

Consultative Committee**CC/97/3****Ninety-Seventh Session
Geneva, October 29, 2020****Original:** English
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to be considered by correspondence

STRATEGIC BUSINESS PLAN*Document prepared by the Office of the Union**Disclaimer: this document does not represent UPOV policies or guidance***EXECUTIVE SUMMARY**

1. The purpose of this document is to provide information on the implementation of the Strategic Business Plan approved by the Consultative Committee at its ninety-fourth session, held in Geneva on October 25, 2017 (Strategic Business Plan 2018-2023), and to present an updated Strategic Business Plan for consideration by the Consultative Committee (Strategic Business Plan 2021-2025).

2. The Consultative Committee is invited to:

(a) note the information on the latest situation concerning the 10 specific targets that were identified for improvement in the Strategic Business Plan 2018-2023, as set out in Annex I to this document;

(b) approve the draft Strategic Business Plan 2021-2025, as presented in Annex II to this document; and

(c) request that the Strategic Business Plan be updated on a biennial basis in order to set the direction for the subsequent two biennia and to coincide with the preparation of the draft program and budget for the subsequent biennium.

BACKGROUND

3. In response to the recommendation presented in the World Intellectual Property Organization (WIPO) Internal Oversight Division (IOD) "Evaluation of the International Union for the Protection of New Varieties of Plants (UPOV)", conducted in 2016, the Consultative Committee, at its ninety-second session, held in Geneva on October 27, 2016, approved the proposal of the Office of the Union to prepare a draft Strategic Business Plan to be presented to the Consultative Committee in October/November 2017, as follows (see document CC/92/21 "Report", paragraph 38):

"(1) The IOD Evaluation Report contains the following recommendation:

'This report recommends that the Union consider developing a Strategic Business Plan to diversify its revenue portfolio to maintain and enhance the sustainability of existing activities and services. The Strategic Business Plan would:

'(a) Serve as a roadmap to implement the Strategic Goals and Objectives of the Union;

'(b) Identify financial resources needed to achieve the Strategic Goals and Objectives of the Union in an evolving global environment and provide alternative ways to additional funding schemes;

'(c) Outline the human resource needs in line with the Strategic Priorities of the Organization; and

'(d) Define long-term steps and key milestones of outreach activities with a view to improving organizational visibility and enhancing revenue generation efforts.'

“(2) The IOD process requires follow-up by the Program Manager, in this case the Vice Secretary-General, to implement any recommendations unless there are any reasons provided not to do so. As indicated in the IOD Evaluation Report, Table of Recommendations, subject to agreement by the Consultative Committee at its ninety-second session, the Office of the Union proposes to prepare a draft Strategic Business Plan to be presented to the Consultative Committee in October/November 2017. The IOD Evaluation Report states that it would be a Strategic Business Plan that:

- ‘(a) Reflects the strategic agenda of the Organization;
- ‘(b) Depicts alternative funding sources and defines trends and implications;
- ‘(c) States financial resources needed to advance the Strategic Objectives of the Union with respect to political and economic milieu;
- ‘(d) Incorporates human resource planning proposal with a balanced ratio of professional and general level positions;
- ‘(e) Covers outreach relationship building program with external and internal stakeholders;
- ‘(f) Defines measurable benchmarks or criteria for evaluating effectiveness and monitoring progress of funding schemes; and
- ‘(g) Incorporates detailed action plan with measurable indicators and feasible implementation timeframe.”

4. The Consultative Committee, at its ninety-fourth session, held in Geneva on October 25, 2017, approved a Strategic Business Plan [2018-2023] on the basis of the draft presented in the Annex to document CC/94/3 (see document CC/94/19 “Report”, paragraph 45).

5. On the basis of the findings in the IOD Evaluation of UPOV and discussions that took place within UPOV, the Strategic Business Plan [2018-2023] identified opportunities for improvement and associated risks, from which 10 specific targets were identified for improvement. The Strategic Business Plan [2018-2023] also contained a Resourcing Plan in order to achieve those 10 targets.

IMPLEMENTATION OF THE STRATEGIC BUSINESS PLAN 2018-2023

6. Annex I to this document presents the latest situation with regard to the 10 specific targets that were identified for improvement in the Strategic Business Plan [2018-2023].

DRAFT STRATEGIC BUSINESS PLAN 2021-2025

7. Annex II to this document contains a draft Strategic Business Plan 2021-2025, which will provide a framework for the 2022-2023 and 2024-2025 Biennia, for consideration by the Consultative Committee.

8. It is proposed that the Strategic Business Plan be updated on a biennial basis in order to set the direction for the subsequent two biennia and to coincide with the preparation of the draft program and budget for the subsequent biennium (see document CC/97/8 “Preparation of the Draft Program and Budget for the 2022-2023 Biennium”).

9. *The Consultative Committee is invited to:*

(a) note the information on the latest situation concerning the 10 specific targets that were identified for improvement in the Strategic Business Plan 2018-2023, as set out in Annex I to this document;

(b) approve the draft Strategic Business Plan 2021-2025, as presented in Annex II to this document; and

(c) request that the Strategic Business Plan be updated on a biennial basis in order to set the direction for the subsequent two biennia and to coincide with the preparation of the draft program and budget for the subsequent biennium.

[Annexes follow]

TARGETS FOR IMPROVEMENT IDENTIFIED IN THE STRATEGIC BUSINESS PLAN

[Document CC/94/3, Appendix II, provides additional background information for each target]

Services to the Union for Enhancing the Effectiveness of the UPOV System (Sub-program UV.2)

Target	Description	Latest situation
Target 1: UPOV IT Tools	UPOV to maintain existing UPOV IT tools and to further develop existing and new IT tools for the delivery of improved services to UPOV members.	<p>UPOV PRISMA: Version 2.4 was launched in February 2020. More information will be provided in the Report by the Vice Secretary-General on developments in UPOV (document C/54/INF/2).</p> <p>PLUTO database: the following approach for the PLUTO database will be applied from November 2020 (see document C/53/15 "Report", paragraph 23)</p> <ul style="list-style-type: none"> (i) free option: the PLUTO database with a search function will be free to all users. Search results will be limited to an on-screen display of a single page of results. There will be no facility to download search results or data from the PLUTO database; (ii) premium option: users paying a fee will have access to all PLUTO database features and will be able to download data without restrictions. The fee will be CHF 750 per annum; (iii) members of the Union and data contributors: access to all PLUTO database "premium" features will be free to all members of the Union and data contributors (i.e. OECD); and (iv) access to PLUTO data can also be granted in cases approved by the Consultative Committee, in a similar way to the assistance provided by the Office of the Union to the International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA); <p>GENIE database: no new developments.</p> <p>TG Template: see Target 4 "TG Template for UPOV members"</p> <p>UPOV Lex: UPOV Lex is based on the WIPO Lex platform, which is maintained by WIPO.</p>

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Target	Description	Latest situation
Target 2: Data contribution assistance	To provide direct assistance to members of the Union in the contribution of data to PLUTO and GENIE databases.	The arrangement between UPOV and the World Intellectual Property Organization (WIPO) concerning the UPOV Plant Variety Database (UPOV-WIPO arrangement) will be discontinued in 2020, as soon as the knowledge transfer and rationalization of the PLUTO database data management has been completed to the satisfaction of the Office of the Union. In conjunction with this transfer, the Office of the Union will introduce improvements to data quality checking and providing an improved mechanism for the contribution of data to PLUTO.
Target 3: Increase coverage of EAF [Now UPOV PRISMA]	To increase the number of members of the Union that participate in the EAF [Now UPOV PRISMA], the number of crops/species covered and the languages available for navigation of the EAF.	35 members of the Union (46% of members of the Union), covering 74 States (78% of the States covered by UPOV), participate in UPOV PRISMA. Coverage of all plant genera/species in UPOV PRISMA is enabled by 22 members of the Union (29%), covering 38 States (50%). Latest information will be provided in the Report by the Vice Secretary-General on developments in UPOV (document C/54/INF/2).
Target 4: TG Template for UPOV members	To develop the TG Template for use by members of the Union in the preparation of individual authorities' test guidelines.	No new developments.
Target 5: Additional languages	To develop materials in other than UPOV languages, administer those materials on the UPOV website and utilize materials in training and assistance programs.	See document CC/97/10 "Policy on translation" UPOV PRISMA is available in 10 "navigation languages" and 13 "output form" languages.

Assistance in the Introduction and Implementation of the UPOV System (Sub-program UV.3)

Target	Description	Latest situation
Target 6: Awareness-raising	To increase possibilities for initiatives, such as study tours to members of the Union, to illustrate the impact of PVP and UPOV membership	Plans for study tours in 2020 have been cancelled or postponed in response to the Covid-19 pandemic. Document CC/97/6 "Communication Strategy" provides information on the use of social media to raise awareness.
Target 7: Extra-budgetary Funds	To maintain and increase extrabudgetary funds from members of the Union.	In 2020, UPOV has been provided with extrabudgetary funds from the following members of the Union: <ul style="list-style-type: none"> • Canada Funds-in-Trust • Japan Funds-in-Trust • U.S. Patent and Trademark Office (USPTO) Memorandum of Understanding (MOU) • Netherlands PVP development program (Toolbox)
Target 8: Partnerships for Capacity-building	To increase the number of partnerships to deliver training and assistance activities on UPOV matters and to increase collaboration with members of the Union, organizations and academic institutions to provide a range of training and assistance opportunities at national and regional levels	New collaborations: <ul style="list-style-type: none"> • Introduction of a UPOV day at the Master in Intellectual Property organized by WIPO, Turin University and ILO Training Centre • Introduction of a Plant Breeding Module at the Intellectual Property Master of the University of Alicante
Target 9: Enhanced cooperation	To implement any measures approved by the Council resulting from the work of the Working Group on a Possible International System of Cooperation (WG-ISC).	see document CC/97/5 "Proposals on international cooperation"

External Relations (Sub-program UV.4)

Target	Description	Latest situation
Target 10: Social media	To increase the use of social media	See document CC/97/6 "Communication Strategy"

[Annex II follows]

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ANNEX II

DRAFT

STRATEGIC BUSINESS PLAN

2021-2025

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SUMMARY

1. This draft Strategic Business Plan starts with “UPOV’S DIRECTION, PHILOSOPHY AND PURPOSE”, including reference to the World Intellectual Property Organization (WIPO) Internal Oversight Division (IOD) “Evaluation of the International Union for the Protection of New Varieties of Plants (UPOV)” (“IOD Evaluation of UPOV”), conducted in 2016 (see http://www.upov.int/edocs/mdocs/upov/en/c_50/eval_2016_01.pdf).
2. The IOD Evaluation Report’s single recommendation was that “the Union consider developing a Strategic Business Plan to diversify its revenue portfolio to maintain and enhance the sustainability of existing activities and services. The Strategic Business Plan would:
 - “(a) Serve as a roadmap to implement the Strategic Goals and Objectives of the Union;
 - “(b) Identify financial resources needed to achieve the Strategic Objectives of the Union in an evolving global environment and provide alternative ways to additional funding schemes;
 - “(c) Outline the human resource needs in line with the Strategic Priorities of the Organization;
 - “(d) Define long-term steps and key milestones of outreach activities for improving organizational visibility and enhancing revenue generation efforts.”
3. The section “STRENGTHS, WEAKNESSES, OPPORTUNITIES AND THREATS” recalls the strengths, weaknesses, opportunities and threats (SWOT) for UPOV identified by the IOD Evaluation of UPOV and reports the essential activities of UPOV and areas for improvement that were identified by stakeholders. On the basis of the findings in the IOD Evaluation of UPOV and discussions that have taken place within UPOV, the section explores opportunities for improvement and associated risks.
4. The section “TARGETS FOR IMPROVEMENT” identifies specific targets for improvement, linked to the opportunities identified in the section “STRENGTHS, WEAKNESSES, OPPORTUNITIES AND THREATS”.
5. The IOD Evaluation of UPOV reinforced the value of existing activities and did not identify any substantial areas where existing services or activities should be discontinued. Therefore, the “RESOURCING PLAN” section develops a plan to provide additional resourcing for additional services and activities.

UPOV'S DIRECTION, PHILOSOPHY, AND PURPOSE

6. UPOV's mission is "[t]o provide and promote an effective system of plant variety protection, with the aim of encouraging the development of new varieties of plants, for the benefit of society".

7. In terms of providing an effective system of plant variety protection, UPOV has consistently emphasized that its priority is service to members of the Union. Assistance to States and organizations that are not members of the Union is focused on the development of legislation in line with the 1991 Act of the UPOV Convention in order to enable them to become members of the Union. This approach received endorsement from stakeholders in the WIPO Internal Oversight Division (IOD) "Evaluation of the International Union for the Protection of New Varieties of Plants (UPOV)" ("IOD Evaluation of UPOV"), conducted in 2016.

8. The importance of promoting the UPOV system was highlighted in the UPOV Report on the Impact of Plant Variety Protection¹, which demonstrated that the expansion of UPOV benefitted both existing and new members of the Union (see "Expansion of UPOV: a benefit for new and old UPOV members").

9. Increasing information on the benefits of plant variety protection and UPOV membership in recent years has led to increasing interest in UPOV membership. At the same time, there is growing awareness of the fundamental importance of plant breeding to enable agriculture to provide food security for a growing global population while conserving the planet's resources and adapting to climate change. Substantial improvements in the effectiveness of the UPOV system would be expected to further increase interest in UPOV membership. In order to deliver these improvements and support a growing UPOV membership, UPOV needs to continuously review its program of activities and the resources required.

¹ http://www.upov.int/edocs/pubdocs/en/upov_pub_353.pdf

STRENGTHS, WEAKNESSES, OPPORTUNITIES AND THREATS

FINDINGS OF THE IOD EVALUATION OF UPOV

10. The IOD Evaluation of UPOV identified the following:

(a) Essential activities:

- Assistance with interpretation and implementation of the UPOV Convention
- Development of PVP legislation in accordance with the UPOV Convention
- Guidance on the examination of Distinctness, Uniformity and Stability (DUS)
- Harmonization between members of the Union
- Plant Variety Protection (PVP) databases
- Electronic application form
- Meetings of UPOV bodies

(b) Areas that should be improved:

- Facilitating cooperation within UPOV (with increasing and diversified membership)
- Promotion of PVP
- Inclusion and management of data in databases
- Handling of political areas
- Engagement with IGOs and NGOs
- Capacity-building
- Information on impact of PVP and UPOV membership
- Support for UPOV trainers
- Communication with policy-makers

(c) Strengths, weaknesses, opportunities and threats (SWOT) for UPOV:

<u>Strengths</u>	<u>Weaknesses</u>
Knowledge, technical competence, expertise, willingness to take on new challenges and looking for improved ways to provide assistance	Limited resources
Agreement covering provision of services to UPOV by WIPO	Not taking into consideration UPOV specificities
High level of commitment	Limited funding for projects and entire dependence on contributions of members of the Union
Prioritization of resources	Raising the profile of UPOV
Member-driven organization	Growing demand for activities without significant increase in the number of contribution units
Clear mandate and acceptance of members of the Union	High workload
Decisions by consensus	
Small size of the Office of the Union	
Excellent cooperation with PVP Offices and organizations	
<u>Opportunities</u>	<u>Threats</u>
Willingness of members of the Union to support UPOV	[limited] Support and involvement of the authorities
Revision of processes to improve effectiveness	Static budget versus growing membership
Growing membership	Political discussions versus technical discussions
New technologies	[limited] Resources of members of the Union to attend UPOV sessions
Flexible and pragmatic approach of the Office of the Union	
Further harmonization of PVP in the World	
Electronic Application Form as an income source	

11. The SWOT analysis, combined with the essential activities identified by stakeholders, points to the value of the clear mandate and priorities identified by the members of the Union, i.e. services to members of the Union and assistance on the development of legislation that enables States and relevant organizations to become members of the Union. A further strength of UPOV is the harmonization and voluntary cooperation between members of the Union. These strengths are enhanced by having a small UPOV Office, comprised of qualified and dedicated staff, which is able to deliver its mandate in a dynamic and responsive manner and to facilitate cooperation between members of the Union.

12. The SWOT also identifies that there are opportunities for improvement in relation to improving the effectiveness of UPOV's work and identifies that the lack of resources to address those areas represents a threat to UPOV.

13. On the basis of the findings in the IOD Evaluation of UPOV and developments that have taken place within UPOV since that time, the following section seeks to identify opportunities for improvement and associated risks.

OPPORTUNITIES FOR IMPROVEMENT

Providing an effective system of plant variety protection

14. The main objectives of UPOV in relation to providing an effective system of plant variety protection are (see FAQ What does UPOV do? <https://www.upov.int/about/en/faq.html#QG10>):

- provide and develop the legal, administrative and technical basis for international cooperation in plant variety protection;
- assist States and organizations in the development of legislation and the implementation of an effective plant variety protection system;

Legal, administrative and technical basis for international cooperation in plant variety protection

15. In recognition of the limited resources of the regular budget, emphasis has been placed on the provision of guidance and information for the operation of the UPOV system of plant variety protection. UPOV has developed an extensive set of guidance and information materials; notably, Explanatory Notes ("UPOV/EXN" series), Information Documents ("UPOV/INF" series), the "General Introduction to the Examination of Distinctness, Uniformity and Stability and the Development of Harmonized Descriptions of New Varieties of Plants", with its associated TGP documents, and Test Guidelines. Such materials provide the basis for harmonization and, thereby, facilitate cooperation between members of the Union. Cooperation has also been facilitated by resources such as the PLUTO database (variety denominations), GENIE database (DUS examination) and TG Template (Test Guidelines preparation).

16. The focus for guidance and information materials and resources for the future will largely be on maintenance and revision.

Assistance in the development of legislation and the implementation of an effective plant variety protection system

17. In recognition of limited resources, assistance by the Office of the Union has been prioritized as follows:

- (i) assistance to existing members of the Union;
- (ii) assistance to States and certain organizations that are not members of the Union, particularly governments of developing countries and countries in transition to a market economy, in the development of legislation in line with the 1991 Act of the UPOV Convention and their accession to the UPOV Convention; and
- (iii) assistance to States and certain organizations that are not members of the Union, in the implementation of legislation that has received a positive decision of the Council, according to their commitment to accede to the UPOV Convention.

18. Satisfying the demand for assistance in the introduction and implementation of the UPOV system within available resources has focused on UPOV's distance-learning training courses and UPOV staff missions, in conjunction with programs supported by members of the Union through extra-budgetary funds.

19. The above approach has been very effective in assisting States and certain organizations that are not members of the Union in the development of legislation in line with the 1991 Act of the UPOV Convention and their accession to the UPOV Convention. However, the resources required to assist members of the Union in the implementation of the UPOV system of plant variety protection are of a different scale. Furthermore, States and organizations joining UPOV in recent years have a greater need for assistance implementation of the UPOV system of plant variety protection. The challenge for UPOV will be to address that need within available resources.

20. Developments in information technology (IT), combined with the appointment of a UPOV IT Officer, have presented new opportunities to provide assistance in the implementation of the UPOV system of plant variety protection and could enable UPOV to move to another level of assistance, in conjunction with the resources required. Furthermore, restriction in mobility as a result of the COVID-19 pandemic have revealed opportunities to reduce travel costs while increasing access and assistance to members of the Union and stakeholders.

Tools for implementation of the UPOV system

21. The following are a package of compatible tools that would provide coherent and comprehensive assistance in the implementation of the UPOV system of plant variety protection, some or all of which could be used by UPOV members, as considered appropriate:

- 1) Applying for PVP
 - a) Extending coverage of UPOV PRISMA for:
 - i) more UPOV members, for more crops/species, to offer a multilingual, online tool for PVP applications, via the UPOV website, while receiving applications in their desired language and format (machine to machine, pdf or hard copy)
 - ii) PVP applicants to make online applications for PVP in UPOV members
 - b) UPOV member cooperation platforms (e.g. regional) for:
 - i) UPOV members to cooperate in the administration and examination of applications for improved efficiency and capacity, in a way that can encourage applications
 - ii) PVP applicants to have online PVP application portals for making applications to closely cooperating UPOV members and to benefit from efficiency in examination.
- 2) Administration of PVP applications
 - a) Electronic PVP administration module, for:
 - i) UPOV members to manage and publish PVP applications
 - ii) PVP applicants to receive information on the status of applications and to provide information to UPOV members after submission of applications (not covered by UPOV PRISMA)
 - b) Variety denomination similarity checking tool based on UPOV agreed algorithm running on data in the PLUTO database for:
 - i) UPOV members to assess the suitability of proposed variety denominations
 - ii) PVP applicants to assess the suitability of proposed variety denominations
 - c) Enhancement of PLUTO database for:
 - i) UPOV members to examine variety denominations and novelty, by:
 - (1) facilitating data submission, improving data quality checks, avoiding unwanted data loss when new data is submitted; and inclusion of information on novelty, thereby
 - (2) increasing the quantity and quality of data in the PLUTO database
 - ii) PVP applicants by:
 - (1) increasing the number of UPOV members contributing data
 - (2) improving the quantity and quality of data
- 3) Facilitating cooperation in DUS examination
 - a) Platform for exchange of existing DUS reports for:
 - i) UPOV members to post and receive existing DUS reports and arrange payment, as appropriate
 - ii) PVP applicants to request use of existing DUS reports and make payments, as appropriate
 - b) Tool to provide information on cooperation in DUS examination between UPOV members to PVP applicants in a user-friendly form for:
 - i) UPOV members to clarify cooperation arrangements between UPOV members with the potential to encourage applications
 - ii) PVP applicants to view the arrangements for DUS cooperation between UPOV members for consideration when making PVP applications for the purposes of efficiency and to be aware of possibilities to obtain widest PVP coverage from use of existing DUS reports

- c) Platform for UPOV members to make their documented DUS procedures and information on their quality management systems available to other members of the Union for:
 - i) UPOV members to have relevant information when considering cooperation
 - ii) PVP applicants to benefit from increased cooperation between UPOV members
- d) Module for UPOV members to use the web-based TG Template and database of characteristics to develop individual authorities' test guidelines (IATG) in their language for
 - i) UPOV members to receive assistance in:
 - (1) drafting IATG
 - (2) drafting UPOV Test Guidelines from IATG
 - ii) PVP applicants to:
 - (1) benefit from increased harmonization in DUS examination
- e) Platform/portal for UPOV member databases containing variety description information for:
 - i) UPOV members to share information relevant for the examination of DUS
 - ii) PVP applicants to benefit from greater efficiency in DUS examination

Training and assistance programs

22. Satisfying the demand for assistance in the introduction and implementation of the UPOV system within the regular program and budget is focused on the use of distance-learning courses. Customized training and assistance for particular UPOV members relies on prioritization of assistance by the Office of the Union, support by members of the Union and partnerships with other providers of assistance. In order to utilize the available resources in the most effective way, the Office of the Union will continue to prioritize its activities and to explore synergies in its activities with members of the Union and other partners.

23. In order to provide more impact in training and assistance from available resources, resources will be increasingly channeled to virtual training programs based on re-usable resources, additional distance learning courses, video demonstrations, webinars and practical guides, in order to reduce the need for *in situ* training and thereby increase outreach. Furthermore, in conjunction with relevant partners, it is proposed to develop an international curriculum leading to UPOV-recognized qualifications.

Promoting an effective system of plant variety protection

24. Global agriculture is expected to deliver on a formidable triple challenge²:

- First, it must provide food security, by ensuring that healthy and nutritious food is available and affordable for the world population
- This needs to be done sustainably, by protecting and conserving the planet's resources: producing more food on the same amount of land while using less water and other resources
- It must also generate incomes and provide livelihoods to farmers worldwide, as well as others in the food chain.

25. An effective system of plant variety protection is an important pillar for supporting agriculture and is even more effective if combined with other systems that support farmers and growers to meet the needs of society. Recognition of this situation has been a driver for UPOV to enhance partnership and cooperation with relevant international intergovernmental and non-governmental organizations and was a key factor in UPOV's role in the development and participation in the World Seed Partnership (WSP)³.

26. The WSP is an initiative to support the development of the seed sector in countries around the world, recognizing that farmers need access to high quality seed and suitable new plant varieties to ensure food security and economic development, including in developing countries. To do this, a country needs to have in place a regulatory framework that encourages the development of new varieties and the production of and delivery of high quality seed of suitable varieties to farmers. The WSP is focused on international organizations involved in regulatory aspects (OECD Seed Schemes, UPOV and ISTA) and representing stakeholders (ISF, WFO) in the seed sector. There will be benefits in intensifying partnership and cooperation in a similar way to explain and explore how plant variety protection supports the conservation of biological diversity and environmentally sustainable agriculture. In this context, UPOV would explore synergies with the International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA) of the Food and Agriculture

² See Statement of the World Seed Partnership (<http://www.worldseedpartnership.org/>)

³ The World Seed Partnership (WSP) is an initiative taken by five international organizations (Organisation for Economic Co-operation and Development (OECD), UPOV, International Seed Testing Association (ISTA), International Seed Federation (ISF) and World Farmers' Organisation (WFO))

Organization of the United Nations (FAO) and the Convention on Biological Diversity (CBD) as a priority in the coming years.

27. The Communication Strategy approved in 2013 (see document CC/89/8, Annex) anticipated a limited use of social media in response to limited staff resources. However, the importance of social media continues to grow and it is proposed to continue to increase UPOV's use of social media, particularly through Twitter, LinkedIn and YouTube.

Languages

28. UPOV materials and resources are made available in English, French, German and Spanish. However, as UPOV expands and interest in UPOV membership increases, there are important benefits in making UPOV material and resources available in a wider range of languages. Providing translations of materials and making resources available in a range of languages has very high resource implications and success in this objective will require a range of measures involving cooperation with interested members of the Union. However, rapid advances in machine translation technology provide new opportunities, which will be pursued as a matter of priority to reduce translation costs for UPOV documents in UPOV languages and to make UPOV materials in a wider range of languages.

TARGETS FOR IMPROVEMENT

29. On the basis of the opportunities identified above, the following targets for improvement have been identified:

Target 1: Tools for implementation of the UPOV system	<ul style="list-style-type: none"> a) Applying for PVP <ul style="list-style-type: none"> i) Extending coverage of UPOV PRISMA ii) UPOV member cooperation platforms b) Administration of PVP applications <ul style="list-style-type: none"> i) Electronic PVP administration module, ii) Variety denomination similarity checking tool iii) Enhancement of PLUTO database c) Facilitating cooperation in DUS examination <ul style="list-style-type: none"> i) Platform for exchange of existing DUS reports ii) Tool to provide information on cooperation in DUS examination iii) Platform for UPOV members to make their documented DUS procedures and information on their quality management systems available to other members of the Union vi) Module for UPOV members to use the TG Template for individual authorities' test guidelines (IATG) vii) Platform/portal for UPOV member databases containing variety description information
Target 2: Training and education programs	<ul style="list-style-type: none"> a) Virtual training and education <ul style="list-style-type: none"> i) additional distance learning courses ii) training videos iii) webinars b) UPOV qualification
Target 3: Communications	<ul style="list-style-type: none"> a) Effective cooperation with stakeholders b) Effective cooperation with relevant international intergovernmental organizations including, in particular: <ul style="list-style-type: none"> i) the World Seed Partnership (WSP) and partner organizations ii) enhanced cooperation with ITPGRFA and CBD c) Increase outreach via social media d) Use of machine translation technology to make UPOV material available in a wider range of languages

RESOURCING PLAN

30. The IOD Evaluation of UPOV reinforced the value of existing activities and did not identify any substantial areas where existing services or activities should be discontinued. Therefore, the following resourcing plan looks at additional resourcing for additional services and activities.

RISKS ASSOCIATED WITH FURTHER DEVELOPMENT

31. The IOD Evaluation of UPOV recognized that the Office of the Union has a high workload and that UPOV activities are limited by its income. Therefore, maintenance or enhancement of the current strengths and responding to the areas for improvement will require additional financial and staff resources.

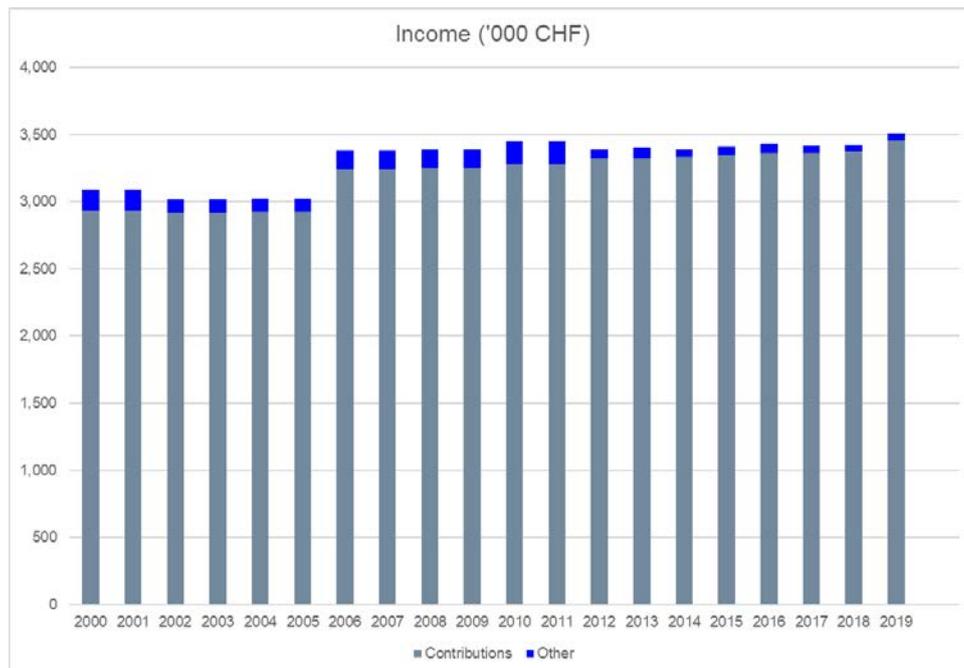
32. In addition to the challenge of sourcing extra financial resources, a challenge would be to ensure that any increase in the staffing of the Office of the Union would not negatively impact the dynamism, responsiveness and coordination of the Office of the Union. In that regard, training of relevant existing staff of the Office of the Union, particularly with regard to management and supervision skills, would need to accompany the expansion of the number of persons working within the Office of the Union.

FINANCIAL RESOURCING

Regular budget

33. Figure 1 shows the evolution of the regular budget income (on a budgetary basis), divided into income from contribution units and other sources.

Figure 1



Contribution units

34. In the 2018-2019 Biennium, 98.6 per cent of the total income was from contributions of members of the Union and contributions of members of the Union will continue to provide the major source of income in the foreseeable future.

35. Increasing income from increasing the value of a contribution unit is not foreseen in the term of this Strategic Business Plan. Although new members of the Union provide additional units of contribution, they are typically developing countries that are not in a position to contribute above the minimum number of contribution units (0.2), representing CHF10,728/annum, and should be anticipated to be net receivers of assistance as they seek to implement PVP.

36. However, the domestic economic or PVP situation and/or enhanced services that UPOV provides in the future may encourage some members of the Union to increase their number of contribution units, which could provide additional resources for additional services.

Other

37. The IOD Evaluation Report recommended that the UPOV Strategic Business Plan address how to “diversify its revenue portfolio to maintain and enhance the sustainability of existing activities and services”. In that context, Figure 1 demonstrates that the proportion of income other than from contributions of members of the Union declined from 4.9% in the 2010-2011 Biennium to 1.4% in 2018-2019 Biennium.

38. The following sections consider additional sources of funding to the income from contributions from members of the Union. The maximum income other than from contributions from members of the Union was anticipated to be 5.5% (CHF401,000) in the Program and Budget for the 2020-2021 Biennium. It is proposed that sources of income other than contributions of members of the Union should be targeted to reach 7.5% of UPOV’s income by 2025.

UPOV PRISMA

39. The launch of the UPOV PRISMA online plant variety protection application tool (formerly known as the Electronic Application Form (EAF)) in 2017 was introduced on the basis that fees from applicants would ultimately cover the costs of the service. The income from UPOV PRISMA will be determined by the attractiveness of the system for users, which will depend on the number of members of the Union that participate in UPOV PRISMA, the number of crops/species covered, the languages in which UPOV PRISMA can be navigated and the UPOV PRISMA fee.

PLUTO database

40. One of the elements that led to a reduction in other income from 2012, was the decision to make the PLUTO Plant Variety Database (PLUTO database), formerly only available in the form of a CD-ROM on subscription, freely accessible on the UPOV website. This development was accompanied by an arrangement between UPOV and the World Intellectual Property Organization (WIPO) (UPOV-WIPO arrangement), concerning the UPOV Plant Variety Database⁴.

41. The Council, at its fifty-third ordinary session, held in Geneva on November 1, 2019, decided the following with regard to the PLUTO database (see document C/53/15 “Report”, paragraph 23):

“23. [...]

“(b) to approve the following approach for the PLUTO database from November 2020:

- (i) free option: the PLUTO database with a search function would be free to all users. Search results would be limited to an on-screen display of a single page of results. There would be no facility to download search results or data from the PLUTO database;
- (ii) premium option: users paying a fee would have access to all PLUTO database features and would be able to download data without restrictions. The fee would be CHF 750 per annum;
- (iii) members of the Union and data contributors: access to all PLUTO database “premium” features would be free to all members of the Union and data contributors (i.e. OECD); and

⁴ At its seventy-sixth session, held in Geneva on October 29, 2008, the Consultative Committee, approved an arrangement between UPOV and the World Intellectual Property Organization (WIPO) (UPOV-WIPO arrangement), concerning the UPOV Plant Variety Database, as follows:

“(a) WIPO to undertake the collation of data for the UPOV-ROM and to provide the necessary assistance to deliver the program of improvements concerning, in particular, options for receiving data for the UPOV-ROM in various formats and assistance in allocating UPOV codes to all entries (see document CAJ/57/6, paragraphs 3 and 8). In addition, WIPO to undertake the development of a web based version of the UPOV Plant Variety Database, and the facility to create CD-ROM versions of that database, and to provide the necessary technical support concerning the development of a common search platform (see document CAJ/57/6, paragraphs 18 to 21).

“(b) UPOV to agree that data in the UPOV-ROM Plant Variety Database may be included in the WIPO Patentscope® search service. In the case of data provided by parties other than members of the Union (e.g. the Organisation for Economic Co-operation and Development (OECD)), permission for the data to be used in the WIPO Patentscope® search service would be a matter for the parties concerned.”

- (iv) access to PLUTO data could also be granted in cases approved by the Consultative Committee, in a similar way to the assistance provided by the Office of the Union to the International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA);

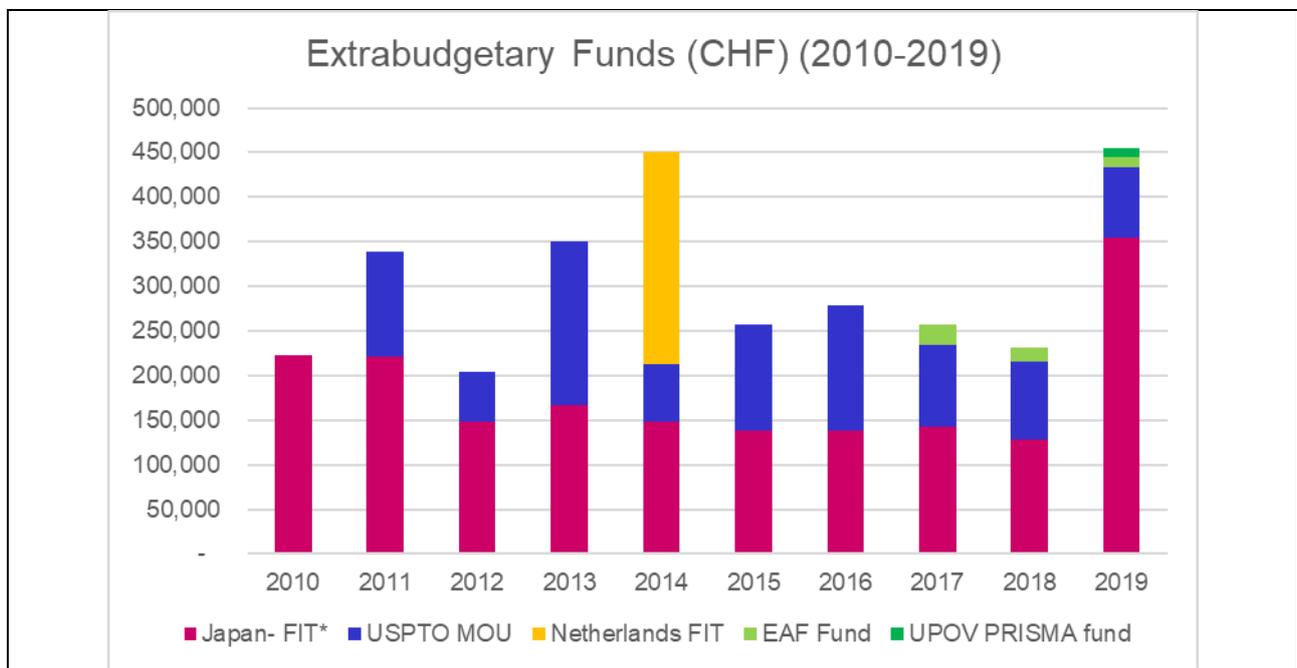
“(c) to continue to make the GENIE database available without charge to users on the basis that a new feature in UPOV PRISMA based on cooperation in DUS examination information contained in the GENIE database, would be captured in the UPOV PRISMA fee, as appropriate;

“(d) to discontinue the arrangement between UPOV and WIPO concerning the UPOV Plant Variety Database (UPOV-WIPO arrangement) as soon as the knowledge transfer and rationalization of the PLUTO database data management had been completed to the satisfaction of the Office of the Union;”

42. On the above basis, the PLUTO database is expected to provide a source of income that will enable maintenance and improvement to the PLUTO database.

Extra-budgetary funds

43. Figure 2 shows the evolution of extrabudgetary funds since 2010.



*The Japan FIT funds for 2015 and 2016 were both received in 2016 but have been split between 2015 and 2016 for the purposes of this graph.

44. UPOV has greatly benefited from extra-budgetary funds provided by members of the Union, for example in the form of Funds-in-Trust. In recognition of the costs of the Office of the Union involved in the administration of such Funds-in-Trust, a charge is included for administrative support costs, which is treated as income.

45. Extra-budgetary funds will be important for the future and efforts will be made to ensure that the existing funds continue and that other members of the Union are encouraged to develop such funds.

46. Experience within UPOV, including in relation to the World Seed Partnership (WSP), has demonstrated the difficulty for organizations such as UPOV to obtain funds for training and assistance from sources other than member of the Union authorities responsible for PVP. Typically, the main donor agencies require the potential recipient States and organizations to instigate and lead requests for funds, rather than organizations such as UPOV. Therefore, the approach proposed for UPOV is to:

- (a) seek to ensure that donors are aware of the UPOV system and to provide guidance on how to provide training and assistance in an effective way; and
- (b) provide information and support for members of the Union when seeking to obtain funds.

STAFF RESOURCING

47. The increase in number of members of the Union and States covered by the UPOV Convention has continued to increase (see Figure 3), also accompanied in recent years by a significant increase in the number of States and organizations seeking advice on laws, particularly since 2017 (see Figure 4).

48. Additional legal administrative assistance has been provided by an agency worker since 2017. Additional administrative assistance for travel and missions has been provided by an agency worker since 2018.

Figure 3: Increase in UPOV membership and coverage

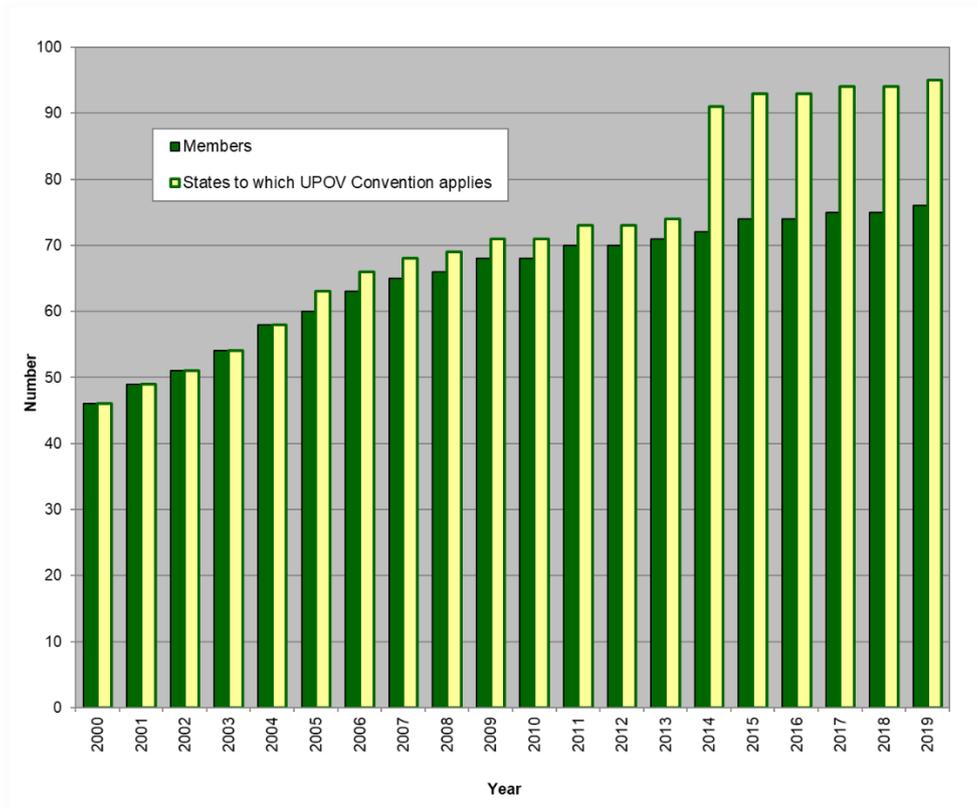
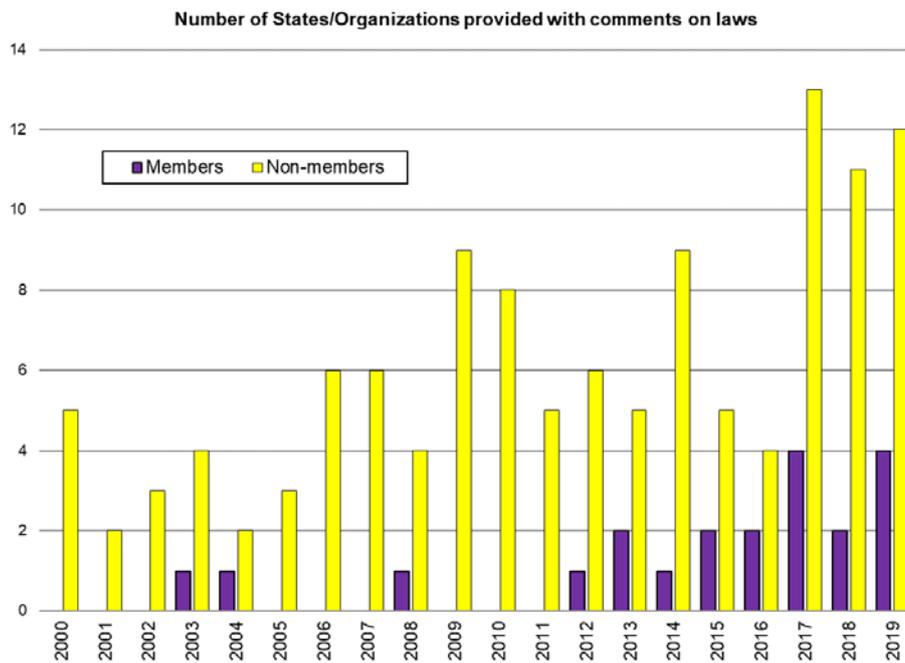


Figure 4: Development of PVP laws



49. The introduction of UPOV PRISMA has required the development of an IT support coordinator, which is being provided by an agency worker. The discontinuation of the UPOV-WIPO arrangement for the PLUTO database (see paragraph 41 above) will require UPOV to provide the required administrative support for the contribution of data and maintenance of the PLUTO database.

50. The tasks currently being performed by the three agency workers indicated above have become a core part of UPOV's work and should be transformed into posts during the period of the Strategic Business Plan 2021-2025 in order to ensure continuity and stability in UPOV's work, subject to sufficient and reliable income to justify such a commitment.

51. Any additional administrative work arising, for example, from expansion of UPOV PRISMA, enhancements to the PLUTO database and increased activity from additional extra-budgetary funds should be financially self-sustaining and would be covered by agency workers.

52. UPOV has received valuable support from the fellowship program in the form of talented experts being seconded from members of the Union, notably in relation to UPOV PRISMA, PLUTO database, GENIE database and maintenance of the UPOV code.

53. An area where it is hoped that members of the Union will be able to provide further support for UPOV's work would be to arrange for Junior Professional Officers (JPOs) to be assigned to UPOV.

54. On the above basis, it is proposed to evolve the human resourcing as follows, subject to sufficient and reliable income from UPOV's regular budget:

	2020-2021	2024-2025
Posts		
Directors*	3	3
Professionals	5	6
General Service	4	6
Total	12	15
Other human resources		
Fellows/Interns	1	2
Agency Workers	3	1
Junior Professional Officer	-	2

*Including the Secretary-General

[End of Annex II and of document]