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## STANDARD MATERIAL TRANSFER AGREEMENT

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JIC SMTA ID: 342

### PREAMBLE

#### WHEREAS

The International Treaty on Plant Genetic Resources for Food and Agriculture (hereinafter referred to as “the **Treaty**”) was adopted by the Thirty-first session of the FAO Conference on 3 November 2001 and entered into force on 29 June 2004;

The objectives of the **Treaty** are the conservation and sustainable use of **Plant Genetic Resources for Food and Agriculture** and the fair and equitable sharing of the benefits arising out of their use, in harmony with the Convention on Biological Diversity, for sustainable agriculture and food security;

The Contracting Parties to the **Treaty**, in the exercise of their sovereign rights over their **Plant Genetic Resources for Food and Agriculture**, 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, on a complementary and mutually reinforcing basis;

Articles 4, 11, 12.4 and 12.5 of the **Treaty** are borne in mind;

The diversity of the legal systems of the Contracting Parties with respect to their national procedural rules governing access to courts and to arbitration, and the obligations arising from international and regional conventions applicable to these procedural rules, are recognized;

Article 12.4 of the **Treaty** provides that facilitated access under the **Multilateral System** shall be provided pursuant to a Standard Material Transfer Agreement, and the **Governing Body** of the **Treaty**, in its Resolution 1/2006 of 16 June 2006, adopted the Standard Material Transfer Agreement.

### ARTICLE 1 — PARTIES TO THE AGREEMENT

1.1 The present Material Transfer Agreement (hereinafter referred to as “**this Agreement**”) is the Standard Material Transfer Agreement referred to in Article 12.4 of the **Treaty**.

1.2 **This Agreement** is:

BETWEEN: The John Innes Centre, Norwich Research Park, Colney, Norwich, NR4 7UH, UK (hereinafter referred to as “the **Provider**”),

AND: Clarice J. Coyne, United States Department of Agriculture, Agricultural Research Service, Western Regional Plant Introduction Station, 59 Johnson Hall, Pullman, WA 99164-6402, USA (hereinafter referred to as “the **Recipient**”).

1.3 The parties to **this Agreement** hereby agree as follows:

## ARTICLE 2 — DEFINITIONS

In **this Agreement** the expressions set out below shall have the following meaning:

**“Available without restriction”**: a **Product** is considered to be available without restriction to others for further research and breeding when it is available for research and breeding without any legal or contractual obligations, or technological restrictions, that would preclude using it in the manner specified in the **Treaty**.

**“Genetic material”** means any material of plant origin, including reproductive and vegetative propagating material, containing functional units of heredity.

**“Governing Body”** means the **Governing Body** of the **Treaty**.

**“Multilateral System”** means the **Multilateral System** established under Article 10.2 of the **Treaty**.

**“Plant Genetic Resources for Food and Agriculture”** means any **genetic material** of plant origin of actual or potential value for food and agriculture.

**“Plant Genetic Resources for Food and Agriculture under Development”** means material derived from the **Material**, and hence distinct from it, that is not yet ready for **commercialization** and which the developer intends to further develop or to transfer to another person or entity for further development. The period of development for the **Plant Genetic Resources for Food and Agriculture under Development** shall be deemed to have ceased when those resources are **commercialized** as a **Product**.

**“Product”** means **Plant Genetic Resources for Food and Agriculture** that incorporate the **Material** or any of its genetic parts or components that are ready for **commercialization**, excluding commodities and other products used for food, feed and processing.

**“Sales”** means the gross income resulting from the **commercialization** of a **Product** or **Products**, by the **Recipient**, its affiliates, contractors, licensees and lessees.

**“To commercialize”** means to sell a **Product** or **Products** for monetary consideration on the open market, and **“commercialization”** has a corresponding meaning. **Commercialization** shall not include any form of transfer of **Plant Genetic Resources for Food and Agriculture under Development**.

## ARTICLE 3 — SUBJECT MATTER OF THE MATERIAL TRANSFER AGREEMENT

The **Plant Genetic Resources for Food and Agriculture** specified in *Annex 1* to **this Agreement** (hereinafter referred to as the **“Material”**) and the available related information referred to in Article 5b and in *Annex 1* are hereby transferred from the **Provider** to the **Recipient** subject to the terms and conditions set out in **this Agreement**.

## ARTICLE 4 — GENERAL PROVISIONS

4.1 **This Agreement** is entered into within the framework of the **Multilateral System** and shall be implemented and interpreted in accordance with the objectives and provisions of the **Treaty**.

4.2 The parties recognize that they are subject to the applicable legal measures and procedures, that have been adopted by the Contracting Parties to the **Treaty**, in conformity with the **Treaty**, in particular those taken in conformity with Articles 4, 12.2 and 12.5 of the **Treaty**.<sup>1</sup>

4.3 The parties to **this Agreement** agree that (*the entity designated by the **Governing Body***),<sup>2</sup> acting on behalf of the **Governing Body** of the **Treaty** and its **Multilateral System**, is the third party beneficiary under **this Agreement**.

4.4 The third party beneficiary has the right to request the appropriate information as required in Articles 5e, 6.5c, 8.3 and *Annex, 2 paragraph 3*, to **this Agreement**.

4.5 The rights granted to the (*the entity designated by the **Governing Body***) above do not prevent the **Provider** and the **Recipient** from exercising their rights under **this Agreement**.

## ARTICLE 5 — RIGHTS AND OBLIGATIONS OF THE PROVIDER

The **Provider** undertakes that the **Material** is transferred in accordance with the following provisions of the **Treaty**:

- a) Access shall be accorded expeditiously, without the need to track individual accessions and free of charge, or, when a fee is charged, it shall not exceed the minimal cost involved;
- b) All available passport data and, subject to applicable law, any other associated available non-confidential descriptive information, shall be made available with the **Plant Genetic Resources for Food and Agriculture** provided;
- c) Access to **Plant Genetic Resources for Food and Agriculture under Development**, including material being developed by farmers, shall be at the discretion of its developer, during the period of its development;
- d) Access to **Plant Genetic Resources for Food and Agriculture** protected by intellectual and other property rights shall be consistent with relevant international agreements, and with relevant national laws;
- e) The **Provider** shall periodically inform the **Governing Body** about the Material Transfer Agreements entered into, according to a schedule to be established by the **Governing Body**. This information shall be made available by the **Governing Body** to the third party beneficiary.<sup>3</sup>

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<sup>2</sup> *Note by the Secretariat*: by Resolution 2/2006, the Governing Body “invite[d] the Food and Agriculture Organization of the United Nations, as the Third Party Beneficiary, to carry out the roles and responsibilities as identified and prescribed in the Standard Material Transfer Agreement, under the direction of the Governing Body, in accordance with the procedures to be established by the Governing Body at its next session”. Upon acceptance by the FAO of this invitation, the term, “the entity designated by the Governing Body”, will be replaced throughout the document by the term, “the Food and Agriculture Organization of the United Nations”.

<sup>3</sup> *Note by the Secretariat*: The Standard Material Transfer Agreement makes provision for information to be provided to the **Governing Body**, in the following Articles: 5e, 6.4b, 6.5c and 6.11h, as well as in *Annex 2*, paragraph 3, *Annex 3*, paragraph 4, and in *Annex 4*. Such information should be submitted to:

## ARTICLE 6 — RIGHTS AND OBLIGATIONS OF THE RECIPIENT

6.1 The **Recipient** undertakes that the **Material** shall be used or conserved only for the purposes of research, breeding and training for food and agriculture. Such purposes shall not include chemical, pharmaceutical and/or other non-food/feed industrial uses.

6.2 The **Recipient** shall not claim any intellectual property or other rights that limit the facilitated access to the **Material** provided under **this Agreement**, or its genetic parts or components, in the form received from the **Multilateral System**.

6.3 In the case that the **Recipient** conserves the **Material** supplied, the **Recipient** shall make the **Material**, and the related information referred to in Article 5b, available to the **Multilateral System** using the Standard Material Transfer Agreement.

6.4 In the case that the **Recipient** transfers the **Material** supplied under **this Agreement** to another person or entity (hereinafter referred to as “the **subsequent recipient**”), the **Recipient** shall

- a) do so under the terms and conditions of the Standard Material Transfer Agreement, through a new material transfer agreement; and
- b) notify the **Governing Body**, in accordance with Article 5e.

On compliance with the above, the **Recipient** shall have no further obligations regarding the actions of the **subsequent recipient**.

6.5 In the case that the **Recipient** transfers a **Plant Genetic Resource for Food and Agriculture under Development** to another person or entity, the **Recipient** shall:

- a) do so under the terms and conditions of the Standard Material Transfer Agreement, through a new material transfer agreement, provided that Article 5a of the Standard Material Transfer Agreement shall not apply;
- b) identify, in *Annex 1* to the new material transfer agreement, the **Material** received from the **Multilateral System**, and specify that the **Plant Genetic Resources for Food and Agriculture under Development** being transferred are derived from the **Material**;
- c) notify the **Governing Body**, in accordance with Article 5e; and
- d) have no further obligations regarding the actions of any **subsequent recipient**.

6.6 Entering into a material transfer agreement under paragraph 6.5 shall be without prejudice to the right of the parties to attach additional conditions, relating to further product development, including, as appropriate, the payment of monetary consideration.

6.7 In the case that the **Recipient** commercializes a **Product** that is a **Plant Genetic Resource for Food and Agriculture** and that incorporates **Material** as referred to in Article 3 of **this Agreement**, and where such **Product** is not **available without restriction** to others for further research and breeding, the **Recipient** shall pay a fixed percentage of the **Sales** of the **commercialized Product** into the mechanism established by the **Governing Body** for this purpose, in accordance with *Annex 2* to **this Agreement**.

6.8 In the case that the **Recipient** commercializes a **Product** that is a **Plant Genetic Resource for Food and Agriculture** and that incorporates **Material** as referred to in Article 3 of **this Agreement** and where that **Product** is **available without restriction** to others for further research

and breeding, the **Recipient** is encouraged to make voluntary payments into the mechanism established by the **Governing Body** for this purpose in accordance with *Annex 2* to **this Agreement**.

6.9 The **Recipient** shall make available to the **Multilateral System**, through the information system provided for in Article 17 of the **Treaty**, all non-confidential information that results from research and development carried out on the **Material**, and is encouraged to share through the **Multilateral System** non-monetary benefits expressly identified in Article 13.2 of the **Treaty** that result from such research and development. After the expiry or abandonment of the protection period of an intellectual property right on a **Product** that incorporates the **Material**, the **Recipient** is encouraged to place a sample of this **Product** into a collection that is part of the **Multilateral System**, for research and breeding.

6.10 A **Recipient** who obtains intellectual property rights on any **Products** developed from the **Material** or its components, obtained from the **Multilateral System**, and assigns such intellectual property rights to a third party, shall transfer the benefit-sharing obligations of **this Agreement** to that third party.

6.11 The **Recipient** may opt as per *Annex 4*, as an alternative to payments under Article 6.7, for the following system of payments:

- a) The **Recipient** shall make payments at a discounted rate during the period of validity of the option;
- b) The period of validity of the option shall be ten years renewable in accordance with *Annex 3* to **this Agreement**;
- c) The payments shall be based on the **Sales** of any **Products** and of the sales of any other products that are **Plant Genetic Resources for Food and Agriculture** belonging to the same crop, as set out in *Annex 1* to the **Treaty**, to which the **Material** referred to in *Annex 1* to **this Agreement** belongs;
- d) The payments to be made are independent of whether or not the **Product** is **available without restriction**;
- e) The rates of payment and other terms and conditions applicable to this option, including the discounted rates are set out in *Annex 3* to **this Agreement**;
- f) The **Recipient** shall be relieved of any obligation to make payments under Article 6.7 of **this Agreement** or any previous or subsequent Standard Material Transfer Agreements entered into in respect of the same crop;
- g) After the end of the period of validity of this option the **Recipient** shall make payments on any **Products** that incorporate **Material** received during the period in which this Article was in force, and where such **Products** are not **available without restriction**. These payments will be calculated at the same rate as in paragraph (a) above;
- h) The **Recipient** shall notify the **Governing Body** that he has opted for this modality of payment. If no notification is provided the alternative modality of payment specified in Article 6.7 will apply.

## ARTICLE 7 — APPLICABLE LAW

The applicable law shall be General Principles of Law, including the UNIDROIT Principles of International Commercial Contracts 2004, the objectives and the relevant provisions of the **Treaty**, and, when necessary for interpretation, the decisions of the **Governing Body**.

## ARTICLE 8 — DISPUTE SETTLEMENT

8.1 Dispute settlement may be initiated by the **Provider** or the **Recipient** or the (*the entity designated by the **Governing Body***), acting on behalf of the **Governing Body** of the **Treaty** and its **Multilateral System**.

8.2 The parties to **this Agreement** agree that the (*the entity designated by the **Governing Body***), representing the **Governing Body** and the **Multilateral System**, has the right, as a third party beneficiary, to initiate dispute settlement procedures regarding rights and obligations of the **Provider** and the **Recipient** under **this Agreement**.

8.3 The third party beneficiary has the right to request that the appropriate information, including samples as necessary, be made available by the **Provider** and the **Recipient**, regarding their obligations in the context of **this Agreement**. Any information or samples so requested shall be provided by the **Provider** and the **Recipient**, as the case may be.

8.4 Any dispute arising from **this Agreement** shall be resolved in the following manner:

- a) Amicable dispute settlement: The parties shall attempt in good faith to resolve the dispute by negotiation.
- b) Mediation: If the dispute is not resolved by negotiation, the parties may choose mediation through a neutral third party mediator, to be mutually agreed.
- c) Arbitration: If the dispute has not been settled by negotiation or mediation, any party may submit the dispute for arbitration under the Arbitration Rules of an international body as agreed by the parties to the dispute. Failing such agreement, the dispute shall be finally settled under the Rules of Arbitration of the International Chamber of Commerce, by one or more arbitrators appointed in accordance with the said Rules. Either party to the dispute may, if it so chooses, appoint its arbitrator from such list of experts as the Governing Body may establish for this purpose; both parties, or the arbitrators appointed by them, may agree to appoint a sole arbitrator, or presiding arbitrator as the case may be, from such list of experts. The result of such arbitration shall be binding.

## ARTICLE 9 — ADDITIONAL ITEMS

### Warranty

9.1 The **Provider** makes no warranties as to the safety of or title to the **Material**, nor as to the accuracy or correctness of any passport or other data provided with the **Material**. Neither does it make any warranties as to the quality, viability, or purity (genetic or mechanical) of the **Material** being furnished. The phytosanitary condition of the **Material** is warranted only as described in any attached phytosanitary certificate. The **Recipient** assumes full responsibility for complying with the recipient nation's quarantine and biosafety regulations and rules as to import or release of **genetic material**.

### Duration of Agreement

9.2 **This Agreement** shall remain in force so long as the **Treaty** remains in force.

ARTICLE 10 — SIGNATURE/ACCEPTANCE

The **Provider** and the **Recipient** may choose the method of acceptance unless either party requires **this Agreement** to be signed.

The John Innes Centre, Norwich Research Park, Colney, Norwich, NR4 7UH, represent and warrant that I have the authority to execute **this Agreement** on behalf of the **Provider** and acknowledge my institution's responsibility and obligation to abide by the provisions of **this Agreement**, both by letter and in principle, in order to promote the conservation and sustainable use of **Plant Genetic Resources for Food and Agriculture**.

Signature [Handwritten Signature] Date 21<sup>ST</sup> MAY 2008  
Name of the **Provider** JOHN INNES CENTRE

I, Clarice J. Coyne, United States Department of Agriculture, Agricultural Research Service, Western Regional Plant Introduction Station, 59 Johnson Hall, Pullman, WA 99164-6402, USA, represent and warrant that I have the authority to execute **this Agreement** on behalf of the **Recipient** and acknowledge my institution's responsibility and obligation to abide by the provisions of **this Agreement**, both by letter and in principle, in order to promote the conservation and sustainable use of **Plant Genetic Resources for Food and Agriculture**.

Signature [Handwritten Signature] Date 21 May 2008  
Name of the **Recipient** Clarice J. Coyne, Ph.D.



1391	WBH 2138-wp	BLIXT,S	WBH 2138	SWE		Genetic Stock
1397	B18-535:ARG	MARX,G.A	B18-535	USA		Genetic Stock
1405	X78122-sbm/SCOUT	MUEHLBAUER,F	X78122	USA	PI 595945	Genetic Stock
1485	P.SATIVUM-AFGHANISTAN	BLIXT,S	WBH 1598	SWE		Primitive cultivar
1544	P.SATIVUM-CHINA	BLIXT,S	WBH 1934	SWE	PIS 984	Primitive cultivar
1573	ORANGE POD-orp	SWIECICKI,W	WT 10263	POL		Genetic Stock
1709	MUMMY BICOLOUR	ASTLEY,D	1770	GBR	1770	Genetic Stock
1715	SABRE	ASTLEY,D	1780	GBR	1780	Genetic Stock
1743	AGEOTROPUM-age	BLIXT,S	WBH 5124	SWE		Induced mutant
1745	RAMOSUS-rms-1	BLIXT,S	WBH 5237	SWE		Selection
1746	CREEPING-creep	BLIXT,S	WBH 5859	SWE	K479	Selection
1760	CONSORT-af	THORNTON,M		GBR		Cultivar
1772	FILIGREEN-af			DEU		Cultivar
1860	CERISE-ce,CR	BLIXT,S	WBH 1227	SWE		Selection
1889	P.SATIVUM-ETHIOPIA	DOLAN,D.D	PI 257593	USA		Primitive cultivar
1922	PAI WAN TOU	DOLAN,D.D	PI 103058	USA		Cultivar
2016	B777-188:af,sil	MARX,G.A	B777-188	USA		Selection
2104	P.SATIVUM-ETHIOPIA	PERRINO,PROF	ITPDB 103460	ITA		Primitive cultivar
2121	DETERMINATE GROWTH-det	SWIECICKI,W	WT 16100	POL		Spont. mutant
2122	ARTHRITIC-art	SWIECICKI,W	WT 16125	POL		Spont. mutant
2132	P.SPECIOSUM	LEHMANN,C	PIS 2078	DEU	M873	Primitive cultivar
2154	P.SPECIOSUM	LEHMANN,C	PIS 2089	DEU	M 877	Primitive cultivar
2157	P.SPECIOSUM	LEHMANN,C	PIS 2090	DEU	M 976	Primitive cultivar
2160	STIPULA-IMMINUATA-stim	BLIXT,S	WBH 1520	SWE		Spont. mutant
2165	COCHLEARIS-coch<w	BLIXT,S	WBH 5137	SWE		Spont. mutant
2168	SERRATUS-ser	BLIXT,S	WBH 462	SWE		Spont. mutant
2171	UNIFOLIATA-uni	BLIXT,S	WBH 187	SWE		Spont. mutant
2179	IMPREMERE-I,TYPE L.	BLIXT,S	WBH 1226	SWE		Selection
2182	TENDRILLED ACACIA-Uni<fac	SWIECICKI,W	WT 15876	POL	WBH 5876	Spont. mutant
2327	BELINDA	TURNER,R		GBR		Cultivar
2412	QUINCY	LUND,T.L		USA		Cultivar
2414	CHLOROPHYLL MUTANT	GOTTSCHALK,W	130A	DEU		Induced mutant
2667	GREEN FLOWER-gf	GOTTSCHALK,W	M.189B	DEU		Induced mutant
2739	POD SPLITTING	BLIXT,S	WBH 3087	SWE		Genetic Stock
2769	CULRED LEAVES-curl	BLIXT,S	WBH 5855	SWE	K330	Induced mutant
2776	APPELBLOSSOM-cr	BLIXT,S	WBH 368	SWE		Genetic Stock
2986	NARROW LEAF BASE-nlb	GOTTSCHALK,W	G 122	DEU		Induced mutant
3011	FAST GROWING MUTANT-	BLIXT,S	WBH 6074	SWE		Induced mutant
3021	LOBED STANDARD-1st	GREEN,N	UKPCC	GBR		Spont. mutant
3024	BULBOUS-blb	KOSTERIN,O	SGE80	RUS		Induced mutant
3129	11/47 AFILA	BONDO,L.	WL 6033	SWE	11/47	Induced mutant
3187	rms4-1	RAMEAU,C	K 164	FRA		Genetic Stock
3189	rms2-1	RAMEAU,C	K 524	FRA		Genetic Stock
3194	rms1-11	RAMEAU,C	M3T-988	FRA		Genetic Stock
3195	rms6-1	RAMEAU,C	S2-271	FRA		Genetic Stock