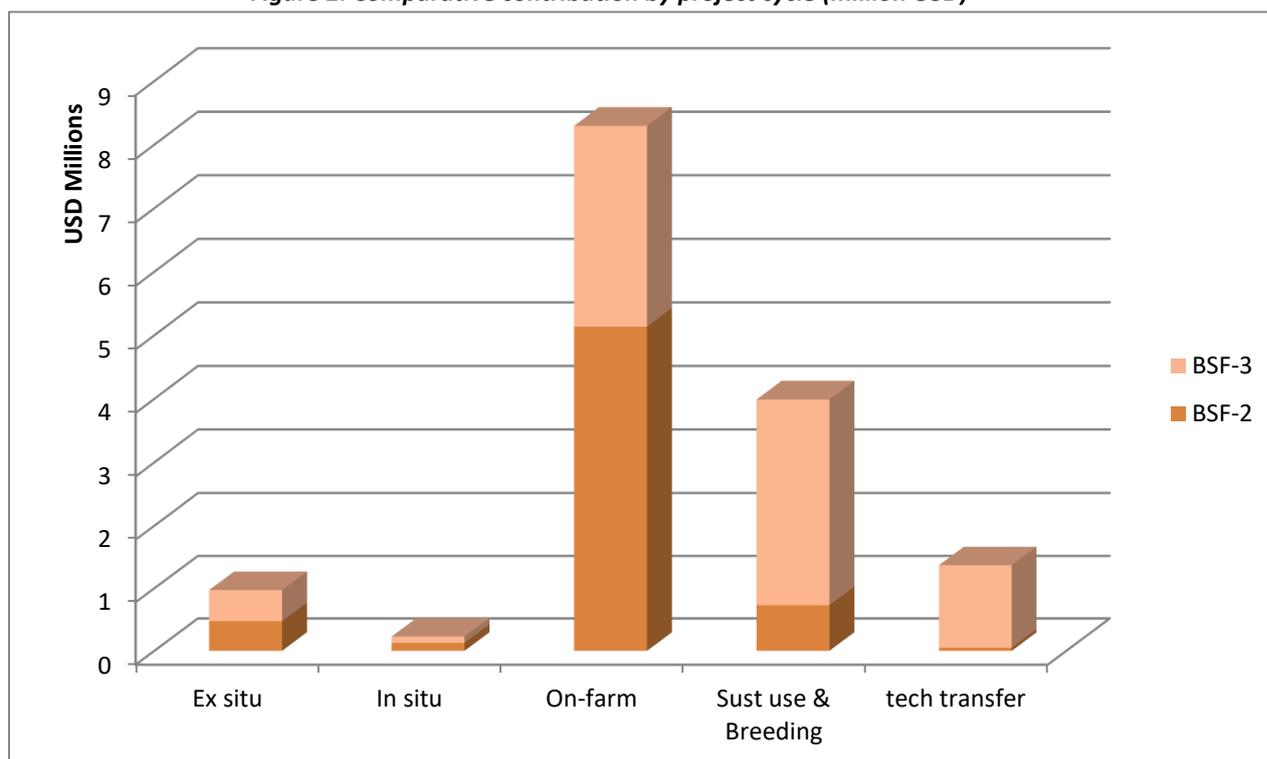
A total of 15 projects (ten of BSF-2 and five of BSF-3) addressed ex situ conservation with a total budget share of 971,577 USD. Six projects (four under BSF-2 and two under BSF-3) have furthered in situ conservation of crops and their wild relatives with a combined budget share of 227,000 USD. On farm management of crop genetic resources has been addressed by 39 projects over the two project cycles (25 under BSF-2 and 14 under BSF-3) contributing a total of 8,294,570 USD, whereas breeding work and sustainable use was actively pursued by 27 projects (11 under BSF-2 and 16 under BSF-3) to a total of 3,987,355 USD, and technology transfer by 14 projects (4 under BSF-2 and 10 under BSF-3) to a total of 1,368,659 USD.

Table 1: Funding flows to Treaty areas by project cycle (USD)

	Ex situ	In situ	On-farm	Breeding	technology transfer	Total
BSF-2	474,386	127,000	5,136,487	730,188	49,500	6,517,561
BSF-3	497,191	100,000	3,158,083	3,257,167	1,319,159	8,331,600
Total	971,577	227,000	8,294,570	3,987,355	1,368,659	14,849,161

It is important to note that the funding we allocated to technology transfer was focused on transfer of information technologies, mainly through Window 3 of BSF-3. It could have been equally included in the information system column, highlighting again the way in which the categorization of funding flows to different Treaty requires particular judgments to be made which could often have been made differently, and led to different conclusions. It also bears mentioning that most, if not all of the projects funded through the Benefit-sharing Fund, contain components of *capacity building*, *technology transfer and information sharing*, which is the third priority of the BSF and in turn reflects the non-monetary benefit-sharing mechanisms of the Treaty.

The respective contributions to Treaty area by each project cycle are visualised in Figure 2 below.

Figure 2: Comparative contribution by project cycle (million USD)

In order to run its project cycles, the Benefit-sharing Fund has received donations from 17 different donors over its history. For reasons of clarity, all donations to all project cycles, including BSF-4, are listed in Table 2 below.

Table 2: Analysis of the Benefit-sharing Fund by donor as at the end of quarter 1 2018 (in alphabetical order)

Donor	Date	Amount	Total by donor
Australia	18/Jun/10	870,000.00	
Australia	25/May/16	718,814.74	1,588,814.74
Austria	19/Dec/14	24,176.47	24,176.47
Canada	13/Apr/10	1,190.00	
Canada	24/Apr/12	21.10	
Canada	1/May/14	85.52	
Canada	25/May/16	885.40	
Canada	4/Apr/17	291.88	2,473.90
Germany	7/Nov/12	87,435.23	
Germany	7/Oct/14	500,461.23	587,896.46
European Commission	1/Dec/11	125,118.67	
European Commission	14/Oct/15	2,194,927.05	
European Commission	16/Mar/17	2,653,803.63	
European Commission (total funding agreement less received)	future pledged	575,195.08	5,549,044.43
European Seed Association	11/Apr/16	339,750.84	339,750.84
Groupement National Interprofessionnel des Semences	7/Mar/18	214,723.93	214,723.93
IFAD	5/Jun/12	810,525.00	
IFAD	4/Dec/14	689,475.00	1,500,000.00

Indonesia	28/Feb/14	100,000.00	100,000.00
International Seed Federation	30/Nov/16	49,280.00	49,280.00
Ireland	9/Dec/10	659,800.00	659,800.00
Italy	1/Nov/08	344,476.07	
Italy	17/Jul/09	374,514.77	
Italy	19/Apr/10	436,016.15	
Italy	11/Aug/11	571,428.57	
Italy	12/Mar/12	713,333.34	
Italy	28/Jun/12	327,064.68	
Italy	5/Aug/13	1,043,395.23	
Italy	29/Jul/14	641,347.82	
Italy	15/Oct/15	605,714.29	
Italy	23/Jun/16	652,285.23	
Italy	14/Jun/16	559,910.41	6,269,486.56
Norway	16/Mar/09	78,000.00	
Norway	15/Jun/10	101,368.54	
Norway	24/Feb/11	117,789.33	
Norway	25/Apr/12	117,554.45	
Norway	20/Mar/13	122,115.00	
Norway	1/Dec/13	6,495,062.09	
Norway	20/Mar/14	111,351.00	
Norway	23/Apr/15	90,000.00	
Norway	19/Oct/15	10,245.67	
Norway	23/Feb/16	90,332.35	
Norway	16/May/17	92,290.10	
Norway	13/Dec/17	360,664.77	7,786,773.30
Spain	1/May/09	130,000.00	
Spain	29/Mar/10	2,218,935.00	2,348,935.00
Sweden	16/Jul/15	98,726.78	
Sweden	27/Nov/15	80,368.29	
Sweden	13/Dec/16	30,299.74	
Sweden	16/Jun/17	35,507.83	244,902.64
Switzerland	19/Jan/09	28,612.30	
Switzerland	12/Dec/17	107,361.96	135,974.26
Syngenta	28/Jul/13	6,416.00	6,416.00
Total contributions received & pledged		27,408,448.53	27,408,448.53

Fund for Agreed Purposes

Objectives

As noted, the Fund for Agreed Purposes is a Trust Fund for purposes agreed between the donor and the Secretary of the Treaty, under the guidance of the Governing Body.

Current activity and investments

For reasons of clarification, we reproduce in Table 3 all 48 payments to this Fund⁹ since Treaty Inception, which amount to a total of USD 12.1 million.

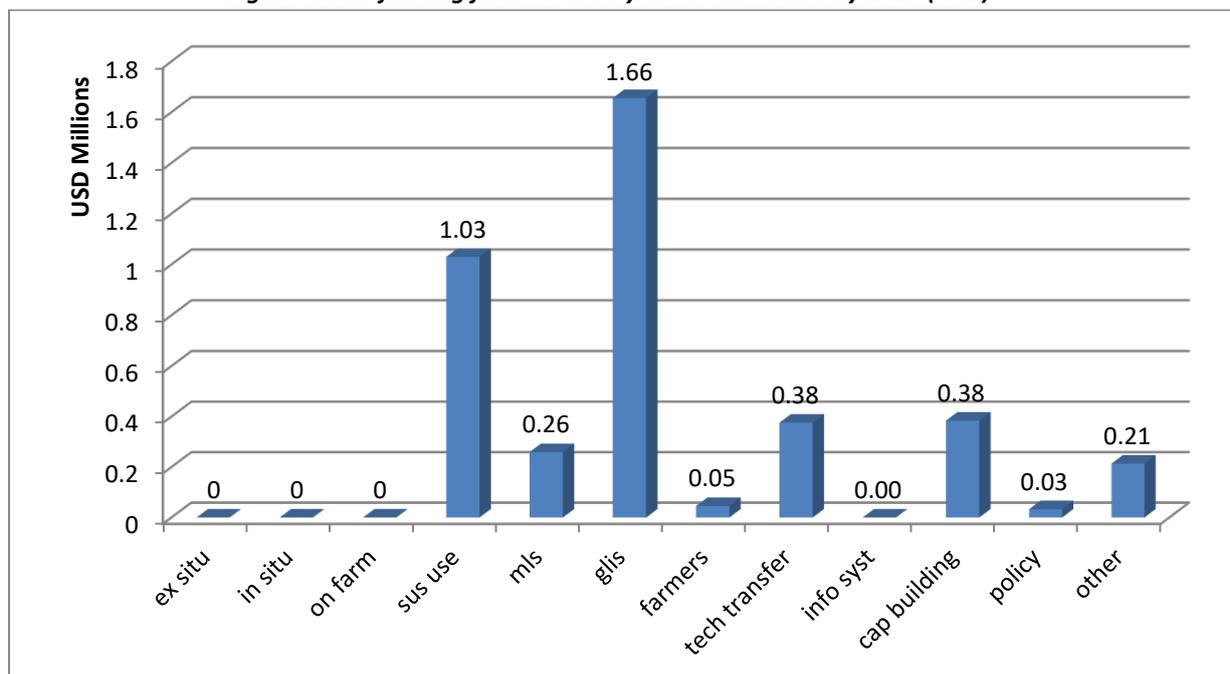
Table 3: Payments to the Fund for Agreed Purposes since Treaty Inception

Trust Fund ID	Donor	Year	Amount (USD)	Activity
GCP /GLO/828/GER	Germany	2018	316,815.00	Support to developing countries to submit national implementation reports to the ITPGRFA Pending finalisation
MTF/INT/019/MUL	Italy	2018	190,424.53	Sustainable use
MTF/INT/019/MUL	Canada	2018	30,994.54	To cover the cost of SAC-GLIS 3 meeting
MTF/INT/019/MUL	Bioversity	2017	53,500.00	Support to the Treaty - Africa workshop pre GB7 and support to African delegates to GB7
MTF/INT/019/MUL	Bioversity	2017	13,500.00	Support to the Treaty - Africa workshop pre GB7
MTF/INT/019/MUL	Switzerland	2017	21,141.65	Working group MLS
MTF/INT/019/MUL	Switzerland	2017	15,592.52	Working group MLS
MTF/INT/019/MUL	Italy	2017	164,998.88	Sustainable use
GCP /GLO/685/GER	Germany	2017	1,167,547.00	Implementation of the Global Information System on PGRFA of Art 17 ITPGRFA
MTF/INT/019/MUL	Spain	2016	246.92	Implementation of the Treaty as "agreed between the donor and the secretary"
MTF/INT/019/MUL	Norway	2016	45,790.51	Support to the Global Consultation on Farmers' rights
MTF/INT/019/MUL	Italy	2016	177,388.95	Sustainable use
MTF/INT/019/MUL	Switzerland	2016	148,809.52	Working group MLS
MTF/INT/019/MUL	Italy	2015	230,479.19	Sustainable use
MTF/INT/019/MUL	Netherlands	2015	375,469.34	Technology transfer
GCP /INT/019/GER	Germany	2015	143,036.78	Design and implementation of the Global Information System on Plant Genetic Resources of Article 17 of the ITPGRFA Phase I
MTF/INT/019/MUL	Switzerland	2014	75,987.84	To support activities linked to the implementation of the Work Programme 2014-15 on sustainable use of PGRFA
MTF/INT/019/MUL	Australia	2014	94,717.80	Contribution to the research study on identifying the potential monetary and non-monetary benefits arising from the utilization of plant genetic resources under the multilateral system of the Treaty
MTF/INT/019/MUL	Italy	2014	213,782.61	Implementation of the Treaty as "agreed between the donor and the secretary"
MTF/INT/019/MUL	Spain	2014	314,091.00	Capfitogen
MTF/INT/019/MUL	United Kingdom	2013	33,070.00	To cover the cost of a meeting of the Compliance Committee
MTF/INT/019/MUL	Italy	2012	99,502.49	Sustainable use
MTF/INT/019/MUL	Italy	2012	49,751.24	Strengthening the Multi-lateral System
MTF/INT/019/MUL	Italy	2012	248,756.22	Implementation of the Treaty as "agreed between the donor and the secretary"
MTF/INT/019/MUL	Spain	2012	1,145,681.00	Multilateral system; National Workshop; BSF operational support
MTF/INT/019/MUL	Italy	2012	153,333.33	Implementation of the Treaty as "agreed between the donor and the secretary"
MTF/INT/019/MUL	Italy	2011	489,942.86	Implementing the Work Programme and Budget and strengthening the Secretariat of the IT-PGRFA
MTF/INT/019/MUL	Australia	2011	159,090.00	Contribution to the research study on identifying the potential monetary and non-monetary benefits

⁹ Strictly speaking, this Fund is made up of several funds – a multi-donor one and single donor Trust Funds where donors require such. The data presented here includes contributions by either modality.

				arising from the utilization of plant genetic resources under the multilateral system of the Treaty
MTF/INT/019/MUL	Netherlands	2010	25,000.00	Implementation of the Treaty as "agreed between the donor and the secretary"
MTF/INT/019/MUL	Sweden (SIDA)	2010	66,000.00	Legal and Technical Assistance to Developing Countries on Implementing the International Treaty on Plant Genetic Resources for Food and Agriculture with particular reference to the multilateral system of access and benefit sharing
MTF/INT/019/MUL	Italy	2010	134,589.50	Joint Programme on Capacity Building - Italian Contribution
MTF/INT/019/MUL	Italy	2010	269,179.00	Implementation of the Treaty as "agreed between the donor and the secretary"
MTF/INT/019/MUL	Spain	2010	73,964.50	Implementation of the Treaty as "agreed between the donor and the secretary"
MTF/INT/019/MUL	Spain	2010	780,000.00	Implementation of the Treaty as "agreed between the donor and the secretary"
MTF/INT/019/MUL	Ireland	2009	314,225.00	Implementation of the Treaty as "agreed between the donor and the secretary"
MTF/INT/019/MUL	Sweden (SIDA)	2009	407,000.00	Legal and Technical Assistance to Developing Countries on Implementing the International Treaty on Plant Genetic Resources for Food and Agriculture with particular reference to the multilateral system of access and benefit sharing
MTF/INT/019/MUL	Italy	2009	886,075.95	Implementation of the Treaty as "agreed between the donor and the secretary"
MTF/INT/019/MUL	Spain	2009	585,000.00	Implementation of the Treaty as "agreed between the donor and the secretary"
MTF/INT/019/MUL	Italy	2008	838,416.55	Implementation of the Treaty as "agreed between the donor and the secretary"
MTF/INT/019/MUL	Sweden (SIDA)	2008	500,000.00	Legal and Technical Assistance to Developing Countries on Implementing the International Treaty on Plant Genetic Resources for Food and Agriculture with particular reference to the multilateral system of access and benefit sharing
MTF/INT/019/MUL	Italy	2008	414,492.83	Implementation of the Treaty as "agreed between the donor and the secretary"
MTF/INT/019/MUL	Italy	2007	574,950.73	Implementation of the Treaty as "agreed between the donor and the secretary"
MTF/INT/019/MUL	Australia	2007	40,000.00	Contribution to establish the Special Fund for Agreed Purposes
MTF/INT/019/MUL	Austria	2007	4,992.02	Contribution to establish the Special Fund for Agreed Purposes
MTF/INT/019/MUL	Finland	2007	5,000.00	Contribution to establish the Special Fund for Agreed Purposes
MTF/INT/019/MUL	Ireland	2007	5,000.00	Contribution to establish the Special Fund for Agreed Purposes
MTF/INT/019/MUL	Canada	2006	92.22	Contribution to establish the Special Fund for Agreed Purposes
MTF/INT/019/MUL	Spain	2006	4,982.26	Contribution to establish the Special Fund for Agreed Purposes
TOTAL PAYMENTS			12,102,402.28	

Over the last five years (since January 2013), the Fund has received 21 payments to a total of 4,711,835 USD from ten donors. We have mapped this income across the Treaty areas of the Funding Matrix, and visualised the totals in Figure 3 below.

Figure 3: FAP funding flows to Treaty areas since January 2013 (USD)

Future commitments and trends

There are currently two main contributions to the Treaty's Fund for Agreed Purposes in the pipeline – one for capacity building on compliance reporting (approximately USD 300,000) and one for Farmers' Rights, crop strategies and MLS enhancement (to a total of over USD 360,000).

Resolution 17/2017 on the Work Programme and Budget 2018-2019 of the Governing Body¹⁰ includes (as Addendum to Annex 1) a list of possible donor-funded supporting projects for which funding will be sought throughout the biennium, and which could be taken as an indication of the areas to which future flows may be channelled. However, it is important to note that this list is more a statement of needs than an indication of funds to flow: only approximately 20% of these lists have ever been funded in the past.

Table 4: List of possible donor-funded supporting projects

Supporting Project	Projected cost (USD)
The Benefit-sharing Support Programme of the Treaty	500,000
Joint Capacity-Building Programme for the harmonious implementation of the Treaty, and the CBD and its Nagoya Protocol	600,000
Outreach, Awareness-raising and Promotion of the Treaty	550,000
Training programme on the Treaty	460,000

¹⁰ <http://www.fao.org/3/a-bu006e.pdf>

The Global Information System on Plant Genetic Resources for Food and Agriculture under Article 17 of the Treaty	1,100,000
Conservation, Sustainable Use of PGRFA and Farmers' Rights under the Article 5, 6 and 9 of the Treaty	500,000
TOTAL contributions needed	3,710,000

Global Crop Diversity Trust (Trust)¹¹

Secretariat

The Crop Trust

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Background

The Trust is an autonomous international fund established under international law and possesses full international legal personality. Through its endowment fund and other funds it may administer, it provides financial support for eligible *ex situ* collections of PGRFA. It also provides technical assistance for the efficient management of genebanks and their inter-institutional coordination, and participates in the management of the Svalbard Global Seed Vault.

The Crop Trust is recognized as an essential element of the funding strategy of the Treaty, as established in a formal Relationship Agreement signed by the Crop Trust and the Governing Body of the Treaty in 2006. In accordance with its Constitution and the Relationship Agreement, the Governing Body provides policy guidance to the Crop Trust.

Objectives

The objective of the Trust is to ensure the long-term conservation and availability of plant genetic resources for food and agriculture with a view to achieving global food security and sustainable agriculture.

Institutional structure and decision-making bodies

Executive Board

The Executive Board is the principal decision-making body of the Crop Trust. The Board normally meets twice each year and its members are appointed by key Crop Trust stakeholders: the Governing Body of the Treaty, the Trust's Donors' Council, the Director General of the FAO, the Chair of the CGIAR, and the Board itself.

Donors' Council

¹¹ Information for this section was taken from the Constitution of the Global Crop Diversity Trust (<https://www.croptrust.org/wp/wp-content/uploads/2014/12/Constitution-english1.pdf> accessed on 5 July 2018) and the information provided on the Trust's website <https://www.croptrust.org>.

The Donors' Council consists of public and private donors who have made a sizable contribution to the Crop Trust. It functions as a forum for the Crop Trust's donors to express their views on the Trust's activities and to provide advice on fundraising and other financial matters. The Donors' Council meets twice a year and provides reports to the Executive Board.

Executive Director

The Executive Director is the chief executive officer of the Trust and, while responsible to the Executive Board for the operation and management of the Trust, has full power and authority to direct the work of the Trust and its Secretariat.

Technical Experts

The Executive Board also draws on the technical advice of existing organizations, networks and individuals competent in areas relevant to the objective and activities of the Trust. Technical experts are appointed by the Executive Director.

Mandate and priority setting

The Trust's mandate is given by its unique position as the sole international organisation focussed exclusively on the conservation of crop genetic resources for continuous food security. As an essential element of the Funding Strategy of the Treaty, its priorities lie, above all, with ensuring the efficiency and quality of *ex situ* conservation of plant genetic resources for food and agriculture, but also, as a precondition of this, on the collection, conservation and evaluation of crop wild relatives and the development and maintenance of comprehensive and workable information systems.

The key priority of the Trust is to provide long-term and predictable financing for the Article 15 collections (CGIAR Centre genebanks).¹² This support is intended to be provided exclusively from the returns of its endowment fund. Currently, returns are not sufficient, which means that additional resources have to be mobilised, which is at present done through the Genebank Platform,¹³ a six-year partnership with the CGIAR, in particular. The Trust plans to raise the endowment fund over the next few years to a level which would generate the income required to fund the essential operations of CGIAR genebanks from 2022. Moreover, the Trust provides project-based funding, particularly to upgrade and build the capacity of key genebanks around the world.

Apart from the formal relationship the Treaty has with the Trust on paper, the Treaty is also an observer on the Trust's Executive Board and the Donors' Council, enabling the Secretariat to stay updated about progress or any potential changes in the Trust's strategic priorities or emphases.

Current activity and investments

The Trust's total programme expenditure in 2017 amounted to 36.76 million USD, in 2016 to 32.45 million USD, in 2015 to 28.48 million USD, in 2014 to 25.15 million USD, and in 2013 to 23.35 million USD. We were able to obtain estimates regarding comprehensive programme expenditure broken

¹² More information can be found in the trust's Disbursement Strategy, accessible at <https://www.croptrust.org/wp/wp-content/uploads/2014/12/Crop-Trust-Fund-Disbursement-Strategy.pdf>.

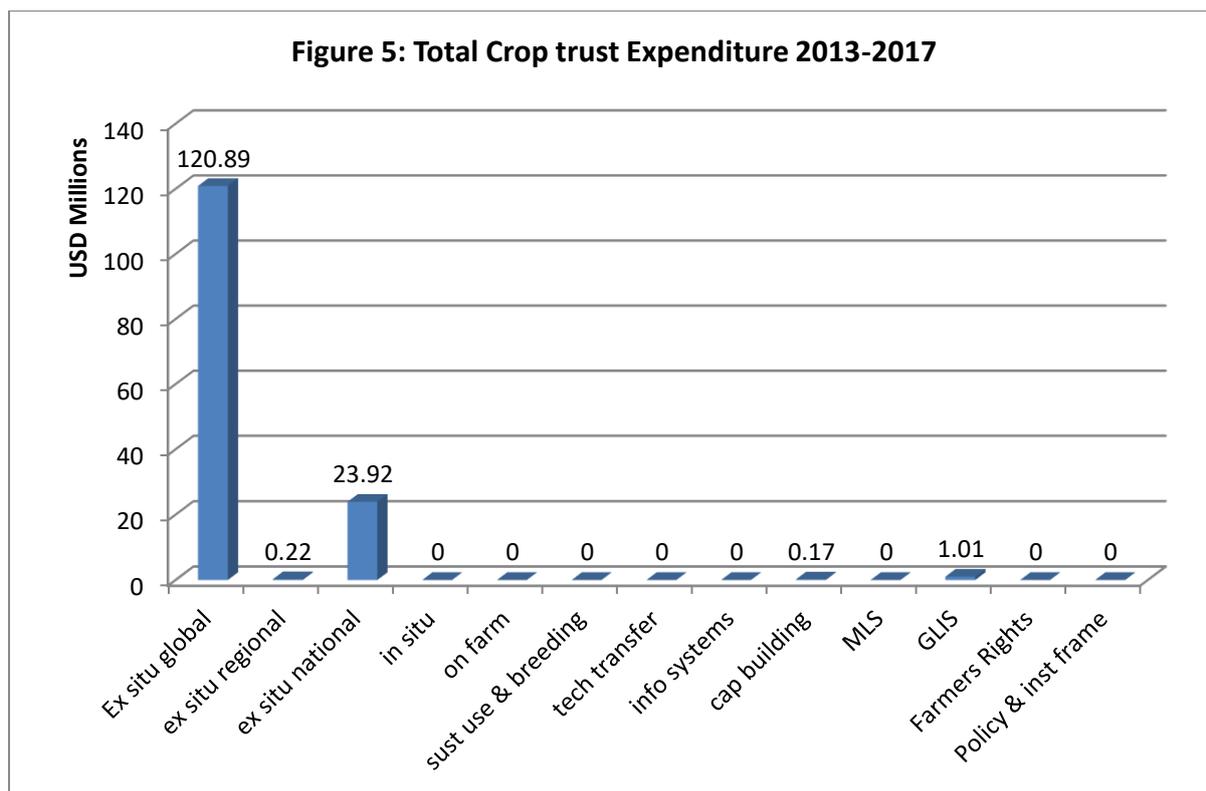
¹³ <https://www.croptrust.org/our-work/supporting-crop-conservation/global-genebank-partnership/> The Genebank Platform complements the existing long-term grants already provided by the Crop Trust via its endowment fund, but has expanded the Crop Trust's role and helped to ensure funding is adequate and predictable until the endowment is complete.

down by Treaty area from the Trust's Director of Finance for the five year period 2013-2017 (see Figure 4 below).

Figure 4: Crop Trust programme expenditure 2013-2017

TOTALS	PGRFA Conservation & Sustainable Use						Treaty Enabling Mechanisms & Provisions					
	Ex situ			In situ	On-farm	Breeding	Non-monetary sharing		benefit-	MLS	GLIS	Farmers' Rights
	Global	Regional	National				Technology transfer	Information systems	Capacity building			
2017	36,757,000	30,358,000	59,000	5,910,000					165,000		265,000	
2016	32,484,000	25,488,000	0	6,742,000					0		254,000	
2015	28,477,000	22,948,000	56,000	5,316,000					0		156,000	
2014	25,150,000	22,660,000	55,000	2,141,000					0		294,000	
2013	23,349,000	19,440,000	54,000	3,811,000					0		44,000	
2013-2017	146,217,000	120,893,000	224,000	23,921,000					165,000		1,014,000	0

As is to be expected, the vast majority of the Trust's funds (99.2%) flow towards ex situ conservation of plant genetic resources for food and agriculture, especially to support global and national genebanks. The Trust's expenditure between 2013 and 2017 is visualised in Figure 5 below.



It is important to note that in this assessment of funding flows, spending under the Crop Wild Relatives Programme (approximately 5 million USD in 2017) was categorised under national ex situ conservation. Activities under this programme could also legitimately have been categorised differently (sustainable use; in situ conservation) and thereby changed the distribution of flows across Treaty areas to a certain extent. This highlights again the implications of the original categorisation work to be undertaken for any serious analysis of funding flows. Different decisions at this early research stage could have serious implications at the policy level later. The risk of double-counting or under-counting must also be taken into consideration when attempting a comparative analysis of these financial flows due to donor entanglement – in the case of the Crop Trust particular care is to be taken in comparisons with the CGIAR (see next section).

The Trust remains at the disposal of the Treaty and expects a further iteration of this review in the near future.

Future commitments and trends

Some estimates of future funding flows are available as multi-year budgets from the Trust. There have also been conversations, to some of which the Treaty Secretariat was party, about the genebank platform, an Emergency Fund, and key crop conservation strategies with engagement from the private sector.

From the costing of these strategies, once they become available, we can begin to build a partial picture of future funding flows from the Crop Trust to areas of the Treaty. The Trust will provide these as soon as they become available.

CGIAR¹⁴

Secretariat

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Background

The CGIAR was established in 1971 as the Consultative Group on International Agricultural Research. Now known as the CGIAR System, its governance functions are distributed among four formal entities (see Decision-making Bodies below). The CGIAR System provides financing, technical support, and strategic direction for 15 CGIAR Research Centers across the world. Each Center is an independent, non-profit research organization with its own charter, board of trustees, director general, and staff.

Objectives

The purpose of the CGIAR System is to advance agri-food science and innovation to enable poor people, especially women, to better nourish their families, and improve productivity and resilience so they can share in economic growth and manage natural resources in the face of climate change and other challenges.

Decision-making bodies

CGIAR System Council

The System Council consists of representatives of Funders and developing countries which keep under review the strategy, mission, impact and continued relevance of the CGIAR System.

CGIAR System Organization

The System Organization comprises:

- a) The System Management Board, which is the governing body of the System Organization and consists of six Centre Board Members or Director Generals of the international centres and three independent members, as well as the Executive Director of the System organization ex officio.
- b) The System Management Office, hosted in Montpellier, France, which is responsible for the day-to-day operations of the System Organization, and for providing support to the System Management Board and the System Council.

General Assembly of the Centres

At the CGIAR Research Centers' General Assembly issues relevant to Centers are discussed, including those related to the CGIAR System and the CGIAR System Organization.

¹⁴ Information for this section is taken from the Charter of the CGIAR System Organization (available at <https://cgspace.cgiar.org/bitstream/handle/10947/4370/Charter%20CGIAR%20Organization.pdf>, accessed on 5 July 2018) and the CGIAR System Framework (available at <https://cgspace.cgiar.org/bitstream/handle/10947/4371/CGIAR%20System%20Framework%20-%20WEB.pdf>, accessed on 5 July 2018), as well as the information provided on the CGIAR's website <https://www.cgiar.org/>.

Mandate and priority setting

CGIAR's Strategy and Results Framework provides the strategic direction to deliver on the CGIAR mission and contribute to the United Nation's Sustainable Development Goals. Three goals, known as System Level Outcomes (SLOs), guide CGIAR work: (i) to reduce poverty; (ii) improve food and nutrition security; and (iii) to improve natural resources and ecosystem services.

11 of the 15 CGIAR Research Centres have concluded agreements under Article 15 of the Treaty,¹⁵ and have the conservation, sustainable use and enhancement of PGRFA as a key focus. The other 4 specialise in forests, food policy, aquaculture and water management.

The current portfolio of CGIAR work (2017-2022) is structured in 12 CGIAR Research Programs (CRPs) and four Research Support Platforms. The CRPs are divided into two clusters: eight Agrifood Systems CRPs (six of which are crop-based: Grain legumes and dryland cereals; wheat; maize; rice; roots, tubers and bananas; forests, trees and agroforestry; the remaining two are on fish and livestock) and four Global Integrating Programs (agriculture for nutrition and health; climate change, agriculture and food security; policy, institutions and markets; water land and ecosystems). The Research Support Platforms are on Big Data in Agriculture, Excellence in Breeding, Gender and the Genebank Platform, which is administered by the Global Crop Diversity Trust.

This is a slight change from the previous portfolio round (2011-2016), but more in terms of *organising* their thematic focus – the *focus itself* has remained relatively constant.

Current activity and investments

CGIAR funding is delivered via a multi-donor trust fund (CGIAR Fund) and on a bilateral basis. Harmonized funding is channelled through Window 1 & 2 of the CGIAR Fund, with Funders providing Window 1 pooled contributions and designating Window 2 contributions to specific CGIAR Research Programs (CRPs). The top priority of Window 1 is to fund genebank activities via the genebank platform (this envelope is managed by the Global Crop Diversity Trust). This Window is also used to run the Systems Office and exceptionally to fund small projects.

Funders also allocate funding to particular CGIAR Research Centers through Window 3 of the Fund, or bilaterally to Research Centers (outside the Fund) for purposes agreed between the donor and the Centre exclusively, as well as bilaterally to particular CRPs.

Each CRP provides an annual report with financial statement broken down by project components. Detailed research may reveal the particular objectives of and activities conducted under each component, enabling thus a rough ballpark estimate of funding to the diverse areas under the

¹⁵ Article 15 CGIAR Centres are: Africa Rice Center, Bioversity International, International Centre for Tropical Agriculture (CIAT), International Maize and Wheat Improvement Center (CIMMYT), International Crops Research Institute for the Semi-Arid Tropics (ICRISAT), International Institute of Tropical Agriculture (IITA), International Livestock Research Institute (ILRI), International Potato Center (CIP), International Rice Research Institute (IRRI), World Agroforestry Centre (ICRAF), International Center for Agricultural Research in the Dry Areas (ICARDA).

Treaty. However, more information gathering would be necessary, as these annual reports do not provide all the information to gain a detailed picture.

An annual report on the financial performance of the CGIAR System Organization and CGIAR Centers is also available,¹⁶ and is useful in that it collates data on the different CRPs as well as by Center. However, data is in a highly aggregated form (see Table 5 below) and would also require further information gathering to enable mapping across Treaty areas.

Table 5: CGIAR System revenues and expenditures, 2016 and 2015 (USD million)¹⁷

	2016	2015
CRPs ¹⁸	772.852	802.064
Other programs	136.149	162.640
Systems entities	16.113	17.226
Special initiatives	4.465	2.618
TOTAL expenditure	929.579	984.548
TOTAL revenue ¹⁹	919.144	970.766
Deficit	(10.435)	(13.782)

Of the total expenditure in 2016 of 929.58 million USD, 74% or 692.6 million USD were spent by the Treaty-affiliated CGIAR Centres that have signed agreements with the Treaty (Article 15 Centers). We ought to be able to assume that a large share of this funding could be classified as flowing to Treaty-relevant areas, but only a more detailed analysis will yield a breakdown of actual flows across the different areas.

The next table (Table 6) shows funding flows to each of the CRPs in 2016. As already mentioned, CRPs were differently organised in 2016 than they are now, but all relevant research areas are nonetheless represented.

Table 6: CRP expenditure 2016 (USD millions)²⁰

CRP / Platform	Total expenditure	% of total
Dryland Systems	30.620	4%

¹⁶ For the latest available report (2016) see <http://hdl.handle.net/10947/4666>

¹⁷ Adapted from Table 1 of 2016 CGIAR Financial Report, available at link given in fn 17.

¹⁸ The figure for CRP here includes associated Systems entities costs, which is why it differs slightly from the total expenditures in the next table.

¹⁹ Total revenue here includes CGIAR Funds through Windows 1,2 and 3, as well as bilateral funds and Centers' own income.

²⁰ This table is adapted from Table 9 of the 2016 CGIAR Financial Report, available at link given in fn 17 above.

Humid tropics	26.327	3%
Aquatic Agricultural Systems	2.085	0%
Policies, Institutions and Markets	72.831	9%
Wheat	42.650	6%
Maize	66.313	9%
Rice	72.970	9%
Roots, Tubers and Bananas	84.236	11%
Grain legumes	42.545	6%
Dryland Cereals	15.266	2%
Livestock and Fish	40.539	5%
Agriculture for Nutrition and Health	78.309	10%
Water, Land and Ecosystems	47.392	6%
Forests, Trees and Agroforestry	66.518	9%
Climate Change, Agriculture and Food Security	52.368	7%
Genebanks	31.532	4%
Total	772.500	100%

A preliminary estimation and categorisation of funding flows to individual Treaty-relevant areas ought to be addressed as soon as possible as a follow-up to this iteration of the analysis. Our inquiries revealed that the best strategy to develop a thorough and accurate analysis would be to obtain information at Center-level, that is, directly from individual CGIAR Centers, due to the more detailed and disaggregated nature of the data they are likely to hold.

Future commitments and trends

There may be some small changes to the programmatic approach in the near future, mainly in order to allow for more adaptive management of programmes, enabling more frequent updates to align with funders' expectations. This discussion makes reference to a programming change along the idea of a CGIAR Business Plan Concept or Business Planning Cycle Concept.²¹

Useful starting points for a follow-on investigation include (i) most funding for breeding will be channelled via the crop-based CRPs; (ii) the Global Integrating Program on Water, Land and Ecosystems will channel most of the funding available for on-farm management; (iii) contributions of the Global Integrating Programs on Agriculture for nutrition and health, and on Climate change, agriculture and food security should reveal valuable insights on trends of relevance to the Treaty's Funding Strategy.

Moreover, and crucially, the recently established platform "Excellence in Breeding"²² will be of immediate relevance to the Treaty. The Platform has proposed a budget between USD 10 million and USD 15 million per annum to execute its agenda.²³ This corresponds to approximately 5% of the Agrifood System (crop-based) CRPs' overall investments in germplasm development. It will include a

²¹ This marks a major shift for the funding, planning and implementation of new programs (e.g. 3-year cycle). See https://www.cgiar.org/wp/wp-content/uploads/2018/05/SC6-02_CGIAR-Business-Plan-Concept.pdf

²² <http://excellenceinbreeding.org/>

²³ These figures are taken from the 2016 document Full Proposal on the Excellence in Breeding Platform (2017-2022), available at <https://cgspace.cgiar.org/bitstream/handle/10947/4449/Excellence%20in%20Breeding%20-%20Full%20proposal%202017-2022.pdf?sequence=1&isAllowed=y>

component on bioinformatics and data management, with an estimated cost of USD 3-4 million per annum, which could provide funding flows to Treaty information systems. There are also initial discussions by a group of Funders about a multi-Funder initiative to enhance crop breeding, which considers the Excellence in Breeding platform a likely key organizing principle.²⁴

Food and Agriculture Organization of the United Nations (FAO)²⁵

Secretariat

FAO

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<http://www.fao.org>

Background

The FAO is a specialized agency of the United Nations with 197 member states (including the EU and two associate members). FAO works in over 130 countries worldwide.

Objectives

FAO's three overarching goals are (1) the eradication of hunger, food insecurity and malnutrition, (2) the elimination of poverty, with increased food production, enhanced rural development and sustainable livelihoods, and (3) the sustainable management and utilization of natural resources, including genetic resources.

FAO's objectives are being addressed through five Strategic Programmes, in all of which the conservation and sustainable use of PGRFA will play a key role:

1. Help eliminate hunger, food insecurity and malnutrition
2. Make agriculture, forestry and fisheries more productive and sustainable
3. Reduce rural poverty
4. Enable inclusive and efficient agricultural and food systems
5. Increase the resilience of livelihoods to threats and crises

Decision-making bodies

The Conference

The Conference, which meets every two years, is the sovereign Governing Body of the Organization, that is, the major policy-making organ of FAO. It comprises all Members and Associate Members, all of which are represented with one vote.

²⁴ See also 2018 document 'Update on multi-Funder initiative to enhance crop breeding programs', available at https://www.cgiar.org/wp/wp-content/uploads/2018/05/SC6-04_Multi-Funder-Breeding-Initiative-update.pdf

²⁵ Information for this section is taken from FAO's Constitution, available at <http://www.fao.org/3/a-mp046e.pdf> and the documents *Reviewed Strategic Framework*, available at <http://www.fao.org/3/a-ms431reve.pdf>, and *Our Priorities: the Strategic Objectives of FAO*, available at <http://www.fao.org/3/i8580EN/i8580en.pdf>, as well as the information provided on FAO's website <https://www.fao.org/>. All documents accessed on 5 July 2018.

The Council

The Council is the executive organ of the Conference between sessions and exercises powers delegated to it. The Council is assisted by eight major committees covering agriculture; commodity problems; constitutional and legal matters; forestry; fisheries; world food security; finance; and FAO programmes.

Both Conference and Council may establish Commissions, Committees, Working Groups and similar to advise on policy, conduct research and lead deliberations, such as:

The FAO Commission on Genetic Resources for Food and Agriculture

The Commission on Genetic Resources for Food and Agriculture (hereinafter: the Commission) is the permanent inter-governmental forum dealing with agricultural genetic resources, both plant and animal. It has, at present, 179 members including the EU. It has a coordinating role and deals with policy and all other matters related to the conservation and sustainable use of genetic resources of relevance to food and agriculture.

Current activity and investments

In the Programme of Work and Budget 2014-2015,²⁶ the resources available for the Commission's Multi-Year Programme of Work consisted of (i) a total of approximately USD 10.2 million of ring-fenced resources for the Commission's Secretariat and its Working Groups and allocated resources predominantly for technical staff;²⁷ (ii) extra-budgetary resources provided by countries under specific trust fund projects or programmes amounting to about USD 23.7million, of which about USD 10 million to support national and sub-regional implementation of the Global Plan of Action for Plant Genetic Resources (GPA).

In the Programme of Work and Budget 2016-2017,²⁸ the resources available for the Commission's work consisted of (i) about 9.4 million of ring-fenced and allocated resources,²⁹ and (ii) about USD 21.3 million of extra-budgetary resources provided under trust fund projects or programmes, of which about USD 11.3 million to support national and regional implementation of the Second GPA.

Global Environment Facility (GEF)³⁰

Secretariat

²⁶ Information on budget taken from CGRFA-15/15/20.1, available at <http://www.fao.org/3/a-mm496e.pdf>

²⁷ Ring-fenced and allocated resources are for the Commission's work in plant and animal genetic resources, i.e. will cover crops as well as forestry and livestock.

²⁸ Information on budget taken from CGRFA-16/17/23, available at <http://www.fao.org/3/a-mr419e.pdf>

²⁹ Again, covering work on crop, forestry and livestock genetic resources.

³⁰ Information for this section was taken in particular from the *GEF Instrument* available at https://www.thegef.org/sites/default/files/publications/GEF_Instrument-Interior-March23.2015_1.pdf, and the STAP Work Program available at <http://www.stapgef.org/sites/default/files/publications/STAP%20Work%20Program%20-%20June%202017.pdf> as well as the GEF and STAP websites at <https://www.thegef.org> and <http://www.stapgef.org/> and the Small Grants Programme website at <https://sgp.undp.org>. Accessed on 5 July 2018.

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Background

The GEF Trust Fund was established in the World Bank³¹ for the occasion of the 1992 Rio Earth Summit in order to leverage financial resources to address global environmental problems. Through the GEF, a current total of 183 participating countries implement activities with the support of 18 GEF Agencies.³² GEF funds are available to developing countries and countries with economies in transition to meet the objectives of several international environmental conventions and agreements.

The GEF Trust Fund is the primary source for grants made by the GEF. The GEF also administers the Least Developed Countries Fund (LDCF), the Special Climate Change Fund (SCCF), the Nagoya Protocol Implementation Fund (NPIF), and—as of September 2016—the Capacity-Building Initiative for Transparency (CBIT) Trust Fund. As of June 30, 2017, the GEF had provided total funding of \$17.17 billion through these trust funds. Overall, 4,047 projects, accounting for \$15.47 billion in GEF grants, had been funded as of June 30, 2017, from the GEF Trust Fund.³³

Objectives

The GEF serves as a financial mechanism for five environmental conventions: the Convention on Biological Diversity (CBD), United Nations Framework Convention on Climate Change (UNFCCC), Stockholm Convention on Persistent Organic Pollutants (POPs), UN Convention to Combat Desertification (UNCCD), and the Minamata Convention on Mercury. Moreover, it is associated with several other multilateral environmental agreements (MEAs) and assists their implementation.³⁴ Its objectives are the objectives of all of these MEAs. While the GEF does not fund the implementation of the Treaty directly, the Treaty is part of the Liaison Group of Biodiversity-related Conventions³⁵

³¹ The World Bank continues to serve as the GEF's trustee.

³² These are: Asian Development Bank, African Development Bank, European Bank for Reconstruction and Development, Food and Agriculture Organization of the United Nations, Inter-American Development Bank, International Fund for Agricultural Development, United Nations Development Programme, United Nations Environment Programme, United Nations Industrial Development Organization, The World Bank Group, Conservation International, Development Bank of Latin America, Development Bank of Southern Africa, Foreign Economic Cooperation Office of the Ministry of Environmental Protection of China, Brazilian Biodiversity Fund (FUNBIO), International Union for Conservation of Nature (IUCN), West African Development Bank (BOAD), World Wildlife Fund.

³³ See The GEF in the Changing Environmental Finance Landscape, final report of OPS6, available at <https://www.thegef.org/sites/default/files/council-meeting-documents/c-53-me-inf-01%20-%20DEC17.pdf>

³⁴ In particular, the GEF assists countries undertaking work under Multilateral Agreements on International Waters, i.e. The Global Ship Ballast Water Treaty; The UN Law of the Sea Treaty; The MARPOL treaty for shipping (International Convention for the Prevention of Pollution From Ships); The UN Agreement on conservation and management of straddling fish stocks and highly migratory fish stocks. The GEF also supports implementation of the Montreal Protocol on Substances that Deplete the Ozone Layer in Countries with Economies in Transition.

³⁵ Apart from the Convention on Biological Diversity (CBD), the biodiversity-related conventions include the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), Convention on the Conservation of Migratory Species of Wild Animals (CMS), International Treaty on Plant Genetic

and, as such, benefits from the implementation of the Biodiversity focal area that GEF supports through the Convention on Biological Diversity. Furthermore, following the invitation of the Conference of Parties to the CBD, the Governing Body has made inputs to the guidance provided to the GEF via the CBD.³⁶

Institutional structure and decision-making bodies

Assembly

The GEF Assembly consists of representatives of all participating countries. The Assembly meets every four years, reviews GEF's general policies and evaluates the operation of the Facility on the basis of reports submitted by the Council.

The Council

The Council is GEF's main governing body, responsible for developing, adopting, and evaluating the operational policies and programmes for GEF-financed activities. It consists of 32 members, with 16 members from developing countries, 14 from developed countries, and two from countries in transition. The Council meets twice a year, or as frequently as necessary.

The Agencies

The 18 GEF Agencies facilitate the identification and development of country-driven project proposals and then supervise the implementation of these projects on the ground, which are executed by government agencies and other stakeholders as relevant to the project design, e.g. non-governmental organizations (NGOs), private sector partners, etc.

The Scientific and Technical Advisory Panel (STAP)

STAP provides the GEF with scientific and technical advice on policies, operational strategies, programs and projects. It consists of internationally recognized experts in the GEF's key areas of work. UNEP serves as the secretariat for STAP.

The GEF Independent Evaluation Office (IEO)

The IEO undertakes independent evaluations of GEF projects and programmes and institutional mechanisms. It is independent from the policy-making, the delivery, and management of assistance in the GEF. The IEO Director reports directly to the Council.

Mandate and priority setting

As defined in the GEF Instrument,³⁷ the GEF's mandate is to provide "new and additional grant and concessional funding to meet the agreed incremental costs of measures to achieve agreed global environmental benefits in the following focal areas:

Resources for Food and Agriculture (ITPGRFA), The Ramsar Convention on Wetlands, and the World Heritage Convention (WHC).

³⁶ For example, in December 2016, the CBD's COP-13 received elements of advice from the International Treaty for consideration in the development of the four-year framework of programme priorities (2018-2022) for the seventh replenishment of the Global Environment Facility Trust Fund, which it noted with appreciation in its Decision XIII/21 on the CBD financial mechanism.

³⁷ Basic Provisions, paragraph 2, Instrument for the Establishment of the Restructured Global Environment Facility (2015), available at https://www.thegef.org/sites/default/files/publications/GEF_Instrument-Interior-March23.2015_1.pdf

- (a) biological diversity;
- (b) climate change;
- (c) international waters;
- (d) land degradation, primarily desertification and deforestation;
- (e) chemicals and wastes.”

GEF supports eligible parties to meet their obligations under the MEAs consistent with GEF’s mandate to generate global environmental benefit.

Guidance received from the COPs for which GEF is the financial mechanism is incorporated into GEF strategies which are revised and updated every four years as part of the replenishment process. As already mentioned, the Treaty has made inputs into the guidance provided by the CBD to GEF. However, it needs to be pointed out that the guidance provided needs to identify actions that are eligible for GEF funding. Only GEF-eligible guidance can be taken into account during GEF decision-making processes. GEF-eligibility criteria hence need to be well understood by any entity providing guidance.

GEF-funded projects are country-driven, which means that they are identified by countries to address priorities that have been identified in National Biodiversity Strategy and Action Plans (NBSAP) and other national strategies formulated to implement the MEAs. As long as PGRFA are not a key priority for the majority of countries, they are likely to remain marginal in GEF priorities, too.

Support to PGRFA has to be articulated in particular in terms of achieving agreed global environmental benefits in the areas of biodiversity, climate change and land degradation, in order to interface with GEF’s mandate. Project proposals to GEF have to demonstrate that the thematic areas addressed within the project have been prioritized within the NBSAP³⁸ and are appropriately aligned with the CBD Strategic Plan and the Aichi Targets. The connection of PGRFA to national and international priorities might need to be repeatedly emphasised in this context. We strongly recommend exploring this point further as part of the wider deliberations on the Funding Strategy. Despite this point, according to our interviews and data analysis, GEF is currently active in several areas and programmes of relevance to the Treaty (shown below). Possible future entry points for the Treaty are found within the GEF-7 programming directions, as noted in the sub-section on future commitments and trends below.

Current activity and investments

GEF works through 4-year replenishment cycles, with its seventh cycle (GEF7) having just started on 1st July 2018. This preliminary review focuses on GEF6 (1 July 2014 – 30 June 2018) and GEF7 (1 July 2018 – 30 June 2022) programming.

GEF’s programming is structured through five focal areas (Biodiversity; Climate Change; Land Degradation; International Waters; Chemicals and Waste), each corresponding to one or several multilateral environmental agreements (MEAs) which the GEF was set up to assist or serves as a financial mechanism to.

³⁸ GEF has provided support to about 95% of eligible countries to revise their NBSAPs during GEF-5 (2010-2014).

GEF6 piloted three cross-cutting “integrated approach” programs, (i) Fostering Sustainability and Resilience for Food Security in Sub-Saharan Africa, (ii) Sustainable Cities, and (iii) Taking Deforestation out of Commodity Supply Chains. These were conceived to contribute to each of the focal areas and deliver multiple benefits across several multilateral environmental agreements.³⁹ This programming framework continues in GEF7 with the usual five focal areas complemented and enhanced by three cross-cutting “impact programs”: (i) Food Systems, Land Use, and Restoration Impact Program; (ii) Sustainable Cities Impact Program; (iii) Sustainable Forest Management Impact Program.

GEF6 had a total programming budget⁴⁰ of 4,309 million USD, of which 29.2%, that is, 1,296 million USD fell under the Biodiversity Focal Area and 9.7% or 431 million USD fell under the Land Degradation Focal Area (see table 8 below), These two focal areas have been identified as most relevant to Treaty implementation requirements.

Of particular interest to the Treaty, is the Biodiversity focal area objective in GEF-6 of “Mainstreaming Biodiversity across sectors as well as within production landscapes and seascapes” which foresees as one of five outcomes the conservation and management of biodiversity supporting agricultural ecosystems. This is expressed through the focal area’s strategic Program 7, ‘Securing Agriculture’s Future: Sustainable use of plant and animal genetic resources’, with its three-fold focus on (i) support to establish protection for Crop Wild Relatives (CWR) in-situ through CWR Reserves; (ii) support in-situ conservation and sustainable use, through farmer management, of plant genetic resources in Vavilov Centers of Diversity; and, less relevant for the Treaty, (iii) support to conservation and sustainable use of animal genetic resources.

Program 7 has been allocated 37.7 million USD of grants during GEF-6. This program also attracted an additional 325.9 million USD in co-financing. Almost all of this allocation has been for the conservation and sustainable use of *plant* genetic resources, with only a small portion going towards project focusing on *animal* genetic resources.⁴¹ We may thus consider the figure of 37.7 million USD to be the bottom value of a range of possible investments in areas of relevance to the Treaty.

Table 8: GEF-6 Programming (GEF-6 grants) by Focal Area⁴²

GEF-6	US\$ mill.	% of Total
Biodiversity Focal Area	1,296	29.2%
Climate Change FA	1,260	28.4%
Land Degradation FA	431	9.7%
Chemicals and Waste FA	554	12.5%
International Waters FA	456	10.3%

³⁹ GEF6 also included a cross-cutting Sustainable Forest Management Strategy (not classified as IAP).

⁴⁰ This excludes the corporate budgets for GEFSEC, IEO, STAP, and the World Bank (GEF Trustee), which amounted to another 125 million USD.

⁴¹ Interview with key stakeholder 1.

⁴² These figures are based on GEF-6 Programming Targets, and not actual disbursements. Final numbers are not yet publicly available. However, as of 15 March 2018, 1,012 million USD of the 1,296 million USD BD-FA target (i.e. 78%) had been programmed.

Other Programming ⁴³	312	7.0%
Total GEF-6 Programming	4,309	97.2%
Total GEF-6	4,433	100.0%

Given the poor correlation of GEF focal areas and programs with the thematic areas and programmes under the Treaty, the available figures are not particularly helpful for the purpose of determining actual funding flows and funding gaps for Treaty implementation. However, they set the stage for an understanding of orders of magnitude and proportion of funding to Treaty areas *vis-a-vis* other funding priorities, which is why they are here included.

Project-based exploration of GEF-6

For the purposes of the present review, we have hence focused on analysing the individual projects approved during GEF-6 for their relevance to Treaty implementation.

During GEF6, a number of projects furthered objectives of the Treaty. These were all programmed under the Biodiversity Focal Area (BD-FA) and Land Degradation Focal Area (LD-FA), as well as under the Integrated Approach Pilot (IAP) ‘Fostering Sustainability and Resilience for Food Security in Sub-Saharan Africa’. Due to the paucity of disaggregated data and limited comparability between Focal Areas (reporting periods vary for each Focal Area, as their reporting commitments are to the COPs of different Conventions, which meet at different times and in different years), this preliminary review focuses on the information available via the Biodiversity focal area in particular. As can be seen in Table 8 above, the Biodiversity focal area is also allocated the largest programming budget. Our review of focal area programming directions, strategies and results frameworks has shown that the other focal area of high relevance to the Treaty is the Land Degradation focal area, whereas the Climate Change focal area barely focuses on agriculture (and when it does, projects will have multifocal area orientation, and figure also under reporting of Biodiversity focal area projects).

Detailed revision of title, summary description and supporting project documentation (project proposals, reviews and reports) available in the GEF Project Database⁴⁴ determined that 20 projects of a total of 244 projects⁴⁵ which were approved under the BD-FA during GEF-6 may be categorised as addressing aspects of relevance to the Treaty. These 20 projects have a total cost⁴⁶ of

⁴³ Further to the FA programming depicted in this table, “other programming” includes 115 mill USD, that is 2.6% of the total budget, allocated to the Integrated Approach Pilots. The remaining 4.4% went to Corporate Programs, of which 140 mill USD (3.2%) were allocated to the Small Grants Program.

⁴⁴ <https://www.thegef.org/projects> We individually reviewed all 244 projects approved during the GEF6 period, based on the lists provided in the report of the GEF Council to COP13 of the Convention on Biological Diversity (<https://www.cbd.int/doc/meetings/cop/cop-13/official/cop-13-12-add1-en.pdf>), and in the draft preliminary report to COP14 presented to the Second Meeting of the Subsidiary Body on Implementation in July 2018 (<https://www.cbd.int/doc/c/9f63/8ad3/2aab7f3f33590decf1a320e0/sbi-02-08-add1-en.pdf>).

⁴⁵ We reviewed projects which fell either only under the BD-FA (stand-alone projects) or under multiple FA, but including BD. It is possible that there are stand-alone projects falling solely under the LD-FA, which we have thus missed, but the differing reporting time frames (reports dealing with the LD-FA are presented to the UNCCD COPs taking place biannually, in alternation with CBD COPs) made comparison difficult in the tight timeframe available for this preliminary review. Moreover, no report addressing the entirety of GEF6 programming and finances could be identified. The final report of OPS6, available at <https://www.thegef.org/sites/default/files/council-meeting-documents/c-53-me-inf-01%20-%20DEC17.pdf> includes aggregated financial information for three of the four years of GEF6.

⁴⁶ Total cost includes project preparation costs and implementing agency fees

1,984,616,258 USD, of which 164,361,512 USD (8.3%) was provided in GEF grants, and the rest through co-financing by a varying number of donor countries, international agencies and private flows. It is crucial to note that only eight of these 20 projects make reference to plant genetic diversity, agrobiodiversity or crop diversity in their titles, summary descriptions or project objectives. These eight projects are listed in Table 8 below. The total GEF grants allocated to these eight particularly Treaty-relevant projects amount to 41,889,063 USD, that is, 12.6% of the total combined project costs of 331,155,584 USD (which includes co-financing).

Table 9. Eight particularly Treaty-relevant projects approved during GEF-6

GEF-ID	Project title	Country	Implementing Agency	GEF grant (USD)	Total cost (USD)
9380	Securing the Future of Global Agriculture in the Face of Climate Change by Conserving the Genetic Diversity of the Traditional Agro-ecosystems of Mexico	Mexico	FAO	5,329,452	41,664,640
6943	Conservation and Sustainable Use of Globally Important Agro-biodiversity	Azerbaijan	UNDP	4,160,502	25,010,502
9092	Sustainable Management of Agro-Biodiversity and Vulnerable Ecosystems Recuperation in Peruvian Andean Regions Through Globally Important Agricultural Heritage Systems (GIAHS) Approach	Peru	FAO	9,369,864	88,984,386
9928	Sustainable Management of Kharga Oasis Agro-Ecosystems in the Egyptian Western Desert	Egypt	FAO	1,045,890	10,095,890
9577	Climate Resilient Agriculture for Integrated Landscape Management	Grenada	UNDP	3,659,775	17,482,775
9435	Introduction of New Farming Methods for the Conservation and Sustainable Use of Biodiversity, including Plant and Animal Genetic Resources, in Production Landscapes in Selected Areas of Cuba	Cuba	FAO	2,973,288	26,915,878
9068	Establish a Network of National Important Agricultural Heritage Sites (NIAHS)	Chile	FAO	3,046,347	25,417,568
9768	PRC-GEF Partnership Program for Sustainable Agricultural Development	China	UNDP	12,303,945	95,583,945
TOTAL				41,889,063	331,155,584

Striking is especially that only four of these projects are actually taking place in Contracting Parties to the Treaty (Peru, Egypt, Cuba and Chile, all highlighted), reducing total flows by more than half to USD 16,435,389 if an analysis of funding flows is to account for flows to Contracting Parties only.

The remaining 12 projects which have been identified as partially relevant include activities which further Treaty implementation, but these only constitute a small sub-set of the activities conducted as part of project execution. Nonetheless, we categorised all 20 projects in terms of thematic distribution and correlation with Treaty areas as visualised in Table 9 below. Each row represents one of the 20 projects and the areas under the Treaty which it addresses are highlighted.

Table 10: GEF-6 Biodiversity Focal Area projects of relevance to the Treaty

GEF project ID:	PGRFA Conservation & Sustainable Use						Treaty Enabling Mechanisms & Provisions						
	Ex situ			In situ	On-farm management	Sust. Use & Breeding	Non-monetary benefit-sharing			Multi-lateral System	Global Information System	Farmers' Rights	POLICY and institutional framework
	Global	Regional	National				Technology transfer	Information systems	Capacity building				
9136													
9138													
9135													
9577													
9050													
9178													
9409													
9092													
9928													
9435													
9199													
9330													
9133													
9143													
9068													
9768													
9380													
6943													
9243													
9137													
Total number of projects: 20	0	0	2	9	13	20	0	1	2	0	0	0	3

While this matrix gives a visual overview of Treaty-relevant activity, it does not allow for differentiation between projects according to the funds allocated.

However, we can recall three key figures: total GEF-6 programming (i.e. GEF grants) approved (4,433 million USD), total grant allocation to the Biodiversity Focal Area Program 7 on sustainable use of genetic resources (37.7 million USD), total GEF grants allocated to the eight projects identified as having direct relevance to Treaty implementation (41 million USD).

Future commitments and trends

As during GEF-6, the Biodiversity focal area and Land Degradation focal area will remain the main funding channels for activities of relevance to the Treaty during the 7th replenishment cycle, GEF-7 (1 July 2018 – 30 June 2022). In addition, the Impact Program on Food systems, land use and restoration promises relevance. There are both direct and incidental references in the Programming

Directions for GEF 7 of specific relevance to the Treaty, in particular Paragraph 62: “GEF will also support in-situ conservation and sustainable use, through farmer management (focusing on Vavilov Centers of Diversity for plant genetic resources)”, followed by paragraph 63, which confirms that: “Results from these investments may also generate important co-benefits for the International Treaty on Plant Genetic Resources for Food and Agriculture”. Additionally, in paragraph 100, “in recognition of the importance of genetic resources for food and agriculture and in achieving food security worldwide, the GEF will consider projects for the mutually supportive implementation of the Nagoya Protocol and the International Treaty on Plant Genetic Resources for Food and Agriculture.”

Table 11: GEF-7 Notional Focal Area Breakdown⁴⁷

GEF-7	US\$ mill.	% of Total
Biodiversity Focal Area	1,292	31.8%
(of which its program ‘Sustainable Use of Genetic Resources’)	43	1.1%
Climate Change FA	802	19.7%
Land Degradation FA	475	11.7%
Chemicals and Waste FA	599	14.7%
International Waters FA	463	11.4%
Other Programming ⁴⁸	285	5.9%
Total GEF-7 Programming	3,916	96.3%
Total GEF-7	4,068	100.0%

However, as we have seen for the analysis of GEF6 flows, the available figures on programming budgets do not provide helpful estimates for the purposes of our analysis. Projects tend to fall under more than one FA or program, and usually address several, but not all the objectives of each, making categorisation in terms of funding flowing to particular areas under the ambit of the Treaty difficult if not impossible. We may assume that the larger part of the 43 million USD programmed for the Biodiversity focal area program on “Securing Agriculture’s Future: Sustainable Use of Plant and Animal Genetic Resources” is likely to flow towards Treaty-relevant areas, but whether the funds allocated to other programs and focal areas will eventually be flowing towards Treaty areas crucially depends on country demand.⁴⁹ This highlights again the necessity for improved communication and dissemination of information with regard to Treaty objectives and their relationship to other international agreements, targets (such as the Aichi targets) and the Sustainable Development Goals.

⁴⁷ Adapted from Table 2 of http://www.thegef.org/sites/default/files/council-meeting-documents/EN_GEF.C.54.19.Rev_03_Replenishment.pdf. Final allocations within each Focal Area will be determined by country demand, and the line-item projections are therefore only indicative.

⁴⁸ Further to the FA programming depicted in this table, “other programming” includes 135 mill USD, that is 3.4% of the total budget, allocated to the Impact Programs. The remaining 3.7% are destined for GEF Corporate Programs, of which 128 mill USD (3.1%) are allocated to the Small Grants Program.

⁴⁹ Extrapolating from the possible percentage of total GEF funding flowing towards Treaty-relevant areas (0.85%, see last section), we could hazard the guess that during GEF-7 (1st July 2018 – 30th June 2022), at least about 34.6 million USD may flow towards activities relevant to Treaty implementation.

Green Climate Fund (GCF)⁵⁰

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Background

The GCF was established in 2010 as one element of the financial mechanism of the United Nations Framework Convention on Climate Change (UNFCCC). It is accountable to and functions under the guidance of the Conference of the Parties (COP) of the UNFCCC.

The GCF funds activities through international, regional, and national implementing entities and provides financing in the form of grants, concessional loans, equity, guarantees. Through its direct access modality, national and sub-national organisations can receive funding directly, rather than only via international intermediaries, which is intended to help align GCF's activities with the priorities of developing countries.

The World Bank continues to serve as the interim trustee of the GCF while there are procedures underway to appoint the permanent trustee.

Objectives

The GCF's sole mandate is to serve the UNFCCC and the Paris Agreement by facilitating their implementation. It seeks to promote low-emissions and climate-resilient development by providing financial resources to developing countries to support limiting or reducing greenhouse gas (GHG) emissions and to improve adaptation to climate change. It aims to deliver equal amounts of funding to mitigation of, and adaptation to climate change.

Decision-making bodies

GCF Board

The GCF is governed by a 24-member Board which oversees the Fund's management and has full responsibility for funding decisions. The Board is comprised equally of developed and developing countries and makes decisions based only on the consensus agreement of all Board members.

Executive Director

The GCF is operated by an independent Secretariat headed by an Executive Director which is responsible for executing the day-to-day operations of the Fund. It services and is accountable to the Board.

⁵⁰ Information for this section was taken from the *Governing Instrument for the Green Climate Fund* available at https://www.greenclimate.fund/documents/20182/574763/Governing_Instrument.pdf, and the GCF website at <https://www.greenclimate.fund/>. Accessed on 5 July 2018.

Independent Units

There are three independent units which contribute to GCF governance. These units operate independently from the GCF Secretariat and report directly to the GCF Board.

The Independent Redress Mechanism (IRM) deals with complaints about adverse effects from GCF activities, while the Independent Integrity Unit (IIU) investigates allegations of prohibited practices, such as fraud and corruption. The Independent Evaluation Unit (IEU) evaluates GCF activities and policies independently, and provides strategic information about the Fund's Impact, effectiveness and efficiency.

Mandate and priority setting

The GCF's strategic vision works to (i) promote the paradigm shift towards low-emission and climate-resilient development pathways, and (ii) support the implementation of the Paris Agreement.

Within this vision, the GCF's priorities intersect with the Treaty's particularly clearly in the bolstering of agricultural resilience to climate shocks, and its current portfolio has a number of projects in this area. Projects are designed and proposed by accredited entities (amongst which UN agencies, governmental organisations, financial institutions, NGOs), and must not only align with GCF policies, but also with national strategies and climate actions laid out in respective nationally determined contributions (NDCs), making the GCF importantly country-driven.

In recent FAO analyses of NDCs⁵¹ it is shown that over one hundred countries have referred to actions in the agriculture sector and emphasized the importance of integrating adaptation into agriculture and food production.⁵² Parties to the UNFCCC have introduced various programmes and policies, such as promoting sustainable agriculture and land and resource management, implementing integrated adaptation programmes for agriculture, developing climate criteria for agricultural programmes and adapting agricultural calendars which are of relevance to the Treaty. This also shows that activities funded by the GCF under both the mitigation and the adaptation targets may be of relevance to the Treaty – in the context of forestry (mitigation) and agriculture (adaptation).

Current activity and investments

The GCF has been capitalized at \$10.3 billion from 43 countries, including 9 developing countries. It began approving proposals in October 2015 and has to date approved 102 projects to a total of 5 billion USD.⁵³

⁵¹ See 'The Agriculture Sectors in The Intended Nationally Determined Contributions: Analysis' available at <http://www.fao.org/3/a-i5687e.pdf> and 'The agricultural sectors in nationally determined contributions (NDCs): Priority areas for international support' available at <http://www.fao.org/3/a-i6400e.pdf>. Both publications are from 2016.

⁵² See also Sam Johnston's Climate Finance Review submitted to the Treaty.

⁵³ These numbers are taken from the website at <http://www.greenclimate.fund/home>. The portfolio, however, which is analysed below contains 105 projects. Projects are categorised as micro (simplified approval process SAP; under 10 million USD), small (under 50 million USD), medium (under 250 million USD) and large (over 250 million USD).

For the purposes of this review, we conducted an analysis of the GCF's project portfolio. While useful project documentation (including full proposals and budgets) are available on the GCF's website, no keyword search of the project portfolio is available. We hence reviewed all 105 projects in the portfolio individually, classifying them as 'no relevance to Treaty objectives' or 'some relevance to Treaty objectives' based on the short project description and project documentation available.

Project documents do not go into the level of detail required for a thorough analysis of funding flows to individual areas under the Treaty. However, two projects with specifically Treaty-relevant components or sub-components were identified, and a further 22 projects can be said to hold some relevance to Treaty objectives in that at least one of their sub-components directly or indirectly supports the Treaty through crop diversification or the distribution of climate resilient seed.

More detailed categorisation of these flows according to Treaty areas will be very time-consuming, and would have to include following up with the involved implementing agencies in order to gain a better insight into project component and sub-component budgeting. Our interviews corroborated this approach and yielded the recommendation to target project proponents – especially as the agencies which will be submitting project proposals to the GCF may well have tracking systems with classifications closer to the categories of Treaty areas identified.

Table 12: GCF projects with Treaty-relevance and their budgets (USD millions)

GCF project number	Country	Title	Treaty-relevant aspect	total budget	GCF grant	other GCF finance	total GCF contribution
FP003	Senegal	Increasing Resilience of Ecosystems and Communities through Restoration of the Productive Bases of Salinized Lands	Crop diversification through salinity-adapted seed	8.2	7.6	0	7.6
FP011	Gambia	Large-scale Ecosystem-based Adaptation in the Gambia River Basin: developing a climate resilient, natural resource based economy	Crop diversification through improved and locally adapted varieties	25.5	20.5	0	20.5
FP014	Tajikistan & Uzbekistan	Climate Adaptation and Mitigation Program for the Aral Sea Basin	potential investments for crop diversification via fund	68.8	19	0	19
FP023	Namibia	Climate Resilient Agriculture in three of the Vulnerable Extreme northern crop-growing regions	crop diversification	10	9.5	0	9.5
FP024	Namibia	Empower to adapt: creating climate-change resilient livelihoods through community-based natural resource management in Namibia	grant facility aims to give grants for crop diversification	10	10	0	10
FP034	Uganda	Building Resilient Communities, Wetlands Ecosystems and Associated Catchments in Uganda	crop diversification	44.3	24.1	0	24.1
FP026	Madagascar	Sustainable Landscapes in Eastern Madagascar	crop diversification	69.8	18.5	35	53.5
FP041	Tanzania	Simiyu Climate Resilient Development Programme	introduction of adapted seed	163.7	117.2	0	117.2
FP042	Morocco	Irrigation development and adaptation of irrigated agriculture to climate change in semi-arid Morocco	crop diversification in oases	86.8	22.8	0	22.8
FP048	Guatemala & Mexico	Low-Emission Climate Resilient Agriculture Risk Sharing Facility for MSMEs	risk-sharing, lending facility, may include loans for seed diversification	158	2.1	17.9	20
FP067	Tajikistan & Uzbekistan	Building climate resilience of vulnerable and food insecure communities through capacity strengthening and livelihood diversification in mountainous regions of Tajikistan	crop diversification	10	9.3	0	9.3
FP069	Bangladesh	Enhancing adaptive capacities of coastal communities, especially women, to cope with climate change induced salinity	introducing climate resilient crops	33	25	0	25

FP072	Zambia	Strengthening climate resilience of agricultural livelihoods in Agro-Ecological Regions I and II in Zambia	crop diversification, resilient seed	137.3	32	0	32
FP073	Rwanda	Strengthening climate resilience of rural communities in Northern Rwanda	crop resilience through diversification (though mostly trees, tea and coffee)	33.2	32.8	0	32.8
FP076	Cambodia	Climate-Friendly Agribusiness Value Chains Sector Project	identification and multiplication of climate resilient seed	141	30	10	40
FP078	Ghana, Nigeria & Uganda	Acumen Resilient Agriculture Fund	potential investments in climate resilient seed companies	56	3	23	26
FP087	Guatemala	Building livelihood resilience to climate change in the upper basins of Guatemala's highlands	seed bank	37.7	22	0	22
FP089	El Salvador	Upscaling climate resilience measures in the dry corridor agroecosystems of El Salvador	Climate resilient seed, traditional variety seed fairs	127.7	35.8	0	35.8
FP097	Latin America & Caribbean	Productive Investment Initiative for Adaptation to Climate Change	investment facility may include financing climate resilient seed initiatives	28	3	12.5	15.5
FP101	Belize	Resilient rural Belize	crop diversification	20	6.1	1.9	8
SAP001	Namibia	Improving rangeland and ecosystem management practices of smallholder farmers under conditions of climate change in Sesfontein, Fransfontein, and Warmquelle areas of the Republic of Namibia	introduction of drought resistant seed	10	9.3	0	9.3
SAP002	Kyrgyzstan	Climate services and diversification of climate sensitive livelihoods to empower food insecure and vulnerable communities in the Kyrgyz Republic	crop diversification	9.6	8.6	0	8.6
SAP005	Benin	Enhanced climate resilience of rural communities in central and north Benin through the implementation of ecosystem-based adaptation (EbA) in forest and agricultural landscapes	climate resilient crops	10	9	0	9
SAP006	Namibia	Building resilience of communities living in landscapes threatened under climate change through an ecosystems-based adaptation approach	climate resilient crops	9.1	8.9	0	8.9
TOTALS				1307.7	486.1	100.3	586.4

July 2018



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



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

As already pointed out, only two of these 24 projects include a component or sub-component with specific objectives of Treaty-relevance (these are highlighted in colour in Table 12 above). Project FP076 'Climate-Friendly Agribusiness Value Chains Sector Project' in Cambodia, contains an activity which is dedicated in its entirety to the identification and multiplication of climate resilient seed. This activity is budgeted with 3.9 million USD, of which 2.8 million USD are financed by the GCF. Project FP089 'Upscaling climate resilience measures in the dry corridor agroecosystems of El Salvador' includes a sub-activity on climate resilient seed and traditional variety seed fairs, which is one of 8 sub-activities financed through an activity budget of 82 million USD, of which the GCF contributes 14 million USD. In crude estimation, we may divide this activity budget by 8 to get a total of 10.25 million USD per sub-activity, of which 1.75 million USD come from the GCF.

Using these figures yields an estimated total of 14.15 million USD flowing to Treaty-relevant areas, namely sustainable use and on-farm management, 4.55 million USD of which the GCF contributes.

The remaining 22 projects only dedicate a fraction of one of their sub-components to Treaty areas such as sustainable use or on-farm management, making estimation of the funding flow or investment too difficult without follow-up with the implementing agencies.

However, we can state with some confidence that to date, about 23% of all GCF projects contribute to sustainable use and on-farm management of plant genetic resources for food and agriculture, even if the actual time and financial resources invested in each may be minor. Their collective budgets amount to a total of 1.3 billion USD of which 37% or 586.4 million USD come from the GCF (486.1 million USD of grants and 100.3 million USD of other financing, such as loans or equity).

It goes without saying that the risk of double counting is high, especially if including the co-financed part of these budgets in any calculations. Again, detailed follow-up with implementing agencies would be a necessity in order to disentangle the budget components and contributory sources.

Future commitments and trends

GCF adopted an ad hoc resource mobilization process at its inception, with the Board deciding to transition subsequently to a formal replenishment process. At the time of writing (July 2018), the GCF Board was in the process of developing the policies and procedures for the first replenishment.⁵⁴ GCF replenishment cycles are not fixed time periods, but renew when 60 percent of the current resources are programmed. Our interviews revealed that there are no major changes in thematic focus foreseen for the immediate future.

⁵⁴ See also the recent relevant Board document at https://www.greenclimate.fund/documents/20182/1087995/GCF_B.20_06_Rev.01_-_Arrangements_for_the_first_formal_replenishment_of_the_Green_Climate_Fund.pdf/b7d53ab8-64ae-f8cb-035e-e61a6c897144

World Bank and International Finance Corporation (IFC)

Secretariat

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Background

The *World Bank* includes the International Bank for Reconstruction and Development (IBRD) and the International Development Association (IDA). The *World Bank Group* further includes the International Finance Corporation (IFC), the Multilateral Investment Guarantee Agency (MIGA) and the International Centre for Settlement of Investment Disputes (ICSID).

The IBRD, established in 1944 to finance the reconstruction of Europe after World War II, now provides loans to middle-income developing countries on the basis of sovereign guarantees. The IDA, established in 1960, provides concessional financing (interest-free loans or grants) to low-income developing countries, usually with sovereign guarantees. The IFC, established in 1956, provides various forms of financing without sovereign guarantees, primarily to the private sector in order to facilitate private-sector development in developing countries. While these three institutions of the World Bank Group are of primary relevance to assessing financing of Treaty-relevant development initiatives, the other two provide important financial services without which certain kinds of investments would not actually be made. In a context in which private finance is increasingly considered as an important mechanism for the pursuit of development objectives, organisations such as MIGA and ICSID and their services need to be understood and, ideally, accounted for in a thorough-going analysis of finance flows.

ICSID, established in 1965, is an international arbitration institution for legal dispute resolution and conciliation between international investors; and MIGA, established in 1988, provides insurance against certain types of risk, including political risk, primarily to the private sector.

Each institution in the World Bank Group is owned by its member governments, with votes proportional to shareholding. 189 countries are WBG members and participate at a minimum in the IBRD.

Objectives

The World Bank Group provides financial products and technical assistance to developing countries with the sole purpose of fostering inclusive and sustainable growth.

Decision-making bodies

Board of Governors

World Bank Member Countries, or shareholders, are represented by a Board of Governors, the ultimate policymaking forum at the World Bank. The governors are usually member countries' ministers of finance or ministers of development. They meet once a year at the Annual Meetings of the Boards of Governors of the World Bank Group.

Boards of Directors

The governors delegate most of their powers and duties to 25 Executive Directors, who work on-site at the Bank. Every member government of the World Bank Group is represented by an Executive Director. The five largest shareholders – France, Germany, Japan, the United Kingdom, and the United States – appoint an Executive Director, while other member countries are represented by 19 elected Executive Directors.

There are four Boards of Directors (one each for IBRD, IDA, IFC, and MIGA), each responsible for the general operations of their respective organization.

They normally meet at least twice a week to oversee the Bank's business, including approval of loans and guarantees, new policies, the administrative budget, country assistance strategies and borrowing and financial decisions.

President

The President of the Bank is a national of the largest shareholder, the United States. Elected for a five-year renewable term, the president of the World Bank chairs meetings of the Board of Directors and is responsible for overall management of the Bank.

Mandate and priority setting

Member countries govern the World Bank Group through the Boards of Governors and the Boards of Executive Directors. These bodies make all major decisions for the organizations, including specific priorities and strategic objectives.

The World Bank has set two overarching goals to achieve by 2030: (i) end extreme poverty by decreasing the percentage of people living on less than \$1.90 a day to no more than 3%; (ii) promote shared prosperity by fostering the income growth of the bottom 40% for every country.

Current activity and investments

Despite its commitment to free and open access to global development data, data on financial flows is only available in highly aggregated form from the World Bank Headquarters. However, it may be possible that the national offices of the Bank curate data at levels of disaggregation more useful to the purposes of an analysis of funding flows. A more detailed future investigation may start by exploring the data held nationally, in order to assess its quality and relevance.

An important complication arising with regard to World Bank finance – and which is likely to apply to the funding flows channelled through certain other institutions as well – is that, while the finance provided to governments is based on particular project proposals and business cases which can be reviewed, the recipient government may decide to realign the program with emerging priorities before or during project implementation. This again highlights the disjuncture between project funding and project results.

The figures of the following table are all publicly available, but difficult to consolidate from the publicly available documents online. They were kindly provided by senior management.

Table 13: Annual IBRD loans and IDA credits⁵⁵ to the agriculture sector: USD Million; FY13-18⁵⁶

Sub-Sector Fiscal year	FY13	FY14	FY15	FY16	FY17	FY18	TOTAL FY13- FY18
Agric extension & research	335.62	244.33	384.09	115.98	448.01	1,077.34	2605.37
Agricultural markets	223.10	335.90	473.57	237.61	954.58	2,497.81	4722.57
Crops	153.50	211.61	440.65	89.85	189.54	105.06	1190.21
Fisheries	80.76	23.85	314.31	60.73	103.45	47.81	630.91
Forestry	119.79	48.25	111.40	61.35	157.57	156.48	654.84
Irrigation & drainage	515.17	1,527.27	796.60	698.58	547.46	1,437.19	5522.27
Livestock	39.32	159.41	267.50	4.93	408.44	346.44	1226.04
Other Agric, Forestry	870.87	821.43	680.69	1,169.96	503.87	361.98	4408.8
Public Administration - Agric, Fish & Forest	129.38	151.82	335.58	208.52	420.22	465.87	1711.39
TOTAL	2,467.51	3,523.87	3,804.38	2,647.50	3,733.14	6,495.98	22,672.38

A future iteration of this review might fruitfully start exploring the particular projects funded under the subsectors 'Agricultural extension and research' and 'Crops'.

Future commitments and trends

All agricultural priorities originate from the recipient governments.

International Fund for Agricultural Development (IFAD)

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Background

A specialized agency of the UN and international financial institution established in 1977, IFAD is a direct outcome of the 1974 World Food Conference, with a core mandate to finance rural and agricultural development. Through low-interest loans and grants, IFAD works with recipient governments to develop and fund initiatives aimed at the inclusive and sustainable transformation of rural areas. It also mobilizes co-financing for the same end from a variety of governmental and private sources.

To date, 176 countries are IFAD Member States.

⁵⁵ This data excludes the IDA grants provided. Based on first review of World Bank data provided online, grants seem to make up approximately 5-10% of total finance flows to different sectors.

⁵⁶ World Bank financial years start on 1st of July and end on 30th of June of the FY number: FY13 ran from 1 July 2012 to 30 June 2013.

Objectives

IFAD aims to enable poor rural people overcome poverty and achieve food security through remunerative, sustainable and resilient livelihoods. It does so through strategic investments in rural people, and to enable inclusive and sustainable rural transformation.

Decision-making bodies

Governing Council

The Governing Council is the Fund's main decision-making body. It consists of all of IFAD's Member States and meets annually. The Council Sessions are chaired by the Chairpersons of the Governing Council Bureau.

Executive Board

The Executive Board oversees general operations of IFAD and approves its programme of work (including loans and grants for projects). It is composed of 18 Members and 18 Alternate Members. The Board is elected by the Council for a three-year period. It holds three regular sessions a year.

The Board is chaired by the IFAD President, selected by Member States for a four-year, once-renewable term.

The Evaluation Committee and the Audit Committee are sub-committees of the Board, performing reviews of evaluation and audit issues.

Mandate and priority setting

IFAD's fifth Strategic Framework 2016-2025 sets out IFAD's current priorities. It sets three strategic objectives: (i) increasing the productive capacity of poor rural people; (ii) increasing their benefits from market participation; (iii) strengthening the environmental sustainability and climate resilience of their economic activities.

Importantly, IFAD programming is no longer recipient-driven. IFAD programming has moved to competitive selection of grant recipients based on its own priorities, closely aligned to Agenda 2030. In order to be invited to closed competitive processes, a recipient organisation (such as the Treaty could be) has to be on the donors' radar as a centre for excellence.

Current activity and investments

While IFAD also funds investment projects via loans to recipient country governments, the data we were able to obtain in the time frame of this review relates solely to IFAD grants. This excludes the information for other Treaty-relevant funds administered by IFAD, such as the Adaptation of Smallholder Agriculture Programme Fund⁵⁷ and programmes funded by the European Union⁵⁸.

IFAD grants are being funded through two Windows. Window 1 is for projects under 500,000 USD, which mostly involve projects for studies and capacity building of governmental institutions. Window 2 provides grants of up to 3.5 million USD and is the Window that is relevant for a funding flow analysis with respect to Treaty implementation.

⁵⁷ ASAP is a multi-donor, climate change adaptation programme established by means of a trust fund within IFAD to channel climate and environmental finance to smallholder farmers. Launched in 2012, ASAP is now a fully mainstreamed and integrated programme. See also <https://www.ifad.org/asap>

⁵⁸ <https://www.ifad.org/web/guest/european-union>

A very rough ballpark estimate of overall funding provided to Treaty areas has kindly been provided by a senior staff member involved in screening and quality assurance of all IFAD grants. While this information is first and foremost a personal estimation, it gives a useful approximation.

Table 14: Estimated proportion of grant portfolio corresponding to Treaty area (%)

	PGRFA Conservation & Sustainable Use					Treaty Enabling Mechanisms & Provisions					POLICY and institutional framework		
	Ex situ			In situ	On-farm management	Sust. Use & Breeding	Non-monetary benefit-sharing			Multi-lateral System		Global Information System	Farmers' Rights
	Global	Regional	National				Technology transfer	Information systems	Capacity building				
IFAD grants	3%			5-7%	Between 30% and 50%, depending on exact definition (if value chain approaches to agricultural development are included in on farm management and/or sustainable use, this figure could rise up to 70%)	All projects have a technology transfer aspect		All projects have a capacity building aspect					

Putting approximate figures to these estimated percentages of grant portfolio, we can use for example the grants approved during 2017, which total 65.6 million USD (see Table 13 below). Based on this figure, we may say that 1.97 million USD may have flowed towards ex situ conservation during 2017; between 3.28 and 4.59 million USD towards in situ conservation and between 19.68 and 32.8 million USD towards on-farm management and sustainable use (combined). These are not robust figures, but give an indication of the orders of magnitude involved.

Table 15: IFAD loan and grant approvals and disbursements (millions USD)⁵⁹

	2017	2016	2015
Approvals			
Loans approved	1069.8	657.6	1005.7
DSF ⁶⁰ loans approved	183.3	105.5	224.4
Grants approved	65.6	58.9	74.3
Total approvals	1318.7	822.0	1304.4
Disbursements			
Loan disbursements	631.4	539.4	486.7

⁵⁹ Table adapted from Table 2 of Executive Board document EB 2018/123/INF.3 'High-level Review of IFAD's Financial Statements for 2017' available at <https://webapps.ifad.org/members/eb/123/docs/EB-2018-123-INF-3.pdf>. Table 1 of the IFAD Annual Report 2017 provides slightly different figures (e.g. USD 61.6 million grants approved instead of 65.6 as above). These kinds of small discrepancies occur often when reviewing different sources of documentation and may be due to different accounting systems (including or excluding particular kinds of project fees, for example) or using USD currency values of different years. Larger discrepancies may be due to reporting on disbursements versus approvals and similar issues. A further iteration of this review would have to ensure discrepancies are fully explained.

⁶⁰ DSF= Debt Sustainability Framework

DSF disbursements	127.8	123.9	125.6
Grant disbursements	45.4	39.3	48.2
<i>Total disbursements</i>	<i>804.6</i>	<i>702.6</i>	<i>660.5</i>

Importantly, however, grants make up just a fraction of IFAD's financing portfolio – between 5% and 7% approximately. Any thorough analysis of funding flows would have to investigate the role of loans in Treaty implementation as well. Table 13 also includes information on disbursements as an illustration of the discrepancy between funding approved and funding disbursed. Decisions with regard to the relevance of either figure ought to be taken for a further iteration of this review.

The Executive Board reviews information on loans and large grant bids at its three annual meetings. It is informed at the same time of Window 1 projects which have been approved by the President. These reports are the key vehicles for assessing IFAD funding flows in detail.

IFAD does report to IATI, but the data provided is poor in qualitative detail – only title, short summary description and outgoing commitments are available, making it impossible to analyse and categorise IFAD spending for our purposes via IATI data.

Future commitments and trends

IFAD's Strategic Framework lays the fundamentals for its programme of work until 2025 and provides ample opportunity for building Treaty-relevance, especially in its thematic focus on climate change adaptability, nutrition security, environmental sustainability and access to natural resources and agricultural technologies and production services.

Bilateral funding and assistance

While still a complex undertaking with many pitfalls, finding accurate information on what is done with aid, development assistance and other international finance flows at the level of individual countries and activities has moved within the range of the possible over recent years.

OECD Creditor Reporting System

The OECD's Creditor Reporting System (CRS),⁶¹ for example, is an authoritative source of activity-level data. However, CRS data enters the system with a very long lag (currently data is only available until the end of 2016) and the system is void of detailed qualitative information. The CRS is a rich repository of robust data on past commitments and expenditure, but contains nothing very current and nothing qualitative beyond short activity summaries.

We ran a trial search on CRS data as part of the first review. Filtering CRS data by seven relevant sectors (Agricultural development; Food crop production; Industrial crops/export crops; Agricultural alternative development; Agricultural extension; Agricultural education/training; Agricultural research), returned a total of USD 7,253.551 million in aid flows for over 7000 projects between 2013 and 2016 (between USD 1.5 and 2 billion a year). Basic information on each project is available, but without adequate data processing capacity, searching projects by keyword is prohibitively time

⁶¹ <https://stats.oecd.org/index.aspx?DataSetCode=CRS1#>

consuming: data can be exported as .csv files by year, which can then be searched for keywords; sub-lists could then be created according to keywords and further refined before qualitatively analysing each project for Treaty relevance. Even so, available information (summary descriptions) is not likely to yield much helpful information on individual projects and follow-up with implementing organisations and funders would be necessary.

Moreover, a follow-up scoping analysis of CRS data through .csv files has shown that the short and long descriptions available for each project are not only written in a variety of languages, but also contain an unexpectedly high occurrence of misspellings and erroneous characters when non-English letters are used (à, é, í, ö, û etc. are almost invariably misrepresented), making efficient keyword searches hardly possible. CRS data can hence be used for illustrative purposes of overall ODA flows in different sectors, but not as basis for a detailed analysis of funding flows to areas under the ambit of the International Treaty, or any other areas which are not captured through markers or other categories in CRS data.

CRS data contains so-called 'Rio markers' to specify whether a particular project targets environmental objectives: in their reporting to the DAC CRS, donors are requested to indicate for each activity whether or not it targets environment and the Rio Conventions (biodiversity, climate change mitigation, climate change adaptation and desertification). A scoring system of three values is used, in which aid activities are 'marked' as targeting environment as the 'principal objective' (2) or a 'significant objective' (1), or as not targeting the objective (0). The Rio markers were introduced in 2002.

The 'Biodiversity marker' can be used to refine search results of potential Treaty relevance. Its 'eligibility criteria', on which scores for each project are based, include the conservation and enhancement of genetic resources in situ or ex situ. Moreover, since May 2018 these criteria also include specifically "maintenance of genetic diversity of seeds, cultivated plants and farmed and domesticated animals and their related wild species"⁶².

However, while use of markers has increased over the years, a significant number of projects remain unscreened and unmarked, hence limiting the analytic usefulness of the marker. Moreover, not all projects with a biodiversity score of 1 or 2 are of Treaty relevance, and some with a 0 score may nonetheless carry some significance to the Treaty.

Lastly, it needs to be noted with utmost importance, that CRS data will contain significant numbers of projects that are administered, implemented and channelled via multilateral organisations. This means that CRS data includes ODA that is channelled via the FAO, IFAD, the CGIAR and even the Treaty itself. Without further data filtering, bilateral flows analysed via CRS data can hence not simply be added to other flows, making the current structure of the Matrix particularly unfortunate.

Despite these limitations, we present a number of graphs and figures in this section which indicate the orders of magnitude of the kind of flows that occur internationally, as well as may provide upper limits for possible flows to Treaty areas. The basis for the calculations presented here are CRS data

⁶² DCD/DAC/STAT(2018)25 available at [https://one.oecd.org/document/DCD/DAC/STAT\(2018\)9/FINAL/en/pdf](https://one.oecd.org/document/DCD/DAC/STAT(2018)9/FINAL/en/pdf).

on official development assistance (ODA) only. Other official flows (OOF) or private development finance flows have not been included here.⁶³

Table 16 below shows the international disbursements for the four most relevant sectors,⁶⁴ which are also visualised in Figures 7 and 8 below.

Table 16: Total disbursements per sector (USD million)							
Sector	2013	2014	2015	2016	2017	2013-2017	Number of projects 2013-2017
Agricultural inputs	51.467	45.436	49.368	40.787	49.745	236.803	839
Food crop production	209.740	86.949	109.493	112.870	128.685	647.737	2209
Industrial and export crops	23.531	33.850	25.355	23.697	31.426	137.859	582
Agricultural research	445.353	414.071	387.981	417.350	435.828	2100.583	2732
total above sectors	730.091	580.306	572.197	594.704	645.684	3122.982	6362
Other agricultural sectors	3089.396	3283.226	3701.92	3853.364	3568.964	17496.87	25418
Agriculture sector, total	3819.487	3863.532	4274.117	4448.068	4214.648	20619.850	31780

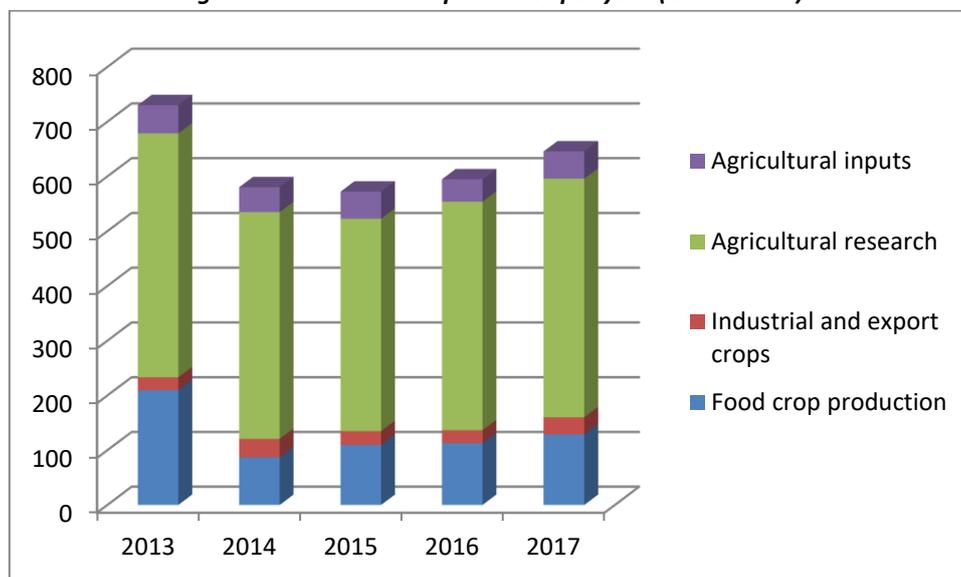
Agricultural research, which includes plant breeding, has attracted an average of 420 million USD per annum since 2013. Projects in food crop production carry an annual average budget of approximately 130 million USD, whereas industrial and export crops are supported through development assistance of almost 28 million USD per year. These numbers provide an indication of

⁶³ Calculations on bilateral flows for purposes of Funding Strategy Target Setting, however, include OOF and private flows as well as ODA. These calculations have made use of FAO's Development Flows to Agriculture (DFA) database, which, while harvesting data from OECD-CRS, displays results for ODA, OOF and private flows in conjunction. See report 'Funding Strategy Target Setting: Cost-based Methodology' for details.

⁶⁴ In the second iteration of this review, four subsectors of the agriculture sector were identified as particularly relevant to the International Treaty: Agricultural inputs, food crop production, industrial and export crops, and agricultural research. These four subsectors are the only ones to make direct mention of plant genetic resources or crops in their definitions. This does not imply that there may not be Treaty-relevant projects financed under other sectors, especially under the sectors identified in the first iteration of this review, which also form the basis of the calculations contained in the report 'Funding Strategy Target Setting: Cost-based Methodology'. Agricultural inputs sector, DAC code 31150, is defined as: Supply of seeds, fertilizers, agricultural machinery/equipment. Food crop production sector, DAC code 31161, is defined as: Including grains (wheat, rice, barley, maize, rye, oats, millet, sorghum); horticulture; vegetables; fruit and berries; other annual and perennial crops. Industrial crops/export crops sector, DAC code 31162, is defined as: Including sugar; coffee, cocoa, tea; oil seeds, nuts, kernels; fibre crops; tobacco; rubber. Agricultural research, DAC code 31182, is defined as: Plant breeding, physiology, genetic resources, ecology, taxonomy, disease control, agricultural bio-technology; including livestock research (animal health, breeding and genetics, nutrition, physiology).

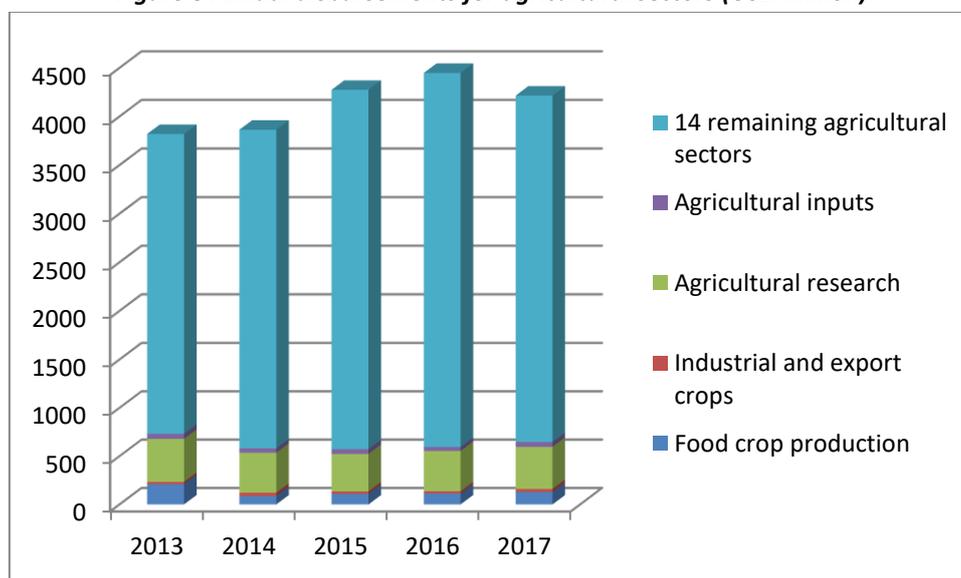
the orders of magnitude of bilateral funding in areas that *may be* of relevance to the Treaty, but cannot be taken to represent the funds which are actually used to support the Treaty's objectives.

Figure 7 Disbursements per sector per year (USD million)



To put these numbers into context, it is worth comparing them to the overall agricultural aid flows, as visualised in Figure 8 below. While agricultural research is one of the agricultural sectors receiving a relatively large share of overall financial flows, it is nonetheless dwarfed by the sector 'agricultural development'⁶⁵ which has received an annual average of over 1.7 billion USD between 2013 and 2017.

Figure 8 Annual disbursements for agricultural sectors (USD million)



⁶⁵ DAC code 31120 defined as: Integrated project, farm development. The sector is not visualised individually, but forms part of the 'remaining 14 agricultural sectors in Figure 8. Our scoping work has shown that only a minority of projects funded under DAC code 31120 may potentially hold relevance to the Treaty, which is why this second iteration of the present review has not included this sector in its more detailed analysis represented in Table 16 above.

International Aid Transparency Initiative

With aid transparency high on the international agenda, the International Aid Transparency Initiative (IATI)⁶⁶ Standard has moved centre stage. IATI, launched in Accra at the third High Level Forum on Aid Effectiveness in 2008, supports donors to meet their political commitments on transparency, as set out in the Accra Agenda for Action. The IATI Standard is a technical publishing framework using XML (eXtensible Markup Language, designed to store and transport data), which allows the comparison of data from different sources. Any organisation engaged in development (such as government donors, private sector organisations, and NGOs) can use the IATI Standard to publish data on development cooperation activities (such as transaction histories, geographic coding, classifications of funds—e.g., agriculture sector). Once published, the data gets linked to the IATI Registry and, if compliant, pulled into the IATI Datastore. In this way, all data published to the IATI Standard can get queried in that single source. The Datastore also delivers selections of IATI data in JSON (JavaScript Object Notation, a lightweight data-interchange format) or CSV (spreadsheet) formats. Without an appropriate software application, however, data from the Datastore remains difficult to use and analyse. The Development Portal (d-portal.org) is a tool that makes IATI data usable by providing information by country or by publisher on development activities and budgets published to the IATI platform and by providing a key word search function.

We ran a trial search of IATI data on d-portal for the present review. A data search of all funded activities in the agriculture sector between 2013 and 2018 with the search term “plant genetic resources” yields 40 projects with a total commitment of USD 95,386,280⁶⁷ – yet some projects appear with negative numbers as budgets, others with detailed descriptions not available in English. The search term “crop diversity” with the same filters (agriculture sector and between 2013 and 2018) yields 21 projects with a total commitment of USD 497,871,815.⁶⁸ Many, but not all of these projects, carry some significance for Treaty implementation. Further analysis of IATI data is recommended.

National funding for PGRFA

Data on domestic spending per Treaty area has been requested from all Contracting Parties in two rounds, one with a deadline in August 2018, and a second one with a deadline in January 2019. The first notification to National Focal Points requested information to be submitted on bilateral programmes that are supporting the implementation of the International Treaty, as well as on financial resources for national activities for the conservation and sustainable use of plant genetic resources for food and agriculture. No specific format was prescribed for the submission of information. Submissions were received from nine Contracting Parties in response to this request. Due to the heterogeneous nature of these submissions and different reporting formats, data from the first round cannot be easily compared.⁶⁹

⁶⁶ <https://www.aidtransparency.net/>

⁶⁷ 13 of these projects are records of direct support to the Treaty.

⁶⁸ 89% (over USD 450 million) of this funding was provided by the World Bank for a Water Sector Improvement Project in India.

⁶⁹ All submissions received by August 2018 were compiled in Information Document IT/GB-8/ACFSRM-10/18/Inf.6 available at <http://www.fao.org/3/CA1380EN/ca1380en.pdf>.

The second notification to National Focal Points requested information on domestic spending on PGRFA via a survey format (see also Annex 3). 17 countries have submitted completed survey forms, 14 of which contained estimates on annual domestic expenditure on Treaty areas.⁷⁰ The estimates submitted are listed in Table 17 below.

It needs to be highlighted that the estimated expenditures reported by Contracting Parties fall, in most cases, significantly short of the estimate provided by the Funding Strategy Target Setting process, and documented in the report 'Funding Strategy Target Setting: Cost-based Methodology'. Using data from the CGIAR-run Agricultural Science and Technology Indicators (ASTI) database, this methodology yields an estimated 0.14% of total agricultural GDP flowing towards Treaty implementation. While it is to be expected to see some divergence from this percentage in individual cases, as its value is of course a global average that does not evenly apply across an uneven geography, the discrepancy between this average (0.14%) and the estimates provided by Contracting Parties is too large to be ignored. The final column in Table 17 shows, per country, the percentage of total agricultural GDP that the expenditure reported represents. Total agricultural GDP was taken from World Bank data for each country and is based on 2017 figures. The disparity between the percentages given in table 17 and the estimated average of 0.14% points to the urgent necessity of improving national calculation and reporting processes. It is likely that the majority of countries greatly *underestimate* their own domestic efforts towards Treaty implementation.

Table 17: Estimated annual domestic spending by Treaty area 2013-2018 (in million USD)

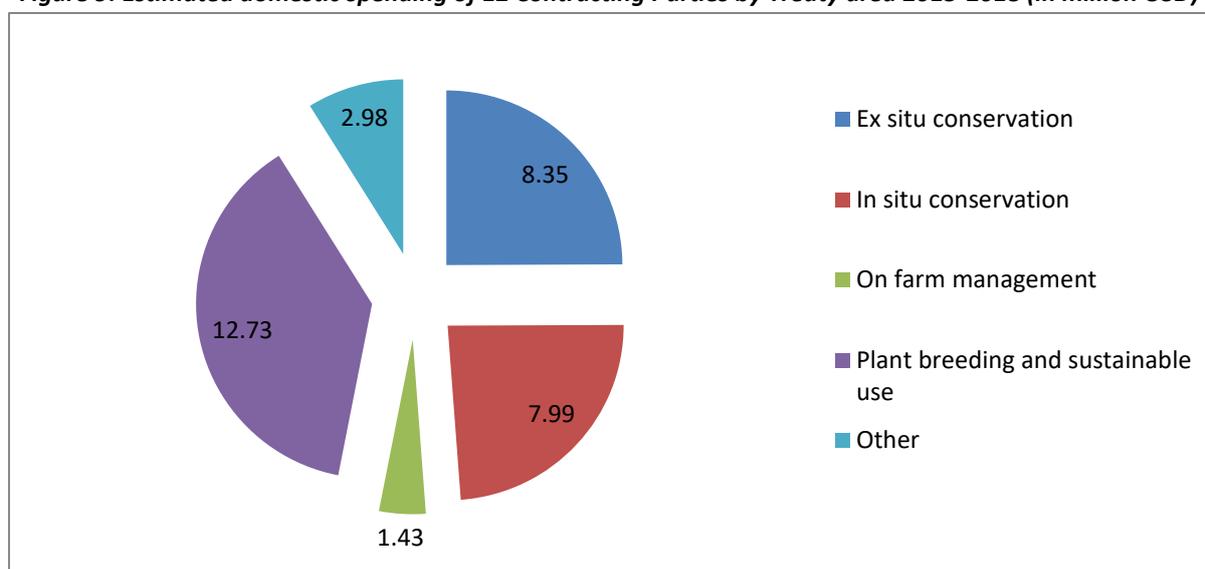
Country	Ex situ conservation	In situ conservation	On farm management	Plant breeding and sustainable use	Other Treaty areas (incl. MLS)	Total	Total as expressed in % of total agricultural GDP
Estonia	0.26	0.01	0.06	0.66	n/a	0.99	0.15%
Spain	1.25	0.06	0	0	0.28	1.59	0.005%
Ethiopia	0.5	n/a	n/a	3.5	n/a	4	0.01%
Sweden	1.9	0	0	3.5	1.05	6.45	0.11%
Burkina Faso	0.03	n/a	n/a	0.3	n/a	0.33	0.009%
Afghanistan	0.81	0	0	0	0	0.81	0.02%
Namibia	0.01	7.3	0.73	2.1	n/a	10.14	1.09%
Pakistan	0.5	0.2	0.2	0.1	0.5	1.5	0.002%
Eswatini	0.0035	0	0.001	0.0005	0.0028	0.0078	0.002%
Papua New Guinea	0.11	0	0	0.093	0.0025	0.2055	0.005%
Mali	0.09	0.07	0.19	0.38	0.39	1.12	0.02%
Switzerland	2.5	0.3	0.2	1	0.6	4.6	0.10%
Ecuador	0.1	0.5	0.05	0.2	0.15	0.55	0.006%
Philippines	0.284	0.0005	n/a	0.896	n/a	1.1805	0.004%

⁷⁰ Three of the submitted surveys either did not contain any estimates for domestic spending or the estimates they contained did not map onto Treaty areas.

As can be seen in Figure 9 below, plant breeding and sustainable use received the largest share of the financial resources mobilised domestically, 12.73 million USD or 39%. Due to the large investment of Namibia in *in situ* conservation, overall domestic spending for *ex situ* and *in situ* conservation is almost equal with 8.35 million USD and 7.99 million USD respectively, together accounting for 50% of all national spending. On farm management receives fewer resources with only 4% of the total annual spending or 1.43 million USD.

39% of the total domestic spending on Treaty areas reported (namely 12.64 million USD) is disbursed by OECD Development Assistance Committee member countries (Spain, Sweden, Switzerland). Namibia has spent almost a third (31%) of the total, i.e. 10.14 million USD, whereas the remaining ten countries' spending amounts to 9.51 million USD, or 29%.

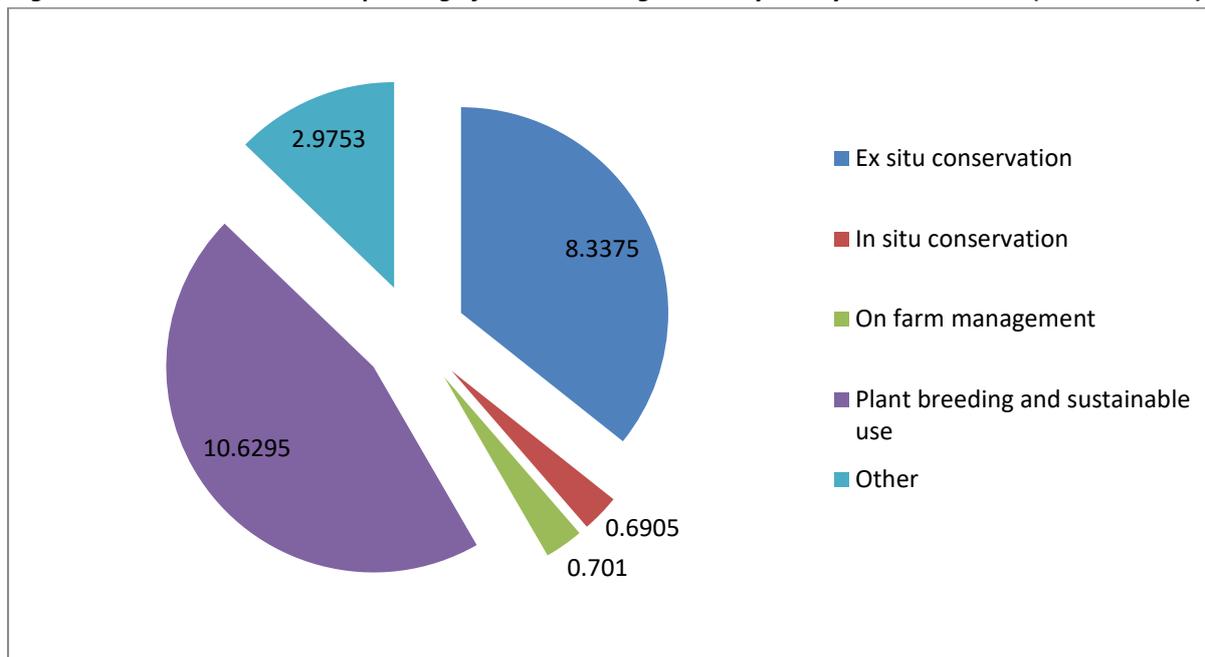
Figure 9: Estimated domestic spending of 12 Contracting Parties by Treaty area 2013-2018 (in million USD)



To visually highlight the difference which the particular spending of one single country can make, especially when the dataset is incomplete, Figure 10 below demonstrates the changed proportion of total funds per Treaty area when Namibia's expenses are excluded. Particularly significant here is the radically reduced attention to *in situ* conservation in this scenario.

Figure 10 has been included to underline the significance individual countries can make to an analysis of domestic spending globally. It is recommended to not draw any conclusions based on the small data set of 14 countries available at this stage. The data presented in this section should be understood as serving illustrative purposes only, and any more serious analysis of national funding for PGRFA will need to await further reports from Contracting Parties.

Figure 10: Estimated domestic spending of 11 Contracting Parties by Treaty area 2013-2018 (in million USD)



Annex 3 to this report includes the survey template which has been sent to Contracting Parties. This may form the basis for a reporting framework on domestic expenditure in Treaty areas. It might be useful to articulate such a framework in harmony with other reporting processes (e.g. such as Contracting Parties may have to other areas of the Treaty and the Convention on Biological Diversity in particular) in order to reduce administrative load and transaction costs.

5. Conclusions and suggestions for follow up

The Matrix of Funding Tools corresponds to what is often called a funding grid (or also grant schedule or income allocation grid). Usually consisting of tables with areas-to-be-budgeted-for on one axis and income on the other axis, these are critical tools for managing income from a number of different sources, and are used to provide strategic overview, identify funding gaps and potential over-funding, and plan future resource mobilisation and allocation. The Matrix is distinct from such tools, however, as it aims to provide an overview of finance flows that are not channelled to one particular organisation. This, amongst other things, results in some limitations of its completion, as the gathering of comparable budgetary data from a variety of donor and recipient sources is beset with practical and conceptual issues, as discussed in Section 2.

This report has documented first initial phases of what is understood to be an iterative process of how funding flows to different areas of Treaty implementation. The wealth of information compiled through this initial phase is indeed overwhelming but, as pointed out throughout the report, it remains challenging to use such information in strategic ways to determine concrete gaps that require funding in the next 5 years or areas where synergies and partnerships in the implementation of the Funding Strategy could be realized. As the initial phases of research have shown, the Matrix runs the risk of distorting a complex picture through its linearity and simplification of funding relations.

The information compiled through the Matrix exercise and the tools used in the exercise, such as the survey and interview questionnaires, remain useful resources to be used in the future in the context of monitoring of the Funding Strategy. For the next phase of the monitoring of the Funding Strategy, three areas of focus are suggested for further discussion by the Committee:

Deepen analysis of funding tools

Data collection on the different funding tools could be continued according to the methodology employed during this review. In particular, further disaggregated data may be collected on a more comprehensive set of expenditures. The project-based approach of qualitatively analysing individual projects and categorising them according to Treaty areas (as was done, for example, in the analysis of GEF and GCF funding flows) needs to be refined, and a method of how to weight different project components if they are mapped across several Treaty areas needs to be developed.

Replace or complement the Matrix with other analytic tools

In order to provide a more nuanced analysis and usefully and appropriately inform the work of the Committee regarding enhancement of the Funding Strategy, replacing the Matrix with other analytic tools is highly recommended. Using in particular a network-analytic approach may provide a less dualistic and linear format of understanding the connections between resource partners and Treaty implementation. This may allow a visualisation of the complexity of connections and provide a better starting point for the development of synergies and leverage. Overall attention to Treaty areas in terms of financial flows, in kind contributions and other efforts may also be visualised more easily in such a network format, which could include the mapping of actors involved in different aspects of Treaty implementation, and the connections and flows of resources between them.

However, it needs to be borne in mind that a statistically sound network analysis also needs to be based on robust and detailed data, which has been shown to be difficult to obtain. It may be more efficient to map the networks involved in wider Treaty implementation through more qualitative modalities, or even in dynamic, web-based ways, with an emphasis on building connections and synergising efforts as well as analysing funding flows and gaps.

Broaden discussion on implications of methodological assumptions

Several methodological questions were raised in the discussions in this Report, which may require further discussion in order to explore their practical implications. For example, the differential implications of loan-based finance vs. grant-based finance may benefit from further consideration. Thinking through the practical ramifications of including the revenues as well as the expenditures of funding tools in this analysis, disbursements as well as project approvals, and funding impact in addition to funding figures may also be fruitfully considered.

Annex 1: Interview documentation: Background information provided to interviewees

Interview information sheet

Preliminary review of the funding landscape with regard to the conservation and sustainable use of plant genetic resources for food and agriculture and other areas falling under the ambit of the International Treaty on Plant Genetic Resources for Food and Agriculture

You have been asked to participate in an interview in the context of this review because of your organisational affiliation, knowledge and expertise.

Thank you for taking the time to read through this sheet in order to get an overview of the purpose of this review and the ways in which your knowledge would contribute to it.

Who is conducting this review?

A small team of independent consultants in collaboration with the Secretariat of the International Treaty on Plant Genetic Resources for Food and Agriculture is conducting this review. The interview in which we are hoping you will take part will be conducted by Dr. Nina Moeller, research fellow at the University of Manchester and consultant to the Treaty.

What is the purpose of this review?

We are working on a preliminary review of the international funding landscape as it relates to the Treaty's provisions to help to build a snapshot of funding flows to areas and programs of relevance to the Treaty. This will help support the work of the *Ad Hoc* Committee on the Funding Strategy and Resource Mobilization and inform their current discussions regarding the updating of the Funding Strategy of the Treaty.

The review will mainly focus on three key areas. The first is the mandate and priorities of your organisation in relation to key Treaty areas. The second is the investments made to support the conservation of crop diversity and related areas over the last 5 years (e.g. from January 2013 until now). The third will focus on investment trends in the medium-term future, i.e. over the next 5 years (from now until December 2020).

What information are we looking for from you?

We are looking for information regarding your organisation's activity in the following 9 different thematic areas which fall under the International Treaty (see also matrix on next page):

- Ex situ conservation of plant genetic resources for food and agriculture (PGRFA)
- In situ conservation of PGRFA
- On-farm management of PGRFA
- Plant breeding and sustainable use of PGRFA
- The Treaty's Multilateral System of Access and Benefit-sharing

- The Treaty's Global Information System on PGRFA and other information systems
- Farmers' Rights
- Technology transfer
- Capacity building

Detailed definitions of these areas are given in an Annex to the interview topic guide (please see second document provided).

During the interview, which we estimate to take approximately 30 min and which would take place by phone (or Skype/WhatsApp/Signal), we will ask you questions regarding your organisation's mandate, its current activity and investments, and any possible future commitments and trends with regard to these areas. We will also ask your views on the unique contribution you think your organisation brings to financing biodiversity and to supporting biodiversity efforts in general.

In the ideal case scenario, the following matrix would be populated with figures indicating the amount of money invested in each thematic area.

MATRIX of provision of funds and the areas and programmes under the International Treaty

Funding provided by:	PGRFA Conservation & Sustainable Use					Treaty Enabling Mechanisms & Provisions						
	Ex situ			In situ	On-farm management	Breeding	Non-monetary benefit-sharing			Multilateral System	Global Information System	Farmers' Rights
	Global	Regional	National				Technology transfer	Information systems	Capacity building			
Organisation X												
Organisation Y												

More realistically, given time and data constraints, we are aiming for a provisional, tentative filling of this matrix, using best estimates and approximations wherever possible, and including indications regarding how to determine accurate figures in the future.

It is important to note that the conceptual basis of this matrix is still in development and that we are aware of the limitations of its linear approach. Your answers to our questions will hence also be useful in the revision of this matrix.

What is the output of this review?

The output of this study will be a document containing short preliminary analysis of the information gathered that will be shared with the *Ad Hoc* Committee on the Funding Strategy and Resource Mobilization. It is also expected to feed into the Matrix above which will be a component of the updated Funding Strategy.

You will have a chance to review the output and suggest any changes or corrections before it is finalised.

What to do now?

If you have any further questions prior to the interview, please contact Nina Moeller [EMAIL]

Annex 2: Interview documentation: Interview questions

Interview topic guide

Preliminary review of the funding landscape with regard to the conservation and sustainable use of plant genetic resources for food and agriculture and other areas falling under the ambit of the International Treaty on Plant Genetic Resources for Food and Agriculture

We are looking for information regarding overall activity and investment in the following 9 different thematic areas which fall under the International Treaty (detailed description in the Annex to this document):

- Ex situ conservation of plant genetic resources for food and agriculture (PGRFA)
- In situ conservation of PGRFA
- On-farm management of PGRFA
- Plant breeding and sustainable use of PGRFA
- The Treaty's Multilateral System of Access and Benefit-sharing
- The Treaty's Global Information System on PGRFA and other information systems
- Farmers' Rights
- Technology transfer
- Capacity building

1. Mandate and priority setting

- Which of your organisation's objectives and priorities are linked to crop genetic diversity and in which way? (e.g. agricultural productivity, food security, rural poverty alleviation, biodiversity, climate change)
- Which of the above 9 thematic areas does your organisation have a mandate to work in, invest in or financially support? Is this a specific mandate for this area, or a broad mandate than can be understood to cover this area (e.g. food security; conservation)?
- Through which particular programmes does your organisation support these areas?
- How is strategic planning organised in your organisation? How are strategic priorities decided upon in your organisation (in which forum/by which body)? Where do you think are opportunities for engagement (for the Treaty) with the strategic planning process in your organisation?

- How can one find out more information on this (i.e. your organisation's mandates, programmes, funding priorities and decision-making fora), and remain updated (e.g. via particular reports, webpages, documents, or people/offices)?

2. Current activity and investments

- Has your organisation been active in these areas over the last 5 years (Jan 2013 – now)? Could you help quantification of these efforts by providing an estimate of the money spent annually?
- What is your organisation's total annual programme budget?
- Which channels did this funding flow through (e.g. particular programmes, relationships with specific recipient organisations or countries)?
- How can one find more information on your organisation's spending in these areas? Where is data on this held? Is there a particular reporting system in place? Who is responsible for documentation in this respect? Does your organisation report to IATI or the OECD's DAC/CRS and who would be in charge of that?

3. Future commitments and trends

- What are your organisation's commitments in the immediate future (over the next 5 years, until Dec 2023) regarding these areas?
- Is there likely to be a change in activity/investment in this time period? And how will that be expressed (e.g. through new programmes, funding windows, budgetary review)?
- What do you think the emerging themes and/or opportunities of relevance to the Treaty may be?

4. Unique contribution and comparative advantage

- What is the unique contribution of your organisation to global agrobiodiversity and the wider network of organisations supporting it?
- Which of the ten thematic areas is your organisation particularly well-placed and well-equipped to address in terms of expertise and capacity?

Annex 3: Survey on National Funding for PGRFA

Information Request

This short survey aims to capture information related to financial resources for national activities on the conservation and sustainable use of plant genetic resources for food and agriculture, and other areas falling under the ambit of the International Treaty on Plant Genetic Resources for Food and Agriculture.

1. National financial resources and programs

1.1. Many countries have National PGRFA programs with regular budget allocated. Has your government allocated a regular budget to the National PGRFA program over the last 5 years (Jan 2013 – now)?

YES	
NO	

Any additional comments:

1.2. Could you provide a tentative estimate of the total amount spent annually on your National PGRFA program or similar program (in million USD), irrespective of whether it is sourced from a regular budget or elsewhere?

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1.3. How much of this expenditure would you estimate is based on national government resources as opposed to external funding (e.g. international finance, multilateral or bilateral funding, philanthropic support, or other), in million USD or as percentage of the total amount?

National governmental resources	External funding
	Please specify each particular source (e.g. bilateral donation; IFAD; World Bank; etc)

2. Specific investments in PGRFA Conservation and Sustainable Use, and other areas of Treaty implementation

In particular, we are looking for information regarding national investment in distinct areas of Treaty implementation: (A) **PGRFA Conservation and Sustainable Use**, as well as (B) **other areas of Treaty implementation**.

A. PGRFA Conservation and Sustainable Use

Ex situ Conservation	In situ Conservation	On Farm Management	Plant Breeding and Sustainable Use
A large and important amount of plant genetic resources, vital to world food security, is stored in genebanks as <i>ex situ</i> collections that are held at national, regional or global level. Securing adequate storage conditions for the genetic materials already collected and providing for their regeneration and safety duplication is essential, as well as supporting targeted collections to fill gaps in <i>ex situ</i> conservation.	The conservation of plant genetic resources in natural ecosystems provide for the continued evolution and adaptation of these resources. In situ conservation of wild crop relatives and wild plants for food production, including in protected areas, is essential and supports, inter alia, the efforts of indigenous and local communities.	The on-farm management of PGRFA provides for the continued evolution and adaptation of these resources to changing environmental forces and is thus essential for the generation of new diversity important for future crop improvements. Farmers and indigenous and local communities play a critical role in the development and conservation of plant genetic diversity.	The sustainable use of PGRFA encompasses a wide range of activities from crop diversification and supporting a wider use of varieties to crop improvement to plant breeding and seed delivery. The sustainable use of PGRFA is essential to add value to agricultural biodiversity, and to act as bridge between <i>ex situ</i> and on farm activities.

2.1. Could you provide an estimate of the amount spent annually (from any available source) in each of the four areas of **PGRFA Conservation and Sustainable Use**, (in million USD)?

Ex situ Conservation	In situ Conservation	On Farm Management	Plant Breeding and Sustainable Use

Any additional comments

2.2. Is there likely to be a change in investment in the immediate future (over the next 5 years, until Dec 2023)? Is investment likely to increase, decrease or remain stable?

Ex situ Conservation	In situ Conservation	On Farm Management	Plant Breeding and Sustainable Use

Any additional comments

B. Other areas of Treaty implementation

MLS	Technology transfer	Information systems	Capacity building	GLIS	Farmer's Rights	Policy Development
Measures to enable the conservation and availability of PGRFA through the Treaty's Multilateral System.	Provision or facilitation of access to technologies for the conservation, characterization, evaluation and use of PGRFA.	National or regional information systems, on scientific, technical and environmental matters related to plant genetic resources for food and agriculture.	Strengthening scientific and technical education and training in PGRFA, carrying out scientific research, and other measures to build capacity for Treaty implementation.	Development and strengthening of a global information system to facilitate the exchange of information, based on existing information systems.	Recognition the contribution of farmers and indigenous peoples to the development and conservation of PGRFA in national laws and policies.	Development and strengthening policies for the implementation of the Treaty.

2.3. Could you provide an estimate of the amount spent annually in each of the seven **other areas of Treaty Implementation**, (either in million USD or as percentage of total amount spent)?

MLS	Technology transfer	Information systems	Capacity building	GLIS	Farmer's Rights	Policy Development

Any additional comments

3. National data and reporting on PGRFA

3.1. How can one find more information on your spending in these areas regarding PGRFA and the International Treaty? Where is data on this held? Is there a particular reporting system in place? Who is responsible for documentation in this respect that we may be able to follow up with in the future?

3.2. Do you or another governmental institution report to International Aid Transparency Initiative or the OECD's Development Assistance Committee's Creditor Reporting System (DAC/CRS)? If so, would there be a responsible institution or contact point to follow up with in the future?

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4. Needs assessment

4.1. In optimal conditions and without any budgetary constraints, in your opinion, what would be the ideal amount to invest in each of the Treaty areas nationally?

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4.2. Which area in particular would benefit from further resources in your estimation? Please tick one or multiple.

Ex situ Conservation	<input type="checkbox"/>
In situ Conservation	<input type="checkbox"/>
On Farm Management	<input type="checkbox"/>
Plant Breeding and Sustainable Use	<input type="checkbox"/>
MLS	<input type="checkbox"/>
Technology transfer	<input type="checkbox"/>
Information systems	<input type="checkbox"/>
Capacity building	<input type="checkbox"/>
Global Information System GLIS	<input type="checkbox"/>
Farmer's Rights	<input type="checkbox"/>
Policy Development	<input type="checkbox"/>