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Food and Agriculture  
Organization of the  
United Nations



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

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

**FOURTH MEETING OF THE STANDING COMMITTEE ON THE  
FUNDING STRATEGY AND RESOURCE MOBILIZATION**

**20 – 22 September 2021**

**MEETING PROCEEDINGS**

**ITEM I. OPENING OF THE MEETING**

1. The Fourth Meeting of the Standing Committee on the Funding Strategy and Resource Mobilization (the Funding Committee) was opened by the Co-Chairs, Ms. Katlyn Scholl (USA) and Ms. Puji Lestari (Indonesia). The Funding Committee had elected Ms. Lestari, in advance of the meeting and by electronic means, as interim Co-Chair for the Committee's fourth meeting to replace Mr. Manrique Altavista of Argentina.
2. In his welcoming remarks, the Secretary of the Treaty, Mr Kent Nnadozie, provided an update to the Committee about the arrangements for the Ninth Session of the Governing Body (GB-9), informing it that, due to the prevailing COVID-19 pandemic, the Bureau of GB-9 agreed with the Host Government to postpone the dates for the in-person GB-9 meeting from December 2021 to May 2022, and that matters related to the Funding Strategy would be addressed at that meeting. The new dates of GB-9 therefore afford the Funding Committee the opportunity to meet again before the Session in order to continue its work and finalise some of the tasks it would be reporting to the Governing Body on.
3. The Co-Chairs welcomed the Members of the Committee, and active and silent observers. The List of Participants is provided in *Appendix 4* to these Proceedings.

**ITEM II. AGENDA AND TIMETABLE**

4. The Co-Chairs drew the Committee's attention to the proposed fifth meeting of the Committee (SFC-5) in the early part of 2022 set out in the document. SFC-4/20/2, *Annotated Provisional Agenda and Timetable*, based upon the ongoing nature of the Committee's work as a Standing Committee and the new dates for GB-9.
5. The Committee adopted its Agenda, as given in *Appendix 4* of this document, and the Provisional Timetable set out in *Appendix 1* of the document SFC-4/20/2.

**ITEM III. RESOURCE MOBILIZATION**

*Food Processing Industry Engagement Strategy*

6. Mr. Jonathan Shoham, independent expert and Agricultural Analyst, briefed the Committee on the analysis he had undertaken on the Food Processing Industry along the food chain and the Treaty's value proposition, as had been requested by the Committee at its third meeting. The full analysis is contained in the document, IT/GB-9/SFC-4/21/Inf.5, *Food Industry Analysis Paper*. The Committee thanked Mr. Shoham for the informative presentation.

7. The Co-Chairs thanked the Secretariat for further developing the draft Food Processing Industry Engagement Strategy and making it available for the Committee's review and inputs, prior to SFC-4 via an electronic check-point, which was open over a seven-week period.

8. The Committee discussed the document, IT/GB-9/SFC-4/21/3, *Second draft of the Food Industry Engagement Strategy*, which had been developed based upon the food industry analysis undertaken and the inputs received by the Committee at its third meeting and via the checkpoint.

9. The Committee finalised the *Draft Food Processing Industry Engagement Strategy* for inclusion in the Funding Committee's report to GB-9, as contained in *Appendix 1* of these Proceedings.

10. The Committee noted that, in the implementation of the Food Processing Industry Engagement Strategy, it would be important for the Committee to further define criteria for the areas of risk concerning conflict of interest and "blue-washing" set out in paragraphs 35 d and f of the *Draft Food Processing Industry Engagement Strategy*.

#### *Implementation, monitoring and review plan of the Food Processing Industry Engagement Strategy*

11. The Committee discussed the document, *Co-Chairs' updated draft of the Implementation, monitoring and review plan*, which was provided to the Committee by email during its fourth meeting and is contained in *Appendix 2* of these proceedings. The Co-Chairs noted that their updated draft contained the accepted text proposals shown in the working document, IT/GB-9/SFC-4/21/4, *Second draft of the Implementation, monitoring and review plan*. The text proposals are based upon the inputs received from the Committee via the electronic check-point.

12. The Committee agreed that the *Implementation, monitoring and review plan* should be a living document that may be incorporated into the Operational Plan of the Funding Strategy 2020-2025, should the Committee decide it is relevant to do so, and continue to be updated. It further agreed that it should be provided as a separate information document to the Ninth Session of the Governing Body and that, once finalised, a link to it would be included in the *Draft Food Processing Industry Engagement Strategy*.

13. The Committee requested the Secretariat to further develop the draft *Implementation, monitoring and review plan* for finalisation at its fifth meeting.

14. The Committee thanked the Global Crop Diversity Trust for the excellent inputs provided through the document, IT/GB-9/SFC-4/21/Inf.7, *Global Crop Diversity Trust inputs received on draft Food Industry Engagement Strategy*, many of which related to implementation. It requested the Secretariat to continue to collaborate with the Crop Trust in the planning and implementation of the Engagement Strategy.

#### **ITEM IV. BENEFIT-SHARING FUND OPERATIONS**

##### *Monitoring, Evaluation and Learning (MEL) Framework of the Benefit-sharing Fund*

15. The Co-Chairs thanked the Secretariat for further developing the draft *Monitoring, Evaluation and Learning (MEL) Framework of the Benefit-sharing Fund* and making it available, via an electronic check-point, for the Committee's review and inputs, over a seven-week period prior to SFC-4.

16. The Committee discussed the document, IT/GB-9/SFC-4/21/5, *Third draft of the Monitoring, Evaluation and Learning (MEL) Framework of the Benefit-sharing Fund*, which had been developed based upon the inputs received by the Committee at its third meeting and via the check-point.

17. The Committee finalised the *Monitoring, Evaluation and Learning (MEL) Framework of the Benefit-sharing Fund* as contained in *Appendix 3* of these Proceedings.

##### *Preparations for the Fifth Cycle of the Benefit-sharing Fund*

18. The Secretariat provided an overview of the document, IT/GB-9/SFC-4/21/6, *Preparations for the Fifth Cycle of the Benefit-sharing Fund*, and provided an update on the actual and expected funds available for the Fifth Cycle of the Benefit-sharing Fund (BSF-5).

19. The Committee considered the document and requested the Secretariat to continue to advance preparations of the BSF-5 program for finalisation at the Committee's fifth meeting.

20. The Committee requested the Secretariat to organize virtual briefings for Regional Groups to provide an update on the preparations for BSF-5. The briefings should demonstrate the results of previous project cycles and serve as an opportunity for further resource mobilization. They should also present and explain the BSF Operations Manual adopted by the Governing Body and its new options for funding allocation, as well as the MEL framework finalized by Committee. Regional Groups will be invited to discuss means to enhance the intra-regional participation in the BSF. Such briefings should provide Regional Groups with further information that could assist the Committee in its deliberations to finalise the BSF-5 programme, at its fifth meeting.

21. The Committee agreed that the following options for BSF-5 fund allocation, or their combination, should continue to be considered:

- A. Establish and launch a new round of the project cycle, as needed;
- B. Decide whether to provide funding to projects that previously received a Certificate of Excellence from the Panel of Experts (B.1) or to a second phase of projects previously funded by the Benefit-sharing Fund (B.2).

22. The Committee requested the Secretariat to provide more information on Option B. It noted that further consideration could be given to funding a second phase of BSF-3 projects and, possibly, BSF-2 projects, while noting that the long period since project closure may make it difficult to reactivate such projects. It requested more information about BSF-4 pre-proposals that had received a Certificate of Excellence, including whether applicants had subsequently identified funding from other sources.

23. The Secretariat advised the Committee that it would liaise with the Bureau to reconvene the Independent Panel of Experts.

24. At its fifth meeting, the Committee will:

- i. Consider a draft BSF-5 programme prepared by the Secretariat including:
  - a) Main features and novelties of BSF-5;
  - b) Funds available, budget and funding ceilings for single-country and multi-country projects;
  - c) Full analysis of options for BSF-5 fund allocation and a proposal on how these options may be combined in practice;
  - d) Overview of the timeline and key milestones for BSF-5 implementation;
- ii. Take note of the methodology for the screening of project pre-proposals to be used by the Panel of Experts.
- iii. Consider options for BSF-5 fund allocation, including, as appropriate, an indicative distribution of BSF-5 resources among the options;
- iv. Decide to officially launch BSF-5 and request the Secretariat to publish a notification and other communication products to make information available about BSF-5.

#### **ITEM V. FUTURE WORK OF THE FUNDING COMMITTEE**

25. The Co-Chairs advised the Committee that they would work with the Secretariat to identify a suitable date in the first quarter of 2022 to hold SFC-5, taking into account the international calendar.

26. The Committee agreed that the key issues that would be discussed at its fifth meeting would include:

- a) Finalisation of the Report of the Funding Committee to GB-9, including elements for a draft Resolution;

- b) Finalisation of the *Implementation, Monitoring and Review plan: Food Processing Industry Engagement Strategy* and its streamlining into existing Funding Strategy tools such as the Operational Plan 2020-2025;
- c) Consideration and possible finalisation of the BSF-5 program;
- d) Taking forward the work of the Funding Strategy for Biennium 2022/23.

#### **ITEM VI. OTHER BUSINESS**

27. The Committee noted with concern, the absence or low participation of some regions in the meetings of the Funding Committee and discussed the possibility of including some elements in the draft resolution to be appended to the Committee's report to the Ninth Session of the Governing Body addressing the issue. This could include a request to Contracting Parties to consider expertise and availability in nominating members to the Committee.

#### **ITEM VII. PROCEEDINGS OF THE MEETING**

28. The Co-Chairs expressed their appreciation for the constructive contributions of the members at its fourth meeting and thanked the external expert, active and silent Observers for their participation, and for the efforts made by the Secretariat in preparing for the meeting.

29. The Secretary thanked Ms. Lestari for her availability and willingness to support the Committee in conducting their fourth meeting in the position of interim Co-Chair and reminded the Committee that further consultations would be needed among developing countries, following the meeting, to nominate a candidate for the position of SFC Co-Chair, for the longer term.

30. These Meeting Proceedings contain the summary of the Committee's discussions at its fourth meeting. The final version incorporates any comments which members may have subsequently provided electronically.

**INTERNATIONAL TREATY ON PLANT GENETIC RESOURCES  
FOR FOOD AND AGRICULTURE****DRAFT FOOD PROCESSING INDUSTRY ENGAGEMENT STRATEGY****SETTING THE STAGE***Background and context*

1. Plant genetic resources for food and agriculture make an essential contribution to increasing and safeguarding food security and nutrition, improving rural livelihoods and economies, supporting the maintenance of biodiversity and to meeting the challenges of adapting to climate change.
2. The food processing industry benefits from plant genetic resources for food and agriculture, as is recognised in Article 13.6 of the International Treaty on Plant Genetic Resources for Food and Agriculture (the Treaty). Article 13.6 states that the Treaty's *Contracting Parties shall consider modalities of a strategy of voluntary benefit-sharing contributions whereby Food Processing Industries that benefit from plant genetic resources for food and agriculture shall contribute to the Multilateral System.*
3. This Article, along with the request made by the Treaty's Governing Body through paragraph 29 h in the Annex of Resolution 3/2019, which calls on the Funding Committee to develop a strategy to mobilize funds from food processing industries, as called for in Article 13.6 of the Treaty, constitute the mandate for the development of this Food Processing Industry Engagement Strategy (the Engagement Strategy). In developing it, the Standing Committee on the Funding Strategy and Resource Mobilization (the Funding Committee) has also taken into account that Article 13 of the Treaty acknowledges different mechanism of benefit-sharing, namely: exchange of information, access to and transfer of technology, capacity building and sharing of monetary and other benefits of commercialization.
4. The Engagement Strategy has been developed in the context of the Treaty's new Funding Strategy 2020-2025. The Funding Strategy was adopted by the Governing Body at its Eighth Session and strives to ensure that sufficient resources are mobilized through a range of channels for the implementation of the Treaty, including from the food processing industry.
5. The Engagement Strategy will be implemented in the context of relevant global policy frameworks such as the Sustainable Development Goals (SDGs) of the United Nation's 2030 Agenda for Sustainable Development, and the Post-2020 Global Biodiversity Framework. The SDGs include a robust role for the private sector in global development, and analysis has shown that it is common practice for companies in the food processing industry to judge their activities against them. The first draft of the Post-2020 Global Biodiversity Framework<sup>1</sup> encourages resource mobilization from all sources in the implementation of the Framework, including through leveraging private finance.
6. As stated in the Treaty's Funding Strategy, PGRFA conservation and sustainable use contribute directly and indirectly to the implementation of a number of SDGs. These include SDG 1 (No Poverty), 2 (Zero Hunger), 12 (Responsible Production and Consumption), 13 (Climate Action), 15 (Life on Land) and 17 (Partnerships for the Goals). There is a clear opportunity to engage with the food processing industry to develop strategic partnerships for the implementation of the Treaty to contribute to the achievement of the SDGs.
7. The Engagement Strategy sets out: a vision and objective in connection to the Treaty; principles for engagement; and assessing and managing related risks.

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<sup>1</sup> <https://www.cbd.int/doc/c/d605/21e2/2110159110d84290e1afca98/wg2020-03-03-en.pdf>

*Evolution, experience and opportunities for the Treaty's engagement with the private sector*

8. Since its inception, the Treaty has engaged with the private sector in different ways. The Treaty plays a regulatory role related to facilitated access to PGRFA and the sharing of benefits arising from its use, and also recognises and encourages the role of the private sector in the Treaty's implementation.

9. The Treaty has established a Multilateral System on Access and Benefit-sharing, which contains the world's largest genepool available for research, breeding and training for food and agriculture. The Multilateral System includes a requirement that a recipient who commercializes a plant variety that incorporates material accessed from the Multilateral System, shall pay to the Treaty's Benefit-sharing Fund (BSF), an equitable share of the benefits arising from the commercialization of that product, if certain conditions are met, as stated in Article 13.2 (d).

10. The private seed sector has engaged in Treaty implementation through its role as an active observer in Treaty negotiations and also through making voluntary contributions to areas of the Treaty's implementation, such as to the Treaty's BSF and to the Global Crop Diversity Trust.

11. There are a number of examples of food manufacturer's involvement in PGRFA initiatives. These include public-private-partnerships, with a specific crop focus, that are designed to help small-holder farmers. Many of the Top 100 food companies have been involved in such partnerships, that have included a focus on particular crops such as sorghum, barley, cassava, cocoa, soybeans, coffee and tea, among others<sup>2</sup>. Similarly, the Global Crop Diversity Trust has developed global conservation strategies for specific crop commodities of interest to the food processing industry with a view to raising funds for their implementation.

12. In the development of this Engagement Strategy, the previous experiences of engaging with the private sector for Treaty implementation has been taken into account, as well as the recommendations arising from the 2019 independent evaluation of FAO's 2013 Private Sector Partnership Strategy, as documented in FAO's new Private Sector Engagement Strategy<sup>3</sup>, and input from external experts.

## ENGAGEMENT STRATEGY

13. The vision and objective of this strategy are aligned with those of the Treaty's overall Funding Strategy<sup>4</sup>.

### *The vision*

14. Through engaging with the food processing industry, partnerships can be formed that enable voluntary contributions to be mobilized for the implementation of the objectives and provisions of the Treaty in a long-term, coordinated, synergistic and effective manner. This further enables the conservation and sustainable use of PGRFA, contributing to increasing and safeguarding food and nutrition security, improving rural livelihoods and economies, supporting the conservation and sustainable use of biodiversity, meeting the challenges of adapting to climate change and achieving the Sustainable Development Goals.

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<sup>2</sup> Source: Syngenta Foundation for Sustainable Agriculture, 2015

<sup>3</sup> FAO's Strategy for Private Sector Engagement 2021-2025: <http://www.fao.org/3/nd961en/nd961en.pdf>

<sup>4</sup> Resolution 3/2019, *The Funding Strategy Of The International Treaty on Plant Genetic Resources For Food And Agriculture 2020-2025*: **Paragraph 6**: A new Vision for the Funding Strategy: The Funding Strategy enables the Governing Body, Contracting Parties, funding agencies, farmers and other relevant actors to secure funding and other resources for the programmatic implementation of the International Treaty in a long-term, coordinated, synergistic and effective manner. **Paragraph 14**: The objective of the Funding Strategy is to enhance the availability, predictability, transparency, efficiency and effectiveness of the provision of financial resources to implement activities under the Treaty, in accordance with Article 18 of the Treaty.

### Objective

15. To enable partnerships with the food processing industry to support the Multilateral System and the implementation of the Treaty as a whole, at national, regional and international levels, including through voluntary financial contributions, as well as other resources.

### Approach

16. The Engagement Strategy will utilise a step-wise approach, enabling the development, testing and refining of concepts, models and tools to inform a targeted and effective set of actions for the Treaty's engagement with the food processing industry. This approach allows for regular review, learning and consultation with industry stakeholders to deepen the joint understanding and identification of opportunities of mutual interest, for building strategic and sustainable partnerships between the Treaty and the food processing industry. The Implementation, Monitoring and Review Plan<sup>5</sup> of the Engagement Strategy is updated periodically by the Funding Committee and is provided as a separate document.

17. It is envisaged that this strategy should involve the voluntary participation and contribution of a range of partners enabling the implementation of the Treaty, at national, regional and international levels. Engagement may also be informed by existing experiences of Treaty enabling partners in private sector engagement, such as those facilitated by the Global Crop Diversity Trust in the development of global conversation strategies for specific crop commodities, some of which are of interest to the food processing industry. The Funding Committee will play a leading role in overseeing the planned activities and outputs of this strategy and develop key milestones and actions.

18. At the inception, efforts will be made to define the Treaty's value proposition for the food processing industry, develop communication tools, identify entry points and possible models for engagement.

19. These elements will be informed by further analysis, the distillation of lessons learned and best practices, and through identifying areas of common interest to the Treaty and food processing industry.

20. Elements developed will be further refined through consultations with key stakeholders, including from the food processing industry, such as industry platforms and associations, and other relevant private sector actors. This will involve the identification of a sounding board to facilitate consultation with these stakeholders.

### Food processing industry: description, scope and sectors

21. The food processing industry, or food and drink manufacturing sector, is one stage in the complex overall agri-food chain that starts with the input industries which provide farmers with the products they require to produce their crop and livestock, and the products flow through the food value chain, including the final consumers.

22. The food processing industry is extremely vast and encompasses a wide array of enterprises, from large national and multinational companies and industries, to medium, small-scale and micro businesses and industries, as well as family farms in many countries.

23. Analysis<sup>6</sup> has been undertaken by an external expert on the food processing industry, as part of the development of this strategy including on trends and drivers, and the Treaty's value proposition. The analysis also highlighted that the food processing industry is highly diversified and fragmented. The Funding Committee may decide to commission further studies in the future to ensure that approaches developed under this strategy remain relevant, including in both developed and developing country contexts.

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<sup>5</sup> (Hyperlink to be provided to the Implementation, Monitoring and Review Plan once published)

<sup>6</sup> <http://www.fao.org/3/CB6664EN/CB6664EN.pdf>

Why partner with the food processing industry?

24. There are numerous areas of synergy between the food processing industry and the Treaty, and various mutually reinforcing benefits of their successful functioning.

25. Benefits to the Treaty of partnering with the food processing industry include those related to communication, knowledge, technology and innovation. Partnerships may generate joint communication on biodiversity and sustainable food systems, real-time knowledge and data, market intelligence and best practices, and facilitate the effective dissemination of information nationally, regionally and globally.

26. Common threads with the Treaty include addressing issues such as biodiversity, climate change, technology transfer/capacity building, agricultural diversification and support to family farming, and benefit sharing. Further areas to be explored could be plant based food and the contribution of PGRFA to the achievement of the SDGs.

Why should the private sector partner with the Treaty?

27. The food processing industry is inextricably linked to, and reliant upon the seed sector, and benefits from plant genetic resources for food and agriculture, agrobiodiversity, sustainable access to seeds and the unique partnerships that the Treaty's systems provide.

28. The Treaty's successful implementation may benefit the food processing industry including in the areas of research and development, farmers' continued access to reliable and diverse seed, and addressing threats to the environment and supply chain.

29. For companies with existing seed initiatives, association with the Treaty could be seen as formal recognition of their seed efforts. For companies without any specific seed-related initiatives but which recognise the importance of seeds in their ESG communications, association with the Treaty could be seen as a formal initiative which validates their seed awareness.

30. The Treaty may serve as a trusted broker of relevant alliances. The Treaty is able to bring together and facilitate communication between Governments and the private sector on shared priorities, governance and policy issues and investments.

Areas for engagement with the food processing industry

31. The potential areas for engagement and partnership with the food processing industry will be refined based upon further analysis of the areas of synergy between the Treaty and food processing industry. It is anticipated that the broad areas of engagement may include those priority areas identified by FAO for its engagement with the private sector in its new strategy, as listed below:

- a) Policy dialogue
- b) Capacity development
- c) Resource mobilization
- d) Technical cooperation
- e) Knowledge and research
- f) Advocacy and communication
- g) Innovation
- h) Data sharing and dissemination
- i) Support for financing and investment
- j) SDG alignment
- k) SDG advocacy

Fully supporting international, regional and national engagement opportunities

32. Contracting Parties of the Treaty will play a critical role in promoting and enabling food processing industry investments in their countries and for Treaty implementation more broadly. The Engagement Strategy will explore the support required and develop tools and models to be tested and made available to assist with engaging the food processing industry and developing partnerships at national, regional and international levels, taking into account different national and regional contexts and, if possible, in more than 2 UN languages.



Principles for engagement

33. The principles for engagement should be integrated throughout the operationalization of this strategy. They are in line with and build on those set out in FAO's new Private Sector Engagement Strategy including, in no particular order:

- a) demonstrate a clear contribution to the attainment of the Treaty and the SDGs that are relevant to the implementation of the Treaty
- b) respect the values of the Treaty, FAO and the United Nations
- c) not compromise the Treaty's neutrality, impartiality, integrity, independence, credibility or reputation
- d) be effectively managed and avoid any conflicts of interest or other risks to the Treaty
- e) demonstrate a clear contribution to the Treaty's mandate, and objectives and its Members national development goals
- f) respect the intergovernmental nature of the Treaty and the decision-making authority of its Members as set out in the Treaty text and other relevant rules
- g) support and enhance, without compromise, the neutral and independent scientific and evidence-based approach that underpins the Treaty 's work
- h) protect the Treaty from any undue influence, especially on processes for setting and applying policies, norms and standards
- i) be conducted based on transparency, openness, inclusiveness, accountability, integrity and mutual respect.

Assessing and managing risk

34. It is anticipated that engaging and developing partnerships with the food processing industry will be undertaken by a diverse range of different Treaty stakeholders and channels.

35. Where the Treaty engages or partners with the food processing industry through the Treaty's Secretariat, assessment and management of risk may be considered based upon those areas set out in FAO's Strategy for Private Sector Engagement 2021-2025, of:

- a) conflicts of interest;
- b) undue or improper influence exercised by a private sector entity on the Treaty 's work, especially, but not limited to, policies, norms and standard-setting;
- c) a negative impact on the Treaty 's integrity, independence, credibility, reputation or mandate;
- d) the engagement being primarily used to serve the interests of the private sector entity, with limited or no benefit to the Treaty ;
- e) the engagement conferring an endorsement of the private sector entity's name, brand, product, views or activity;
- f) the "blue-washing"<sup>7</sup> of a private sector entity's image through an engagement with the Treaty ;
- g) failure of the partnership to provide the expected benefits

Implementation, Monitoring, Evaluation and Re-Planning

36. The Engagement Strategy is envisaged to be a living document that takes an iterative or "step-wise" approach and may be periodically updated. In line with the monitoring and review arrangements of the Treaty's Funding Strategy, the Funding Committee will regularly monitor and review progress on the implementation of the Engagement Strategy and update the Governing Body on a regular basis, and make recommendations for adjustments.

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<sup>7</sup> The term "blue-washing" is generally understood to be the marketing practice of corporations and companies to form collaborations and associations with United Nations entities to make their goods or services more attractive to their consumers and shareholders that may overstate their commitment to responsible social and ethical practices.

**Co-Chairs' updated draft of the implementation, monitoring and review plan**

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

**DRAFT IMPLEMENTATION, MONITORING AND REVIEW PLAN: FOOD PROCESSING  
INDUSTRY ENGAGEMENT STRATEGY (INCEPTION PHASE)**

1. In developing the draft strategy to mobilize voluntary funds from food processing industries (the Food processing industry Engagement Strategy), the Standing Committee on the Funding Strategy and Resource Mobilization (the Funding Committee) noted that it should include an implementation, monitoring and evaluation plan, which could be provided as a separate information document to the Governing Body at its Ninth Session. This document sets out such a plan.
2. In order to streamline and integrate the Food processing industry Engagement Strategy with the broader work of the Treaty's Funding Strategy, the Committee may wish to consider incorporating this *Implementation, monitoring and evaluation plan* into its existing *Operational Plan for the Funding Strategy 2020-2025*.
3. The structure of the plan set out in this document follows that of the Operational Plan to allow for it to be easily incorporated in the Focus Area on resource mobilization of the Operational Plan of the Funding Strategy 2020-2025, should the Committee decide it is relevant to do so.

**FOCUS AREA: FOOD PROCESSING INDUSTRY ENGAGEMENT STRATEGY**

4. The Governing Body, through Resolution 3/2019, called on the Funding Committee to develop a strategy to mobilize funds from food processing industries, as called for in Article 13.6 of the Treaty.
5. An iterative or "step-wise" approach is envisaged for the Food processing industry Engagement Strategy through two key phases: an **inception phase**, followed by an **implementation phase**. This allows the development, testing and refining of concepts, approaches and tools to inform a targeted and effective set of actions for the Treaty's engagement with the Food processing industry, as relevant and appropriate.
6. Given this approach, this *Implementation, monitoring & review plan* considers only the major milestones and outputs for the inception phase, which is anticipated would take one year.

The key actions of the inception phase fall into three main thematic areas:

- i. Defining the Treaty's value proposition, communication tools and relevant entry points for engagement;
- ii. Testing and refining tools to establish areas of common interest;
- iii. Identifying models of engagement to pilot.

7. The Funding Committee will consider an implementation phase following a review of the inception phase. Major milestones and outputs for the implementation phase will be informed by the analysis and learnings arising from the inception phase, as appropriate.

**Major milestones and outputs by work-stream (inception phase)**

- i. **Defining the Treaty's value proposition, communication tools and relevant entry points for engagement**

**Milestone:** by 2022, the Treaty's value proposition, communication tools and relevant entry points for engagement with the food processing industry are defined by the Secretariat, under the guidance of the Committee, in consultation with the food industry.

- By 2022, a food processing industry sounding board has been identified.
- By 2022, an approach paper is developed by the Secretariat that defines the Treaty's value proposition, talking points, discussion hooks and entry points for engagement with the food processing industry.

### ii. Testing and refining tools to establish areas of common interest

**Milestone:** By 2022, tools and approaches to establish areas of common interest are developed, tested and refined by the Secretariat, under the guidance of the Committee, in consultation with the food processing industry.

- By 2022, the food processing industry sounding board has been consulted on tools and approaches developed.
- By 2022, tools and approaches are refined based on the consultations

### iii. Identifying potential models of engagement to pilot

**Milestone:** By 2022, potential models of engagement with food processing industry have been identified by the Committee.

- By 2022, potential models of engagement are identified taking into account experiences of other international instruments and organizations through interviews with relevant actors
- By 2022, with guidance from the Funding Committee, a dialogue has been organized with the food processing industry sounding board on models of engagement

By 2022, a selection has been made of models of engagement to test after a review of the inception phase. **Related Funding Strategy provisions:** *Funding Strategy 2020-2025, Annex 1 to Resolution 3/2019, paragraph 29 h; Operations Manual: Benefit-sharing Fund, Annex 2 of Annex 1 to Resolution 3/2019, Section II, paragraph 24.*

*Table 1: Summary of major milestones and outputs by work-stream and biennium  
Focus Area: Food Processing Industry Engagement Strategy*

	Biennium 2020/21	Biennium 2022/23	Biennium 2024/25
<b>Focus Area: Food processing industry engagement strategy</b>			
Defining the Treaty's value proposition, communication tools and relevant entry points for engagement	N/A	By 2022, a food processing industry sounding board has been identified by the Secretariat, under the guidance of the Committee, in consultation with the food industry  By 2022, an approach paper is developed by the Secretariat that defines the Treaty's value proposition, talking points, discussion hooks and entry points for engagement  Milestone achieved	N/A
Testing and refining tools to establish areas of common interest	N/A	By 2022, the food processing industry sounding board has been consulted	N/A

	Biennium 2020/21	Biennium 2022/23	Biennium 2024/25
		<p>By 2022, tools and approaches are refined based on the consultation by the Secretariat, under the guidance of the Committee, in consultation with the food industry</p> <p>Milestone achieved</p>	
Identifying potential models of engagement to pilot	N/A	<p>By 2022, potential models of engagement are identified by the Committee taking into account experiences of other international instruments and organizations through interviews with relevant actors</p> <p>By 2022, with guidance from the Funding Committee, a dialogue has been organized with the food processing industry sounding board on models of engagement</p> <p>By 2022, a selection has been made by the Committee of models of engagement to test after a review of the inception phase</p> <p>Milestone achieved</p>	N/A

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**MEL FRAMEWORK: MONITORING, EVALUATION AND LEARNING FRAMEWORK  
FOR THE BENEFIT-SHARING FUND**

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## **Executive summary**

The MEL framework for the Benefit-sharing Fund has been developed based on the requirements set out in the BSF Operations Manual<sup>8</sup> and following common elements of MEL frameworks used within the UN development agencies.

This MEL Framework is structured as follows:

- **Overview of the MEL framework** presents the rationale/context of the MEL framework for BSF, its main purpose, target audience and key principles;
- **Results Framework** describes the high-level programmatic approach of the BSF, including the programme's broader outcome area and main outputs;
- **MEL Framework for BSF** contains the main components for the MEL Framework. It describes the approaches to monitoring, evaluation and learning, including the tools available within the MEL system to gather and analyse quantitative and qualitative information related to BSF projects. The section elaborates upon the learning objectives of the MEL framework and presents action points for ensuring that monitoring and evaluation processes within the MEL system are useful and used for learning, communication and influencing at different levels;
- **Reporting** provides the overall timeline of MEL framework implementation and describes the type of reports to be prepared using the MEL framework, roles and responsibilities of various parties involved within the BSF reporting cycles;
- **Annex** provides additional tools and resources on MEL framework.

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<sup>8</sup> Annex 2 of the Funding Strategy of the International Treaty on Plant Genetic Resources for Food and Agriculture 2020-2025 available at <http://www.fao.org/3/nb780en/nb780en.pdf>

## I. OVERVIEW OF THE MEL FRAMEWORK

### A. Rationale

1. The Monitoring, Evaluation and Learning (MEL) framework for the Benefit-sharing Fund (BSF) is an integral part of the monitoring of the overall Funding Strategy of the International Treaty on Plant Genetic Resources for Food and Agriculture 2020-20259 (the Funding Strategy). It provides a common framework in conducting Monitoring, Evaluation and Learning for the Benefit-sharing Fund at programme and project levels.
2. The MEL framework:
  - a. is a living document and is complementary to the requirements set out in the newly approved Benefit-sharing Fund: Operations Manual (Annex 2 of the Funding Strategy). The MEL framework will be used throughout the BSF programme and project cycles and will be reviewed and updated regularly, as specified in the Treaty's Funding Strategy;
  - b. addresses the monitoring, evaluation and reporting in an integrated manner, including by further strengthening the learning and knowledge management of the BSF;
  - c. responds to the continuous evolution of the BSF and has been developed taking into account the exiting reporting, monitoring and evaluation system for BSF. While each BSF project has its own reporting, monitoring and data collection methods, this MEL combines a set of interconnected tools and indicators to support the collection, compilation and management of the information arising from the implementation of BSF projects. It provides a common basis for reporting at projects and programme levels;
  - d. promotes accountability and enables learning and knowledge sharing in the implementation of BSF projects and programmes. It has been designed to measure progress, assess risks, improve performance and enable adaptive management in BSF implementation as well as to facilitate and systematize monitoring processes and support compliance with reporting requirements. It is a practical tool that provides immediate operational and strategic management support for the BSF project cycles;
  - e. is results oriented, flexible, dynamic and inclusive of all BSF stakeholders. It forms the basis for assessing impact and ensure effectiveness and efficiency in delivery of the BSF projects and programme to support critical analysis and learning, inform decision-making and strategic programming.

### B. Results framework

3. The BSF Results Framework provides the conceptual foundation upon which the MEL framework is organized.
4. The Results Framework presented in Figure 1 is a visual summary of the BSF programme for the period 2020-2025. It links the achievement of outputs with the programme level outcome and is fully aligned with the Theory of Change and other elements of the BSF Operations Manual.

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<sup>9</sup> Resolution 3/2019 available at <http://www.fao.org/3/nb780en/nb780en.pdf>



**IMPACT**

Farmers around the world use, conserve and share Plant Genetic Resources for Food and Agriculture (PGRFA) leading to increased productivity and on-farm incomes, increased availability of diverse nutrient-rich food, reduced adverse impacts to the environment and enhanced resilience to production shocks. Biodiversity for food security is safeguarded for the future.

**OUTCOME**

Livelihoods improved for small-scale farmers in developing countries, and food security and sustainable agriculture promoted, through the conservation and sustainable use of PGRFA

**OUTPUTS**



<p>1.1 Use and conservation of farmers' varieties enhanced</p> <p>1.2 New adapted varieties developed through participatory plant breeding</p> <p>1.3 Dynamic linkages strengthened between on-farm programmes and genebanks and others in the agricultural research systems</p>	<p>2.1 Local seed value chains improved for dissemination of adapted varieties</p> <p>2.2 Use of adapted PGRFA and their products enhanced in the local food value chain</p>	<p>3.1 Linkages strengthened to ensure the dynamic flow of PGRFA materials and data from local to global through MLS and GLIS</p> <p>3.2 Capacities of BSF partners enhanced to document&amp;disseminate knowledge on innovations for PGRFA management</p> <p>3.3 Knowledge-gained and lessons learned accessed and used by all regions through the community of practice</p> <p>3.4 Visibility on innovations for PGRFA management increased for evidence-based policy and planning</p>
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5. The impact level for the BSF Results Framework uses the wording adopted by the Governing Body for the Results Framework of the overall Funding Strategy:

“Farmers around the world use and conserve adapted varieties leading to increased productivity and on-farm incomes, increased availability of diverse nutrient-rich food, reduced adverse impacts to the environment & enhanced resilience to production shocks”.

6. To contribute to the overall goal, the Results Framework sets one main outcome:

“Livelihoods improved for small-scale farmers in developing countries, and food security and sustainable agriculture promoted through the conservation and sustainable use of plant genetic resources for food and agriculture (PGRFA)”.

7. The three main outputs of the Results Framework are:

**Output 1:** Adapted PGRFA managed or improved with farmers’ participation;

**Output 2:** Enhanced local value chains improve the production and consumption of adapted PGRFA;

**Output 3:** Mechanisms strengthened to enhance the sharing of PGRFA, data and knowledge on innovations for PGRFA management.

8. The three main outputs are based on the BSF Operations Manual. The third output focuses on strengthening the learning and knowledge-sharing of the BSF to capitalize on the strong emphasis that the new BSF Manual places on learning and knowledge management. The BSF-3 independent evaluation also confirmed that the BSF generated rich and tangible data and knowledge on PGRFA management for food security in the context of climate change and recommended that the BSF should further capitalize on building and sharing knowledge within and across projects, as well as with Treaty stakeholders and National Focal Points at large.

9. The MEL framework for the BSF will serve as a practical tool to monitor and evaluate the achievements in the main outcome area and outputs of the Results Framework and enable knowledge management and learning. The approaches to monitoring the achievement of outputs and contributions to the outcome are further described in sections II C and II D.

10. The set of monitoring indicators available to monitor at outcome and output levels are provided in Annex 1 of the MEL framework. Gender differentiated indicators are included to enable a gender differentiated monitoring of the output levels.

11. The BSF executing partners will use the BSF Results Framework and the list of indicators to develop each individual Logical framework at project level, which will be context specific and prepared in a country-driven manner. In developing the Logical framework at project level, partners will have to bear in mind the approaches set for establishing the baseline (section II A) and for risk management (section II B).

12. All BSF projects will contribute to the realization of output 3 on knowledge-sharing and learning but may decide to focus on a limited number of contributory outputs for outputs 1 & 2. Each BSF executing partner will identify a discrete number of monitoring indicators at outcome and outputs levels that they would use throughout the project life.

13. For each BSF cycle, the Secretariat will aggregate indicators from each project to map the collective contribution of individual projects to the achievement of the BSF Results Framework and assess the progress in contributing to the overall programme.

## II. KEY APPROACHES TO MONITORING

14. The Monitoring for BSF is done on a continuous basis to systematically collect and analyse qualitative and quantitative data and information arising from portfolio implementation. The purpose of the monitoring for BSF is to assess projects’ performance and effectiveness in achieving planned outputs and outcome and identify any risks and corrective measures for improvement and adjustment of BSF interventions. The lessons from monitoring are discussed periodically and used to inform actions and decisions.

15. The monitoring of the BSF projects is carried out in accordance with FAO standards and forms an integral part of the project agreements signed with each BSF executing institution. Each BSF executing institution is responsible for monitoring its contribution towards the achievement of project outputs and outcome. The responsibility for monitoring the achievement of the BSF programme outcome lies with the Secretariat.

#### **A. Establishing baseline**

16. The collection of primary and secondary information prior to project intervention, through a baseline survey, is crucial for an evidence based, results-oriented and effective MEL system. The collected quantitative and qualitative information enables joint analysis and decision making amongst stakeholders for the projects' planning, monitoring, evaluation and learning. Many project partners of the BSF have in the past conducted baselines surveys. This MEL framework brings together the experience gained to have the preparation of a baseline establishment standardized throughout the projects and programmes of the BSF. The baseline survey should be combined with endline surveys.<sup>10</sup>

17. At the inception phase of each project, a needs and vulnerability assessment will be conducted. This will be conducted in conjunction with a PGRFA survey to determine with farmers what the locally available PGRFA are, the PGRFA gaps and new material needed.

18. Baseline surveys could integrate the use of questionnaires with other Participatory Rural Appraisal (PRA) tools. These could be used in combination with climate vulnerability assessments or tools, such as the diversity wheel, to define plant breeding or conservation objectives or gender differentiated trait preferences. These tools could be used to enhance local knowledge to co-define farmers' perception of climate change and use of PGRFA for disaster risk reduction and climate adaptation. Used in a participatory manner, the surveys can be empowering and create joint ownership among the stakeholders involved.

19. The surveys have cost, time and skills implications, so a minimum to optimum data sets need to be defined by the BSF executing partners. The data sets need to match the monitoring of outputs, outcomes and risk management.

#### **B. Risk management**

20. Risk management involves the process of identifying, monitoring, preventing or mitigating risks that could potentially affect project delivery and outcomes. Risk management presents an opportunity for building resilience and manage inter-related systemic risks:

- a. risk related to project context (e.g., market fluctuations, conflicts);
- b. project implementation risk (e.g., delays in procurement, staff hiring);
- c. risk inherent in agriculture production (e.g., crop failure) and PGRFA management (e.g., biotic and abiotic stresses);
- d. risk compounded by climate hazards of both extreme (e.g., typhoon) and slow on-set events (e.g., drought).

21. The objectives of the BSF risk management are two folds. Firstly, to enhance climate resilience at community level through the conservation and sustainable use of PGRFA. Secondly, risk and adaptive management throughout the project cycle.

22. Building on the BSF's Risk Assessment Matrix, the risk management will be improved and implemented. Risk screening and management will be part of the selection process, project inception and implementation. Whilst the context of risk management is complex, the tools and indicators for the BSF will be practical and easy to implement.

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<sup>10</sup> An end line survey is the collection of information as inputs to evaluate project results by comparing information from the baseline and end line surveys.

### **C. Technical monitoring: a focus on the output level**

23. The technical monitoring of the BSF is carried out during the lifespan of the projects and provides real-time information on project implementation and performance. Each BSF project is required to monitor and report periodically on the status of project implementation, in accordance with the monitoring mechanisms and reporting requirements set out in project contracts and following FAO standards.

24. The purpose of the technical monitoring is to:

- a. assess the status of project implementation compared with the original workplan and budget;
- b. assess the achievement of the pre-identified targets and related indicators in terms of quality and timeliness;
- c. assess the changes to the key assumptions and risks that affect attainment of project targets and individuate any remedial measures;
- d. assess if the accomplished targets continue to be relevant for the achievement of the project outcome and overall goal;
- e. summarize the major problems and issues affecting or likely to affect implementation progress, compliance with reporting and monitoring, recommend actions to overcome these problems and issues.

25. All BSF projects will develop individual logical frameworks that will be aligned to the Results Framework of the Benefit-sharing Fund. Targets at outcome and output levels should be established in relation to baseline data and thus set the prospects for performance over the project duration.

26. The list of indicators at output level are provided in Annex 1 of the MEL framework and are the benchmark for the technical monitoring. Gender differentiated indicators have been included to enable a gender differentiated monitoring at output level.

27. The targets and indicators will be subject to technical monitoring to assess if the cumulative reported indicators are adequate to reach the envisaged targets and ensure that they lead to the delivery of planned outcomes in the agreed period. This process will be repeated at each reporting interval to continuously validate that delivery of targets is on schedule and remains relevant.

### **D. Monitoring at the outcome level: assessing the benefits for farmers**

28. The monitoring of BSF previous cycles was strong on achievement of technical outputs at each cycle. The monitoring at programme outcome level (i.e., food and nutrition security, disaster risk management and adaptation to climate change, resilient livelihoods, policy changes and co-generation of technologies etc.) needs a more systemic approach within the period of implementation of the Funding Strategy 2020-2025.

29. Whilst the BSF has developed and used strong technical monitoring at output levels, the MEL framework will now correlate outputs to enable monitoring at outcome level. Outcome level monitoring aims to manage projects to achieve and demonstrate the benefits that PGRFA brings to small-scale farmers in developing countries.

30. The outcome level monitoring will test project level assumptions to the BSF's Theory of Change and will track impact pathways towards macro level outcomes. The positive changes are the PGRFA benefits related to food and nutrition security, resilient livelihoods, income generation disaster risk management and climate adaptation. This will also include policy changes and institutional transformation toward the co-generation of technologies to harness plant genetic resources for a climate resilient food and agriculture systems.

31. Integrated with knowledge management, MEL at outcome level may also track key medium-term achievements of the projects and how these contribute to long term goals of PGRFA management in the context of the Treaty implementation.

32. Indicators at outcome level will be strengthened and included in Annex 1 of the MEL Framework. Although hard quantitative data in some areas will be difficult to track and measure (e.g., farmers' improved income), the outcome indicators are intended to be mutually reinforcing. Their triangulation can produce robust data and establish causal links to outputs and outcomes.

### E. Financial monitoring

33. Based on Article 19.3 (h) of the Treaty, the Governing Body has established a Trust Account to receive financial contributions to the Benefit-sharing Fund. In accordance with the Financial Rules of the Governing Body, the Trust Account of the Benefit-sharing Fund is administered by FAO and its accounts and financial management are subject to the policies and procedures of FAO.

34. The implementation of the interim disbursement procedures<sup>11</sup> are in line with the Financial Rules of the Governing Body and consistent with existing FAO financial rules and procedures, as well as other applicable FAO rules and procedures.

35. The terms and conditions of disbursement are set forth in the project agreements. The project agreements include, *inter alia*:

- a. a schedule for the disbursement of funds in tranches based on time specific milestones;
- b. a requirement for an *Implementation Report* from the implementing entity prior to each tranche disbursement;
- c. a provision authorizing non-payment if project delivery fails.

36. Responsibility: the Secretary of the Governing Body will develop the project agreements following the FAO template for Letters of Agreement.

37. Payments are made in the following phases:

- a. An initial payment to follow signature of the project agreement. **Responsibility:** the Secretary of the Governing Body will authorize the initial payment;
- b. Interim payments, dependent upon receipt and acceptance of *Implementation Reports*, which includes a financial statement of expenditures signed and certified by a duly designated representative of the executing entity and relevant supporting documentation. **Responsibility:** the executing entities will submit *Implementation Reports* to be accepted by the Secretary before authorizing any new payment;
- c. A final payment, dependent upon receipt and acceptance of a *Terminal Report*, which includes a final financial statement of expenditures signed and certified by a duly designated representative of the executing entity and relevant supporting documentation. **Responsibility:** the executing entities will submit a *Terminal Report* to be accepted by the Secretary before authorizing the final payment.

### F. Monitoring tools

38. The MEL framework builds on an existing reporting and monitoring system within the BSF. The monitoring for BSF is carried out at two levels: project level and programme level.

39. At programme level, the BSF Reports to the Funding Committee will be the main tool used by the Secretariat to aggregate data and evidence on results produced by BSF projects.

40. Monitoring at project level relies on collection of evidence sourced from the management teams involved in the execution of BSF projects at country level/s. The Secretariat has developed and used throughout the BSF project cycles a set of monitoring tools<sup>12</sup> to capture information, quantitative and qualitative data, assess performance and risk in project implementation:

<sup>11</sup> Res 3/2011: Annex 2: Draft Interim Disbursement Procedures available at <http://www.fao.org/3/a-be453e.pdf>

<sup>12</sup> The reporting and monitoring tools are an integral part of the monitoring and reporting requirements set out in the contracts signed with the BSF implementing partners (FAO Letters of Agreement).

- a. **Reporting and monitoring schedule** is used by the Secretariat to keep track of the due dates for reporting for each project, including the status of approval of the reporting documents and disbursement;
  - b. **Results report**<sup>13</sup> (**EN, SP, FR**) provide information in areas of effectiveness, efficiency, potential impact, best practices and lessons learnt. The results report has been designed to track the status of inputs/outputs, assumptions/risks, and the likelihood of the achievement of programme outcomes and overall goal;
  - c. **Periodic financial reports** (**EN, SP, FR**) include a financial statement of incurred expenditures within the corresponding reporting period;
  - d. **Monitoring questionnaire**<sup>14</sup> (**EN, SP, FR**) provides quantitative and qualitative data in the fields of partnerships, beneficiaries, targeted PGRFA, field activities, conservation practices, PGRFA information and technologies, training and capacity building, project management;
  - e. **Risk assessment matrix** (**EN, SP, FR**) captures and analyses the level of risks (high, medium, low) in relation to a set of factors: environmental, social, cultural and economic conditions, management capacity and skills, project management, governance, budget and workflow. For each factor of risk, project partners are required to elaborate upon the coping strategy/ies to manage the identified risks;
  - f. **Field visits**: the Secretariat periodically organizes field visits to selected BSF projects to directly assess progress in project implementation, meet project beneficiaries and partners, collect first-hand information on changes in the livelihoods of target communities, engage in multi-stakeholder dialogues, exchange information, good practices and collect lessons learnt. Field visits are meant to validate the results reported by the projects.
41. The quantitative and qualitative data and information gathered through the monitoring tools is analysed, triangulated, systematized and aggregated by the Secretariat to enable reporting at the BSF programme level.

### III. KEY APPROACHES TO EVALUATION

42. According to the *Interim Procedures for Reporting, Monitoring and Evaluation* adopted by the Governing Body of the Treaty<sup>15</sup>, a terminal independent evaluation of the project portfolio is conducted at the end of the project cycle.
43. The minimum requirements for such evaluation are:
- a. compliance with norms and standards of the United Nations Evaluation Group;
  - b. assessing at a minimum:
    - i. the achievement of outputs and outcomes, and provide ratings for targeted objectives and outcomes;
    - ii. the sustainability of outcomes after project completion, with a scale of rating.
44. The minimum contents of the terminal evaluation report are:
- a. basic data on the evaluation:
    - i. when the evaluation took place;
    - ii. who was involved;
    - iii. the key questions;
    - iv. the methodology.
  - b. basic data on the project, including expenditures from the Benefit-sharing Fund and other sources;

<sup>13</sup> Please note that due to COVID-19 emergency the results report template has been updated to include an assessment of the impact of the pandemic on the implementation of project activities.

<sup>14</sup> Please note that due to COVID-19 emergency the monitoring questionnaire has been updated to include an assessment of the impact of the pandemic on the implementation of project activities.

<sup>15</sup> Res. 3/2011 Annex 1: *Interim Procedures for Reporting, Monitoring and Evaluation* <http://www.fao.org/3/a-be453e.pdf>

- i. lessons for broader applicability;
  - ii. the terms of reference of the evaluation (in an annex).
45. The independent evaluation shall be based on visits to the locations of a sample of projects and other mechanisms, such as interviews, questionnaires, focus group discussions.
46. The evaluation report shall be submitted to the Secretary within a reasonable time after termination of the projects.
47. The evaluation report shall contain findings and recommendations and will be made public through the website.
48. The evaluation team is led by independent experts not involved with the projects and the Benefit-sharing Fund. An approach paper and Terms of Reference for evaluation are prepared by the Secretary and the FAO Evaluation Office. The evaluation report is reviewed, if needed, by the evaluation office of the implementing entity. The evaluation team is solely responsible for the independent evaluation report.

#### **IV. KEY APPROACHES TO KNOWLEDGE MANAGEMENT, LEARNING AND COMMUNICATION**

##### **A. Knowledge and learning within the BSF programme**

49. Building from the knowledge and lessons generated from the first four cycles of the BSF, this MEL framework includes a strong focus on knowledge management and communication.
50. Learning takes place at individual and organizational levels. Knowledge management entails the process of generating, sharing, validating and applying knowledge towards problem solving and enacting change. Since knowledge relates to experience and behaviour, knowledge management is context specific. It revolves around people and their interactions; with each other and their environments.
51. The purpose of BSF knowledge management is to contribute to supporting the implementation of the Treaty. This involves contribution to the enhancement of the cyclical and mutually enhancing relations between the MLS and the BSF; whereby PGRFA materials and knowledge are accessed and adapted contributing to the generation of more PGRFA and knowledge into the multilateral system of access and benefit sharing.
52. The knowledge and evidence from local, national, regional and global levels will be translated into a compelling and tailor-made narratives to increase the visibility and influence of the Treaty - towards supporting the Contracting Parties and stakeholders of the Treaty to access and generate PGRFA for food and nutrition security and climate resilience.

##### **B. Knowledge management and learning phased approach**

53. The BSF will take a phased approach in its knowledge management, starting from its core constituents right through the PGRFA community at large, considering:
  - a. the need for continuous learning and the further development of the BSF's knowledge management;
  - b. the vast potential of PGRFA management in contributing to food and nutrition security in the context of climate resilience;
  - c. the scale of ambition of the BSF's knowledge management needs to be matched with human and financial resources.
54. Such phased approach is enshrined in the operational plan for knowledge management, learning and communication.

*Project level*

55. The basic and primary focus of the BSF knowledge management is at project level where multiple stakeholders collaborate, often pooling resources and each other's expertise to jointly implement a BSF project. Often working with small-scale farmers in developing countries, knowledge processes take place basically in problem analysis, identification of possible solutions, experimentation and adaptation.

56. At project level, a diversity of PGRFA materials is accessed, characterized, tested, developed and adapted on multiple locations within diverse agro-ecologies and cropping systems. Often linking farmers' and scientific knowledge, strategies employing PGRFA for sustainable agriculture and climate change adaptation are developed and tested. Some of the most successful results within the BSF are those where small-scale farmers in developing countries jointly analyse and work together with the support of plant breeders, extension agents, etc. Another crucial learning processes is the gender differentiated identification of farmers' trait preferences and plant breeding objectives.

57. Further outreach and communication take place when farmers' knowledge and PGRFA materials are shared in e.g., community seed fairs and policy dialogue. The documentation of knowledge products and processes, lessons learned, and best practices are the core activities at project levels.

*Programme level*

58. Amongst projects, at programme level, the collection and sharing of the documentation of knowledge products and processes, lessons learned and best practices are shared amongst the past and present BSF partners and shared more widely to the Contracting Parties of the Treaty. The Treaty Secretariat can collate and annotate knowledge products; and encourage the sharing and use of these materials.

59. The Secretariat should also organize webinars, conferences, side events, as part of knowledge sharing and communications. In addition, the Secretariat should also make public the information on the PGRFA materials and basic characterization that were accessed, tested, developed and deposited to the MLS linking these with narratives on outcomes.

60. The BSF Secretariat should also collate the knowledge products and achievements of the BSF and track these towards the long terms goals of the Treaty to ensure further use and development of relevant BSF materials. This should serve as possible inputs to the future design of the BSF call for proposals, further programme development and fund raising and collaboration with other programmes and institutions.

61. Further added value to the BSF knowledge products can be archived though linking within FAO, highlighting the significance of the BSF and the Treaty to FAO's strategic programming. In addition, the Secretariat can also provide links to FAO knowledge products such as guidelines and tools, which may be of interest to the BSF project holders. For example, links to FAO's work on Farmers' Field Schools, Climate Change and Disaster Risk Reduction, value chain development and the Committee on Food Security.

62. In consultation with the BSF project holders and contracting parties on, for instance, key bottlenecks and priorities, the BSF can further add value to the knowledge products of the BSF by using these as evidence to support e.g., case studies, policy briefs, manuals, development of tools and further training. This way the knowledge products of the BSF can be used to further generate knowledge products for wider dissemination.

63. Appealing to a wider community, the BSF can reach out to other programmes, institutions, networks and knowledge platforms for mutual sharing of information and potentials for further collaboration.

### C. Outreach and communication

64. The outreach and communication activities will translate knowledge and evidence from local, national, regional and global levels into compelling narratives to increase the visibility of the International Treaty.

65. More specifically, the communication and outreach aim at:

- a. Communicating and giving visibility to results, impact and positive changes in the livelihoods of the targeted communities and describing to the general public the value of the implementation of the International Treaty;
- b. Developing accessible and attractive communication materials that relate the significance of PGRFA, the BSF and the ITPGRFA to the SDGs, local and global resilient food systems and sustainable livelihoods;
- c. Reaching out to a wider set of institutions and ensure that the benefits of the BSF, in terms of knowledge, information and problem-solving, are not limited to funded projects but applicable to the International Treaty community at large;
- d. Sharing knowledge, and lessons learnt and promote PGRFA best-practices and innovations for broader uptake.

66. Communication products can be tailored to, as appropriate:

- a. All Contracting Parties;
- b. The stakeholders of the International Treaty, including PGRFA practitioners, seed sector, development sector;
- c. Messaging must relate to the wider food systems: consumers, food and retail industries, financial and banking sector;
- d. Corresponding targeted policy messaging to the respective governments; and relevant international agreements, bodies and processes such as the SDGs, UNFCCC, CBD, GPA, OECD.

67. Communication will be closely linked to dissemination of knowledge gained and lessons learned. At local to regional levels the emphasis would be placed on communication between stakeholders (including farmers, breeders, researchers and PGRFA conservationists) of BSF projects and other practitioners. At regional to international levels, the emphasis would be on replication and uptake by other stakeholders, at operational and policy levels, within and beyond the BSF programme. At global level, outreach on knowledge gained will target the Governing Body and the Treaty community at large, FAO as well as other international organizations and processes.

68. BSF communication activities take place at project and programme levels. An important guiding principle of the knowledge management and communication plan will be capacity development in communication skills and awareness raising for BSF executing partners. The intended result of such capacity building will be to increase the capacities of BSF executing partners to communicate Treaty implementation at local and national levels and to enable them to participate and co-generate communication products targeting regional and global levels.

69. Each project will develop a communication and visibility plan and allocate a minimum percentage of the project's budget for this purpose. The Secretariat develops and disseminates communication toolkits for the use by BSF executing partners, and identifies opportunities for joint communication and learning amongst partners.

70. The Secretariat manages communication at the programme level to ensure that results, best practices, knowledge and visibility of funded actions are properly communicated and disseminated at different levels. The Treaty Secretariat is responsible for the overall coordination and reporting on the implementation of the communication activities to all Treaty constituencies, including donors.



## V. REPORTING

71. One of the main purposes of the MEL framework is to facilitate the monitoring processes and support compliance with reporting requirements. The information arising from the MEL framework will be systematized, analysed and compiled to report at project/s and programme levels to support critical analysis and learning, inform decision-making and strategic programming.

72. The table below summarizes the main type of reports that will be prepared using the MEL framework, the timeline, roles and responsibilities.

<b>What</b>	<b>Reporting Level</b>	<b>Frequency</b>	<b>Content</b>	<b>Responsibility</b>
<b><i>Progress narrative reports</i></b>	Project	In accordance with the reporting and monitoring schedule set in the contracts (every 8 months)	<ul style="list-style-type: none"> <li>• Update on status of implementation of project activities (including any modifications to the original workplans and budgets)</li> <li>• Achievements at output level</li> <li>• Achievements at outcome level</li> <li>• Partnership</li> <li>• Challenges</li> <li>• Gender</li> <li>• Sustainability</li> <li>• Good practices and lessons learned</li> </ul>	BSF executing partners  Project management team
<b><i>Project summaries-factsheets</i></b>	Project	Updated annually	<ul style="list-style-type: none"> <li>• Summary description of the intervention logic of each individual project, expected results and benefits, partnerships and target beneficiaries</li> <li>• Summary information on PGRFA targeted by the project; description of good practices for PGRFA conservation and utilization with a special emphasis on linking in-situ ex situ conservation efforts</li> </ul>	BSF executing partners  Secretariat
<b><i>Periodic financial reports</i></b>	Project	In accordance with the reporting and monitoring schedule set in the contracts (every 8 months)	<ul style="list-style-type: none"> <li>• Statement of expenditure for the corresponding reporting period</li> </ul>	BSF executing partners  Project management team

<b><i>Report to SFC</i></b>	Program	Annual	<ul style="list-style-type: none"> <li>• Synthesis of quantitative and qualitative information arising from MEL</li> <li>• Update on progress in the implementation of BSF portfolio</li> <li>• Update on the use of financial resources</li> <li>• Learning, communication and outreach</li> <li>• Main challenges encountered and corrective measures adopted</li> <li>• Success stories and lessons learnt</li> </ul>	Secretariat
<b><i>Report to donors, NFPs, BSF partners (upon request)</i></b>	Program	Annual	<ul style="list-style-type: none"> <li>• Be based on the annual reports to the SFC, as much as possible</li> <li>• Synthesis of quantitative and qualitative information arising from MEL</li> <li>• In accordance with the reporting requirements set in donor agreements</li> </ul>	Secretariat
<b><i>Report to GB</i></b>	Program	Biennial	<ul style="list-style-type: none"> <li>• Be based on the annual reports to the SFC</li> <li>• Synthesis of quantitative and qualitative information arising from MEL</li> <li>• In accordance with the Procedures for Reporting, Monitoring and Evaluation</li> <li>• In accordance with BSF Operations Manual</li> </ul>	SFC/Secretariat
<b><i>Final Report of BSF</i></b>	Program	At the conclusion of project cycle		Secretariat
<b><i>Evaluation report</i></b>	Program	At the conclusion of project cycle	<ul style="list-style-type: none"> <li>• UN Evaluation group standards</li> </ul>	FAO Office of Independent Evaluation  Secretariat / SFC

## ANNEX: MEL FRAMEWORK

### LIST OF INDICATORS FOR MONITORING THE ACHIEVEMENT OF THE BSF RESULTS FRAMEWORK

The table below provides an indicative list of indicators for each output of the Results Framework provided in Figure 1, which are measurable and for which information can be collected and processed throughout the project implementation period.

Intervention logic	Objectively verifiable indicators of achievement
<p><b>Impact</b> Farmers around the world use and conserve adapted varieties leading to increased productivity and on-farm incomes, increased availability of diverse nutrient-rich food, reduced adverse impacts to the environment &amp; enhanced resilience to production shocks</p>	<p>Achievement status of each Sustainable Development Goals at national levels</p>
<p><b>Overall outcome:</b> Livelihoods improved for small-scale farmers in developing countries, and food security and sustainable agriculture promoted, through the conservation and sustainable use of plant genetic resources for food and agriculture (PGRFA)</p>	<ul style="list-style-type: none"> <li># farmers reporting increase in the type of crops and adapted varieties they consume</li> <li># farmers reporting increased knowledge and capacities for food storage, processing and cooking</li> <li># of farmers using PGRFA management strategies to increase resilience</li> <li># community-level disaster risk management measures implemented</li> <li>% increase in volume of seeds/products integrated in the local value chain</li> <li># of farmers reporting increase access to seeds of adapted varieties(quality, quantity, proximity, affordability and seed reserves)</li> <li># of farmers reporting improved income</li> <li>Increased engagement of PGRFA actors in support to SDGs</li> <li>Increased multi-actor engagement on PGRFA policy and planning</li> <li># of national/regional policy and planning related to food and nutrition security and climate change adaptation integrating PGRFA</li> <li># of communication/evidence-based case studies showcasing inter-linkages between the different Treaty mechanisms (MLS, GLIS, Funding Strategy, BSF)</li> <li># of institutions that adopt policies and practices to generate adapted PGRFA for small-scale farmers</li> </ul>
<p><b>OUTPUT 1: ADAPTED PGRFA MANAGED OR IMPROVED WITH FARMERS' PARTICIPATION</b></p>	

<p><i>Output 1.1 Use and conservation of farmers' varieties<sup>16</sup> enhanced</i></p>	<p><b><i>PGRFA indicators</i></b>  # of farmers' varieties and locally available PGRFA, including crop wild relatives and underutilized crops, collected and conserved  # of farmers' varieties and locally available PGRFA with improved management strategies  # of PGRFA re-introduced from genebanks or from other local communities into cultivation  # of locally-available PGRFA disseminated to other farmers</p> <p><b><i>Data/knowledge indicators</i></b>  # of data on PGRFA made publicly available  # of analysis &amp; research published <sup>17</sup></p> <p><b><i>Capacity building, institutions and infrastructure indicators</i></b>  # of farmers trained on-farm PGRFA management  # of scientists, technical support staff and extension agents trained on on-farm management  # of events (seed and food fairs, field days, demonstration plots, experimental trials, etc.) carried out to promote locally available PGRFA  # of community seed banks (CSBs) established/strengthened  # of local varieties conserved in CSBs  % of women in leadership participating in CSB management</p>
<p><i>Output 1.2 New adapted varieties developed through participatory research</i></p>	<p><b><i>PGRFA indicators</i></b>  # of PGRFA made available to farmers through participatory research  # of PGRFA characterized and/or evaluated to address needs identified with small scale farmers  # of new adapted varieties resulting from participatory variety selection (PVS)  # of new adapted varieties resulting from participatory plant breeding (PPB)  # of new adapted varieties cultivated by farmers  % change in productivity of the targeted crops  # of farmers reporting improved yields/productivity</p> <p><b><i>Data/knowledge indicators</i></b></p>

<sup>16</sup> The second Global Plan of Action for Plant Genetic Resources for Food and Agriculture (GPA-PGRFA) uses the term farmers' varieties/landraces.

<sup>17</sup> Including ethnobotanical and socio-economic/sociocultural research; population and conservation biology; research and extension studies for underutilized crops; extent and nature of possible threats to existing diversity on farm and in situ; studies to quantify genetic erosion. See GPA-PGRFA, para.52.

	<p># of data on PGRFA made publicly available  # of analysis and research papers published<sup>18</sup>  # of protocols on characterization/evaluation developed and shared  # of thesis, both MSc and PhD completed  # of institutions actively cooperating on capacity building and knowledge sharing</p> <p><b>Capacity building, institutions and infrastructure indicators</b>  # of farmers actively involved in on-farm PGRFA research  # of farmers and/or extension agents trained on PGRFA participatory research  # of farmers and/or extension agents trained as trainers on PGRFA participatory research  # of scientists, including young researchers, trained on PGRFA management to address the needs of small-scale farmers  # of local participatory research teams established and/or strengthened (e.g., FFS, learning groups, local communities of practice, etc.)  # of field days and innovation fora organized</p>
<p><i>Output 1.3. Dynamic linkages strengthened between on-farm programmes and genebanks and others in the agricultural research systems</i></p>	<p><b>PGRFA indicators</b>  # of PGRFA (accessions, breeding lines, new varieties) managed or improved with farmers participation  # of new accessions of PGRFA (farmers' varieties, crop wild relatives, underutilized crops) securely conserved in genebanks  # of farmers' varieties re-introduced/delivered from genebanks to farmers  # of crop wild relatives species conserved in situ by targeted communities  # of genebanks actively participating in the project  # of PGRFA material deposited in national/international genebanks  # of PGRFA material deposited in Svalbard</p> <p><b>Data/knowledge indicators</b>  # of data on PGRFA made publicly available  # of analysis and research papers published<sup>19</sup></p>

<sup>18</sup> Including crop improvement research, including participatory breeding; spatial analysis to identify varieties likely to have climate-adapted traits; phenotyping techniques used to improve on-farm management and improvement. See GPA-PGRFA, para.52-53.

<sup>19</sup> Including on effective ways to integrate on-farm and ex situ conservation. See GPA-PGRFA, para.52-53.

	<p># of catalogues on PGRFA developed</p> <p><b>Capacity building, institutions and infrastructure indicators</b></p> <p># of genebank and breeding researchers actively involved in on-farm PGRFA research</p> <p># of genebank and breeding researchers, farmers trained on PGRFA participatory research</p> <p># scientists, including young researchers , trained on PGRFA management to address the needs of small-scale farmers</p>
<p><b>OUTPUT 2: ENHANCED LOCAL VALUE CHAINS IMPROVE THE PRODUCTION AND CONSUMPTION OF ADAPTED PGRFA</b></p>	
<p><i>Output 2.1 Local seed value chains improved for dissemination of adapted varieties</i></p>	<p><b>PGRFA indicators</b></p> <p>kg of seeds of adapted varieties meeting quality standards produced</p> <p># of varieties with improved quality seed production</p> <p># of new farmer groups or other local actors involved in seed quality production, multiplication and/or distribution</p> <p># of farmers using quality seeds</p> <p># of companies commercializing seeds of adapted PGRFA</p> <p>% of farmers reporting increased quality of seeds sold in the market</p> <p><b>Data/knowledge indicators</b></p> <p>#seeds production manuals/publications developed</p> <p># of new varieties registered in national catalogues of commercial varieties</p> <p># of new business models for seed production, multiplication and/or distribution developed/strengthened</p> <p># of trainings modules on seed commercialization developed</p> <p><b>Capacity building, institutions and infrastructure indicators</b></p> <p># of farmers trained in seed production, multiplication and/or distribution</p> <p># people trained in the development and implementation of business models</p> <p># of seed inspectors, dealers, extension and local agents trained in quality seed production, multiplication and/or distribution</p> <p># of women in leadership position in the seed production</p> <p># of public-private partnerships formed</p>

<p><i>Output 2.2. Use of adapted PGRFA and their products enhanced in the local food value chain</i></p>	<p># of new farmer groups or other local actors use adapted PGRFA and their products          # of farmers reporting increased dietary diversity          # of food products developed with new varieties          # of food fairs organized          # of food processing enterprises engaged in the projects          # of knowledge products shared on food storage, processing and cooking of nutritious foods</p>
<p><b>OUTPUT 3: MECHANISMS STRENGTHENED TO ENHANCE THE SHARING OF PGRFA MATERIALS, DATA AND KNOWLEDGE</b></p>	
<p><i>3.1. Linkages strengthened to ensure the dynamic flow of PGRFA materials and data from local to global through the MLS and GLIS</i></p>	<p><b>PGRFA indicators</b>          # of PGRFA accessed from the MLS          # of SMTAs signed          # of DOIs assigned to PGRFA material on a voluntary basis          # of PGRFA material included in MLS          # of PGRFA materials safely duplicated in Svalbard</p> <p><b>Data/knowledge indicators</b>          # diagnostic exercises undertaken with farmers to identify new PGRFA material needed from the MLS          # MLS accessed materials analysed and shortlisted at research stations for further participatory research          # of data for new PGRFA accessions made publicly available through GLIS          # of PGRFA information tools developed / disseminated through GLIS          # of partners using new PGRFA information tools available in GLIS</p> <p><b>Capacity building, institutions and infrastructure indicators</b>          # webinars and/or capacity building workshops organized on the practical functioning of GLIS and MLS for PGRFA management          # of BSF partners supported to use MLS/GLIS through the MLS Helpdesk          # of people using training materials on the use of MLS/GLIS for the practical use at national level</p>
<p><i>3.2. Capacities of BSF partners enhanced to document and disseminate knowledge on innovations for PGRFA</i></p>	<p><b>Data/knowledge indicators</b>          # of partners that strengthened their mechanisms to document and disseminate knowledge and lessons learnt</p>

<p><i>management</i></p>	<p># of tools (germplasm, information, know-how and technologies) developed, documented and disseminated  # of manuals, policy briefs, guides on PGRFA innovations produced and disseminated</p> <p><b>Capacity building, institutions and infrastructure indicators</b>  # of local networks on PGRFA actively exchanging knowledge and information  # of knowledge sharing platforms used (e.g., websites, blogs, digital groups etc.)  # of researchers, extension agents, national focal points, government workers and technicians trained on PGRFA innovations  # scientists, particularly women, supported through knowledge-sharing and targeted capacity building on PGRFA innovations  # of field days, fairs and innovation fora organized to disseminate knowledge</p>
<p><i>3.3. Knowledge-gained and lessons learned accessed and used by all regions through the community of practice</i></p>	<p># of partners actively involved in community of practice  # of topics discussed within community of practice  # of case studies presented in community of practice  # of regional consultations between practitioners and policy makers organized  % of practitioners satisfied with utility of knowledge presented in the community of practice  % of increase in accessing and downloading information made available through community of practice  # of webinars, workshops organized for knowledge sharing  # of knowledge tools reviewed and improved by the community of practice</p>
<p><i>3.4. Visibility on innovations for PGRFA management increased for evidence-based policy and planning</i></p>	<p># of partners trained on (co-)development of visibility products showcasing innovations  # of visibility products published at local, regional or global level  # of people reached by BSF visibility products  # of policy briefs published  # of policy dialogues promoted  # of partners participating in relevant policy and planning processes at national level  # of plans and policies strengthened or developed that integrate innovations in PGRFA management</p>



October 2021



Food and Agriculture  
Organization of the  
United Nations



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

*Appendix 4*

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

**FOURTH MEETING OF THE STANDING COMMITTEE ON THE  
FUNDING STRATEGY AND RESOURCE MOBILIZATION**

**20 – 22 September 2021**

**AGENDA**

1. Opening of the meeting
2. Agenda and timetable
3. Resource Mobilization
  - a) Food Processing Industry Engagement Strategy
4. Benefit-sharing Fund Operations
  - a) Monitoring Evaluation and Learning (MEL) Framework
  - b) BSF-5 program
5. Report of the Committee to the Ninth Session of the Governing Body
6. Future work of the Committee
7. Other business
8. Meeting proceedings

## List of participants

**FOURTH MEETING OF THE STANDING COMMITTEE ON THE FUNDING STRATEGY  
AND RESOURCE MOBILIZATION (SFC-4)**

**20 – 22 September 2021 (Virtual)**

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