

Council

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DRAFT PROGRAM AND BUDGET FOR THE 2020-2021 BIENNIUM

Document prepared by the Office of the Union

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1. In accordance with the UPOV Convention (Article 23(2) of the 1961 Convention and of the 1978 Act, and Article 27(2) of the 1991 Act) and the Financial Regulations and Rules of UPOV (document UPOV/INF/4/5), the Draft Program and Budget for the 2020-2021 Biennium is hereby presented for approval by the Council.

2. The Draft Program and Budget for the 2020-2021 Biennium, presented in the Annex to this document, is structured as follows:

1. INTRODUCTION
2. OBJECTIVES AND EXPECTED RESULTS BY SUB-PROGRAM
3. PROPOSED BUDGET
4. FINANCIAL INDICATORS 2014-2023

APPENDIX I: STATUS IN RELATION TO THE INTERNATIONAL UNION FOR THE PROTECTION OF NEW VARIETIES OF PLANTS (UPOV)

APPENDIX II: BUDGET METHODOLOGY

APPENDIX III: CONTRIBUTIONS OF MEMBERS

APPENDIX IV: DEFINITIONS OF BUDGET HEADINGS

3. *The Council is invited to approve the proposals contained in this Draft Program and Budget for the 2020-2021 Biennium, as presented in the Annex to this document and, in particular,*

(a) the amount of contributions from members of the Union;

(b) the proposed maximum ceiling of expenditure in the regular budget being 7,347,285 Swiss francs or the income received in the Biennium, whichever is the lower; and

(c) the total number of posts.

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1. INTRODUCTION

UPOV Mission Statement

**To 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.**

1.1 Background

1.1.1 UPOV's mission is to 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. This mission is of growing importance in the context of global developments.

1.1.2 New varieties of plants are an essential and sustainable means of achieving food security in the context of population growth and climate change. Improved yield, more efficient use of nutrients, resistance to plant pests and diseases, salt and drought tolerance and better adaptation to climatic stress are some of the features that enable new varieties to increase productivity and product quality in agriculture, horticulture and forestry, whilst minimizing the pressure on the natural environment. In rural areas, innovation in agriculture and horticulture is important for economic development, with production of high value varieties of fruit, vegetables and ornamentals providing increased income for farmers and employment for millions of people around the world. Furthermore, at a time of increasing urbanization, new varieties support the development of urban agriculture and the growing of ornamental plants, shrubs and trees that contribute to improving the urban environment.

1.1.3 The UPOV system has been found to support breeding amongst diverse types of breeders: public; private; public-private partnerships; farmers; individuals; researchers; etc., with a diversity of breeding objectives. A particular strength of the UPOV system is the confidence that UPOV membership provides to breeders as the basis for investment in breeding and the introduction of new varieties.

1.1.4 The "Evaluation of the International Union for the Protection of New Varieties of Plants (UPOV)" provided by the World Intellectual Property Organization (WIPO) Internal Oversight Division (IOD) pointed to the value of the clear mandate and priorities identified by the members of the Union, namely, 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.

1.1.5 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 UPOV members (see "Expansion of UPOV: a benefit for new and old UPOV members"). In that regard, activities in the promotion of the UPOV system are based on two main considerations. Firstly, UPOV places emphasis on the principle that it is a matter for each State and organization whether to develop legislation in accordance with the UPOV Convention and to become a UPOV member; and secondly, there are limited resources for such activities within the regular program and budget.

1.1.6 The IOD Evaluation reinforced the value of existing UPOV activities and did not identify any substantial areas where existing services or activities should be discontinued. Therefore, the UPOV Strategic Business Plan (SBP) developed in response to the recommendation of the IOD Evaluation contained a resourcing plan for additional resourcing for additional services and activities, which is reflected in the proposed Program and Budget for the 2020-2021 Biennium.

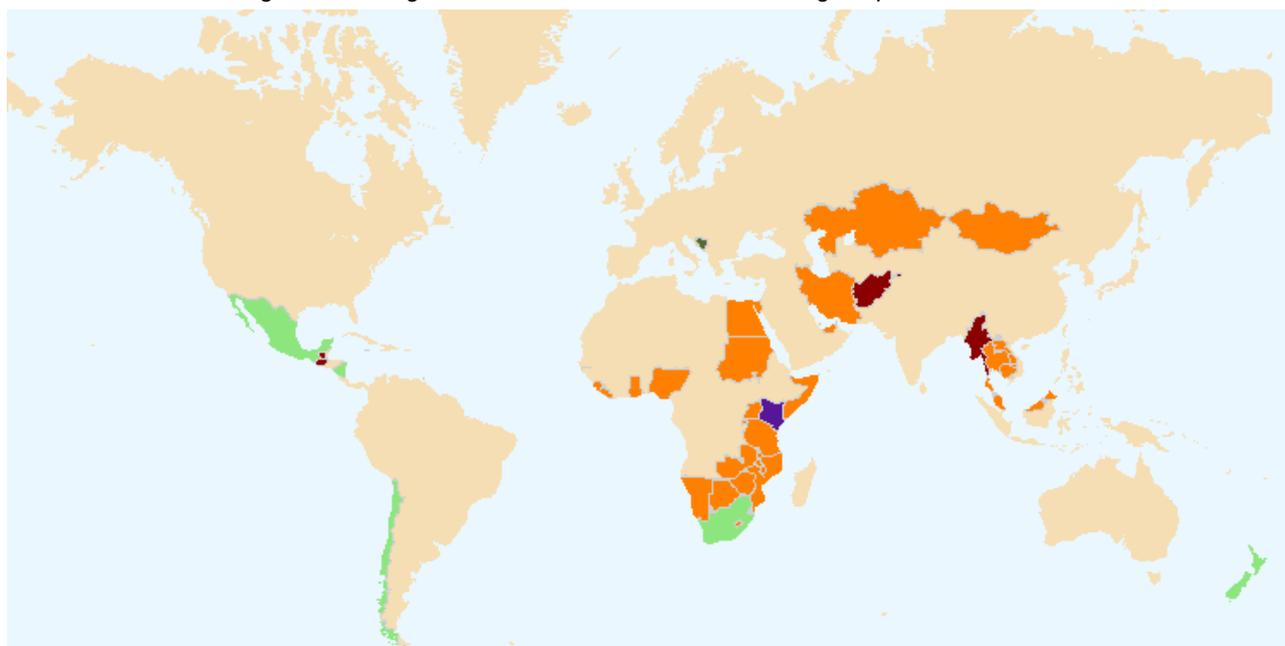
1.2 Development of UPOV

1.2.1 *UPOV membership*

1.2.1.1 At the end of 2018, UPOV comprised 75 members covering 94 States (see Figure 1 "UPOV membership at December 31, 2018").

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

Figure 3. Changes of status in relation to UPOV during the period 2016-2018



The boundaries shown on this map do not imply the expression of any opinion whatsoever on the part of UPOV concerning the legal status of any country or territory.

- States and organizations that became members of the Union during 2016-2018 (Bosnia and Herzegovina)
- Members that acceded or ratified the 1991 Act of the UPOV Convention during 2016-2018 (Kenya)
- Members that contacted the Office of the Union for assistance in the development of legislation according to the 1991 Act of the UPOV Convention during 2016-2018 (Chile, Mexico, New Zealand, Nicaragua, South Africa and Trinidad and Tobago)
- States and organizations that initiated with the Council of UPOV the procedure for becoming members of the Union during 2016-2018 (Afghanistan, Brunei Darussalam, Guatemala and Myanmar)
- States and organizations that contacted the Office of the Union for assistance in the development of legislation according to the 1991 Act of the UPOV Convention during 2016-2018 (ARIPO, Bahrain, Barbados, Cambodia, Egypt, Ghana, Guatemala, Iran (Islamic Republic of), Jamaica, Kazakhstan, Lao People's Democratic Republic, Liechtenstein, Malaysia, Mauritius, Mongolia, Myanmar, Nigeria, Saint Vincent and the Grenadines, Thailand, United Arab Emirates, Zambia and Zimbabwe)

1.2.2.2 In recent years, UPOV has been able to provide information concerning the scale of the impact of UPOV membership. For example, a study² in Viet Nam estimated the impact on Gross Domestic Product (GDP) of Viet Nam's membership of UPOV at around USD 5 billion/annum, which is more than 2.5 per cent of the national GDP. A video developed in conjunction with the Kenya Plant Health Inspectorate Service (KEPHIS) in Kenya³ explained how the UPOV system enabled Kenya to develop a \$500 million cut-flower industry that employs 500,000 Kenyans. In addition, information has been provided on the impact of the 1991 Act. For example, in Australia⁴, prior to the year 2000 (year of Australia's accession to the 1991 Act), 95 per cent of wheat breeding programs were in the public sector; however, Australian wheat breeding is now completely funded by the private sector due to the income generated by End Point Royalties. In the case of Canada, ratification of the 1991 Act was followed by new investments by the private sector in wheat breeding, foreign/domestic partnership in cereal breeding, development of a public/private/producer breeding consortium to fund Canadian Prairie Spring Red Wheat (CPSR) and new PBR applicants in the agriculture sector.

1.2.2.3 Combined with study visits by relevant policy-makers, there are indications that this type of information is beginning to generate greater interest in UPOV membership. Figure 4 illustrates the significant increase in the number of States and organizations that contacted the Office of the Union for assistance in the development of legislation in accordance with the 1991 Act of the UPOV Convention. A key challenge in the

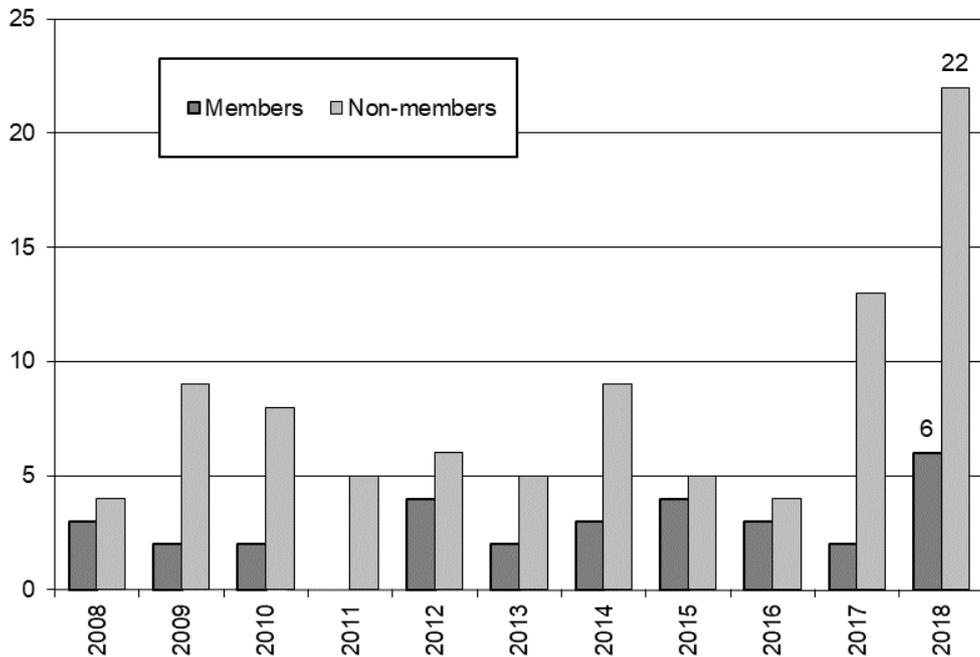
² Socio-economic benefits of UPOV membership in Viet Nam; An ex-post assessment on plant breeding and agricultural productivity after 10 years (Corresponding author: Steffen Noleppa) by HFFA Research GmbH

³ <https://youtu.be/lwuXwN96O-Y>

⁴ see <http://sciencemeetsbusiness.com.au/ip-wheat-industry/>

2020-2021 Biennium will be the implementation of a communication strategy to make information on the benefits of UPOV membership available in the most effective way within available resources.

Figure 4. States and organizations that contacted the Office of the Union for assistance in the development of legislation in accordance with the 1991 Act of the UPOV Convention



1.2.2.4 The UPOV system continues to expand in terms of the number of:

- applications, titles granted and titles in force (see Figure 5),
- genera and species for which protection is offered by members of the Union (see Figure 6) and
- genera, species/sub-species for which protection has been sought within the members of the Union (see Figure 7).

Figure 5. Number of applications, titles granted and titles in force in members of the Union

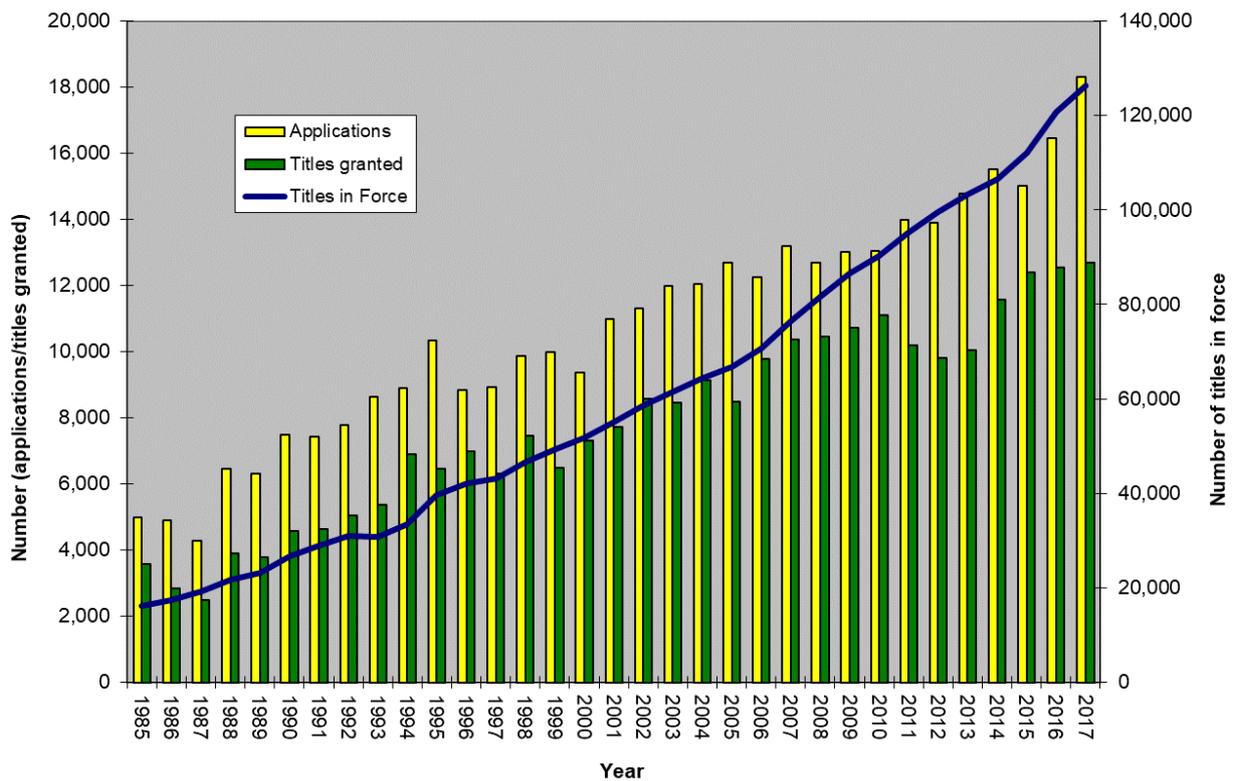


Figure 6. Evolution of offering protection to plant genera and species

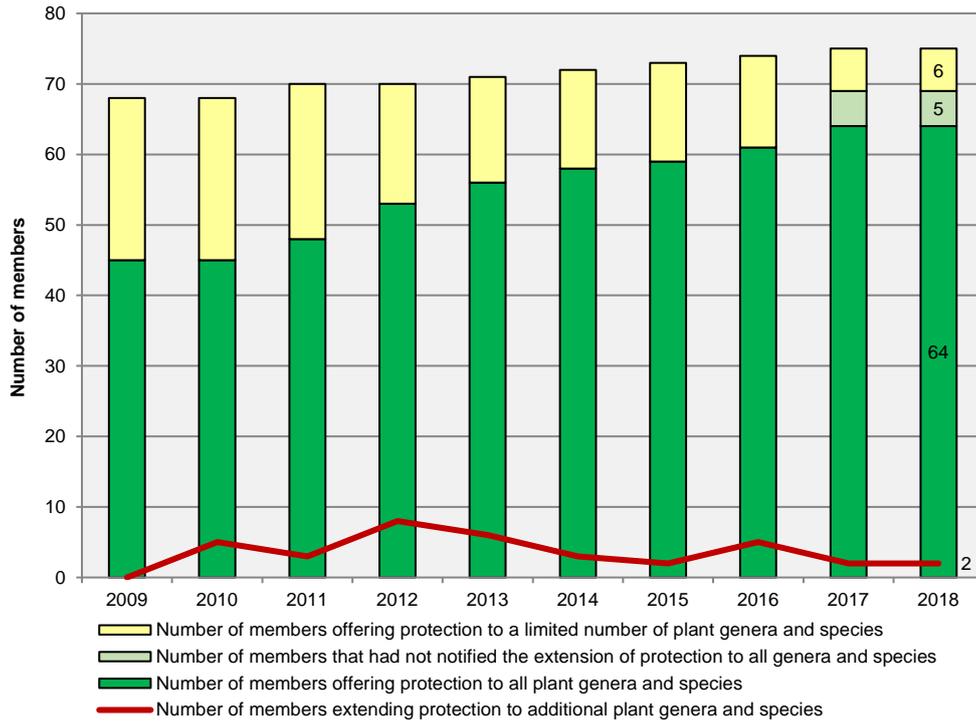
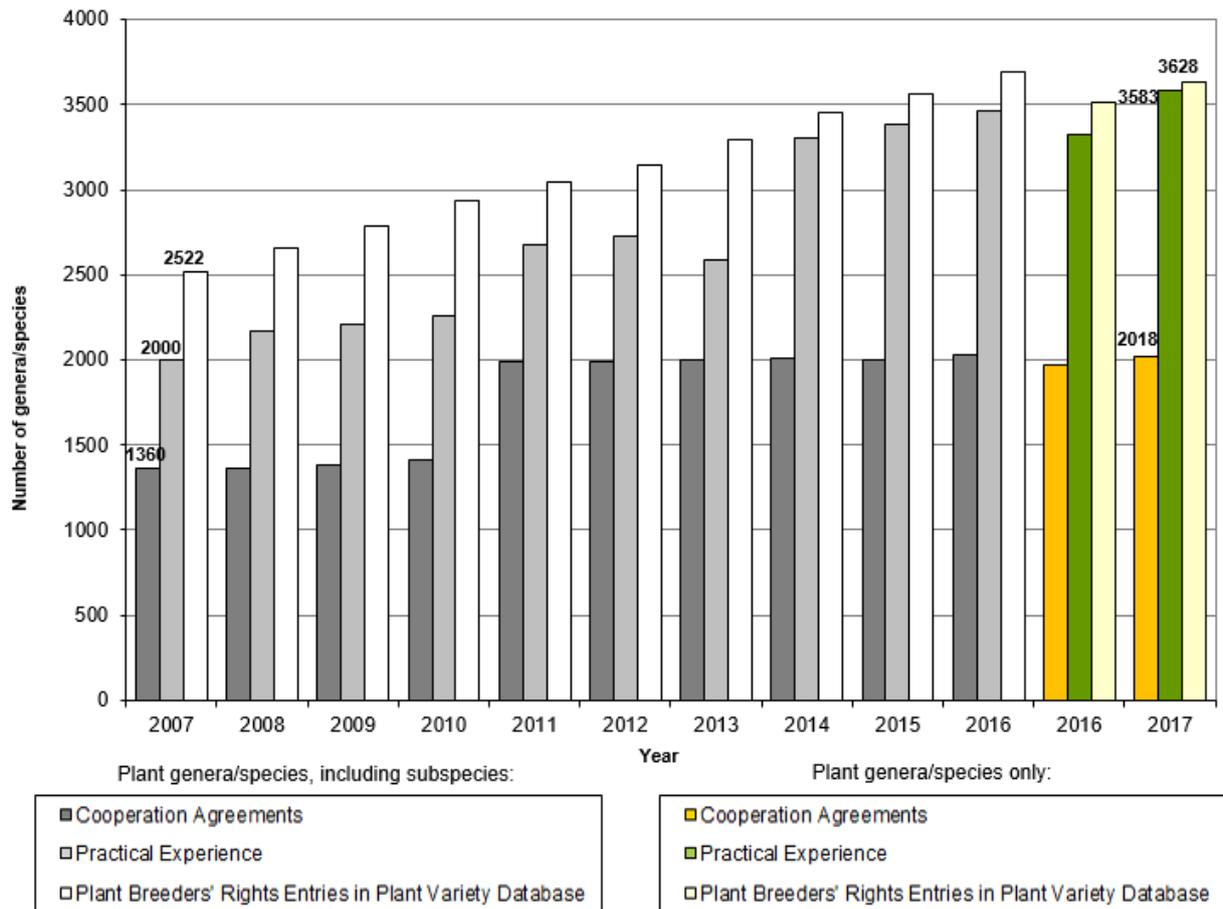


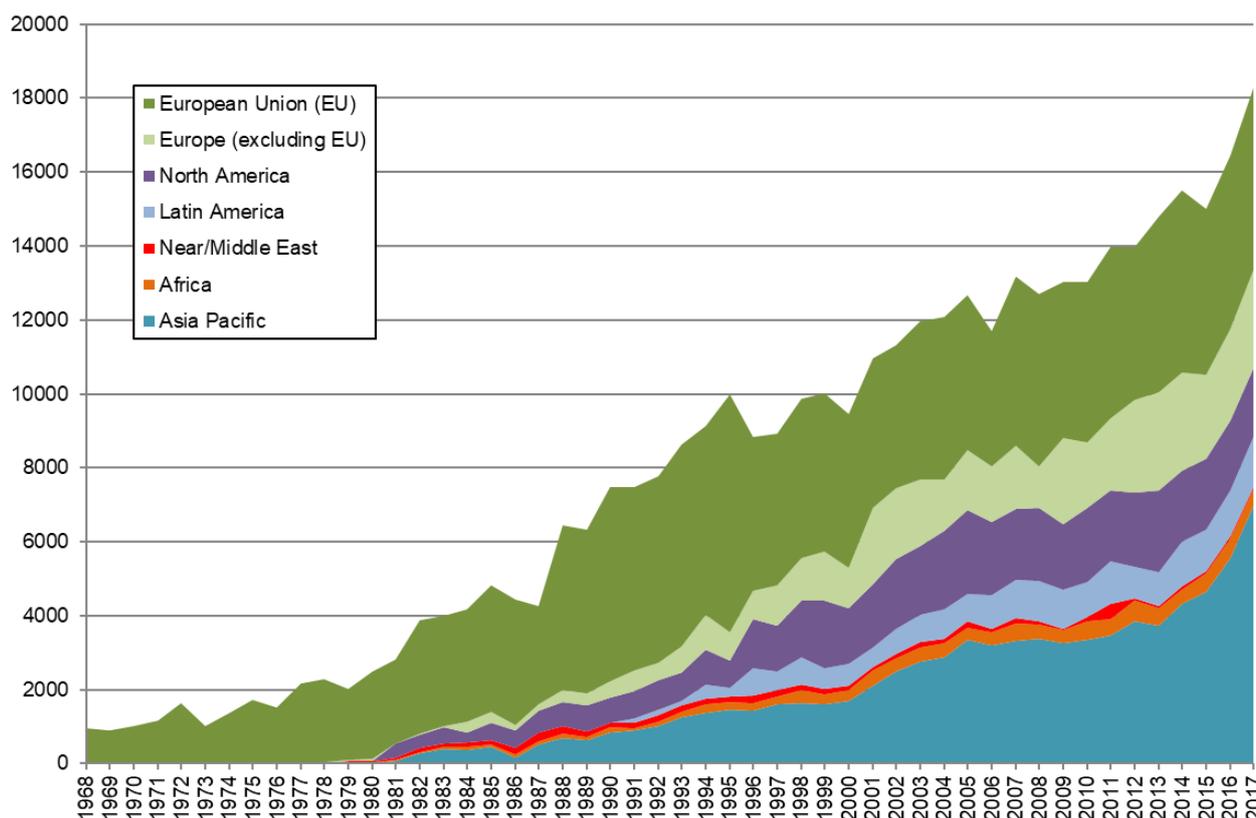
Figure 7. Plant Genera/Species with Cooperation Agreements, Practical Experience and Plant Breeders' Rights Entries in Plant Variety Database



1.2.3 Services to UPOV members

1.2.3.1 The ongoing expansion of UPOV in terms of members and species covered demonstrates the importance of cooperation in DUS examination between members of the Union. As indicated in figure 7, the number of genera/species for which members of the Union have agreements for cooperation in DUS examination has not significantly increased within the last 10 years. The regional systems of plant variety protection of the European Union and the African Intellectual Property Organization (OAPI), which cover 45 States, provide very efficient systems. In that regard, the East Asia Plant Variety Protection (EAPVP) Forum pilot project for cooperation between UPOV members in the Asian region, built on the UPOV PRISMA platform and GENIE database, may provide a new approach that will enable many of the benefits of a regional system to be obtained without the need for a regional treaty. This initiative in the Asian region is also of particular interest given the rapid growth in numbers of PBR applications in the region in recent years, as demonstrated in figure 8.

Figure 8. Applications for Plant Breeders' Rights

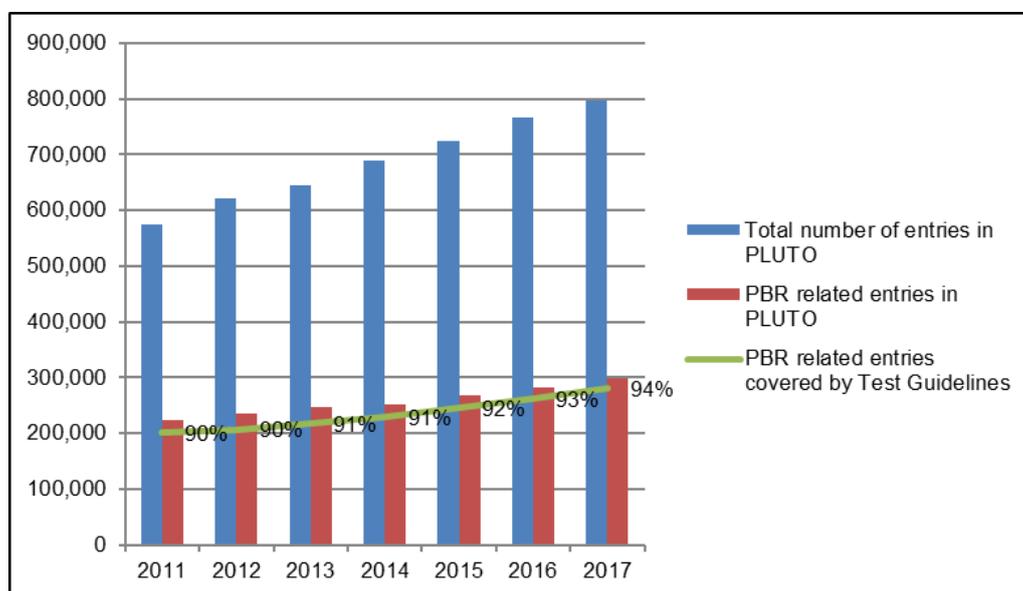


1.2.3.2 UPOV PRISMA, the online PBR application tool, forms a key part of the UPOV Strategic Business Plan (see document C/52/17 "Report by the President on the work of the ninety-fifth session of the Consultative Committee; adoption of recommendations, if any, prepared by that committee", paragraphs 23 and 24) and is likely to become an increasingly important feature for UPOV in the forthcoming biennium and beyond. By facilitating PBR applications, UPOV PRISMA could enable farmers and growers to have greater access to improved new varieties from a wider range of breeders. UPOV PRISMA can also enable UPOV members to address specific policy needs such as: providing a national online electronic application system; facilitating applications, particularly by SMEs; and facilitating the number of applications by breeders from a larger number of UPOV members.

1.2.3.3 The work of the Technical Committee (TC) and the Technical Working Parties (TWPs) in the development of Test Guidelines is the cornerstone for cooperation in DUS examination and has now taken on an important new role in support of UPOV PRISMA. The harmonized Technical Questionnaires provided in the UPOV Test Guidelines enabled UPOV PRISMA to expand to cover all genera and species more rapidly than projected at the beginning of the project. The importance of this role may need to be considered in the future work of the TC and TWPs. It is also relevant that, while the number of PBR entries in the Plant Variety Database (PLUTO) has increased by 30 per cent between 2011 and 2017, the number of those entries covered by UPOV Test Guidelines increased from 90 per cent to 94 per cent (see figure 9).

1.2.3.4 In order to enhance guidance on the examination of variety denominations by members of the Union, a revision of the “Explanatory Notes on variety denominations under the UPOV Convention” has been under development in the 2018-2019 Biennium. Work has also continued on the development of proposals for a UPOV similarity search tool for variety denomination purposes. Resource limitations has meant that work on enhancing the quality and quantity of data in the PLUTO database has been limited.

Fig. 9. Plant Breeders’ Rights Entries in Plant Variety Database covered by Test Guidelines



1.2.4 Assistance in the Introduction and Implementation of the UPOV System

1.2.4.1 The UPOV Program and Budget makes limited provision for training and assistance activities, with most financial support being provided by extra-budgetary funds from members of the Union. Within the Program and Budget, available resources are focused on the use of distance-learning courses and the prioritization of assistance by the Office of the Union. Therefore, maintenance and enhancement of extra-budgetary funds will be an important area for attention.

1.2.4.2 With the limitation on financial resources, an important element of the UPOV training and assistance strategy is to build partnerships to deliver training activities and to collaborate with members of the Union, organizations and academic institutions to provide a range of training opportunities. Seeking to increase awareness of the UPOV system for donors and providing guidance on how to provide training and assistance on PVP is also an important component of UPOV’s resourcing of training and assistance.

1.3 External Relations

1.3.1 UPOV’s priority in external relations has continued to focus on broadening and enhancing the understanding of the UPOV system of plant variety protection amongst stakeholders and on providing information on the UPOV Convention to other intergovernmental organizations, with the aim of achieving mutual supportiveness with other international treaties.

1.3.2 In relation to mutual supportiveness with other international organizations, the World Seed Partnership (WSP) is an increasingly important initiative. The WSP mission is to enhance cooperation between the partner organizations (OECD, UPOV, ISTA, ISF) and to provide a focal point for information on the role of internationally harmonized seed systems in supporting sustainable agriculture (see <http://www.worldseedpartnership.org/>). A particularly important development in 2018 was the acceptance by the World Farmers’ Organisation (WFO) of the invitation to join the WSP as an advisory partner. The WSP has organized events at the Seventh Session of the Governing Body of the International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA), held in Kigali, Rwanda, and in Nay Pyi Taw, Myanmar, with the aim of showing how OECD, UPOV, ISTA, ISF and WFO can support the development of the seed sector in order to achieve food security and economic development, including their role in enabling farmers to have access to high quality seed and suitable new plant varieties.

1.3.3 The potential for mutual supportiveness between the UPOV system and systems regulating plant genetic resources was highlighted in a recent video produced by the National Institute of Agricultural Technology (INTA) of Argentina (see https://youtu.be/Db68Q_ODQHo). In the 2020-2021 Biennium, UPOV will continue to explore mutual supportiveness with the International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA) and the Convention on Biological Diversity (CBD).

1.3.4 The aim of UPOV's communication strategy is to improve awareness and understanding of the UPOV system in supporting the development of plant variety protection for the benefit of society. A key objective of the strategy is to enhance the understanding of the UPOV system by stakeholders. The development of general information suitable for a wide range of stakeholders has been an initiative to meet that objective. Examples include answers to frequently-asked questions about the UPOV system (see <https://www.upov.int/about/en/faq.html>) and the development of illustrative explanations and examples of the benefits of the UPOV system (see https://www.upov.int/about/en/benefits_upov_system.html).

1.3.5 In order to improve outreach, UPOV will be making greater use of social media from 2019. A UPOV Twitter account, launched in 2019, is intended to provide latest news from UPOV, raise awareness of new and/or topical information on the UPOV website and raise awareness of UPOV services. A Twitter account has also been introduced for the Vice Secretary-General to communicate matters concerning UPOV. A UPOV LinkedIn entry will be used to share the same type of information that will be disseminated via Twitter. As a further measure to improve communications, a redesign of the UPOV website is planned for the 2020-2021 Biennium. The redesign will incorporate a "responsive" design and a new content management system.

1.4 Resource considerations

1.4.1 Developments in UPOV membership and increasing awareness of the need for effective policies to meet the increasing demands on agriculture mean that there has been a need for UPOV to review the resources required to meet its goals and objectives, both in terms of services to members and in explaining the benefits of plant variety protection and UPOV membership to States and organizations that are not yet UPOV members.

1.4.2 The "Evaluation of the International Union for the Protection of New Varieties of Plants (UPOV)" (IOD Evaluation) provided by the World Intellectual Property Organization (WIPO) Internal Oversight Division (IOD) reinforced the value of existing UPOV activities and did not identify any substantial areas where existing services or activities should be discontinued. At the same time, it stated that the "budgetary limitations and increasing workload brings into question the feasibility of the existing organizational structure to deliver services in a sustainable manner". Therefore, the UPOV Strategic Business Plan (SBP), developed in response to the recommendation of the IOD Evaluation, contained a resourcing plan for additional resourcing for additional services and activities, relevant elements of which are included in the preliminary Draft Program and Budget for the 2020-2021 Biennium. The resourcing plan also recognizes that increases in income from contributions of members of the Union will not be sufficient to maintain and enhance the sustainability of UPOV's existing activities and services and that UPOV needs to diversify its revenue portfolio. The SBP resourcing plan anticipates that extra-budgetary funds will continue to 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. With regard to diversification of UPOV's revenue portfolio, consideration is currently being given to obtaining revenue from the provision of UPOV databases and IT tools, including UPOV PRISMA, GENIE and PLUTO.

1.4.3 The IOD Evaluation pointed to the strength of 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. However, it stated that the "limited human resources of the Office could challenge the effectiveness and efficiency of its operations in light of an increasing workload associated with the expansion of the Union and ongoing major Information and Communication Technologies (ICT) projects".

1.4.4 The preliminary Draft Program and Budget for the 2020-2021 Biennium contain proposals on personnel resources covering staff members and other individuals engaged under other types of contractual arrangements by the Organization, e.g. Junior Professional Officers, fellowships, interns and agency workers.

2. OBJECTIVES AND EXPECTED RESULTS BY SUB-PROGRAM

2.1 Sub-program UV.1: Overall Policy on Plant Variety Protection

2.1.1 Objectives

- (a) Policy direction and executive management.
- (b) Planning, implementation and evaluation of program and budget.

2.1.2 Narrative

2.1.2.1 This sub-program covers policy making, management and coordination of the activities within UPOV's overall program, as established by the Council with the guidance of the Consultative Committee.

2.1.2.2 The Strategic Business Plan provides a framework for the objectives under this sub-program. In particular, the Strategic Business Plan:

- (a) serves as a roadmap to implement the strategic goals and objectives of the Union;
- (b) identifies financial resources needed to achieve the strategic goals and objectives of the Union;
- (c) outlines the human resource needs in line with the strategic priorities of the organization; and
- (d) defines long-term steps and key milestones of outreach activities with a view to improving organizational visibility and enhancing revenue generation efforts.

2.1.2.3 In the 2020-2021 Biennium, policy on the development of UPOV PRISMA and other UPOV databases, tools and services will be an important matter. The policy for those tools and services will need to address the needs of UPOV members, users and the resource needs of UPOV.

2.1.2.4 The ongoing expansion of UPOV in terms of members and species highlights the importance of an effective policy to facilitate voluntary cooperation between members of the Union within available resources. The policy will be primarily based on existing UPOV initiatives and materials including, in particular, UPOV PRISMA, the PLUTO and GENIE databases, the web-based TG Template and associated features.

2.1.2.5 Policy on communication strategy will be a focus for the 2020-2021 Biennium, with the aim of broadening and enhancing the understanding of the UPOV system amongst stakeholders and working with other intergovernmental organizations with a view to promoting mutual supportiveness. Increasing use of social media will be a feature of the communication strategy.

2.1.2.6 There will be a need to monitor and review the training and assistance strategy in relation to evolving requests for assistance by members of the Union and States and organizations wishing to become members of the Union, and in relation to the availability of resources.

2.1.2.7 Measures to enhance the benefits of organizing a single set of sessions of UPOV bodies meeting in Geneva will be considered.

2.1.3 Activities

- (i) Two sessions of the Council and two sessions of the Consultative Committee.
- (ii) Coordination, monitoring and performance assessment of the Program and Budget for the 2020-2021 Biennium.
- (iii) Review of the Strategic Business Plan.
- (iv) Preparation and adoption of the Program and Budget for the 2022-2023 Biennium.
- (v) Review of the communication strategy.
- (vi) Review of the training and assistance strategy.
- (vii) Review of policy on UPOV IT Tools and Services.

2.1.4 Expected Results and Performance Indicators

Expected Results	Performance Indicators
1. Identify and implement the strategic goals and objectives of UPOV	(a) Strategic Business Plan that identifies the financial and human resources needed to achieve the strategic goals and objectives of the Union and defines long-term steps and key milestones of outreach activities with a view to improving organizational visibility and enhancing revenue generation efforts.
2. Reviewing the training and assistance strategy	(a) Evaluation of annual reports of the Secretary-General, performance reports for the biennia and other information; and (b) Measures to provide training and assistance in the introduction and implementation of the UPOV system.
3. Reviewing the communication strategy	(a) Evaluation of annual reports of the Secretary-General, performance reports for the biennia and other information; and (b) Recommendations by the Consultative Committee on the communication strategy.
4. Policy direction on inter-relations with other organizations	(a) Recommendations by the Consultative Committee; and (b) Decisions by the Council
5. Policies to diversify UPOV's revenue portfolio	(a) Income from sources other than UPOV member contributions
6. Organization of Council and Consultative Committee sessions	(a) Participation in the sessions of the Council and the Consultative Committee.
7. Organize and monitor the work of UPOV committees	(a) Approval and monitoring of the work programs of the CAJ, TC, TWPs and <i>ad hoc</i> working groups; (b) Election of Chairs of the CAJ, TC, TWPs and <i>ad hoc</i> working groups and Vice Chairs of the CAJ and TC; and (c) Approval of the annual calendars of meetings.
8. Coordination, monitoring and performance assessment of Program and Budget for the 2020-2021 Biennium	(a) Delivery of program within budget for the 2020-2021 Biennium; (b) Approval of the financial statements; and (c) Approval of the financial management report.
9. Preparation and adoption of the Program and Budget for the 2022-2023 Biennium	(a) Preparation and adoption of the Program and Budget for the 2022-2023 Biennium.
10. Examination of the conformity of laws, or draft laws, with the 1991 Act of the UPOV Convention	(a) Recommendations by the Consultative Committee; and (b) Decisions by the Council.
11. Review of developments concerning applications and grants of plant breeders' rights	(a) Number of applications; (b) Number of titles granted; (c) Number of titles in force; (d) Number of genera/species protected by members of the Union; (e) Number of genera/species for which varieties have been protected; and (f) Analysis by crop type.
12. Facilitating applications through UPOV PRISMA	(a) Recommendations by the Consultative Committee; and (b) Decisions by the Council;
13. Facilitating voluntary cooperation between members of the Union in the implementation of the UPOV Convention	(a) Recommendations by the Consultative Committee; and (b) Decisions by the Council.
14. Policy on other matters	(a) Recommendations by the Consultative Committee; (b) Decisions by the Council; and (c) Adoption of documents presenting UPOV policy by the Council.

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

2.2.1 Objectives:

- (a) To maintain and improve the effectiveness of the UPOV system.
- (b) To provide and develop the legal, administrative and technical basis for international cooperation in plant variety protection according to the UPOV Convention.

2.2.2 Narrative

Introduction

2.2.2.1 This sub-program covers the provision of guidance, information and resources for the operation of the UPOV system of plant variety protection, support for cooperation between members of the Union, the work of the relevant UPOV bodies and measures to facilitate applications for plant breeders' rights.

Guidance and information materials

2.2.2.2 The effectiveness of the UPOV system is enhanced by the provision of guidance and information materials such as 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. The identification of relevant matters for guidance and the development of appropriate materials is a key objective of the work of the Administrative and Legal Committee (CAJ), the Technical Committee (TC) and the Technical Working Parties (TWPs). In that respect, the involvement of organizations representing stakeholders is an important means of ensuring that guidance and information is as effective as possible.

2.2.2.3 An extensive set of guidance and information materials has been established and work in the 2020-2021 Biennium will focus on the updating of existing material and the development of new guidance in specific areas.

2.2.2.4 Discussions on the subject of essentially derived varieties may lead to a review of the "Explanatory Notes on essentially derived varieties under the 1991 Act of the UPOV Convention" during the 2020-2021 Biennium. In relation to variety denominations, the revision of document UPOV/INF/12 "Explanatory Notes on variety denominations under the UPOV Convention" will be important for enhancing cooperation between UPOV members in the examination of variety denominations and for assisting breeders in their selection of variety denominations.

Cooperation between members of the Union

2.2.2.5 Cooperation between members of the Union is a key feature of the UPOV system and is the basis for an efficient system. Such efficiency is an important means of ensuring that the UPOV system is accessible and affordable for all types of breeders. The following sections cover the resources that UPOV currently provides for such cooperation. In addition, new initiatives based on existing resources and materials including, in particular, UPOV PRISMA, the PLUTO and GENIE databases, the web-based TG Template and associated features will be taken to facilitate voluntary cooperation between members of the Union.

DUS examination

2.2.2.6 Cooperation in the examination of DUS within UPOV is based on the input of members of the Union. In particular, experts from members of the Union develop Test Guidelines through the work of the TWPs and TC and share their practical experience with particular plant genera and species, for example in the form of the GENIE database. These measures facilitate cooperation in the examination of DUS and the use of existing DUS reports, which is the basis for an efficient system covering all plant genera and species that is accessible and affordable for all types of breeders. Arrangements for cooperation between members of the Union in the examination of DUS are included in the GENIE database.

2.2.2.7 The following measures to support and enhance cooperation between members of the Union will continue to be pursued in the 2020-2021 Biennium:

- (a) Development of Test Guidelines;
- (b) Enhancement of the web-based Test Guidelines Template (TG Template) to: reduce the translation work for UPOV; and facilitate the development of individual authorities' test guidelines by members of the Union;
- (c) Collection of information on practical experience and cooperation in DUS examination for inclusion in the GENIE database;
- (d) Collection of information on software developed and made available by members of the Union, and software and equipment used by members of the Union, for publication in documents and in a searchable form on the UPOV website;
- (e) Discussion in the TC and TWPs on measures to facilitate cooperation in DUS examination.

Variety denominations and novelty

2.2.2.8 Contribution of data by members of the Union to the PLUTO database provides essential support for the examination of variety denominations and provides an opportunity for members of the Union to share information on novelty. Those contributions are further enhanced by the contribution of data by the Organisation for Economic Co-operation and Development (OECD) and by the cooperation agreements between UPOV and WIPO and between UPOV and the Community Plant Variety Office of the European Union (CPVO).

2.2.2.9 Work to enhance the quality and quantity of data in the PLUTO database is constrained by the level of resources required to produce a significant impact. Progress in this area will depend on the availability of substantial additional revenue.

2.2.2.10 In order to facilitate and harmonize the examination of variety denominations by members of the Union, work will continue on the development of proposals for a UPOV similarity search tool for variety denomination purposes, according to the guidance adopted in document UPOV/INF/12.

Facilitating PBR applications

2.2.2.11 Work will continue on expanding the coverage of UPOV PRISMA in terms of participating UPOV members and the number of crops/species covered. Coverage of all crops/species can be provided for all members of the Union that utilize the Technical Questionnaire in the UPOV Test Guidelines. The work of the TC and TWPs on the development of Test Guidelines will be harnessed to support UPOV PRISMA, for example by extending the coverage of adopted Test Guidelines for Technical Questionnaire purposes. In addition, initiatives will be taken to develop Technical Questionnaires agreed between relevant members of the Union where no UPOV Test Guidelines exist.

2.2.2.12 The Office of the Union will also explore how UPOV PRISMA can provide the basis for a cooperation mechanism for those members of the Union wishing to develop an efficient system for applicants for participating members of the Union.

Languages

2.2.2.13 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. Successful measures that have already been taken include the program for use of the Russian language in UPOV and the support of navigation and output form languages in UPOV PRISMA. Support is also provided by extra-budgetary funds, such as the Japan Funds-in-Trust for translation of selected material into relevant Asian languages.

2.2.3 Activities

- (i) Two sessions of the Administrative and Legal Committee, two sessions of the Technical Committee, two sessions of each of the Technical Working Parties, including two sessions of the Working Group on Biochemical and Molecular Techniques, and DNA-Profiling in Particular (BMT).
- (ii) Development of guidance and information materials, including Explanatory Notes and Information Documents, concerning the UPOV Convention.
- (iii) Development of guidance documents on the examination of Distinctness, Uniformity and Stability ("DUS"), including the "General Introduction to the Examination of Distinctness, Uniformity and Stability and the Development of Harmonized Descriptions of New Varieties of Plants" (General Introduction) and the associated Test Guidelines' Procedures (TGP) documents.
- (iv) Development of Test Guidelines.
- (v) Further development of the web-based TG Template.
- (vi) Updating and further development of the PLUTO Database.
- (vii) Updating and further development of the GENIE database.
- (viii) Maintenance of the UPOV Lex database of legislation and relevant notifications.
- (ix) Updating of the UPOV Collection.
- (x) Further development of UPOV PRISMA.

2.2.4 Expected Results and Performance Indicators

Expected Results	Performance Indicators
1. Participation by members of the Union and observers in the work of the UPOV bodies	(a) Participation in the Administrative and Legal Committee, Technical Committee and Technical Working Parties and associated preparatory workshops.
2. Guidance on the UPOV Convention and its implementation and information on its application	(a) Adoption of new or revised information materials concerning the UPOV Convention; (b) Publication of the UPOV Gazette and Newsletter; (c) Inclusion of laws and relevant notifications of members of the Union in UPOV Lex; (d) Availability of UPOV documents and materials in languages other than the UPOV languages (English, French, German and Spanish).
3. Guidance on the examination of varieties	(a) Adoption of new or revised TGP documents and information materials; (b) Adoption of new or revised Test Guidelines; (c) Proportion of PBR applications covered by adopted Test Guidelines; (d) Number of Test Guidelines under development in the TWPs; (e) Participation in the development of Test Guidelines; (f) Development of a web-based Test Guidelines Template (TG Template) with facility for: (i) translation in UPOV languages; (ii) use by members of the Union in the preparation of individual authorities' test guidelines.
4. Cooperation in DUS examination	(a) Plant genera and species for which members of the Union have practical experience included in GENIE database; (b) Plant genera and species for which members of the Union cooperate in DUS examination included in GENIE database; (c) New initiatives to facilitate or enhance voluntary cooperation between members of the Union.

<u>Expected Results</u>	<u>Performance Indicators</u>
5. Cooperation in examination of variety denominations and novelty	(a) Quantity and quality of data in PLUTO database: (i) number of contributors; (ii) number of new submissions; (iii) number of records; (iv) number of mandatory items provided; (v) number of non-mandatory items provided; (b) Number of PLUTO users and frequency of use; (c) Development and approval by the Council of a UPOV similarity search tool for variety denominations for inclusion in PLUTO database; (d) New initiatives to facilitate or enhance voluntary cooperation between members of the Union.
6. Development of UPOV PRISMA	(a) Number of UPOV members participating in UPOV PRISMA; (b) Number of crops/species covered by UPOV PRISMA; (c) Number of applications made via UPOV PRISMA; (d) Number of registered UPOV PRISMA users; (e) Number of UPOV members receiving applications via UPOV PRISMA; (f) Number of crops/species for which applications made using UPOV PRISMA; (g) Number of UPOV members using UPOV PRISMA as their exclusive online tool for PBR applications; (h) Development of Technical Questionnaires agreed between interested members of the Union for crops/species not covered by Test Guidelines.

2.3 Sub-program UV.3: Raising Awareness and Assistance in the Introduction and Implementation of the UPOV System

2.3.1 Objectives

- (a) To raise awareness of the role of plant variety protection according to the UPOV Convention.
- (b) To assist States and organizations, particularly governments of developing countries and countries in transition to a market economy, in the development of legislation in accordance with the 1991 Act of the UPOV Convention.
- (c) To assist States and organizations in their accession to the 1991 Act of the UPOV Convention.
- (d) To assist States and organizations in implementing an effective plant variety protection system in accordance with the UPOV Convention.

2.3.2 Narrative

Introduction

2.3.2.1 This sub-program covers activities to raise awareness of the benefits of plant variety protection according to the UPOV Convention and UPOV membership, for States and intergovernmental organizations that are not members of the Union. It also covers the assistance provided in response to requests by members of the Union and potential members of the Union.

Raising awareness

2.3.2.2 UPOV activities for raising awareness of the role of the UPOV system are largely based on participation by the Office of the Union in meetings, seminars and other activities, particularly in the territory concerned. More recently, the value of study tours has been recognized as a particularly effective means of demonstrating the benefits of the UPOV system and this approach will be developed further in the 2020-2021 Biennium. In addition, the UPOV communication strategy reflects the importance of studies and case-study videos as a means of conveying information about the benefits of UPOV in an effective way. UPOV now has a significant collection of such information, including an increasing number of videos provided by members of the Union. In accordance with the communication strategy, a greater use of social media will be deployed to enable this information to be conveyed to a much wider audience.

2.3.2.3 The introduction and development of modules on plant variety protection within degree and post-graduate programs are an important means of raising awareness and understanding of the UPOV system. Examples of academic institutions that invite UPOV to contribute to their programs include: the Africa University, in Mutare (Zimbabwe) in cooperation with ARIPO and WIPO; the *Institut Polytechnique LaSalle* in Beauvais (France); the Queensland University of Technology (QUT) of Australia, in cooperation with WIPO; the University of Alicante (Spain); the University of Maastricht (Netherlands); the University of Wageningen, in cooperation with Naktuinbouw (Netherlands); and the University of Yaoundé (Cameroon) in cooperation with OAPI and WIPO. The Office of the Union will explore possibilities to increase the number of academic and training institutions that incorporate information on the UPOV system in relevant courses and how their effectiveness can be further enhanced, including by participation of students in the UPOV distance learning courses.

Assistance

Priority

2.3.2.4 Satisfying the demand for assistance in the introduction and implementation of the UPOV system within available resources relies on the use of distance-learning courses, the prioritization of assistance by the Office of the Union, support by members of the Union and partnerships with other providers of assistance. This sub-program is supported by the regular budget, but extra-budgetary funds and support in kind provide a substantial proportion of the resources deployed for 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.

2.3.2.5 The priority for providing assistance by the Office of the Union is 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.

Distance learning

2.3.2.6 The UPOV distance learning courses are a particularly effective means of providing high quality training to large numbers of participants and will continue to be a cornerstone of UPOV's training and assistance strategy. The incorporation of UPOV distance learning courses into UPOV activities and activities organized by others will also be an important part of the strategy.

Training and assistance resources

2.3.2.7 A major feature of this sub-program is to provide a framework within which the Office of the Union can efficiently supplement its resources with financial resources and support in kind made available by members of the Union and other bodies. In general, the support can be categorized as follows:

Extra-budgetary financial resources

2.3.2.8 UPOV greatly benefits from additional financial resources provided, for example, in the form of Funds-in-Trust or Memoranda of Understanding. Such voluntary financial donations are provided to UPOV by a member of the Union to finance a specific program of activities mutually agreed between the Office of the Union and the donor member of the Union. In recognition that such programs involve UPOV staff or other resources, the Office of the Union and the member of the Union concerned jointly develop a program of activities in accordance with the policy and priorities set by the UPOV Council.

Examples⁵:

- The Funds-in-Trust provided by the Japanese Government for activities in the Asian region
- Memorandum of Understanding between the United States Patent and Trademark Office (USPTO) and UPOV

Support from members of the Union

2.3.2.9 An essential resource for the work of UPOV is the support in kind provided by many members of the Union in the form of experts acting as lecturers in UPOV activities and tutors in distance learning courses. Support in the form of suitably qualified officials, fully funded by members of the Union through fellowships or the Junior Professional Officer (JPO) program, are also a potential source of support that will be considered, as appropriate.

Cooperation with other organizations and bodies

2.3.2.10 UPOV's cooperation with WIPO is an important means of providing assistance to States and relevant organizations in an effective way.

2.3.2.11 The EAPVP Forum works to facilitate the improvement of the implementation and the harmonization of the plant variety protection system in the Asian region and the Office of the Union will continue to work with the Forum in accordance with UPOV's priorities for providing assistance.

⁵ These examples of the situation in 2018 should not be construed as constituting any specific financial commitment or approval beyond 2018.

2.3.2.12 The Office of the Union has also received financial support for UPOV activities from the Ministry of Agriculture, Nature and Food Quality (MANFQ), Netherlands via the PVP Development Program (Toolbox) and also has the opportunity to inform MANFQ of UPOV's priorities in relation to the Toolbox program.

2.3.2.13 Seeking to obtain funds for training and assistance from sources other than UPOV member authorities (third party donors) is not anticipated to be appropriate for UPOV, because this would require considerable diversion of existing staff resources. However UPOV member authorities play an important role in helping to identify funding prospects from other government sectors in order to increase extra-budgetary funds. An example of such an approach is the project on "Reinforcement and Promotion of the OAPI Plant Variety Protection System in the OAPI Member States", submitted for financing under the "TradeCom II", the African, Caribbean and Pacific Group of States (ACP) Trade Capacity Building Programme funded by the European Union. Furthermore, increasing awareness of the UPOV system and providing guidance on how to provide training and assistance on PVP for third-party donors will be an objective.

Training courses on plant variety protection

2.3.2.14 A number of members of the Union provide training courses in plant variety protection according to the UPOV Convention (e.g. the "Training Course on the Protection of Plant Breeders' Rights", organized by the Japan International Cooperation Agency (JICA) (Japan); the "*Taller internacional de evaluación de la distinción, homogeneidad y estabilidad (DHE) de variedades vegetales*" organized by the *Servicio Nacional de Inspección y Certificación de Semillas* (SNICS) and the *Colegio de Postgraduados* (Mexico); the "Plant Variety Protection Course", organized by Naktuinbouw (Netherlands); the "Training Course on Plant Variety Protection", organized by the Korean Seed & Variety Service (KSVS) and the Korean International Cooperation Agency (KOICA) (Republic of Korea); and the "*Taller sobre los beneficios del Acta de 1991 del Convenio de la UPOV para las políticas públicas de agricultura y de seguridad alimentaria*", organized with the *Oficina Española de Variedades Vegetales* (OEVV) (Spain) and the *Agencia Española de Cooperación Internacional para el Desarrollo* (AECID) (Spain)).

2.3.2.15 In the 2020-2021 Biennium, consideration will be given to opportunities to explore synergies between the training courses.

Academic courses

2.3.2.16 Modules on plant variety protection in intellectual property courses within degree and post-graduate programs are an important means of increasing understanding of the UPOV system. Examples of academic institutions that invite UPOV to participate in their programs are provided in section 2.3.2.3. The Office of the Union will explore possibilities to increase the number of academic institutes and training institutions that incorporate information on the UPOV system in relevant courses.

Languages

2.3.2.17 As with Sub-Program UV.2, success in this sub-program will be increased by making UPOV material and resources available in a wider range of languages.

2.3.3 Activities

- (i) Awareness-raising events.
- (ii) Assistance in drafting legislation.
- (iii) Development and operation of distance learning courses.
- (iv) Training and assistance activities.
- (v) Support for projects to introduce and implement the UPOV system.

2.3.4 Expected Results and Performance Indicators

Expected Results	Performance Indicators
1. Raising awareness of the role of plant variety protection in accordance with the UPOV Convention	<ul style="list-style-type: none"> (a) States and organizations that initiate with the Council of UPOV the procedure for becoming members of the Union; (b) States and organizations that contact the Office of the Union for assistance in the development of legislation on plant variety protection; (c) States and organizations provided with information at UPOV activities; (d) States and organizations participating in study tours; (e) Participation in UPOV awareness-raising activities, or activities involving UPOV; (f) Number of studies published on UPOV website; (g) Number of visits to benefits page on UPOV website; (h) Number of videos published on UPOV website; (i) Number of views of videos published on UPOV website; (j) Number of followers on UPOV Twitter accounts; (k) Number of relevant languages in which studies and videos are available.
2. Assistance in drafting legislation on plant variety protection in accordance with the 1991 Act of the UPOV Convention	<ul style="list-style-type: none"> (a) Meetings with government officials to discuss legislative matters; (b) States and organizations provided with comments on laws; (c) States and organizations receiving a positive advice from the Council; (d) Participation in workshops on laws.
3. Assistance to States and organizations in the accession to the 1991 Act of the UPOV Convention	<ul style="list-style-type: none"> (a) States that accede to or ratify the 1991 Act of the UPOV Convention; (b) States and organizations that become members of the Union; (c) Meetings with government officials to discuss legislative matters; (d) States and organizations provided with comments on laws.
4. Assistance in implementing an effective plant variety protection system in accordance with the UPOV Convention	<ul style="list-style-type: none"> (a) Participation in distance learning courses; (b) Participation in UPOV training/assistance activities; (c) Participation in training/assistance activities developed in conjunction with UPOV; (d) Participation in activities involving UPOV staff or UPOV trainers on behalf of UPOV staff; (e) Participation by observer States and organizations in the CAJ, TC, TWPs and the associated preparatory workshops; (f) Participation in training/assistance activities operated by third parties to which UPOV substantially contributed; (g) Academic institutions that include information on the UPOV system and which invite UPOV to contribute; (h) Number of students studying academic courses from academic institutions that include information on the UPOV system and which invite UPOV to contribute; (i) Number of academic institutions that include participation of students in UPOV distance learning courses; (j) Availability of materials in relevant languages.

2.4 Sub-program UV.4: External Relations

2.4.1 Objectives

- (a) To broaden and enhance the understanding of the UPOV system of plant variety protection.
- (b) To provide information on the UPOV Convention to other intergovernmental organizations, with the aim of achieving mutual supportiveness with other international treaties.

2.4.2 Narrative

Introduction

2.4.2.1 UPOV's mission is to 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. The aim of this Sub-program is to explain how the UPOV system encourages the development of new varieties of plants, how new varieties benefit society and the role of the UPOV system in relation to agriculture and economic development in the rural sector.

2.4.2.2 In order to improve outreach, UPOV will be making greater use of social media. A UPOV Twitter account is intended to provide latest news from UPOV, raise awareness of new and/or topical information on the UPOV website and raise awareness about UPOV's role. A Twitter account has been introduced for the Vice Secretary-General to communicate matters concerning UPOV. A UPOV LinkedIn entry will be used to share the same type of information that will be disseminated via Twitter. As a further measure to improve communications, a redesign of the UPOV website is planned for the 2020-2021 Biennium. The redesign will incorporate a "responsive" design and a new content management system.

Communications with stakeholders

2.4.2.3 General information, suitable for a wide range of stakeholders, will continue to be developed. For example, work will continue on answers to frequently-asked questions (FAQs) about the UPOV system and the development of illustrative explanations and examples of the benefits of the UPOV system. As appropriate, UPOV will contribute to articles in relevant publications.

2.4.2.4 UPOV's website is an important means of communication with all UPOV's stakeholders and will be updated with suitable new materials in order to explain the importance of plant variety protection. In order to enhance the effectiveness of the website for explaining the UPOV system, stakeholder features were introduced on the UPOV website in 2016. In the 2020-2021 Biennium, these stakeholder features for breeders, farmers, policy-makers and the general public will be reviewed.

2.4.2.5 UPOV will also continue to communicate with non-governmental organizations representing stakeholders:

- Breeders/seed producers/plant propagators: including the International Community of Breeders of Asexually Reproduced Ornamental and Fruit-Tree Varieties (CIOPORA), International Seed Federation (ISF), CropLife International, International Association of Horticultural Producers (AIPH), African Seed Trade Association (AFSTA), Asia and Pacific Seed Association (APSA), European Seed Association (ESA), *Federación Latinoamericana de Asociaciones de Semillistas* (FELAS), Seed Association of the Americas (SAA).
- Farmers: including the World Farmers' Organisation (WFO), Committee of Agricultural Organizations in the European Union (COPA), General Committee for Agricultural Co-operation in the European Union (COGECA), European Coordination Via Campesina (ECVC).
- Civil society: including the Association for Plant Breeding for the Benefit of Society (APBRES)

Relations with other organizations

2.4.2.6 UPOV will contribute to the work of relevant international intergovernmental organizations in order to explain the UPOV system of plant variety protection, with the aim of securing mutual supportiveness. In particular, UPOV will maintain contacts with WIPO; WTO and, in particular, its Council for Trade-Related Aspects of Intellectual Property Rights (Council for TRIPS); the Conference of the Parties to the Convention on Biological Diversity (CBD) including, in particular, its various committees and working groups concerning the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization to the Convention on Biological Diversity; and the Food and Agriculture Organization of the United Nations (FAO) including, in particular, the Governing Body of the International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA). The role of plant variety protection for public sector research institutes means that UPOV will seek to develop and maintain contacts with relevant centers of the Consultative Group on International Agricultural Research (CGIAR).

2.4.2.7 In relation to mutual supportiveness with other international organizations, the World Seed Partnership (WSP) is an increasingly important initiative. The WSP mission is to enhance cooperation between the partner organizations (OECD, UPOV, ISTA, ISF) and to provide a focal point for information on the role of internationally harmonized seed systems in supporting sustainable agriculture (see <http://www.worldseedpartnership.org/>). In 2018 the World Farmers' Organisation (WFO) agreed to join the WSP as an advisory partner. It is anticipated that the WSP will develop materials and organize events to show how OECD, UPOV, ISTA, ISF and WFO can support the development of the seed sector in order to achieve food security and economic development, including their role in enabling farmers to have access to high quality seed and suitable new plant varieties.

2.4.2.8 UPOV will continue to cooperate with the Organisation for Economic Co-operation and Development (OECD), in respect of the OECD's Seed Schemes, and with the International Seed Testing Association (ISTA), in relation to technical matters, e.g. DUS examination, variety denominations and the role of molecular markers in variety examination and identification. In relation to variety denominations, cooperation with the International Commission for the Nomenclature of Cultivated Plants of the International Union for Biological Sciences (IUBS) (ICNCP) is also of relevance.

2.4.3 Activities

- (i) Participation in meetings with intergovernmental and non-governmental organizations.
- (ii) Provision of comments and information to other organizations.
- (iii) Development of information material for stakeholders, including FAQs.
- (iv) Maintenance and further development of the UPOV website.
- (v) Use of social media.
- (vi) Seminars or symposia on relevant topics.

2.4.4 Expected Results and Performance Indicators

<u>Expected Results</u>	<u>Performance Indicators</u>
1. Broaden public understanding of UPOV's role and activities	(a) Availability of suitable information and materials for the general public on UPOV website; (b) Number of new visitors to UPOV website; (c) Number of visits to general public feature on UPOV website; (d) Improved design of UPOV website, including responsive layout; (e) Information provided via UPOV Twitter and UPOV Vice Secretary-General's Twitter accounts.
2. Enhance understanding of UPOV's role and activities for stakeholders	(a) Availability on UPOV website and through other media of suitable information and materials for stakeholders, particularly for breeders and farmers; (b) Number of visits to stakeholder features on the UPOV website; (c) Participation by stakeholders in seminars and symposia; (d) Participation at meetings of, and with, relevant stakeholders; (e) Articles in relevant publications to which UPOV has contributed.
3. Enhance understanding of UPOV's role and activities with other organizations	(a) Participation at meetings of, and with, relevant organizations; (b) Initiatives of the World Seed Partnership; (c) Contributions to relevant organizations.

3. PROPOSED BUDGET

3.1 The proposed budget⁶ for the 2020-2021 Biennium anticipates an income of 7,347,285 Swiss francs compared to the 2018-2019 budget of 6,939,825 Swiss francs (see **Tables 1 and 2**).

Table 1: Income and Expenditure 2016-2017, 2018-2019 and 2020-2021
(in thousands of Swiss francs)

	2016-2017 Actual A	2018-2019 Budget B	Variation		2020-2021 Proposed D=B+C
			C	C/B	
1. Income	6,851	6,940	407	5.9%	7,347
2. Expenditure	6,825	6,940	407	5.9%	7,347
<i>Difference</i>	26	-	-	-	-
3. Working Capital Fund	547	550	16	2.9%	566

3.2 Expenditure is estimated at the same amount as the expected income.

3.3 With regard to the reserve fund, it is recalled that document UPOV/INF/4/5 "Financial Regulations and Rules of UPOV", Regulation 4.6, states that "[...] If after the closure of the financial period, the amount of the reserve fund exceeds 15 per cent of the total income for the financial period, the amount in excess shall be reimbursed to the members of UPOV, unless otherwise decided by the Council. Any member of UPOV may request that the reimbursement attributed to it be deposited in a special account or trust fund specified by it.". The necessary arrangements would be made for consideration by the Consultative Committee and the Council if that situation is applicable at the closure of the 2018-2019 Biennium.

Table 2: Structure of proposed budget 2020-2021 as compared to 2016-2017 and 2018-2019
(in thousands of Swiss francs)

	2016-2017 Actual A	2018-2019 Budget B	Variation		2020-2021 Proposed D=B+C
			C	C/B	
1. Personnel Resources	4,245	4,772	167	3.5%	4,939
<i>Posts</i>	3,828	4,233	455	10.8%	4,688
<i>Temporary Staff</i>	418	539	(288)	-53.4%	251
2. Non-Personnel Resources	2,579	2,168	240	11.1%	2,408
<i>Internships and Fellowships</i>	12	40	29	-	69
<i>Travel, Training and Grants</i>	491	420	105	25.0%	525
<i>Contractual Services</i>	835	435	130	29.9%	565
<i>Operating expenses</i>	1,239	1,253	(14)	-1.1%	1,239
<i>Equipment and supplies</i>	2	20	(10)	-50.0%	10
3. Grand Total	6,825	6,940	407	5.9%	7,347

⁶ The figures in tables 1 to 9 may not add up due to rounding.

3.4 **Table 3** provides a resource plan for the 2018-2019 and the 2020-2021 biennia. The total resources for the program of activities to be conducted by UPOV in the 2020-2021 Biennium amounts to 8,276,489 Swiss francs. This amount includes 7,347,285 Swiss francs within the regular budget (see Table 1), and an estimated 929,204 Swiss francs, financed under Funds-in-Trust arrangements.

3.5 For the 2020-2021 Biennium, income and expenditure are expected to be balanced.

3.6 Funds-in-Trust are voluntary financial funds provided to UPOV, usually by a member of the Union for a specific program of activities mutually agreed between the Office of the Union and the member of the Union concerned. Without prejudging sovereign decisions from the fund providers, it is expected that the overall amounts of such funds for the 2020-2021 Biennium will be at a level of 929,204 Swiss francs. It should be noted that financial support (e.g. Funds-in-Trust) and non-financial support (support in kind), particularly for technical assistance and training activities, are not recorded in UPOV's budget.

Table 3: Resource Plan 2018-2019 and 2020-2021
(in thousands of Swiss francs)

	Regular Budget	Funds-in- Trust *	Total resources
Budget and resource availability			
	A	B	C = A+B
Resource availability 2018-2019			
1 Income (Budget)	6,940	536	7,476
2 +/- Transfer from/ to reserves	0	-	0
3 Total, resources	6,940	536	7,476
Resource availability 2020-2021			
4 Income	7,347	929	8,276
5 +/- Transfer from/ to reserves	0	-	0
6 Total, resources	7,347	929	8,276
<i>Variation</i>	<i>5.9%</i>		<i>10.7%</i>

* Excluding administrative support costs of 13% under the Funds-in-Trust (FITs).

3.7 **Table 4** presents the budget variations by object of expenditure between the 2018-2019 and the 2020-2021 biennia. The proposed budget for 2020-2021 is 7,347,285 Swiss francs, an increase of 407,460 Swiss francs, or 5.9 per cent compared to the 2018-2019 budget.

Table 4: Proposed Budget 2020-2021: Budget Variation by Object of Expenditure
(in thousands of Swiss francs)

Object of Expenditure	2016-2017	2018-2019	Resource Variation		2020-2021 Proposed
	Actual	Budget	Amount	%	
	A	B	C	C/B	D=B+C
A. Personnel Resources					
Posts	3,828	4,233	455	10.8%	4,688
Temporary Staff	418	539	-288	-53.4%	251
Total, A	4,245	4,772	167	3.5%	4,939
B. Non-Personnel Resources					
Internships and Fellowships					
Internships	12	40	-35	-88.4%	5
Fellowships	-	-	65		65
Sub-total	12	40	29	73.3%	69
Travel, Training and Grants					
Staff missions	447	380	120	31.6%	500
Third Party Travel	44	40	-15	-37.5%	25
Sub-total	491	420	105	25.0%	525
Contractual Services					
Conferences	184	140	20	14.3%	160
Publishing	-	10	-10	-100%	-
Individual Contractual Services	25	20	-	0.0%	20
Other Contractual Services	626	265	120	45.3%	385
Sub-total	835	435	130	29.9%	565
Operating Expenses					
Sub-total	1,239	1,253	-14	-1.1%	1,239
Equipment and Supplies					
Furniture and Equipment	-	10	-5	-50.0%	5
Supplies and Materials	2	10	-5	-50.0%	5
Sub-total	2	20	-10	-50.0%	10
Total, B	2,579	2,168	240	11.1%	2,408
GRAND TOTAL	6,825	6,940	407	5.9%	7,347

3.8 **Table 5** reflects the number of posts by grade. The post of the Secretary-General is included within this count, but at no cost, because the current Director General of WIPO has declined any salary or allowance from his functions as Secretary-General of UPOV.

3.9 The Program and Budget for the 2020-2021 Biennium anticipates no change in the number of posts as compared to 2018-2019.

Table 5: Budget 2020-2021: Posts by Category

<i>Post Category</i>	<i>2016-2017 Actual A</i>	<i>2018-2019 Budget B</i>	<i>Variation C-B</i>	<i>2020-2021 Proposed C</i>
Directors	3	3	-	3
Professionals	3	5	-	5
General Service	5	4	-	4
Total	11	12	-	12

3.10 The table below provides an indication of the human resources, other than staff occupying posts, i.e. temporary staff, agency workers, Junior Professional Officers, interns and fellows, which may be utilized in the 2020-2021 Biennium, subject to the availability of resources from the regular budget, voluntary financial funds and provision of personnel resources by members of the Union.

	<i>2016-2017 A</i>	<i>2018-2019 B</i>	<i>2020-2021 Proposed C</i>
Temporary Staff	2	2	1
Agency Workers	4	3	2
Junior Professional Officer	0	0	2
Intern	1	1	2
Fellow	0	1	2

3.11 **Table 6** provides the proposed budget allocation by sub-program.

3.12 The proposed Program and Budget for the 2020-2021 Biennium is split into four sub-programs:

- UV.1: Overall Policy on Plant Variety Protection
- UV.2: Services to the Union for Enhancing the Effectiveness of the UPOV System
- UV.3: Raising Awareness and Assistance in the Introduction and Implementation of the UPOV System
- UV.4: External Relations

3.13 Personnel resources have been allocated by sub-program as a proportion of the staff time that is anticipated to be spent on each sub-program. Non-personnel expenditures have been distributed by sub-program in anticipation of their respective activities. It should be noted that common expenditures with WIPO for administrative services rendered to UPOV appear under Sub-program UV.2.

Table 6: Proposed Budget 2020-2021: Allocation by Object of Expenditure
(in thousands of Swiss francs)

<i>Object of Expenditure</i>	<i>Sub-program</i>				<i>Total</i>
	<i>UV.1</i>	<i>UV.2</i>	<i>UV.3</i>	<i>UV.4</i>	
A. Personnel Resources	741	2,470	1,235	494	4,939
Posts	703	2,344	1,172	469	4,688
Temporary Staff	38	126	63	25	251
B. Non-Personnel Resources	57	1,798	399	154	2,408
<i>Internships and Fellowships</i>					
Internships	-	5	-	-	5
Fellowships	-	32	32	-	65
<i>Travel, Training and Grants</i>					
Staff Missions	-	150	225	125	500
Third Party Travel	-	-	25	-	25
<i>Contractual Services</i>					
Conferences	40	120	-	-	160
Publishing	-	-	-	-	-
Individual Contractual Services	-	-	20	-	20
Other Contractual Services	17	243	96	29	385
<i>Operating Expenses</i>					
Operating Expenses	-	1,239	-	-	1,239
<i>Equipment and Supplies</i>					
Furniture and Equipment	-	5	-	-	5
Supplies and Materials	-	5	-	-	5
GRAND TOTAL	798	4,268	1,633	648	7,347

3.14 **Table 7** provides the budget variations by sub-program between the budget 2018-2019 and the proposed budget 2020-2021.

Table 7: Budget Variation by Sub-program
(in thousands of Swiss francs)

Sub-program	2018-2019 Budget A	Variation		2020-2021 Proposed C=A+B
		Amount B	% B/A	
UV.1	756	42	5.6%	798
UV.2	4,069	199	4.9%	4,268
UV.3	1,487	146	9.8%	1,633
UV.4	628	20	3.1%	648
TOTAL	6,940	407	5.9%	7,347

3.15 **Table 8** presents the income by source for the 2018-2019 and 2020-2021 biennia.

3.16 Total income under the regular budget in the 2020-2021 Biennium is estimated at 7,347,285 Swiss francs, i.e. 407,460 Swiss francs, or 5.9 per cent, higher than the estimated income for the 2018-2019 Biennium (6,939,825 Swiss francs). The income estimation for 2020-2021 is based on 64.65 contribution units in 2020 and 64.85 contribution units in 2021 with no change to the value of the contribution unit, which is proposed to remain at 53,641 Swiss francs in the 2020-2021 Biennium.

3.17 Income from contributions is estimated on the assumption of one new member of the Union per year, each contributing 0.2 contribution unit to the budget (and 1,667 Swiss francs to the Working Capital Fund). At its twenty-third extraordinary session, held in Geneva on April 7, 2006, the Council decided that "members of the Union should not adjust downwards their number of units of contribution without considering the implications for UPOV and considering how such a reduction would be compensated by other members of the Union. In particular, members of the Union should not reduce their number of units of contribution during a budget period approved by the Council, except under exceptional and unavoidable circumstances" (see Annex III of document C(Extr.)/23/5). On that basis, no reduction in the number of units of contribution by members of the Union is anticipated in the 2020-2021 Biennium.

3.18 In addition to contributions from members of the Union, income is anticipated from the UPOV IT Tools and Services Fees (250,000 Swiss francs) and from Miscellaneous Income (150,796 Swiss francs), including: (i) administrative support costs under Funds in Trust (120,796 Swiss francs); and (ii) fees from the distance learning program (30,000 Swiss francs). The income sources constitute 5.5 per cent of the estimated total income in 2020-2021.

Table 8: Income 2018-2019 and 2020-2021: Variation by Source
(in thousands of Swiss francs)

Source	2016-2017	2018-2019	Variation		2020-2021
	Actual A	Approved B	C	C/B(%)	Proposed D=B+C
Contributions	6,732	6,764	182	2.7%	6,946
UPOV IT Tools and Services Fees ⁽¹⁾	2	-	250	-	250
Interest ⁽²⁾	-	-	-	-	-
Miscellaneous Income	117	176	-25	-14.2%	151
Administrative Support Costs - FITS	75	70	51	73.3%	121
Distance Learning Program	30	16	14	87.5%	30
Other	12 ⁽³⁾	90 ⁽⁴⁾	-90	-100.0%	0
Total	6,851	6,940	407	5.9%	7,347

(1) The Council decided to make the use of UPOV PRISMA free of charge in 2019. At its fifty-third ordinary session, the Council will be invited to consider a proposal for funding of UPOV PRISMA in conjunction with a proposal for the introduction of UPOV database/IT services as possible revenue sources. Without prejudging those proposals and decision by the Council, the income for UPOV IT Tools and Services Fees is based on the following projections:

2020

UPOV PRISMA: 450 submissions at CHF90 = CHF 40,500
 PLUTO database: 50 subscribers (2 months* at CHF125) = CHF 6,250

* paying service from November 2020

2021

UPOV PRISMA: 1,750 submissions at CHF90 = CHF 157,500
 PLUTO database: 61 subscribers (12 months at CHF750) = CHF 45,750

TOTAL: CHF 250,000

(2) The negative interest rates which are currently applied to all Swiss franc cash balances are expected to prevail during 2020-2021. UPOV's Swiss franc cash balances are protected from the effect of negative interest rates by the current banking and cash management setup which involves the provision of exemption thresholds at the discretion of UPOV's cash management banks. Based on current cash generation assumptions, and if limits with UPOV's principal banking partners (Credit Suisse and UBS) remain unchanged, UPOV is unlikely to be affected by negative interest rates in 2020-2021. Furthermore, Finance Division will continue to monitor the developments in interest rates and will apply mitigating strategies as much as possible in order to minimize the impact of negative interest rates in the event that the protection limits are reduced.

(3) In the biennium 2016-2017, "Other income" primarily includes actual income from credit notes and exchange rate gains.

(4) In the biennium 2018-2019, budgeted "Other income" includes income from fees from UPOV PRISMA. In the biennium 2020-2021, this item is covered under "UPOV IT Tools and Services Fees".

4. FINANCIAL INDICATORS 2014-2023

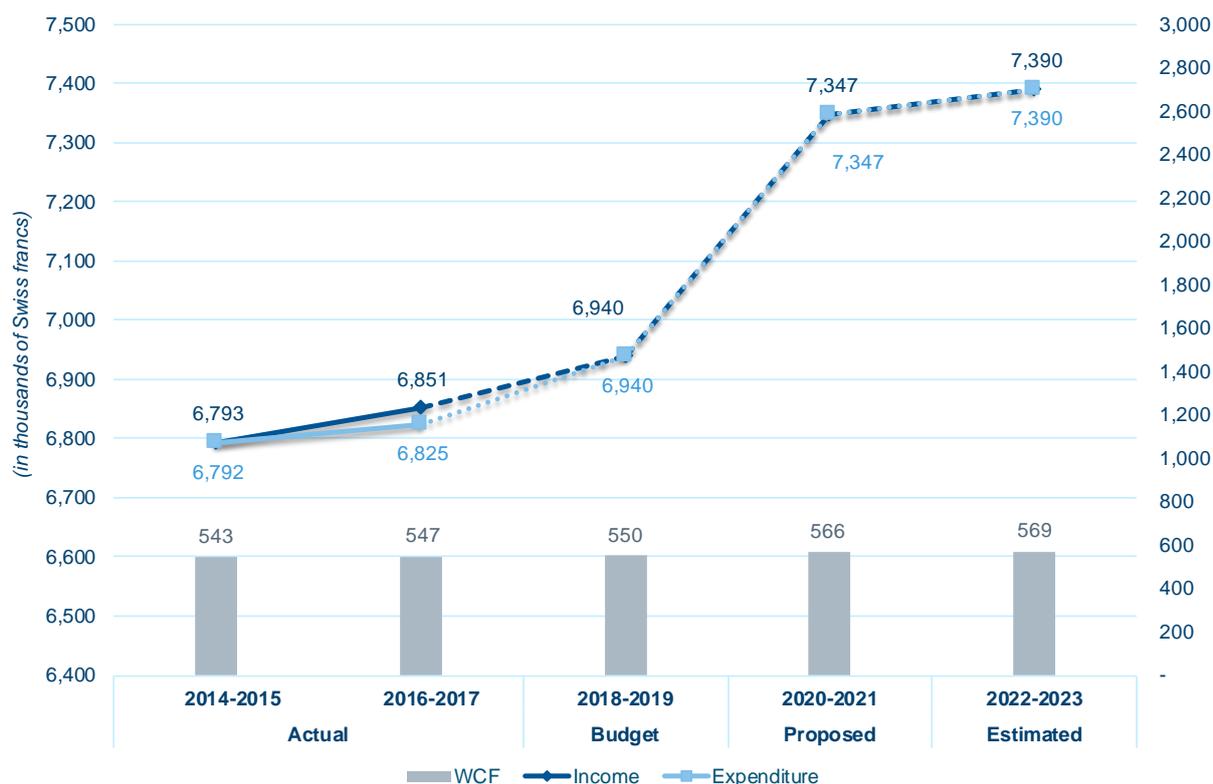
4.1 The Program and Budget for the 2020-2021 Biennium includes a presentation of financial indicators covering a 10-year period, including two years beyond the new biennium and information from the recent past. The presentation of the financial indicators is intended to put the proposed budget for the 2020-2021 Biennium into context by indicating trends and assessing future financial sustainability. This information is provided to facilitate members' review and decision on the proposed Program and Budget, and it should not be construed as constituting any specific financial commitment or approval beyond 2021.

4.2 **Table 9** and the **graph** below show the anticipated evolution of the regular budget as far as income, expenditures and reserve and working capital fund levels are concerned.

Table 9: Income, Expenditure and Reserves for 2014-2023
(in thousands of Swiss francs)

Budgetary Basis					
	<i>Actual</i>		<i>Budget</i>	<i>Proposed</i>	<i>Estimated</i>
	2014-2015	2016-2017	2018-2019	2020-2021	2022-2023
Income	6,793	6,851	6,940	7,347	7,390
Expenditure	6,792	6,825	6,940	7,347	7,390
<i>Difference</i>	1	26	-	-	-

Chart 9: Evolution of Income, Expenditure and Reserves for 2014-2023



4.3 The following assumptions are made:

– Income and Working Capital Fund: Accession of one additional member per year contributing 0.2 contribution unit each to the budget and 1,667 Swiss francs to the Working Capital Fund. The corresponding amounts have been inserted with rounding. Income of 250,000 Swiss francs is anticipated from UPOV IT Tools and Services Fees in 2022-2023.

– Expenditure:

Personnel resources: Personnel resources are anticipated to account for 67.2 per cent of the budget in 2020-2021 and 69.2 per cent in 2022-2023, assuming a similar increase in personnel resources of 3.5 per cent between the 2020-2021 and the 2022-2023 biennia, as compared to the 2018-2019 and the 2020-2021 biennia. Personnel resources accounted for 62.2 per cent in the 2016-2017 Biennium and 68.8 per cent in the 2018-2019 Budget.

Non-personnel resources: Operating expenses, equipment and supplies costs are projected to remain stable and to account for 17.0 per cent of the budget in both the 2020-2021 and the 2022-2023 biennia, compared to 18.2 per cent in the 2016-2017 Biennium and 18.3 per cent in the 2018-2019 Budget. Travel and contractual services costs are projected to account for 14.8 per cent of the budget in 2020-2021 and 13.0 per cent in 2022-2023, respectively, compared to 19.4 per cent in the 2016-2017 Biennium and 12.3 per cent in the 2018-2019 Budget. Internships and Fellowships are projected to account for 0.9 per cent of the budget in 2020-2021.

[Appendix I follows]

ANNEX – APPENDIX I

STATUS IN RELATION TO THE INTERNATIONAL UNION FOR THE PROTECTION
OF NEW VARIETIES OF PLANTS (UPOV)

as of December 31, 2018

I. UPOV members

African Intellectual Property Organization ^{3, 5}	Colombia ²	Israel ³	Panama ³	Switzerland ³
Albania ³	Costa Rica ³	Italy ²	Paraguay ²	The former Yugoslav Republic of Macedonia ³
Argentina ²	Croatia ³	Japan ³	Peru ³	Trinidad and Tobago ²
Australia ³	Czech Republic ³	Jordan ³	Poland ³	Tunisia ³
Austria ³	Denmark ³	Kenya ³	Portugal ²	Turkey ³
Azerbaijan ³	Dominican Republic ³	Kyrgyzstan ³	Republic of Korea ³	Ukraine ³
Belarus ³	Ecuador ²	Latvia ³	Republic of Moldova ³	United Kingdom ³
Belgium ¹	Estonia ³	Lithuania ³	Romania ³	United Republic of Tanzania ³
Bolivia (Plurinational State of) ²	European Union ^{3, 4}	Mexico ²	Russian Federation ³	United States of America ³
Bosnia and Herzegovina ³	Finland ³	Montenegro ³	Serbia ³	Uruguay ²
Brazil ²	France ³	Morocco ³	Singapore ³	Uzbekistan ³
Bulgaria ³	Georgia ³	Netherlands ³	Slovakia ³	Viet Nam ³
Canada ³	Germany ³	New Zealand ²	Slovenia ³	
Chile ²	Hungary ³	Nicaragua ²	South Africa ²	
China ²	Iceland ³	Norway ²	Spain ³	
	Ireland ³	Oman ³	Sweden ³	(Total 75)

¹ 1961 Convention as amended by the Additional Act of 1972 is the latest Act by which 1 State is bound.

² 1978 Act is the latest Act by which 17 States are bound.

³ 1991 Act is the latest Act by which 55 States and 2 organizations are bound.

⁴ Operates a plant breeders' rights system which covers the territory of its 28 member States (Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, United Kingdom).

⁵ Operates a plant breeders' rights system which covers the territory of its 17 member States (Benin, Burkina Faso, Cameroon, Central African Republic, Chad, Comoros, Congo, Côte d'Ivoire, Equatorial Guinea, Gabon, Guinea, Guinea Bissau, Mali, Mauritania, Niger, Senegal, Togo).

II. States and intergovernmental organizations which have initiated the procedure for acceding to the UPOV Convention

States (17):

Afghanistan, Armenia, Brunei Darussalam, Egypt, Ghana, Guatemala, Honduras, India, Iran (Islamic Republic of), Kazakhstan, Malaysia, Mauritius, Myanmar, Philippines, Tajikistan, Venezuela (Bolivarian Republic of) and Zimbabwe.

Organization (1):

African Regional Intellectual Property Organization (ARIPO)

(member States of ARIPO (19): Botswana, Gambia, Ghana, Kenya, Lesotho, Liberia, Malawi, Mozambique, Namibia, Rwanda, Sao Tome and Principe, Sierra Leone, Somalia, Sudan, Eswatini, Uganda, United Republic of Tanzania, Zambia, Zimbabwe)

III. States and intergovernmental organizations which have been in contact with the Office of the Union for assistance in the development of laws based on the UPOV Convention

States (26):

Algeria, Bahrain, Barbados, Cambodia, Cuba, Cyprus, El Salvador, Indonesia, Iraq, Jamaica, Lao People's Democratic Republic, Libya, Liechtenstein, Mongolia, Mozambique, Namibia, Nigeria, Pakistan, Saint Vincent and the Grenadines, Saudi Arabia, Sudan, Thailand, Tonga, Turkmenistan, United Arab Emirates and Zambia.

Organization (1):

Southern African Development Community (SADC)

(member States of SADC (15): Angola, Botswana, Democratic Republic of the Congo, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, Eswatini, United Republic of Tanzania, Zambia, Zimbabwe)

[Appendix II follows]

ANNEX – APPENDIX II

BUDGET METHODOLOGY

1. The description of the regular budget methodology provides for the codification and clarification of budget practice as well as the role of the different sections within this proposed program and budget. The budget formulation process starts with the adopted budget for 2018-2019, and concludes with the proposed budget for the 2020-2021 Biennium by incorporating the resource variation between the budget for 2018-2019 and the proposed budget for the 2020-2021 Biennium. Table 4 summarizes the main indicators discussed in this Appendix II.
2. Budget 2018-2019: The starting point for the budget is presented in document C/51/4 Rev.
3. Proposed budget 2020-2021: The proposed budget is the result of adding the resource variation to the 2018-2019 budget and subsequent adjustments of items of expenditure according to UPOV's priorities.
4. A 10-year resource plan is presented in Table 9 of this document in order to provide an integrated financial overview, including budget estimates, resource availability and reserve movements. This resource plan is seen to help assessing the financial sustainability of the Union over the medium term.

[Appendix III follows]

ANNEX – APPENDIX III

CONTRIBUTIONS OF MEMBERS
AS OF JANUARY 31, 2019
(in Swiss Francs)

2018 Invoiced	2019 Invoiced	Members	Number of Units	2020 Estimated for invoicing	2021 Estimated for invoicing
10,728	10,728	African Intellectual Property Organization (OAPI)	0.20	10,728	10,728
10,728	10,728	Albania	0.20	10,728	10,728
26,820	26,820	Argentina	0.50	26,820	26,820
53,641	53,641	Australia	1.00	53,641	53,641
40,231	40,231	Austria	0.75	40,231	40,231
10,728	10,728	Azerbaijan	0.20	10,728	10,728
10,728	10,728	Belarus	0.20	10,728	10,728
80,462	80,462	Belgium	1.50	80,462	80,462
10,728	10,728	Bolivia (Plurinational State of)	0.20	10,728	10,728
10,728	10,728	Bosnia and Herzegovina	0.20	10,728	10,728
13,410	13,410	Brazil	0.25	13,410	13,410
10,728	10,728	Bulgaria	0.20	10,728	10,728
53,641	53,641	Canada	1.00	53,641	53,641
10,728	10,728	Chile	0.20	10,728	10,728
26,820	26,820	China	0.50	26,820	26,820
10,728	10,728	Colombia	0.20	10,728	10,728
10,728	10,728	Costa Rica	0.20	10,728	10,728
10,728	10,728	Croatia	0.20	10,728	10,728
26,820	26,820	Czech Republic	0.50	26,820	26,820
26,820	26,820	Denmark	0.50	26,820	26,820
10,728	10,728	Dominican Republic	0.20	10,728	10,728
10,728	10,728	Ecuador	0.20	10,728	10,728
10,728	10,728	Estonia	0.20	10,728	10,728
268,205	268,205	European Union	5.00	268,205	268,205
53,641	53,641	Finland	1.00	53,641	53,641
268,205	268,205	France	5.00	268,205	268,205
10,728	10,728	Georgia	0.20	10,728	10,728
268,205	268,205	Germany	5.00	268,205	268,205
26,820	26,820	Hungary	0.50	26,820	26,820
10,728	10,728	Iceland	0.20	10,728	10,728
53,641	53,641	Ireland	1.00	53,641	53,641
26,820	26,820	Israel	0.50	26,820	26,820
107,282	107,282	Italy	2.00	107,282	107,282
268,205	268,205	Japan	5.00	268,205	268,205
10,728	10,728	Jordan	0.20	10,728	10,728
10,728	10,728	Kenya	0.20	10,728	10,728
10,728	10,728	Kyrgyzstan	0.20	10,728	10,728
10,728	10,728	Latvia	0.20	10,728	10,728

2018 Invoiced	2019 Invoiced	Members	Number of Units	2020 Estimated for invoicing	2021 Estimated for invoicing
10,728	10,728	Lithuania	0.20	10,728	10,728
40,231	40,231	Mexico	0.75	40,231	40,231
10,728	10,728	Montenegro	0.20	10,728	10,728
10,728	10,728	Morocco	0.20	10,728	10,728
160,923	160,923	Netherlands	3.00	160,923	160,923
53,641	53,641	New Zealand	1.00	53,641	53,641
10,728	10,728	Nicaragua	0.20	10,728	10,728
10,728	10,728	North Macedonia	0.20	10,728	10,728
53,641	53,641	Norway	1.00	53,641	53,641
53,641	53,641	Oman	1.00	53,641	53,641
10,728	10,728	Panama	0.20	10,728	10,728
10,728	10,728	Paraguay	0.20	10,728	10,728
10,728	10,728	Peru	0.20	10,728	10,728
26,820	26,820	Poland	0.50	26,820	26,820
10,728	10,728	Portugal	0.20	10,728	10,728
80,462	80,462	Republic of Korea	1.50	80,462	80,462
10,728	10,728	Republic of Moldova	0.20	10,728	10,728
10,728	10,728	Romania	0.20	10,728	10,728
26,820	107,282	Russian Federation	2.00	107,282	107,282
10,728	10,728	Serbia	0.20	10,728	10,728
10,728	10,728	Singapore	0.20	10,728	10,728
26,820	26,820	Slovakia	0.50	26,820	26,820
10,728	10,728	Slovenia	0.20	10,728	10,728
53,641	53,641	South Africa	1.00	53,641	53,641
107,282	107,282	Spain	2.00	107,282	107,282
80,462	80,462	Sweden	1.50	80,462	80,462
80,462	80,462	Switzerland	1.50	80,462	80,462
10,728	10,728	Trinidad and Tobago	0.20	10,728	10,728
10,728	10,728	Tunisia	0.20	10,728	10,728
26,820	26,820	Turkey	0.50	26,820	26,820
10,728	10,728	Ukraine	0.20	10,728	10,728
107,282	107,282	United Kingdom	2.00	107,282	107,282
10,728	10,728	United Republic of Tanzania	0.20	10,728	10,728
268,205	268,205	United States of America	5.00	268,205	268,205
10,728	10,728	Uruguay	0.20	10,728	10,728
10,728	10,728	Uzbekistan	0.20	10,728	10,728
10,728	10,728	Viet Nam	0.20	10,728	10,728
3,376,690	3,457,152		64.45	3,457,152	3,457,152

[Appendix IV follows]

ANNEX – APPENDIX IV

DEFINITION OF SOURCES OF INCOME AND COST CATEGORIES

Sources of Income

Contributions

Contributions of members of the Union under the UPOV Convention (Article 29 of the 1991 Act and Article 26 of the 1978 Act).

UPOV IT Tools and Services Fees

Income from fees from UPOV databases, IT tools and services.

Publications Income

Revenue from the sale of publications and products by the Office of the Union.

Interest Income

Revenues from interest on capital deposits.

Miscellaneous Income

All other income not described above, including accounting adjustments (credits) in respect of prior years, currency adjustments (credits) and income to cover “support costs” in respect of extra-budgetary activities executed by UPOV and financed by Funds-in-Trust; UPOV’s share in WIPO’s common income.

Cost categories

Personnel Resources

Posts

Remuneration received by staff members, in particular salaries, post adjustment, dependency allowances, language allowances and overtime, non-resident allowances, assignment grant and representation allowances.

Temporary Staff

Remuneration and allowances paid to professional and general service employees on short-term contracts.

Non-Personnel Resources

Internships and Fellowships

Internships: remuneration and allowances paid to interns.

Fellowships: expenses related to a training activity that provides a monetary grant to qualified individuals for the purpose of fulfilling special learning objectives.

Travel, Training and Grants

Staff missions: travel expenses and daily subsistence allowances for all staff on official travel.

Third party travel: travel expenses and daily subsistence allowances for all third parties – i.e. non-staff. This will include the travel costs of Government officials, participants and lecturers attending UPOV-sponsored meetings.

Training and related travel grants: travel expenses, daily subsistence allowances and training and other fees in connection with trainees attending courses, seminars, fellowships.

Contractual Services

Conferences: remuneration, travel expenses and daily subsistence allowances for interpreters; renting of conference facilities, and interpretation equipment; refreshments and receptions; and the cost of any other service directly linked to the organization of a conference.

Publishing: outside printing and binding; reviews; paper and printing; other printing: reprints of articles published in reviews; brochures; treaties; collections of texts; manuals; working forms and other miscellaneous printed material; production of CD-ROMs, videos, magnetic tapes and other forms of electronic publishing.

Individual Contractual Services: remuneration paid in respect of individual contractual services.

Other Contractual Services: includes all other contractual services with both commercial and non-commercial service providers. This category includes agency staff costs and IT development costs.

Operating Expenses

All expenses arising from the acquisition, rental, improvement and maintenance of office space and rental or maintenance of equipment and furniture. Communication expenses such as telephone, telegrams, telexes, facsimile and mail, postage and carriage of documents; other expenses such as medical assistance, housing service, Administrative Tribunal, Staff Association, hospitality; bank charges; interest on bank and other loans (except building loans); currency adjustments (debits); audit expenses; unforeseen expenses and accounting adjustments (debits) in respect of prior years; contributions to joint administrative activities within the United Nations system. Additionally, all common expenses related to either joint activities with WIPO or services actually rendered by WIPO.

Equipment and Supplies

Furniture and equipment: purchase of office furniture, office machines, computer equipment (desktop, laptops, printers, servers, etc.), conference servicing equipment, reproduction equipment and transportation equipment.

Supplies and materials: stationery and office supplies; internal reproduction supplies (offset, microfilms, etc.); library books and subscriptions to reviews and periodicals; uniforms; computer supplies, software and licenses.

[End of Annex and of document]