	Table 1. Po	otential risks and management	t options for seed banks.				
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Activity	Risk Sources/Indicators	Risk/Consequence	People	Facility	Procedure	Contingency	Responsible Unit
ACQUISITION							
Collecting	Narrow genetic variability and large gaps in germplasm collection	Failure to capture diversity in field	Send Center genebank personnel to take the lead joint collecting missions with national programs. Conduct training of collectors in partner countries. Maintain and hire a pool of expert collectors.		Analyse collection for un-represented regions and conduct gap-filling collecting.	Send a follow-up collecting mission.	GRU
	Wide variability in flowering time and high shattering of wild types	Failure to capture diversity in field			Collect large amount of original sample.	Send a follow-up collecting mission.	GRU
	Low seed amount of new acquisitions	Genetic drift			Collect large amount of original sample.	Send a follow-up collecting mission.	GRU
	Untrained personnel in collecting and documentation	Failure to capture diversity in field and document important information	Send Center genebank personnel to take the lead joint collecting missions with national programs. Conduct training of collectors in partner countries. Maintain and hire a pool of expert collectors.			Send a follow-up collecting mission.	GRU
	Misidentification of germplasm	Misleading information	Include taxonomists during collecting.			Use molecular methods to verify identity. Invite taxonomists and other experts to verify identity of ambiguous materials.	GRU
	Lack of simple collection protocol and documentation				Develop simple collecting procedures and forms.		GRU
	Agricultural intensification, replacement of traditional varieties with modern ones, urbanization, land use change, and climatic events				Prioritize affected and high-diversity areas for collecting germplasm		GRU
	Strict country and international laws on access and use of germplasm	unexplored areas			Secure a Germplasm Acquisition Agreement between donor country and Centre to manage accessions under FAO conditions.	Arrange for unrestricted use with new leaders of donor countries. Acquire material through friendly 3n party countries. Offer technical incentives.	GRU
	Breach of country and international treaties	Legal consequences. Damaged reputation and relationship	Training of all institute staff on intenationally agreed protocols, in consultation with Genebank and other Center authorities.		Follow national procedures of obtaining collecting permits, under relevant international agreements. • Collect in partnership with local PGR people.	Keep acquired material under restricted use and access, and seek de-restriction with donor country.	Center top mgt; new employees orientation; GRU
	Ambiguous position of countries regarding international treaties	Poor access and use of germplasm in unexplored areas			and Treaty-related training-workshops, and incentivize donation.	Help build capacity of national bodies in germplasm collecting.	Center partnership and collaboration office, GRU
Donation	Received foreign materials carry pests and disease	country			Strictly observe quarantine regulations. Keep from main storage areas until fully checked and decontaminated. Subject to hot water treatment. Grow and regenerate materials in screenhouse or away from large crop production areas of local farm.	Confine affected areas, discontinue planting of crop and eliminate other hosts in adjacent areas.	GRU; Germplasm Health unit
	Limited seed testing capability	Restricts international germplasm exchange		Develop testing and handling capability for pes and diseases of international importance.	st.		GRU; Germplasm Health unit
	Reluctance to share germplasm due to IP rights	Restricts international germplasm exchange		Conduct training on benefits and limitations of IP rights.			GRU
CONSERVATION	Working collections not duplicated in major	Failure to capture elite germplasm			Proactively conserve breeding materials.		GRU
Registration	Unverified passport and other data submitted	Incorrect or unreliable passport data, and subsequent reports			Verify passport information with donor.	Classify accessions as 'tentative' until standard characterization, etiology and DNA analysis establis their identity.	GRU h
	Received materials have low viability	Loss of germplasm			Obtain large amount of samples and handle properly	Seed increase immediately.	GRU
Sample Processing	Culling of perceived offtypes that are true components of original sample	Loss of genetic integrity	Assign handling of highly heterogenous samples t well-trained personnel.		Prepare seed file, panicle file and herbarium specimen of heterogenous samples. Keep putative offtypes until verified with new harvest.	Collect new seeds and panicles from donor, site or safety duplicates in other genebanks.	GRU
	Non-removal of damaged seeds hence reducing tru viable sample size	Drift and loss of genetic integrity from presence of unremoved damaged/weak	Assign well-trained staff in seed cleaning		Strictly select for healthy seeds include seed health testing during regular storage viability tests.	Collect new seeds and panicles from donor, site or safety duplicates in other genebanks.	GRU; Seed Health
	Inefficient fumigation	Drift and loss of genetic integrity from insect damage	Assign well-trained staff in seed processing		Apply fumigation at most effective doses. Include seed health testing during regular storage viability tests.	Collect new seeds and panicles from donor, site or safety duplicates in other genebanks.	GRU; Seed Health
	Lack of proper disposal procedures for contaminate plant materials	areas.			Develop and enforce proper disposal procedures for contaminated plant materials.	and eliminate other hosts in adjacent areas.	
	Mixture from unclean mechanical threshers and selection of hardy grains resistant to mechanical threshers	Loss of genetic integrity		If mechanical thresher is necessary, thoroughly clean equipment and collecting tray between samples.	Thresh and clean samples manually, and clean wor table between samples.	safety duplicates in other genebanks.	GRU
Storage	Misplacement of packets back into storage tray during briefings to visitors	Loss or misplacement of germplasm	Restrict germplasm access to authorized staff.		Conduct regular and independent verification of location of accession, and update it on computerize database system. Make packet and tray labels highl		GRU
	Underestimate of critical sample size	Loss of genetic integrity			due regard to expected decline in viability during storage.	Replace affected accessions with seeds from base set. Collect new seeds from donor, site or safety duplicates in other genebanks.	GRU
	Ineffective packaging material and method permeable to moisture, pest or pathogen	Reduction or loss of viability		and packaging area and technique are aseption	Use industry-standard packaging material and method that is impermeable to moisture, pest or pathogen.	Replace affected accessions with seeds from base set. Collect new seeds from donor, site or safety duplicates in other genebanks.	GRU
	Safety duplication site is vulnerable to natural calamities	Inaccessible or loss of safety duplication		Full back-up in NCGRP, Fort Collins, Colorado			GRU
	Changing policies, financial and technical capabilities of governments hosting safety duplication	Inaccessible or loss of safety duplication		Secondary full back-up in Svalbard, Norway. Partial back-up in another CGIAR center. Prepare a pull-out scheme in the event of instability in host country.			Center top mgt; SGRP; GRU

			Action Plan				
Activity	Risk Sources/Indicators	Risk/Consequence	People	Facility	Procedure	Contingency	Responsible Unit
Testing	Human error in taking and encoding weight readings	Incorrect moisture content data	Assign well-trained staff		Computerize MC determination based on weight readings from two .	Conduct a third replicate if there is wide variation between two replicates.	GRU
	Defective weighing apparatus	Incorrect moisture content data		Quarterly calibrate weighing balance.			GRU
	Inefficient conduct of viability test and encoding	Overdue/backlog in viability test	Plan in advance and hire properly trained technicians and encoders.		Closely monitor and follow viability testing schedule	Prioritize specail and unique accessions.	GRU
	Human error in viability evaluation.	Incorrect viability score	Assign staff that are well trained on ISTA standards.		Determine viability from two replicates.	Conduct a third replicate if there is wide variation between two replicates.	GRU
	Dormancy	Incorrect viability score			Break dormancy. Optimize methods to break dormancy of recalcitrant types and wild species.		GRU
	Unsuitable viability testing procedure for special types of germplasm	Incorrect viability score			Request appropriate growing procedure from donor Improve germination of problematic seed types.	Try germination on agar.	GRU
	Inappropriate viability testing interval	Loss of viability			Establish viability testing intervals for different seed types.	Replace with seeds from base set. Collect new seed from donor, site or safety duplicates in other	GRU
	Human error in seed health evaluation.	Pest incidence undetected	Assign staff that are well trained in International Seed Testing Association (ISTA) and US National Seed Health System protocols in seed health testing. Engage Center pathologists and		Determine seed health from two replicates.	Conduct a third replicate if there is wide variation between two replicates.	GRU; Seed Health
	Improper pest screening methods	Pest damage			Comply with quality standards held by center and/or country regulations. Develop improved methods to minimize errors in seed health laboratory techniques for detection of pathogens.	from donor, site or safety duplicates in other	GRU
	Defective pest screening equipment	Pest damage		Periodically inspect pathology labs and calibra equipment.			GRU
		Loss of genetic integrity of other accessions	Conduct regular training of staff in transgenic detection.			Replace with seeds from base set if available. Request or collect new seeds from donor or site or from well-conserved safety duplicates in other	GRU
	Lack or improper determination of transgene presence	Inaccurate or wrong information regarding transgene presence			Use industry-standard transgene detection systems		GRU
	Inadvertent spread of transgene in the collection	Loss of genetic integrity of other accessions	Designate a separate group of personnel for handling transgenic materials.	Designate a separate processing and storage rooms for handling and conserving transgenic materials. Assign experimental area for transgenics away from seed multiplication plot	During registration, require a special declaration tha seed samples contain no transgenes. Follow host country and center biosafety protocols to minimize saccidental transfer of transgenes to non-transgenic accessions.	Test seeds of adjacent plots for transgene presence. Replace affected accessions with seeds from base set. Collect new seeds from donor, site or safety duplicates in other genebanks.	GRU
Regeneration	Poor field plot management	Loss of genetic integrity		Use standard large plot sizes to ensure minima drift.	Follow standard procedures for plot management ensuring that at least 100 plants can be grown to maturity.	Replace affected accessions with seeds from base set. Collect new seeds from donor, site or safety duplicates in other genebanks.	GRU
	Misidentification of accessions	Loss of germplasm	Assign multiple staff in seed preparation, labelling seed distribution in seed bed, and seedling distribution in field plots.		Double check seed and seedling labels against planting plant before and after distribution in seed bed and field plots.		GRU
	Mis-roguing of true components of original germplasm	Loss of genetic integrity	Assign handling of highly heterogenous samples t well-trained personnel.		Separate regeneration of highly heterogenous samples based on seed characteristisc of original samples.	Replace affected accessions with seeds from base set. Collect new seeds from donor, site or safety duplicates in other genebanks.	GRU
	Differential pollen productivity of subtypes in highly heterogenous samples.	Loss of genetic integrity				Replace affected accessions with seeds from base set. Collect new seeds from donor, site or safety duplicates in other genebanks.	GRU
	Cross pollination from other germplasm	Loss of genetic integrity		Set up regeneration of wild species inside a secure screenhouse. Consider installing pollen barriers in screenhouse. In the field, prevent pollination by alien pollen through proper isolation.	Use 30 cm x 30 cm spacing for photosensitive and high tillering accessions, and new materials. Intersperse plots with different species. If applicable bag seed heads before pollen shedding. Use field plot layout that avoids potential risk of outcrossin	Replace affected accessions with seeds from base set. Collect new seeds from donor, site or safety duplicates in other genebanks.	GRU
	Suboptimal pollination	Loss of genetic integrity		Provide pollination cages if necessary.	Use relevant pollinators to ensure pollination, minimize differential contribution of male gametes b artificial pollination, and ensure appropriate female- male pairing by isolation, manual pollination, etc.		GRU
	Poor quality of harvest for storage	Loss of genetic integrity			Harvest seeds at physiological maturity. Slow dry ar blow seed before and after drying to remove stubble and unfilled and light grains.		GRU
	Different regeneration environment from the site of origin	Genetic shift or loss of genetic integrity		Review geographical origin of germplasm and carry out regeneration in the same or similar environment or in controlled environments (e.g greenhouses, screen cages, etc.) that meet the environmental requirements of the germplasm.	requirements.		GRU
	Inappropriate location of genebank for regeneration of photoperiod-sensitive materials	Failure to produce new seeds			Grow wild species and photoperiod-sensitive accessions during wet season.		GRU
	Escape of non-native species into environment	Invasion of host habitat	Regulate access to screenhouse and staff should change working clothes to minimize dispersal of seeds when they leave.	Restrict growing of wild species in pots with no holes inside a contained screenhouse with fine mesh screens on all drainage canals.		Confine affected areas, monitor for non-native wild species and eliminate them before reproductive stag	GRU e.
	Endemic diseases from adjacent production areas	Loss of germplasm		Conduct regeneration in isolated areas away			GRU
	Unavailability of pesticides to control major insect	Loss of germplasm		from production farms.			
	pests due to strict regulations  Low germination of germplasm due to strong	Loss of germplasm			Conduct research on the physiology of seed	Use tissue culture and embryo rescue to germinate	GRU
Characterization and	dormancy  Inefficient and erroneous data gathering and	Backlog and inaccurate characterization data		Provide digital hand-held encoder.	dormancy and methods to break dormancy. Gather and integrate traditional knowledge for optimal regeneration of landraces and primitive Independently verify encoded data. Automate	recalcitrant accessions. Scrub seed of certain species with sand paper to relieve dormancy.	GRU
Evaluation	encoding  Descriptors that have no clear-cut correspondence		characterization following international standards.		computing, updating and reporting of characterization data in database.  Use updated descriptors and provide references for	Re-characterize accessions for problematic traits	GRU
	to current international standard descriptors	data			all measurements and classifications.	using current international standard descriptors.	
	Limited text-based description	Incomplete and inaccurate morphological description			Include images (600-800 pixels) of key plant parts accompanied with standard color guide eg. Mansell colors.		GRU
	Lack of diversity assessment of collection	Unknown level of breadth, duplication and gaps in collection, and conservation of unnecessary duplicates	2		Conduct molecular profiling and diversity analysis	Determine a set of core collection and begin eliminating redundant duplicates of the core material	GRU s.
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Activity	Risk Sources/Indicators	Risk/Consequence	People	Facility	Procedure	Contingency	Responsible Uni
DISTRIBUTION							
Policies	Lack of knowledge or negligence on seed exchang Protocol and International Treaty	EDistribution without accompanying MTA.     Inadvertent distribution of restricted germplasm (e.g. Non-MLS materials). Wrong information on the exchange status (MLS) or			Implement a clearance sheet for germplasm distribution ensuring appropriate MTA and other documents and approval of personnel concerned al obtained before release.	Immediately send correct documents and information to recipient of germplasm, including acknowledgmen receipt and agreement forms to be completed and returned.	
	Recipients of "designated" germplasm or "non- designated" germplasm attempt to claim IP rights over the germplasm	Restrictions on future access and use of germplasm			Distribute accessions under a standard FAO-CGIAI MTA for "designated" gemplasm, and for Center- created "non-designated" material developed in collaboration with FAO and other CGIAR Center, we a clause on the right of the Center to take legal acti in case of violation of the MTA, upon recipient's agreement to MTA conditions.		GRU; Center Mgt; FAO
	Non-compliance with phytosanitary regulations	Germplasm distributed from genebank carry diseases or pest contamination.			Seed Health Unittests materials for bacterial and fungal diseases according to the phytosanitary standards of the importing country.	Immediately send disease and pest management procedures to recipients of germplasm.	GRU; Seed Health Unit

				Action Plan			
Activity	Risk Sources/Indicators	Risk/Consequence	People	Facility	Procedure	Contingency	Responsible Unit
Seed Preparation	Misclassification and wrong characterization and seed stocks data	Delayed identification and preparation of requested germplasm	Conduct regular training on seed characterization		Check characterization data. Include evaluation dat that relate to needs of different users.	Acknowledge receipt of seed request. If there is reasonable doubt on identity and availability of requested germplasm, notify requester of possible delay of delivery.	GRU, Library, Communications Office
	Inefficient and slow processing of requests for samples.	Dissatisfied recipients of germplasm	Dedicate personnel to serving seed requests.		Keep files of relevant country and international quarantine documents .		GRU; Seed Health
	Errors in preparing or labeling samples	Wrong germplasm distributed by the genebank			Adopt barcoding and closely adhere to seed distribution protocol.	Immediately send correct germplasm and instructions on disposing received wrong germplasm.	GRU
	Insufficient seed stock for distribution	Delay in serving seed request			and RILs in the active set as well as their DNA samples if available.	an agreement with requestor on funding and schedul of seed increase, if Center cannot immediately meet request.	GRU
Dispatch	Germplasm distributed with low viability	Dissatisfied recipients of germplasm			Conduct research on nature of dormancy and methods to break dormancy. Include a protocol on how to grow the particular material in every shipmer including breaking dormancy methods.	Immediately verify viability of seed batch, rejuvenate necessary, and send highly viable seed to requestor til still needed.	if GRU
	Loss of documentation	Loss of important information about germplasm			Include copies of documentation inside shipping hoxes		GRU
	Unfavorable conditions during transport	Delay in delivery , reduction of viability or loss of materials			Use packing materials that can withstand unfavorab conditions. Choose express delivery and under dry- ice if available with reliable shipping services and tracking system.	If route and time taken by material are unreasonably extended, resend new seeds using an alternative courier.	GRU
INFORMATION MANAG	EMENT AND DISSEMINATION	•	•	•	•	•	,
Labelling	Fading of labels and mislabelling of new bags and other containers for the germplasm accession	inventory			Place fade-resistant, computer-generated labels and barcodes inside and outside all containers. Scan barcode labels twice on seeds and trays to prevent miscans, and then physically count entries on tray:	fingerprinting.	GRU
	Misplacement of labels as seeds are laid out for drying	Loss of accessions	Assign handling to well trained personnel. Place labels carefully under the seeds to minimize error	S		Replace affected accessions with seeds from base set. Collect new seeds from donor, site or safety duplicates in other genebanks.	GRU
Data Handling	Inefficient recording and database management	Backlog and inaccurate characterization data			Use GRU Database System and submit new data to SINGER every month. Bind hard copies of data in books.		GRU, Information Technology Unit
	Mishandling of information and disorganized data sets (e.g. information system, field/ lab observation)	Loss or inaccessibility of information			Use GRU Database System and archive original da sheets. Integrate genebank operations, distribution records, and seed exchange policy databases.		GRU, Information Technology Unit
	Improper recording of moisture content, seed inventory, viability, storage location, and characterization data.	Inaccurate or wrong information			Independently verify encoded data. Automate computing, updating and reporting of moisture content, seed inventory, viability, storage location, and characterization data in database. Provide decision-making tools in the database for various genebanking operations.	Re-encode inventory and viability data from data sheets if reliable, otherwise repeat inventory and viability tests.	GRU
Back-up	Lack of secure back-up	Loss of genebank data		Transfer new data on CD or tape in two centra databases in separate buildings. Store also in secure, passport-regulated cyberspace.	Produce photocopy and electronic copy of original data sheets. Use automatic back-up after each session in workstation. Make daily incremental back- ups and weakly full back-ups.	Retrieve data from back-up electronic copies and /or paper records if available.	GRU, Information Technology Unit
Data Quality	Inaccurate location of collecting sites	Misrepresentation of ecogeographic distribution			Use GIS in collecting for easy integration in the glob database system.		GRU
	Inadequate information about important traits of accessions.	Low interest and utilization of germplasm			Collect data on important traits. Include desirable information from various sources.		GRU
	Human error in data gathering	Erroneous data		Use hand-held pocket PCs in field data gathering.	Check data integrity with SQL commands to catch out-of-line data.		GRU
	form.	Low level of utilization of germplasm and information.			Disseminate relevant information about germplasm through germplasm catalogs, newsletters, journals, bulletins, and operation manuals in print and cyber media.	Provide on-demand technical assistance for special data and information search about germplasm.	GRU, Library, Communications Office
Data Sharing	Slow availability of evaluation data for international users	Low interest and utilization of germplasm		Computerize and harmonize database with global system.	Immediately submit evaluation data into international databases.		GRU
	Limited ICT capability; server, network and IT relate problems	important data to potential users	Engage a competent data curator to document decades of evaluation data in a centralized database system.	full technical support from Information Technology Unit. Change computers every 5 years. Upgrade memory and operating system	Regulate software installation and downloading. Restrict use of computer to authorized personnel.	Provide information request menu on the webpage and serve requests by digging print and/or electronic records.	GRU, Information Technology Unit
	problems, and power interruption	Failure to update data by genebank staff and damage to computerized database system		battery packages. Enforce automatic start-up of	Enable immediate notification of 2 staff at work and home phones in case of database-related problems Back up data weekly to 2 tapes/CDs, 1 kept in Center, the other in staff's home for 1 year and later in the international data hub.		GRU
INFRASTRUCTURE/PHY							
Functionality	Storage conditions at genebank not suitable (temperature, humidity, light conditions, exposure to contaminating organisms, pests)	Reduction or loss of viability		Install an alarm system for open doors, and temperature/ humidity changes in the processing and storage areas.	Regularly check and maintain cooling units and dehumidifiers.	Multiply, carefully process and send accessions to better genebanks and/or Svalbard for safety back-up	GRU, Physical Plant
	Poor organization of storage trays, shelves and compartments	Loss or misplacement of germplasm		Rationalize arrangement of storage trays, shelves, and compartments.	Develop a simple labeling system for the storage space units. Conduct regular and independent verification of location of accession, and update it or computerized database system.		GRU
	Deterioration of facilities and equipment	Reduction or loss of seed viability		Pursue continual upgrading and expansion of field and laboratory equipment, etc.			GRU

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Activity	Risk Sources/Indicators	Risk/Consequence	People	Facility	Procedure	Contingency	Responsible Uni
	Cold room malfunction	Reduction or loss of seed viability		Place hygrothermographs that are connected to back-up power supply and alarm system. Provide the rooms with multiple compressors and dehumidifiers that are programmed for alternate operation.			GRU, Physical Plant
Security	Power supply cut-off	Reduction or loss of viability		Install, regularly check, and maintain an emergency electrical generator for back-up power to the storage rooms, essential genebar lighting, monitoring devices, and access locks during electrical power failures.	k		GRU, Physical Plant
	Theft or vandalism	Loss of germplasm		Flace the building under 24-hr perimeter security surveillance. Link the alarm system by optical fiber with security office and police. Install double locks in sensitive areas and closed-circuit camera monitoring by guards. Install sensors for door contacts, glass breaks and unusual motion outside work hours.	Restrict access to genebank facilities to authorized personnel with assigned badge and PIN code for access. Conduct background check on personnel who will use facility. Regularly brief security guards on the safety and security protocols of the genebanks.		GRU, Physical Plant, Security
	Environmental risks/weather elements, earthquakes other catastrophic events (civil war), and fire		Assign personnel from genebank unit and security office for 24/7 watch of the facility.	Design and construct building according to safety, environmental and artillery protection,			GRU

	Risk Sources/Indicators	Risk/Consequence				.=	
Activity			People	Facility	Procedure	Contingency	Responsible Unit
PERSONNEL AND SUP	PORT SERVICES	1			II.		
Personnel	Inadequate complement of technical staff	Inefficient operations	Hire at least one highly qualified technician each to manage seed viability test, seed drying and moisture test, seed ehealth test, characterization an restriction of the seed health test, characterization and restriction of the seed of the seed of the seed of the restriction of the seed of the seed of the darket of planning, research and analysis, a technician to take charge of daily operation of the laboratory, laboratory assistants for seed deaning, seed processing and seed peckaging, and field workers for seeding, field-layout, screenhouse and field mointenance and harvestion.				GRU
	Incompetent staff		Hire researchers with advanced degrees in plant physiology/genetics. Hire laboratory technicians with a background in plant science. Hire laboratory assistants with training in basic botany. Provide 1- 2 weeks intensive on-site training for each new sta member on standardized laboratory and field protocols, followed by close supervision for as long as needed.				GRU
Working environment	Routine tasks and uncompetitive remuneration	Fast staff turnover	Rotate work assignments as much as possible or assigning special projects to technicians. Educate workers on the mission of the facility to boost morale and establish a research-oriented approach				GRU
	Exposure to occupational hazards	Reduced manpower capability			Protect staff members from pesticide exposure, for example, by spraying during weekends.		GRU, Pest Control unit
Support Services	Inefficient human resources services	Delayed hiring of required manpower			Review and streamline hiring/recruitment protocol.		HR
	Inefficient purchasing and repair services	Delayed delivery/repair of required supplies and equipment			equipment in stock (specially the ones not locally available), as a risk mitigation procedure (filters, batteries, lamps, fuses, sealing devices)	for a fee if required, pending delivery of ordered equipment and supplies.	
Financial	High cost of genebank operations	Loss of donor and user support			Closely follow and seize funding opportunities with The Global Crop Diversity Trust and other funding donors.	Charge shipping fees to recipients of germplasm especially the private sector and well-funded public organizations.	GRU; Center mgt