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| International Union for the Protection of New Varieties of Plants |  |

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| Council  Fifty-Sixth Ordinary Session  Geneva, October 28, 2022 | C/56/2  Original: English  Date: August 18, 2022 |

UPOV Performance Report 2020-2021

Document prepared by the Office of the Union

Disclaimer: this document does not represent UPOV policies or guidance

The UPOV Performance Report (UPR) 2020-2021 has been prepared in accordance with   
Regulations 2.14 and 2.14*bis* of the Financial Regulations and Rules and reports performance against criteria established in the Program and Budget for the 2020-2021 Biennium (document C/53/4 Rev.).

The Council is invited to note the UPOV Performance Report 2020-2021.

[UPOV Performance Report (UPR) 2020-2021 follows]



UPOV Performance Report 2020‑2021

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# executive summary

## General overview

### Impact of COVID-19 pandemic

The impact of the COVID-19 pandemic in 2020 and 2021 presented an unprecedented challenge in relation to the implementation of UPOV’s program within the framework of the approved Program and Budget for the 2020‑2021 Biennium. In response, the Office of the Union received strong support from members of the Union and observers to adapt its work processes to ensure continued delivery of its services and program of work. UPOV benefits from the administrative support provided by WIPO under the WIPO/UPOV Agreement (document UPOV/INF/8) and measures taken by WIPO also enabled the Office of the Union to move to fully-remote working in a matter of days, allowing it to continue its functions without major disruption.

The main impact of the COVID-19 pandemic was in relation to meetings of UPOV bodies, UPOV’s training and assistance activities and external relations, because of the need to discontinue travel. In the case of meetings of UPOV bodies, members of the Union readily embraced the proposal to move to virtual meetings and to put in place procedures to enable consideration of documents by correspondence. These procedures enabled the work of UPOV bodies to continue as planned with no negative consequences for progress on substantial matters. Indeed, the move to virtual modalities resulted in significantly greater participation in Technical Working Party meetings (see figures 1 and 2) and, in general, more opportunities for consultation. Another positive impact of the measures taken in response to the COVID-19 pandemic was a substantial reduction in UPOV’s carbon footprint, which was halved from 2019 to 2020 (see figure 3).

Figure 1 and 2. Participation in Technical Working Parties

|  |  |
| --- | --- |
| Figure 1. Number of TWP participants | Figure 2. Number of UPOV members participating in at least one TWP |

Where possible, training and assistance activities were implemented by virtual modalities, also benefitting from higher levels of participation while needing to seek innovative ways of ensuring effective engagement. The lack of travel negatively impacted on physical meetings of other organizations, which impacted on UPOV’s work on external relations. However, the wide availability of virtual meeting options created new opportunities for meeting with colleagues and resulted in an overall increase in the frequency of contacts (see figure 4).

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| Figure 3. UPOV’s carbon footprint | Figure 4. Number of missions, activities and meetings involving UPOV |
|  |  |

In order to implement the COVID-19 mitigation measures above, a significant reallocation of resources was required compared to the expected plan. The move to virtual meetings, combined with consideration of documents by correspondence, resulted in significantly more time being allocated to meeting preparation and administration. This was possible because of the reduction in travel time of UPOV staff and time required for organizing travel to physical activities. In terms of financial resources, the substantial reduction in travel costs was somewhat offset by the additional cost of hosting virtual meetings of UPOV bodies that meet in Geneva.

***Overall Policy on Plant Variety Protection (Sub-program UV.1)***

**Role of plant variety protection**

In the light of the COVID-19 pandemic and increasing concerns about food security and climate change, the adoption of the FAQ “[How does the UPOV system support sustainable development?](https://www.upov.int/about/en/faq.html#QS11)” proved to be timely. The FAQ recalls that the tremendous progress in agricultural productivity in various parts of the world is largely based on improved varieties. Information provided in a recent OECD report “[Making Better Policies for Food Systems](https://read.oecd-ilibrary.org/agriculture-and-food/making-better-policies-for-food-systems_ddfba4de-en#page1)” has shown how efficiency gains in agricultural production, including new plant varieties, have enabled farmers to continue increasing food production without increasing the area of land needed for agriculture.

Figures 5 and 6. OECD Report “Making better Policies for Food Systems”

|  |  |
| --- | --- |
| Figure 5. Population, food production and agricultural land use in the long run | Figure 6. Sources of growth in global agricultural output, 1961-2016 |
|  |  |

A recent survey by the World Farmers’ Organisation (WFO) has also demonstrated the importance that farmers attach to new, improved plant varieties. The survey revealed that more than 7 in 10 farmers that responded to the survey used new, improved plant varieties, with more than 90% of those farmers considering such varieties to be important for the success of their farm (see figures 7 and 8). The survey revealed a range of features that led to farmers choosing to use new plant varieties (see figure 9). More than 9 out of 10 of the farmers considered that new, improved plant varieties were important to respond to climate change and for the sustainability of food systems (see figures 10 and 11).

Figures 7-11: WFO Consultation

|  |  |
| --- | --- |
| Figure 7. Do farmers use new improved plant varieties? | Figure 8. If respondents use new improved plant varieties: importance of new improved plant varieties for the success of your farm |
|  | Rank 1 (no important) to 5 (very important) |

Figure 9. If respondents use new plant varieties - Why?



|  |  |
| --- | --- |
| Figure 10. Respondents who consider new plant varieties important to respond to climate change | Figure 11. Respondents who consider new plant varieties important for the sustainability of food systems |
|  |  |

The intensified focus on climate change and the development of more sustainable food systems led the Council to convene a “Seminar on strategies that address policies involving plant breeding and plant variety protection” in October 2021. The seminar provided an opportunity to exchange information and experiences on strategies involving plant breeding and plant variety protection that address broad policy issues.

The members of the Union that contributed to the seminar highlighted a range of policies that are supported by plant breeding and plant variety protection, including:

* food security
* climate change adaptation and mitigation
* employment
* wealth creation
* improving farmers’ livelihoods
* public-private-producer partnerships
* investment in plant breeding
* diversity of plant breeders, and plant breeding

In his concluding remarks, Mr. Marien Valstar, President of the UPOV Council, highlighted that plant breeding and improved varieties were an important part of the solution to achieve important goals in food security, sustainable agriculture, economic development and improving livelihood of farmers, including smallholder farmers.

He noted that speakers had also indicated that improvements were needed at the international level, including the need to ensure that improved varieties are reaching those farmers that have the most to gain from improved varieties. Like all farmers, smallholder farmers worldwide needed access to better varieties. He referred to the discussions in UPOV to develop guidance concerning smallholder farmers in relation to private and non-commercial use as being a means of clarifying that the UPOV system can bring benefits to smallholder farmers. Subsequent to the seminar, the Consultative Committee decided to establish a working group to develop guidance concerning smallholder farmers in relation to private and non-commercial use.

Mr. Valstar noted that the impact of climate change and the need for agriculture to adapt and to mitigate climate change had been mentioned frequently by the speakers. He observed that plant breeding and, therefore, UPOV had an important role to play but there had been very limited time at the seminar to consider this in any depth and suggested that a further opportunity was needed to explore that crucial topic. In response to this suggestion, the Council approved the organization of a seminar in 2022 to explore the role of plant breeding and plant variety protection in enabling agriculture to adapt to, and mitigate, climate change.

The role of plant variety protection in supporting important policies is a key driver for countries’ interest in UPOV membership. Interest in UPOV membership continues to grow, with Saint Vincent and the Grenadines and Ghana being welcomed as new members of the Union in 2021. By the end of 2021, UPOV had 78 members covering 97 States.

The primary benefit of UPOV membership continues to be the incentive for encouraging the development of new varieties of plants that respond to the needs of farmers and society as a whole. However, the practical support that UPOV membership brings in the operation of an effective system of plant variety protection system is a substantial consideration for potential new members of the Union.

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

In response to the COVID-19 pandemic, all meetings of UPOV bodies in 2020 and 2021 were held by virtual means. In the case of the UPOV bodies that meet in Geneva, a procedure was also put in place to enable consideration of documents by correspondence. In the case of the Technical Working Parties (TWPs), comments on documents were invited in advance of the meetings and the discussions at the meetings were based on those comments. These procedures enabled the work of UPOV bodies to continue as planned with no negative consequences for progress on substantial matters.

#### Work of the UPOV bodies

In a move to improve the efficiency of UPOV’s work, the Council approved the establishment and the terms of reference for the Technical Working Party on Testing Methods and Techniques (TWM), to encompass the work of the Technical Working Party on Automation and Computer Programs (TWC) and Working Group on Biochemical and Molecular Techniques, and DNA-Profiling in Particular (BMT), to take effect from 2022. At a time of rapid technological advances and digitalization, the creation of a single Technical Working Party to consider these developments in the context of UPOV’s technical work will increase awareness of developments and provide a clear focal point.

In the case of the TWPs, the move to virtual meetings resulted in significantly greater participation than in previous years (see figures 1 and 2). Overall, the number of participants more than doubled compared to 2019. Furthermore, the number of members of the Union that attended a TWP increased from 30 in 2019 to 42 in 2021. A survey of TWP participants in 2020 (see figure 12) revealed a high level of satisfaction with the meetings overall, with more than 90% of participants being satisfied or very satisfied with the meetings.

|  |
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| Figure 12. General satisfaction of TWP participants in virtual meetings (2020) (in %) |

On the basis of the experience with virtual TWP meetings, the TC agreed a number of measures for physical and virtual participation at future TWP meetings, including

1. Preparatory workshops to be organized as a series of webinars, which would be recorded and maintained online;
2. Comments and questions on TWP meeting documents to be provided in advance of the sessions;
3. TWP sessions would be alternated; one year of physical meeting with one year of virtual meeting. There would be at least two virtual TWP meetings in a calendar year, thereby ensuring that experts would be able to participate electronically in all discussions on Test Guidelines, TGP and TWP documents;
4. Technical visits to be provided via virtual means: there would be an open invitation for any UPOV member to make a presentation on aspects of their testing systems through presentations, videos or live online demonstrations (e.g. DUS examination for particular crops, testing procedures, image analysis, trial layout);
5. Electronic participation to be made available by the hosts of physical TWP sessions;
6. The TWM to meet by virtual means in 2022, with the need to meet physically in the future to be assessed according to the range of topics to be covered.

The TC also concluded that it would be appropriate to conduct a survey on the needs of members and observers in relation to TWPs and report to the TC at its fifty-eighth session. The survey is intended to assess the needs of members of the Union and observers in relation to the technical guidance provided by UPOV and to consider whether those needs are being met by the TWPs in their current format. The survey is being undertaken in the context of how the work of the TWPs has evolved. For example, figures 13 and 14 demonstrate the progressive reduction in the number of new Test Guidelines and new TGP documents being developed.

|  |  |
| --- | --- |
| Figure 13. Number of Test Guidelines discussed at TWPs | Figure 14. Number of TGP documents discussed at TWPs |
|  |  |

In contrast to the TWP meetings, the number of members of the Union participating in virtual meetings of UPOV bodies that meet in Geneva (Council, Consultative Committee, CAJ and TC) was similar to previous years (see figures 21 and 22 under Sub‑Program UV.1, and figures 31 and 32 under Sub-Program UV.2). It is possible that the arrangements for approving documents by correspondence in advance of the UPOV sessions reduced the interest for participation in the meetings. Furthermore, the procedure for approving documents by correspondence required several rounds of consultation, which created new demands on members of the Union and observers and substantially increased the amount of administration work in the organization of the sessions.

#### UPOV services

##### UPOV PRISMA

The introduction of UPOV PRISMA in 2017 was a major development in facilitating applications for plant breeders’ rights. By the end of 2021, 36 members of the Union, covering 75 States, were participating in UPOV PRISMA.

The following figure demonstrates the development in use of UPOV PRISMA since its launch.

Figure 15. Number of applications using UPOV PRISMA (annual)



##### PLUTO database

The new version of the PLUTO plant variety database was launched on October 11, 2021. The new version provides two levels of service: a Standard service, in which users can search the PLUTO database and display results; and a Premium service, in which there is no restriction on the amount of data that can be downloaded and users benefit from an unlimited number of search results and saved search queries. The annual fee for the Premium service is 750 Swiss francs.

A free trial period was available for the Premium service from October 11 to November 5, 2021. At the end of 2021, the number of users were as follows:

|  |  |
| --- | --- |
| Service | Number of users |
| Standard service | 1131 |
| Eligible Officials | 97 |
| Free Trial Premium service | 29 |
| Premium service | 29 |
| PVP contributor | 28 |

##### Machine translation technologies

The Council adopted the UPOV Policy on Translation, an important element of which was the introduction of the use of neural machine translation technologies. Neural machine translation technologies will be used to minimize translation costs and also to increase the availability of UPOV material in different languages. A testing phase of two years will be implemented for the use of neural machine translation of documents for the UPOV sessions in 2022 and 2023. During the testing phase, all machine translation will include light post editing. A report on the implementation phase will be presented to the Consultative Committee at its session in 2023. At that time, the Consultative Committee will decide whether to review or validate the policy for the use of machine translation.

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

The COVID-19 pandemic had a major impact on UPOV’s training and assistance activities. Where possible, training and assistance activities were implemented by virtual modalities, thereby benefitting from higher levels of participation while needing to seek innovative ways of ensuring effective engagement. As reported in the General Overview, the reduction in missions and activities was also compensated by a large number of virtual meetings in which issues could be discussed at relatively short notice because of the increased availability of people that would otherwise have been traveling. There was a significant increase in the number of participants in UPOV’s DL-205 distance learning course in 2020 and 2021, as a result of an increase in participation by officials from members of the Union (see figure 16).

Figure 16. Participants in the main sessions of the DL-205 Course  
by registration category



***External Relations (Sub-Program UV.4)***

The COVID-19 pandemic had a significant impact on external relations, because of the need to discontinue travel. However, the wide availability of virtual meeting options created new opportunities for meeting with officials and other stakeholders and resulted in an increase in the frequency of contacts (see figure 4).

A significant development in 2019 was the introduction of the @UPOVint and @vsgupov Twitter accounts and active use of the UPOV LinkedIn account. In the 2020-2021 Biennium, the number of followers continued to grow. In addition to the direct outreach from social media postings, there was further evidence that the number of UPOV website visitors (“visits”) and sessions also increased as a result (see figures 17 and 18).

|  |  |
| --- | --- |
| Figure 17: Twitter @UPOVint and UPOV LinkedIn followers | Figure 18: Visits to the UPOV website*[[1]](#endnote-2)* |
| Note: UPOV LinkedIn analytics tracked from May 17 2020, onwards. @UPOVint analytics tracked from March 4, 2019, onwards. |  |

### Financial performance

The value of a contribution unit has not increased for more than 25 years and it is evident that resourcing of UPOV’s work is a major challenge. WIPO’s Internal Oversight Division (IOD) “Evaluation of the International Union for the Protection of New Varieties of Plants (UPOV)”, conducted in 2016, recommended that UPOV consider developing a plan to diversify its revenue portfolio to maintain and enhance the sustainability of existing activities and services. The measures to diversify UPOV’s revenue portfolio have focused on generating income from UPOV PRISMA and the PLUTO database.

Figure 19. UPOV PRISMA number of applications and income



The proportion of income other than from contributions of members of the Union increased from 1.3% in 2018 to 6.8% in 2021. Alongside this increase, income from contributions of members of the Union increased by 5.1% in the same period, meaning that income increased by 11.2% between 2018 and 2021.

|  |
| --- |
| Figure 20. UPOV Income |



# I. FINANCIAL AND RESULTS OVERVIEW

**Key Financials**

The overall budgetary result for UPOV as well as the Reserve and Working Capital Funds (RWCF) for the biennium 2020/21 is shown in Table 1 below. The total income (before IPSAS adjustments) amounted to 7.4 million Swiss francs, and the total expenditure amounted to 7.1 million Swiss francs, resulting in a budgetary surplus of 0.3 million Swiss francs for 2020/21.

At the end of 2021, the total RWCF amounted to -0.6 million Swiss francs, comprising 0.8 million Swiss francs in the Reserve Fund, 0.6 million Swiss francs in the Working Capital Fund and Actuarial losses through Net Assets of 2 million Swiss francs.

**Table 1. Key Financials 2020/21**

*(in thousands of Swiss francs)*

|  |  |  |  |
| --- | --- | --- | --- |
| **Key Financials** | **2020/21  Program & Budget** | **2020/21 Actuals** | **2020/21 Actuals compared to  Program & Budget** |
|
|  |  |  |  |
| Income | 7,347 | 7,404 | 101% |
| Expenditure | 7,347 | 7,071 | 96% |
| **Budgetary Result** | **-** | **334** | **n/a** |
|  |  |  |  |
| IPSAS adj. to Reg. Budget Income |  | 64 |  |
| IPSAS adj. to Reg. Budget Expenditure |  | (415) |  |
|  |  |  |  |
| **Surplus / (Deficit)** |  | **(17)** |  |
|  |  |  |  |
|  |  |  |  |
| **Reserve and Working Capital Funds (RWCF)** |  |  |  |
| Reserve Fund |  | 793 |  |
| Working Capital Fund |  | 575 |  |
| Actuarial gains/(losses) through Net Assets |  | (2,009) |  |
| **Total RWCF at end of period** |  | **(641)** |  |

**Chart 1. Income, Expenditure and Budgetary Result in 2020/21**



Note: Figures in tables throughout the document may not add up due to rounding.

**Income**

Actual income amounted to 7.4 million Swiss francs in 2020/21, in line with the biennial estimate. See Table 2 below.

Income from contributions continued to be the single largest source of income representing 95.8 per cent of total income. The increase in income from contributions, resulting from China increasing its number of contribution units from 0.5 units in 2019 to 2 units in 2020/21, higher fee income from UPOV PRISMA (2.7 per cent above the biennial estimate) and higher income from distance learning courses. This was partly offset by lower PLUTO fees (delayed launch of new version) and lower income generated from Funds-in-Trust related program support costs. The latter was due to a reduction in activities incurring travel costs, as a result of the COVID-19 pandemic.

**Table 2. Income in 2020/21**

*(in thousands of Swiss francs)*

|  |  |  |  |
| --- | --- | --- | --- |
| **Income** | **2020/21** | **2020/21** | **2020/21 Actuals compared to Estimates** |
| **Estimates** | **Actual** |
|  |  |  |  |
|  |  |  |  |
| Contributions (unitary) | 6,946 | 7,097 | 102% |
| PRISMA and PLUTO Fees | 250 | 209 | 83% |
| FITs Programme support costs | 121 | 74 | 61% |
| Distance Learning course fees | 30 | 41 | 137% |
| Miscellaneous1 | - | (16) | n/a |
|  |  |  |  |
| **Total** | **7,347** | **7,404** | **101%** |
| *1 Miscellaneous income mainly reflects unrealized forex gains/(losses) due to the revaluation process of the cash and other assets and liabilities accounts (currencies other than Swiss francs).* | | | |

**Chart 2. Income Share by Source in 2020/21**



**Expenditure**

Actual expenditure amounted to 7.1 million Swiss francs in 2020/21, i.e. 0.3 million Swiss francs or 4 per cent below the Program and Budget for the biennium 2020/21. This is shown in Table 3 and by sub-programs in Table 4 and Table 5.

**Table 3. Budget vs. Expenditure by Cost Category in 2020/21**

*(in thousands of Swiss francs)*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Cost Category** | **2020/21  Program & Budget** | **2020/21 Actuals** | **2020/21 Actuals compared to Program & Budget** |
|  |
| **Personnel Resources** | |  |  |  |
|  | Posts | 4,688 | 4,363 | 93% |
|  | Temporary staff | 251 | 188 | 75% |
|  | Other Staff costs | - | 1 | n/a |
|  | **Total, Personnel Resources** | **4,939** | **4,552** | **92%** |
|  |  |  |  |  |
| **Non-Personnel Resources** | |  |  |  |
|  |  |  |  |  |
| ***Internships and Fellowships*** | |  |  |  |
|  | Internships | 5 | - | - |
|  | Fellowships | 65 | 24 | 38% |
|  | *Sub-total, Internships and Fellowships* | **69** | **24** | **35%** |
| ***Travel*** | |  |  |  |
|  | Staff Missions | 500 | 29 | 6% |
|  | Third Party Travel | 25 | 2 | 9% |
|  | *Sub-total, Travel* | **525** | **31** | **6%** |
| ***Contractual Services*** | |  |  |  |
|  | Conferences | 160 | 158 | 99% |
|  | Publishing | - | - | n/a |
|  | Individual Contractual Services | 20 | 32 | 159% |
|  | Other Contractual Services | 385 | 997 | 259% |
|  | *Sub-total, Contractual Services* | **565** | **1,187** | **210%** |
| ***Operating Expenses*** | |  |  |  |
|  | *Sub-total, Operating Expenses* | **1,239** | **1,272** | **103%** |
| ***Equipment and Supplies*** | |  |  |  |
|  | Furniture and Equipment | 5 | - | - |
|  | Supplies and Materials | 5 | 4 | 83% |
|  | *Sub-total, Equipment and Supplies* | **10** | **4** | **42%** |
|  |  |  |  |  |
|  | **Total, Non-Personnel Resources** | **2,408** | **2,518** | **105%** |
|  |  |  |  |  |
|  | **TOTAL** | **7,347** | **7,071** | **96%** |

**Personnel Resources**

Overall personnel expenditure amounted to 4.6 million Swiss francs, i.e. 0.4 million Swiss francs or 8 per cent, below the Program and Budget for the biennium 2020/21. Lower personnel expenditure was primarily driven by savings on a vacant post and a vacant temporary position (delay in recruitment), as well as lower expenditure on occupied posts (lower dependency allowances, lower expenditure on education grants, reduced home leave as a result of the COVID-19 pandemic, and reduced overtime).

**Non-Personnel Resources**

Internships and fellowships expenditure were lower than budgeted (35 per cent of the biennial budget) because the COVID-19 pandemic prevented travel by the fellow and the recruitment of a replacement fellow.

Travel, training and grants expenditure in 2020/21 represented only 6 per cent of the biennial budget due to the COVID‑19 pandemic.

Contractual services:

*Conferences:* Expenditure on conferences was in line with the biennial budget. However, while costs for hosting events for participants were avoided because meetings were held virtually, additional costs (59,579 Swiss francs) were incurred for the virtual meeting platform, reflected under “Other Contractual Services”.

*Publishing*: There was no expenditure on publishing in 2020/21.

*Individual Contractual Services (ICS)*: Expenditure on ICS was above the biennial budget.

*Other Contractual Services (OCS)*: Actual expenditure on OCS was substantially higher than the biennial budget. This was primarily driven by higher expenditure on: (i) the development and maintenance of PLUTO, ePVP (electronic administration of plant variety protection) and TG template (on line tool for experts to develop test guidelines); and (ii) administrative support (IT projects and event/meeting coordination).

Operating expenses in 2020/21 were in line with budgeted costs.

Expenditure on equipment and supplies was below budgeted costs.

**Table 4. Budget vs. Expenditure by Sub-Program in 2020/21**

*(in thousands of Swiss francs)*

|  |  |  |  |
| --- | --- | --- | --- |
|  | **2020/21  Program & Budget** | **2020/21 Actuals** | **2020/21 Actuals compared to Program & Budget** |
|  |
|  |  |  |  |
| UV.1 Overall Policy on Plant Variety Protection | 798 | 833 | 104% |
| UV.2 Services to the Union for Enhancing the Effectiveness of the UPOV System | 4,268 | 4,501 | 105% |
| UV.3 Assistance in the Introduction and Implementation of the UPOV System | 1,633 | 1,286 | 79% |
| UV.4 External Relations | 648 | 449 | 69% |
|  |  |  |  |
| **TOTAL** | **7,347** | **7,071** | **96%** |

**Table 5. Expenditure Details by Sub-Program in 2020/21**

*(in thousands of Swiss francs)*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Cost Category** | **Sub-programs** | | | |  |
|  | **UV.1** | **UV.2** | **UV.3** | **UV.4** | **Total** |
| **Personnel Resources** | |  |  |  |  |  |
|  | Posts | 748 | 2,053 | 1,153 | 409 | 4,363 |
|  | Temporary staff | 38 | 19 | 103 | 28 | 188 |
|  | Other Staff costs | 0 | 1 | 0 | 0 | 1 |
|  | **Total, Personnel Resources** | **786** | **2,072** | **1,256** | **437** | **4,552** |
|  |  |  |  |  |  |  |
| **Non-Personnel Resources** | |  |  |  |  |  |
|  |  |  |  |  |  |  |
| ***Internships and Fellowships*** | |  |  |  |  |  |
|  | Interns | **-** | - | - | - | - |
|  | Fellowships | **-** | 24 | - | - | 24 |
|  | *Sub-total, Internships and Fellowships* | **-** | **24** | **-** | **-** | **24** |
| ***Travel*** | |  |  |  |  |  |
|  | Staff Missions | - | 0 | 16 | 12 | 29 |
|  | Third Party Travel | - | 0 | 2 | - | 2 |
|  | *Sub-total, Travel* | **-** | **0** | **18** | **12** | **31** |
| ***Contractual Services*** | |  |  |  |  |  |
|  | Conferences | 35 | 116 | 7 | - | 158 |
|  | Publishing | - | - | - | - | - |
|  | Individual Contractual Services | - | 32 | 0 | - | 32 |
|  | Other Contractual Services | 7 | 985 | 5 | - | 997 |
|  | *Sub-total, Contractual Services* | **43** | **1,133** | **12** | **-** | **1,187** |
| ***Operating Expenses*** | |  |  |  |  |  |
|  | *Sub-total, Operating Expenses* | **0** | **1,272** | **-** | **-** | **1,272** |
| ***Equipment and Supplies*** | |  |  |  |  |  |
|  | Furniture and Equipment | - | - | - | - | - |
|  | Supplies and Materials | 4 | - | - | - | 4 |
|  | *Sub-total, Equipment and Supplies* | **4** | **-** | **-** | **-** | **4** |
|  |  |  |  |  |  |  |
|  | **Total, Non-Personnel Resources** | **47** | **2,429** | **30** | **12** | **2,518** |
|  |  |  |  |  |  |  |
|  | **TOTAL** | **833** | **4,501** | **1,286** | **449** | **7,071** |
|  |  |  |  |  |  |  |
| *Note: Personnel expenditure under Other Staff costs UV.1 (193 Swiss francs), UV.3 (309 Swiss francs), and UV.4 (108 Swiss francs). Non‑personnel expenditure under Staff Missions UV.2 (251 Swiss francs), Third Party Travel UV.2 (77 Swiss francs), Individual Contractual Services UV.3 (200 Swiss francs), and Operating Expenses UV.1 (326 Swiss francs).* | | | | | | |

**Resources**

The number of posts by category is shown in Table 6 below. There was no change in the biennium 2020/21 in the total number of posts. The post of the Secretary-General is included within the post 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.

**Table 6. Budgeted and Actuals Posts in 2020/21**

|  |  |  |  |
| --- | --- | --- | --- |
| **Post Category** | **2020/21 Budgeted Posts** | **2020/21 Actual Posts** | **Difference** |
|
|  |  |  |  |
| Directors | 3 | 3 | - |
| Professionals | 5 | 5 | - |
| General Service | 4 | 4 | - |
|  |  |  |  |
| **TOTAL** | **12** | **12** | **-** |

**Evolution of Income and Expenditure**

The overall evolution of actual income and expenditure (before IPSAS adjustments) for the period from 2011 to 2021 is shown below in Table 7.

**Table 7. Evolution of Actual Income and Expenditure during 2011-2021**

*(in thousands of Swiss francs)*

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Actuals** | | | | | | | | | | |
|  | **2011** | **2012** | **2013** | **2014** | **2015** | **2016** | **2017** | **2018** | **2019** | **2020** | **2021** |
|  |  |  |  |  |  |  |  |  |  |  |  |
| Income | 3,489 | 3,388 | 3,403 | 3,384 | 3,409 | 3,431 | 3,420 | 3,422 | 3,509 | 3,598 | 3,806 |
| Expenditure | 2,978 | 2,954 | 3,331 | 3,275 | 3,517 | 3,239 | 3,586 | 3,355 | 3,500 | 3,267 | 3,804 |
| **Budgetary Result** | **511** | **434** | **72** | **109** | **(109)** | **192** | **(166)** | **67** | **9** | **332** | **2** |

**Chart 3. Evolution of Income and Expenditure 2011-2021**



### **Funds-in-Trust (extra-budgetary funds)**

The overall evolution of the actual income of the Funds-in-Trust for the period from 2011 to 2021 is shown below in Chart 4.

**Chart 4. Evolution of Funds-in-Trust from 2011 to 2021**



# II. program performance

## SUB-PROGRAM UV.1:    Overall Policy on Plant Variety Protection

### 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.

### Performance Data:

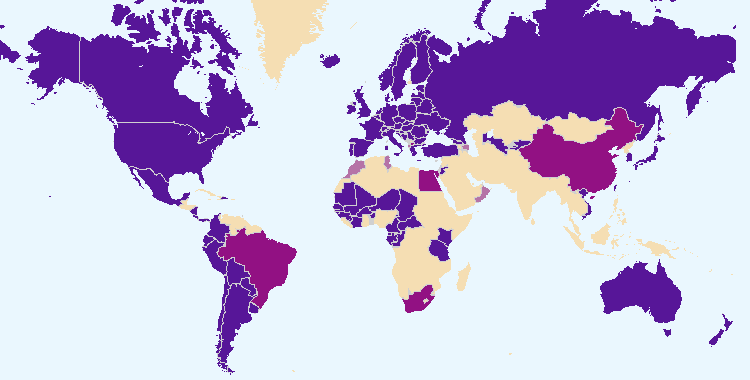
| **Expected Results** | **Performance Indicators** | **Performance Data**[[2]](#footnote-2) |
| --- | --- | --- |
| 1. Identify and implement the strategic goals and objectives of UPOV | (a) Strategic Business Plan that identifies the financial and human resources needed to achieve the strategic goals 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. | The Consultative Committee:   * noted the information on the latest situation concerning the 10 specific targets that were identified for improvement in the Strategic Business Plan 2018‑2023; * approved the draft Strategic Business Plan 2021-2025; and * requested 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/97/3 “Strategic Business Plan” [2020] |
| 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 | see documents CC/98/6 and CC/98/6 Add. “Training and assistance strategy” |
| (b) Measures to provide training and assistance in the introduction and implementation of the UPOV system. | see documents CC/98/6 and CC/98/6 Add. “Training and assistance strategy” [2021]  The Consultative Committee:   * agreed that the updating of distance learning materials to include information on the benefits of UPOV membership be done together with recent developments in PLUTO * approved the proposals for the development of an international program on plant variety protection with the aim to obtain an International Certificate on Plant Variety Protection recognized by UPOV |
| 3. Reviewing the communication strategy | (a) Evaluation of annual reports of the Secretary-General, performance reports for the biennia and other information; and | see document CC/98/5 “Communication strategy” |
| (b) Recommendations by the Consultative Committee on the communication strategy. | Based on the recommendation by the Consultative Committee, the Council:   * adopted the text of the FAQ “How does the UPOV system support sustainable development?” [2020] * supported the proposal of the OECD Seed Schemes for an International Year of Seed [2021] |
| 4. Policy direction on inter-relations with other organizations | (a) Recommendations by the Consultative Committee; and | The Consultative Committee:   * agreed to the participation of the Office of the Union in the reference group for the research project “Pathways to food security, poverty alleviation and livelihoods through the implementation of farmers’ rights to crop genetic diversity (DIVERSIFARM)”. [2020] |
| (b) Decisions by the Council | None |
| 5. Policies to diversify UPOV’s revenue portfolio | (a) Income from sources other than UPOV member contributions | The Strategic Business Plan 2021-2025 specifies 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. Extrabudgetary funds, UPOV PRISMA and the PLUTO database are identified as the principal sources of alternative income. [2020] |
| 6. Organization of Council and Consultative Committee sessions | (a) Participation in the sessions of the Council and the Consultative Committee. | The Council decided that the UPOV Sessions in October 2020 and 2021 would be held in the form of virtual meetings, in combination with prior consideration of documents by correspondence.  see figures 21 and 22 |

|  |  |
| --- | --- |
| Figure 21. Participation[[3]](#footnote-3)\* in Ordinary Sessions of the Council (October sessions) | Figure 22. Participation\* in Consultative Committee Sessions |

| **Expected Results** | **Performance Indicators** | **Performance Data** |
| --- | --- | --- |
| 7. Organize and monitor the work of UPOV committees | (a) Approval and monitoring of the work programs of the CAJ, TC, TWPs and ad hoc working groups; | Achieved - see document C/54/21 “Report”, paragraphs 53 to 57   * The Council approved the establishment and the terms of reference for the Technical Working Party on Testing Methods and Techniques (TWM), to encompass the work of the TWC and BMT, to take effect from 2022. The Council elected the Chairperson of the BMT to act as Chairperson of the TWM, ending with the fifty-seventh ordinary session of the Council, in 2023. * Based on the recommendation by the CAJ, the Council decided to organize a seminar in the first half of 2021, to exchange information on matters concerning harvested material and unauthorized use of propagating material. [2020]   Achieved - see document C/55/18 “Report”, paragraphs 45 to 50 |
| (b) Election of Chairs of the CAJ, TC, TWPs and ad hoc working groups and Vice Chairs of the CAJ and TC; and | The Council elected the following Chairpersons, in each case for a term of three years ending with the fifty-seventh ordinary session of the Council, in 2023, as follows: (a) Ms. Renée Cloutier (Canada), TWA; (b) Mr. Christopher Barnaby (New Zealand), TWF; (c) Ms. Ashley Balchin (Canada), TWO; (d) Ms. Marian van Leeuwen (Netherlands), TWV; and (e) Ms. Beate Rücker (Germany), BMT. [2020] |
| (c) Approval of the annual calendars of meetings. | Achieved - see documents C/54/8 Rev. and C/55/8 Rev. |
| 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; | see Section I “Financial and Results Overview” |
| (b) Approval of the financial statements; and | see documents C/55/5 “Financial statements for 2020” and C/56/4 “Financial statements for 2021” |
| 8. Coordination, monitoring and performance assessment of Program and Budget for the 2020‑2021 Biennium *(continued)* | (c) Approval of the financial management report. | see documents C/55/2 “UPOV Performance Report 2020” and C/56/2 “UPOV Performance Report 2020-2021” (this document)  The Council approved the consolidation of existing financial and performance reports into a “UPOV Performance Report” (UPR). The UPR would be presented alongside the Financial Statements, on an annual basis, starting with the reports for 2020. |
| 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. | see document C/55/4 Rev. “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 | see (b) below |
| (b) Decisions by the Council. | On the basis of the recommendation by the Consultative Committee, the Council:   * took a positive decision on the conformity of the “Draft Law on Plant Variety Protection of the United Arab Emirates” (by correspondence) * took a positive decision on the conformity of the “Draft Plant Breeders Rights Act of Zimbabwe” (by correspondence) * took a positive decision on the conformity of the “New Plant Varieties (Rights of Breeders) Bill of Jamaica” |
| 11. Review of developments concerning applications and grants of plant breeders’ rights | (a) Number of applications; | Number of applications for PBR:  Total: 21,265 (2019); 22,512 (2020)   * Filed by residents: 15,651 (2019): 16,549 (2020) * Filed by non-residents: 5, 614 (2019); 5,963 (2020) * Asia Pacific: 9,930 (2019); 11,075 (2020) * European Union: 5,069 (2019); 4810 (2020) * Europe (excluding EU): 2,451 (2019); 2,849 (2020) * North America: 1,956 (2019); 1,770 (2020) * Latin America: 1,273 (2019); 1,440 (2020) * Africa: 459 (2019); 459 (2020) * Near/Middle East: 127 (2019); 109 (2020)   see figures 23, 24 and 25 |
| (b) Number of titles granted; | 14,688 (2019)  13,873 (2020)  see figures 24 and 27 |
| (c) Number of titles in force; | 139,360 (2019)  141,034 (2020)  see figure 26 |
| (d) Number of genera/species protected by members of the Union; | see figures 28 and 29 concerning the number of members protecting all genera and species and number of limited genera and species |
| (e) Number of genera/species for which varieties have been protected; and | 4084 (2020)  4214 (2021)  see figure 37 |
| (f) Analysis by crop type. | see figure 30 |

|  |  |
| --- | --- |
| Figure 23. Applications for Plant Breeders’ Rights | |
| Figure 24. Applications for Plant Breeders’ Rights and Titles Issued | Figure 25. Applications for Plant Breeders’ Rights by Resident/Non‑Resident |
| Figure 26. Plant Breeders’ Rights Titles in Force | Figure 27. Plant Breeders’ Rights Titles Granted by Resident/Non‑Resident |

Figure 28. Protection of plant genera and species in 2021



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.

|  |  |  |
| --- | --- | --- |
|  |  | Members of the Union offering protection for all plant genera and species |
|  |  |  |
|  |  | Members of the Union offering protection for a limited number of plant genera and species |
|  |  |  |
|  |  | Members of the Union who had not notified the extension of protection to all genera and species |

Figure 29. Evolution of protection to plant genera and species



Figure 30: Data from PLUTO database

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| *Applications filed by crop type:*   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | |  | Crop type | | | | | | Year | Agriculture | Forest trees | Fruit | Ornamental | Vegetables | | 2012 | 27% | 0.9% | 12% | 48% | 12% | | 2013 | 25% | 1.0% | 12% | 49% | 11% | | 2014 | 30% | 0.8% | 11% | 47% | 10% | | 2015 | 33% | 0.5% | 14% | 36% | 16% | | 2016 | 37% | 0.6% | 11% | 34% | 18% | | 2017 | 33% | 0.5% | 11% | 38% | 17% | | 2018 | 35% | 0.5% | 12% | 33% | 20% | | 2019 | 34% | 0.6% | 10% | 37% | 19% | | 2020 | 35% | 0.6% | 8% | 36% | 21% | | 2021 | 42% | 0.6% | 8% | 32% | 17% | | *Titles issued by crop type:*   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | |  | Crop type | | | | | | Year | Agriculture | Forest trees | Fruit | Ornamental | Vegetables | | 2012 | 26% | 0.7% | 9% | 48% | 15% | | 2013 | 34% | 0.7% | 10% | 42% | 13% | | 2014 | 35% | 0.6% | 10% | 43% | 12% | | 2015 | 32% | 0.9% | 10% | 44% | 13% | | 2016 | 32% | 1.1% | 9% | 40% | 18% | | 2017 | 27% | 0.4% | 12% | 45% | 16% | | 2018 | 27% | 0.5% | 11% | 43% | 18% | | 2019 | 34% | 0.4% | 9% | 38% | 18% | | 2020 | 38% | 0.5% | 7% | 34% | 21% | | 2021 | 46% | 0.5% | 7% | 27% | 18% | |

| **Expected Results** | **Performance Indicators** | **Performance Data** |
| --- | --- | --- |
| 12. Facilitating applications through UPOV PRISMA | (a) Recommendations by the Consultative Committee; and | At the ninety-seventh session of the Consultative Committee, it was agreed that the Office of the Union should present proposals on the reporting of the financing of UPOV PRISMA for consideration by the Consultative Committee at its ninety-eighth session. [2020]  The Consultative Committee approved the proposals [on the reporting of the financing of UPOV PRISMA] to address the recommendations in the External Auditor's Report on the 2019 UPOV Financial Statements. [2021] |
| (b) Decisions by the Council; | None |
| 13. Facilitating voluntary cooperation between members of the Union in the implementation of the UPOV Convention | (a) Recommendations by the Consultative Committee; and | At its ninety-seventh session, the Consultative Committee agreed to broaden the agenda item “Providing support for new members of the Union” to “New developments in members of the Union”, to identify and consider possibilities to address relevant developments in members of the Union. [2020]  The Consultative Committee agreed to invite members of the Union to present new developments at its ninety-ninth session. [2021] |
| (b) Decisions by the Council. | Based on the recommendations of the Consultative Committee, the Council:   * agreed the organization of a seminar, which would be open to members and observers, in the week of the UPOV sessions in 2021, to exchange information and experiences on strategies involving plant breeding and plant variety protection that addressed broad policy issues. [2020] * approved the organization of a seminar in 2022 to explore the role of plant breeding and plant variety protection in enabling agriculture to adapt to, and mitigate, climate change. [2021] |

| **Expected Results** | **Performance Indicators** | **Performance Data** |
| --- | --- | --- |
| 14. Policy on other matters | (a) Recommendations by the Consultative Committee; | The Consultative Committee:   * considered a report on an initiative concerning smallholder farmers and a presentation made by Oxfam, Plantum and Euroseeds, and agreed on actions to be taken in relation to providing guidance regarding the implementation of the exception of acts done privately and for non-commercial purposes in relation to smallholder farmers, taking into account the concerns raised at the ninety-seventh session. [2020] * decided to establish a Working Group to develop guidance concerning smallholder farmers in relation to private and non-commercial use, to include drafting a revision of the “Explanatory Notes on Exceptions to the Breeder's Right under the 1991 Act of the UPOV Convention” and drafting a revision of the FAQs on exceptions to the breeder’s right. |
| (b) Decisions by the Council; and | None |
| (c) Adoption of documents presenting UPOV policy by the Council. | The Council adopted the UPOV Policy on Translation [2021] |

## SUB-PROGRAM UV.2:    Services to the Union for Enhancing the Effectiveness of the UPOV System

### 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.

### Performance Data:

| **Expected Results** | | **Performance Indicators** | | **Performance Data** |
| --- | --- | --- | --- | --- |
| 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. | | CAJ  2020: 45 (members), 4 (observer states), 7 (observer organizations)  2021: 49 (members), 4 (observer states), 8 (observer organizations)  TC  2020: 45 (members), 4 (observer states), 6 (observer organizations)  2021: 47 (members), 3 (observer states), 6 (observer organizations)  see figures 31 and 32, and figure 1  The TWPs did not hold a preparatory workshop at their sessions in 2020. The elements to be discussed during the preparatory workshops were presented as an introduction to the respective agenda items during the normal program for the sessions. [2020]  In 2021 the Preparatory Workshops were organized as four webinars, presented live and recorded (available on the website):   * Webinar 1: How to organize DUS examination and international cooperation (71 participants to the live sessions, 388 views of the recordings) * Webinar 2: International harmonization in DUS examination (70 participants to the live sessions, 161 views of the recordings) * Webinar 3: Developing and using UPOV Test Guidelines (55 participants to the live sessions, 97 views of the recordings) * Webinar 4: Using molecular markers in DUS examination and the role of the BMT (63 participants to the live sessions, 121 views of the recordings) | |

|  |  |
| --- | --- |
| Figure 31. Number of Participating Members and Observer States/Organizations in the CAJ | Figure 32. Number of Participating Members and Observer States/Organizations in the TC |

| **Expected Results** | **Performance Indicators** | **Performance Data** |
| --- | --- | --- |
| 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; | The Council adopted:  - 1 new information document:  UPOV/INF/23/1 UPOV Code System  - revisions to 5 adopted information documents:  UPOV/INF/4 Financial Regulations and Rules of UPOV (Revision of Regulation 4.6)  UPOV/INF/6 Guidance for the preparation of laws based on the 1991 Act of the UPOV Convention  UPOV/INF/16 Exchangeable Software  UPOV/INF/17 Guidelines for DNA-Profiling: Molecular Marker Selection and Database Construction (“BMT Guidelines”)  UPOV/INF/22 Software and Equipment Used by Members of the Union  - revision of UPOV/INF/12 included the change of the code of the document to “UPOV/EXN/DEN” and its inclusion in the EXN documents list):  UPOV/EXN/DEN/1: Explanatory Notes on Variety Denominations under the UPOV Convention |
| (b) Publication of the UPOV Gazette and Newsletter; | Matters published in the past in the UPOV Gazette and Newsletter are now published in UPOV Lex (see below) |
| (c) Inclusion of laws and relevant notifications of members of the Union in UPOV Lex; | 2 laws concerning the following 2 members of the Union were included in the UPOV Lex database:  Ghana and Saint Vincent and the Grenadines |
| (d) Availability of UPOV documents and materials in languages other than the UPOV languages (English, French, German and Spanish). | * Translation into Chinese of the DL-205 “Introduction to the UPOV System of Plant Variety Protection under the UPOV Convention” (not yet published) * The Council approved the program for the use of the Chinese language in UPOV and proposed resourcing |
| 3. Guidance on the examination of varieties | (a) Adoption of new or revised TGP documents and information materials; | Revisions to 5 previously adopted TGP documents adopted and published on the UPOV website:  TGP/5: Section 2 Experience and Cooperation in DUS Testing, Section 2: UPOV Model Form for the Application for Plant Breeders’ Rights [2021]  TGP/5: Section 6 Experience and Cooperation in DUS Testing: UPOV Report on Technical Examination and UPOV Variety Description (Revision)  TGP/7 Development of Test Guidelines (Revision)  TGP/14 Glossary of Terms Used in UPOV Documents (Revision)  TGP/15 Guidance on the Use of Biochemical and Molecular Markers in the Examination of Distinctness, Uniformity and Stability (DUS) (Revision) |
| (b) Adoption of new or revised Test Guidelines; | Total in 2020: 19   * Type: 5 (new), 11 (revisions), 3 (partial revisions) * Per TWP: 7 (TWA), 3 (TWF), 2 (TWO), 7 (TWV) * Per region of the leading expert: 2 (Africa), 1 (Americas), 6 (Asia/Pacific), 10 (Europe), 0 (Near/Middle East)   Total in 2021: 14   * Type: 2 (new), 4 (revisions), 8 (partial revisions) * Per TWP: 1 (TWA), 6.5 (TWF), 3.5 (TWO), 3 (TWV) * Per region of the leading expert: 1 (Africa), 1 (Americas), 2 (Asia/Pacific), 10 (Europe), 0 (Near/Middle East)   see figures 33, 35, 36 |
| 3. Guidance on the examination of varieties *(continued)* | (c) Proportion of PBR applications covered by adopted Test Guidelines; | 2020: 94% based on entries in PLUTO Plant Variety Database (321,732 out of 343,064)  2021: 94% based on entries in PLUTO Plant Variety Database (328,828 out of 349,150)  see figure 34 |
| (d) Number of Test Guidelines under development in the TWPs; | Total in 2020: 41   * Type: 13 (new), 25 (revisions), 3 (partial revisions) * Per TWP: 10 (TWA), 11 (TWF), 7 (TWO), 13 (TWV) * Per region: 1 (Africa), 3 (Americas), 14 (Asia/Pacific), 23 (Europe), 0 (Near/Middle East)   Total in 2021: 40   * Type: 4 (new), 29 (revisions), 7 (partial revisions) * Per TWP: 7 (TWA), 9 (TWF), 11 (TWO), 13 (TWV) * Per region: 0 (Africa), 2 (Americas), 9 (Asia/Pacific), 29 (Europe), 0 (Near/Middle East)   see figure 13 |
| (e) Participation in the development of Test Guidelines; | 2020: 14 members of the Union acting as Leading Experts of Test Guidelines  2021: 13 members of the Union acting as Leading Experts 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. | No new developments. |

|  |  |
| --- | --- |
| Figure 33. Adoption of Test Guidelines | Figure 34. Plant Breeders’ Rights Entries in Plant Variety Database covered by Test Guidelines |

|  |  |
| --- | --- |
| Figure 35. Total number of Test Guidelines adopted  (by Technical Working Party) | Figure 36. Total number of Test Guidelines adopted (by region of the leading expert) |

| **Expected Results** | | **Performance Indicators** | | **Performance Data** |
| --- | --- | --- | --- | --- |
| 4. Cooperation in DUS examination | | (a) Plant genera and species for which members of the Union have practical experience included in GENIE database; | | 2020: 3,643 plant genera/species  2021: 3,720 plant genera/species  see figure 37 | |
| (b) Plant genera and species for which members of the Union cooperate in DUS examination included in GENIE database; | | 2020: 2,071 plant genera/species  2021: 2,170 plant genera/species  see figure 37 | |
| (c) New initiatives to facilitate or enhance voluntary cooperation between members of the Union. | | The TC agreed to propose the development of a package of compatible IT tools with the following elements:   1. Platform for:    * 1. exchange of existing DUS reports for:         1. UPOV members to post and receive existing DUS reports and arrange payment, as appropriate         2. PVP applicants to request use of existing DUS reports and make payments, as appropriate      2. UPOV members to make their documented DUS procedures and information on their quality management systems available to other members of the Union 2. Tool to provide information on cooperation in DUS examination between UPOV members to PVP applicants in a user-friendly form, using information contained in the GENIE database 3. 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 4. Platform for UPOV member databases containing variety description information   The TC requested the Office of the Union to identify Test Guidelines where a partial revision of the Test Guidelines, including the Technical Questionnaires, could be anticipated to produce significant benefits for harmonization between members and to present proposals for partial revisions to the Technical Working Parties, at their sessions in 2021. The Test Guidelines identified have a large number of PBR applications in several members of the Union, and a number of members of the Union have indicated that their technical questionnaires have differences from the UPOV Technical Questionnaire. The crops are also relevant for UPOV PRISMA.  The Technical Questionnaires of the following Test Guidelines were harmonized in 2021: Hemp, Peach, Japanese Plum, Actinidia and Prunus Rootstocks. | |

Figure 37. Plant Genera/Species with Cooperation Agreements, Practical Experience and   
Plant Breeders’ Rights Entries in Plant Variety Database



| **Expected Results** | | **Performance Indicators** | | **Performance Data** |
| --- | --- | --- | --- | --- |
| 5. Cooperation in examination of variety denominations and novelty | (a) Quantity and quality of data in PLUTO database: | |  | |
| (i) number of contributors; | | - Number of contributors included in the PLUTO database:  65 in 2020 and 2021  - Number of members of the Union that contributed data:  2020: 47  2021: 46 | |
| (ii) number of new submissions; | | - Number of submissions of new data:  2020: 300  2021: 180  - Number of members of the Union that contributed data for the first time: None in 2020 and 2021 | |
| (iii) number of records; | | Total number of records included in the PLUTO database:  2020: 825,769  2021: 895,745 | |
| (iv) number of mandatory items provided; | | n/a | |
| (v) number of non-mandatory items provided; | | n/a | |
| (b) Number of PLUTO users and frequency of use; | | 2020: 1,958 PLUTO users  2021: 1,314 PLUTO users from October 2021 to December 2021 (new version of PLUTO database) | |
| (c) Development and approval by the Council of a UPOV similarity search tool for variety denominations for inclusion in PLUTO database; | | The CAJ noted the conclusion of the CPVO and the Office of the Union that the CPVO similarity algorithm is performing well and that, for the time being, it would not be a suitable use of resources to seek improvements to the algorithm for the purposes of checking the similarity of variety denominations.  The CAJ agreed that the Office of the Union explore with the CPVO possibilities for the variety denomination search tool to consider checking denominations for characteristics | |
| (d) New initiatives to facilitate or enhance voluntary cooperation between members of the Union. | | No developments | |

| **Expected Results** | | **Performance Indicators** | | **Performance Data** |
| --- | --- | --- | --- | --- |
| 6. Development of UPOV PRISMA | (a) Number of UPOV members participating in UPOV PRISMA; | | 2020: 35 members, covering 74 States  2021: 36 members, covering 75 States | |
| (b) Number of crops/species covered by UPOV PRISMA; | | 2020: 23 members (all genera and species), 12 members (limited list of genera & species)  2021: 24 members (all genera and species), 12 members (limited list of genera & species) | |
| (c) Number of applications made via UPOV PRISMA; | | 2020: 222 applications for PBR, 2 applications for National Listing  2021: 1,866 applications for PBR, 643 applications for National Listing | |
| (d) Number of registered UPOV PRISMA users; | | 2020: 219 users (115 breeders, 104 agents)  2021: 379 users(182 breeders, 197 agents) | |
| (e) Number of UPOV members receiving applications via UPOV PRISMA; | | 2020: 23 members  2021: 25 members | |
| (f) Number of crops/species for which applications made using UPOV PRISMA; | | 2020: 41 crops/species (including subspecies)  2021: 276 crops/species (including subspecies) | |
| (g) Number of UPOV members using UPOV PRISMA as their exclusive online tool for PBR applications; | | 2021: 1 member | |
| (h) Development of Technical Questionnaires agreed between interested members of the Union for crops/species not covered by Test Guidelines. | | None | |

## SUB-PROGRAM UV.3:    Assistance in the Introduction and Implementation of the UPOV System

### 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.

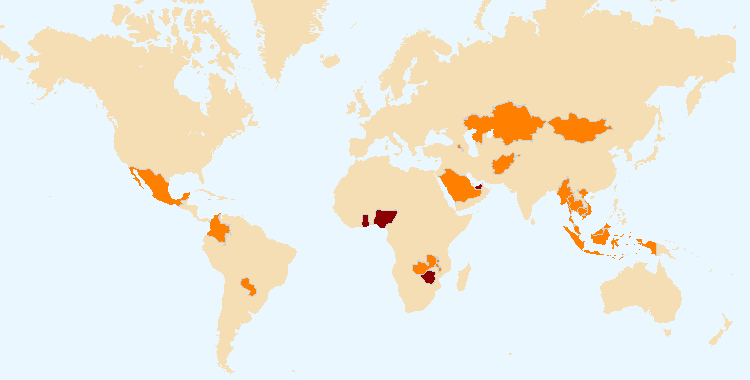
(c) To assist States and organizations in their accession to the 1991 Act of the UPOV Convention.

(d) To assist States and organizations in implementing an effective plant variety protection system in accordance with the UPOV Convention.

### Performance Data:

| **Expected Results** | **Performance Indicators** | | **Performance Data** |
| --- | --- | --- | --- |
| 1. Raising awareness  of the role of plant variety protection in accordance with the UPOV Convention | (a) States and organizations that initiate with the Council of UPOV the procedure for becoming members of the Union; | 2020: United Arab Emirates and Zimbabwe (2)  2021: Ghana, Jamaica, Nigeria (3)  see figure 38 | |
| (b) States and organizations that contact the Office of the Union for assistance in the development of legislation on plant variety protection; | 2020:  Members of the Union (4): Colombia, Mexico, Paraguay and Viet Nam  Non-members of the Union (12): Afghanistan, Jamaica, Kazakhstan, Liechtenstein, Malaysia, Malawi, Myanmar, Saint Vincent and the Grenadines\*, Saudi Arabia, Thailand, United Arab Emirates and Zimbabwe  2021:  Members of the Union (5): Colombia, Mexico, Paraguay, Saint Vincent and the Grenadines\* (regulations)\* and Viet Nam  Non-members of the Union (16): Armenia, Afghanistan, Barbados, Cambodia, Indonesia, Jamaica, Kazakhstan, Liechtenstein, Malaysia, Malawi, Mongolia, Myanmar, Nigeria, Saudi Arabia, Thailand, United Arab Emirates, Zambia and Zimbabwe  \*Saint Vincent and the Grenadines became a UPOV member on March  22, 2021  see figure 38 | |

Figure 38. States and organizations that contacted the Office of the Union in 2020 for assistance in the development of legislation on plant variety protection and States and organizations that initiated with the Council of UPOV the procedure for becoming members of the Union



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 initiated with the Council of UPOV the procedure for becoming members of the Union

 States and organizations that contacted the Office of the Union for assistance in the development of legislation on plant variety protection

| **Expected Results** | **Performance Indicators** | | **Performance Data** | |
| --- | --- | --- | --- | --- |
| 1. Raising awareness of the role of plant variety protection in accordance with the UPOV Convention *(continued)* | (c) States and organizations provided with information at UPOV activities; | see Annex V to this document | | |
| (d) States and organizations participating in study tours; | see Annex V to this document | | |
| (e) Participation in UPOV awareness-raising activities, or activities involving UPOV; | see Annex V to this document | | |
| (f) Number of studies published on UPOV website; | None | |
| (g) Number of visits to benefits page on UPOV website; | 2020: 4,125 page views  2021: 4,304 page views (+ 4%) | |
| (h) Number of videos published on UPOV website; | None | |
| (i) Number of views of videos published on UPOV website; | 2020: 28,172[[4]](#footnote-4) combined views  2021: 34,061 combined views (+ 21%)  see figure 39 | |
| 1. Raising awareness of the role of plant variety protection in accordance with the UPOV Convention *(continued)* | (j) Number of followers on UPOV Twitter accounts; | @UPOVint  on 31/12/2020: 1,316 followers  on 31/12/2021: 1,896 followers (+ 44%)  @vsgupov  on 31/12/2020: 606 followers  on 31/12/2021 692 followers (+ 14%)  UPOV LinkedIn account:  on 31/12/2020: 1,447 followers  on 31/12/2021: 2,450 followers (+ 69%)  Vice-Secretary General LinkedIn account:  on 31/12/2020: 1,447 followers  on 31/12/2021: 2,450 followers (+ 44%)  see figures 17, 49 and 50 | |
|  | (k) Number of relevant languages in which studies and videos are available. | No new development | |

Figure 39. Visits to the UPOV websitei in 2020 and 2021 – Videos on Benefits page

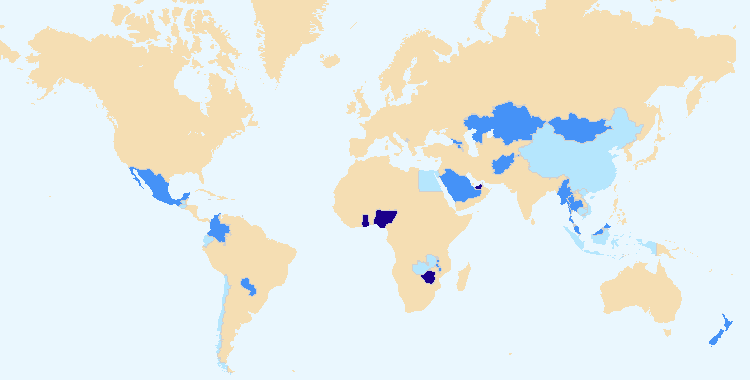


\*All language versions and long and short versions, where applicable.

Note: Analytics are only provided for videos viewed on Youtube (<https://www.upov.int/about/en/benefits_upov_system.html>).

| **Expected Results** | **Performance Indicators** | | **Performance Data** |
| --- | --- | --- | --- |
| 2. Assistance in drafting legislation on plant variety protection in accordance with the 1991 Act of the UPOV Convention | (a) Meetings with government officials to discuss legislative matters; | 2020:  Members of the Union (3): Colombia, Ecuador and Mexico  Non-members of the Union (9): Afghanistan, Brunei Darussalam, Jamaica, Malaysia, Mauritius, Nigeria, Saint Vincent and the Grenadines\*, Thailand and United Arab Emirates KZ  2021:  Members of the Union (9): China, Chile, Egypt, Georgia, Mexico, Montenegro, Saint Vincent and the Grenadines\*, Viet Nam and Trinidad and Tobago  Non-members of the Union (16): Afghanistan, Barbados, Cambodia, Guatemala, Indonesia, Jamaica, Kazakhstan, Malawi, Malaysia, Mongolia, Nigeria, Saudi Arabia, United Arab Emirates, Thailand, Zambia and Zimbabwe  \*Saint Vincent and the Grenadines became a UPOV member on March 22, 2021  see Annex V to this document and figure 40 | |
| (b) States and organizations provided with comments on laws; | 2020:  Members of the Union (4): Colombia, Mexico, New Zealand and Paraguay  Non-members of the Union (12): Afghanistan, Jamaica, Kazakhstan, Liechtenstein, Malaysia, Mauritius, Myanmar, Saint Vincent and the Grenadines\*, Saudi Arabia, Thailand, United Arab Emirates, and Zimbabwe  2021:  Members of the Union (5): Georgia, Mexico, Montenegro, Saint Vincent and the Grenadines (regulations)\* and Trinidad and Tobago  Non-members of the Union (11): Armenia, Barbados, Jamaica, Kazakhstan, Myanmar, Malaysia, Malawi, Mongolia, Nigeria, Thailand and Zambia  \*Saint Vincent and the Grenadines became a UPOV member on March 22, 2021  see figures 40 and 41 | |
| (c) States and organizations receiving a positive advice from the Council; | 2020: United Arab Emirates and Zimbabwe (2)  2021: Ghana, Jamaica and Nigeria (3)  see figures 40 and 42 | |
| (d) Participation in workshops on laws. | see Annex V to this document | |

Figure 40. Assistance provided in drafting legislation on plant variety protection



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 which received a positive advice from the Council of UPOV

 States and organizations provided with comments on laws

 Meetings with government officials to discuss legislative matters

|  |  |
| --- | --- |
| Figure 41. States/Organizations provided with  comments on laws | Figure 42. States/Organizations which received positive advice from the Council |

| **Expected Results** | **Performance Indicators** | | **Performance Data** |
| --- | --- | --- | --- |
| 3. Assistance to States and organizations in the accession to the 1991 Act of the UPOV Convention | (a) States that accede to or ratify the 1991 Act of the UPOV Convention; | None  see figure 43 | |
| (b) States and organizations that become members of the Union; | 2020: None  2021: Ghana and Saint Vincent and the Grenadines  see figure 44 | |
| (c) Meetings with government officials to discuss legislative matters; | see Sub-Program UV.3, Section 2 “Assistance in drafting legislation on plant variety protection in accordance with the 1991 Act of the UPOV Convention”, sub section (a), Annex V to this document and figure 40 | |
| (d) States and organizations provided with comments on laws. | see Sub-Program UV.3, Section 2 “Assistance in drafting legislation on plant variety protection in accordance with the 1991 Act of the UPOV Convention”, sub section (b) and figures 40 and 41 | |

|  |  |
| --- | --- |
| Figure 43. Accession to/ratification of the 1991 Act | Figure 44. New members of the Union |

| **Expected Results** | **Performance Indicators** | | **Performance Data** |
| --- | --- | --- | --- |
| 4. Assistance in implementing an effective plant variety protection system in accordance with the UPOV Convention | (a) Participation in distance learning courses; | Members of the Union [58]: African Intellectual Property Organization (OAPI, including participants from Benin, Burkina Faso, Cameroon, Central African Republic, Chad, Congo, Côte d’Ivoire, Guinea, Mali, Niger and Senegal), Argentina, Australia, Austria, Belarus, Belgium, , Bolivia (Plurinational State of), Brazil, Bulgaria, Canada, Chile, China, Costa Rica, Croatia, Czech Republic, Denmark, Dominican Republic, Ecuador, Egypt, Estonia, European Union, France, Georgia, Germany, Ghana, Greece, Ireland, Italy, Japan, Jordan, Kenya, Latvia, Lithuania, Mexico, Morocco, Netherlands, New Zealand, Nicaragua, Peru, Poland, Portugal, Republic of Korea, Republic of Moldova, Romania, Russian Federation, Saint Vincent and the Grenadines, Slovakia, Slovenia, Spain, Sweden, Switzerland, Trinidad and Tobago, Türkiye, Ukraine, United Kingdom, United States of America, Uruguay, Uzbekistan  Non-members of the Union [24]: Barbados, Brunei Darussalam, Cuba, Democratic Republic of the Congo, Ethiopia, Haiti, India, Indonesia, Iran (Islamic Republic of), Iraq, Jamaica, Kazakhstan, Lao (People’s Democratic Republic), Madagascar, Malawi, Malaysia, Mongolia, Myanmar, Nepal, Nigeria, Pakistan, Philippines, Saudi Arabia, Thailand, Uganda, United Arab Emirates, Zambia  There were also students from CIOPORA, EPO, FAO and WIPO.  see figures 45 and 46, and figure 16 (above) | |

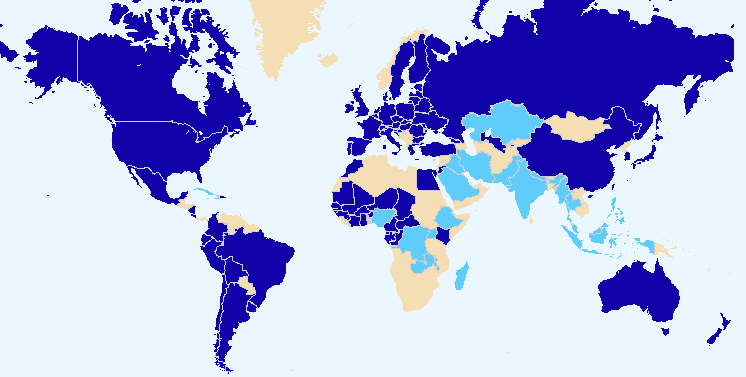
*Number of participants in main sessions\* of UPOV distance learning courses in 2020 and 2021 by category*

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Category** | **Number of participants in 2020** | | | | |
| **DL-205** | **DL-305** | **DL-305A** | **DL-305B** | **Total** |
| Category 1: Government officials of members of the Union | 386 | 86 | 60 | 59 | 591 |
| Category 2: Officials of observer States / intergovernmental organizations | 43 | 9 | 12 | 4 | 68 |
| Category 3: Others (Fee: CHF1,000) | 22 | 1 | 1 | - | 24 |
| Category 4: Discretionary waiving of fee for selected students | 8 | 2 | - | - | 10 |
| Total: | 459  (353 in 2019) | 98  (93 in 2019) | 73  (51 in 2019) | 63  (38 in 2019) | 693  (535 in 2019) |

\*Including additional special session in English for students aimed at Category 3 during COVID-19 confinement period.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Category** | **Number of participants in 2021** | | | | |
| **DL-205** | **DL-305** | **DL-305A** | **DL-305B** | **Total** |
| Category 1: Government officials of members of the Union | 470 | 113 | 80 | 69 | 732 |
| Category 2: Officials of observer States / intergovernmental organizations | 26 | 9 | 6 | 7 | 48 |
| Category 3: Others (Fee: CHF1,000) | 15 | 2 | 2 | 1 | 20 |
| Category 4: Discretionary waiving of fee for selected students | 11 | 3 | 2 | - | 16 |
| Total: | 522 | 127 | 90 | 77 | 816 |

Figure 45. UPOV DL-205, DL-305, DL-305A and DL-305B Courses: 2020 & 2021 participation



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.

  Members of the Union   Non-members of the Union

|  |
| --- |
| Figure 46. Participants in all distance learning courses by language |

| **Expected Results** | **Performance Indicators** | **Performance Data** | |
| --- | --- | --- | --- |
| 4. Assistance in implementing an effective plant variety protection system in accordance with the UPOV Convention *(continued)* | (b) Participation in UPOV training/assistance activities; | see Annex V to this document | |
| (c) Participation in training/assistance activities developed in conjunction with UPOV; | see Annex V to this document | |
| (d) Participation in activities involving UPOV staff or UPOV trainers on behalf of UPOV staff; | see Annex V to this document | |
| (e) Participation by observer States and organizations in the CAJ, TC, TWPs and the associated preparatory workshops; | see Sub-Program UV.2, Section 1 “Participation by members of the Union and observers in the work of the UPOV bodies”, sub‑section (a) |
| (f) Participation in training/assistance activities operated by third parties to which UPOV substantially contributed; | see Annex V to this document |
| (g) Academic institutions that include information on the UPOV system and which invite UPOV to contribute; | see Annex V to this document |
| (h) Number of students studying academic courses from academic institutions that include information on the UPOV system and which invite UPOV to contribute; | see Annex V to this document |
| (i) Number of academic institutions that include participation of students in UPOV distance learning courses; | Institutions that include participation of students in UPOV distance learning courses:  6 (in 2020):   * La Salle Beauvais University - IP Plant Breeding Master Programme * OAPI Masters IP Training Course * Máster Lvcentinvs in Plant Variety Protection, Alicante University * Advanced Masters Intellectual Property Law and Knowledge Management, University of Maastricht * IP Master of WIPO, ILO, Turin University * Naktuinbouw International Course on Plant Variety Protection Course (Netherlands)   10 (in 2021):   * La Salle Beauvais University - IP Plant Breeding Master Programme * Master course: “Plant Genetics, Genomic and Breeding” at CIHEAM-IAMZ – Zaragoza, Spain * OAPI Masters IP * Máster Lvcentinvs in Plant Variety Protection, Alicante University * Advanced Masters Intellectual Property Law and Knowledge Management, University of Maastricht * IP Master of WIPO, ILO, Turin University * Naktuinbouw International Course on Plant Variety Protection Course (Netherlands) * Caribbean Community (CARICOM) - "Introduction on Plant Variety Protection under the UPOV Convention" training * JICA Training Course on Internationally Harmonized Plant Variety Protection System, * Technical University of Costa Rica (TEC Tecnológico de Costa Rica) |
| (j) Availability of materials in relevant languages. | No developments |

## SUB-PROGRAM UV.4:    External Relations

### 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.

### Performance Data:

| **Expected Results** | **Performance Indicators** | | **Performance Data** |
| --- | --- | --- | --- |
| 1. Broaden public understanding of UPOV’s role and activities | (a) Availability of suitable information and materials for the general public on UPOV website; | * Adoption of FAQ on the How does the UPOV system support sustainable development? * 3 press releases [2020] * 7 press releases [2021] | |
| (b) Number of new visitors to UPOV website; | 2020: 106,164 unique users  2021: 126,572 unique users (+19%)  see figure 47 | |
| (c) Number of visits to general public feature on UPOV website; | 2020: 744,204 visits  2021: 845,167 visits (+ 14%)  see figure 18 (above) and figure 48 | |
| (d) Improved design of UPOV website, including responsive layout; | The Consultative Committee, at its ninety-sixth session, approved the proposed redesign of the UPOV website as demonstrated at the session and noted the plans for the implementation of the redesigned UPOV website and a new content management system (CMS).  To ensure compatibility between the UPOV and WIPO websites that would allow UPOV to benefit from WIPO resources, work on the redesign of the UPOV website was postponed until the World Intellectual Property Organization (WIPO) had selected a new content management system (CMS). [2020] | |

Figure 47. Visits to the UPOV websitei – Number of visitors



Figure 48. Website Overview for 2020 and 2021: Where are the users going?

|  |  |
| --- | --- |
|  |  |

\* On June 17, 2020, UPOV Lex migrated to the cloud.  The change in technology resulted in a reduction of the number of pageviews by up to 4 to reach the same information, which is reflected in the 2020 analytics.

Note for PLUTO, UPOV Lex:  The data corresponds to access to these databases via the website (and do not include access to the databases using direct links).

| **Expected Results** | **Performance Indicators** | | **Performance Data** |
| --- | --- | --- | --- |
| 1. Broaden public understanding of UPOV’s role and activities | (e) Information provided via UPOV Twitter and UPOV Vice Secretary‑General’s Twitter accounts | see performance indicator 1 (j) under Sub-program UV3  see figures 17 (above), 49 and 50 | |

|  |  |
| --- | --- |
| Figure 49. @vsgupov followers | Figure 50. Vice Secretary‑General’s LinkedIn followers |
|  |  |

| **Expected Results** | **Performance Indicators** | | **Performance Data** |
| --- | --- | --- | --- |
| 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; | see Sub-Program UV.4, performance indicator “1. Broaden public understanding of UPOV’s role and activities” | |
| (b) Number of visits to stakeholder features on the UPOV website; | After analysis of the level of use of the stakeholder features on the UPOV website and the launch of Twitter and LinkedIn accounts, it was concluded that stakeholder features were not an essential feature of the main UPOV webpage and would not be included in the redesigned UPOV website. [2020] | |
| (c) Participation by stakeholders in seminars and symposia; | see Annex V to this document | |
| (d) Participation at meetings of, and with, relevant stakeholders; | see Annex V to this document | |
| (e) Articles in relevant publications to which UPOV has contributed. | None | |
| 3. Enhance understanding of UPOV’s role and activities with other organizations | (a) Participation at meetings of, and with, relevant organizations; | see Annex V to this document | |
| (b) Initiatives of the World Seed Partnership; | 2020: Finalization of WSP infographic (See worldseedpartnership.org)  see Annex V to this document | |
| (c) Contributions to relevant organizations. | see Annex V to this document | |

# iii. annexes

ANNEX I Extrabudgetary Funds (Funds in Trust)

The extrabudgetary funds (including funds in trust) allocated by donors are presented below as independent accounts.



**Income and expenditure by Fund for the year 2021**



*Note: Funds in trust in the form of an extrabudgetary fund from the Government of Canada intended for implementing a technical assistance project in Senegal to improve the capacity of the Ministry of Agriculture and Rural Infrastructure in certain aspects of agriculture, including training and capacity building in order to implement UPOV and Plant Breeders’ Rights Intellectual Property regime.*



*Note: Funds in trust in the form of an extrabudgetary fund from the Government of Japan intended for regional seminars, workshops on the protection of new plant varieties in the Asian region and the development of the EAPVP Pilot Project.*



*Note: Extrabudgetary fund from the Netherlands intended to provide and promote the UPOV system of plant variety protection.*



*Note: UPOV PRISMA is an on-line tool to assist in making plant variety protection (PVP) applications to PVP Offices of participating members of the Union.  The UPOV PRISMA Fund is a contribution made by Naktuinbouw (Netherlands) to support the development of UPOV PRISMA.*

[Annex II follows]

ANNEX II Working Capital Fund and Contributions

Working Capital Fund as at December 31, 2021

Under Regulation 4.2 of the Financial Regulations and Rules of UPOV (see document UPOV/INF/4/6), UPOV has a Working Capital Fund. According to the Statement of Financial Position as at December 31, 2021, the Working Capital Fund stands at 575,011 Swiss francs. The share of each member of the Union, calculated in accordance with the decision taken by the Council at its twenty-third extraordinary session, held in Geneva on April 7, 2006 (see document C(Extr.)/23/5 “Report”, paragraph 12, Annex II and document UPOV/INF/13/2, Annex), is as follows:



Contributions of Members of the Union



Amounts of the Contributions Due as at December 31, 2021



Contribution Payments Received in Advance



[Annex III follows]

ANNEX III Status in relation to UPOV

The following table provides detailed information on the status in relation to UPOV.

**UPOV members**

African Intellectual Property Organization2, 4

Albania2

Argentina1

Australia2

Austria2

Azerbaijan2

Belarus2

Belgium2

Bolivia (Plurinational State of)1

Bosnia and Herzegovina2

Brazil1

Bulgaria2

Canada2

Chile1

China1

Colombia1

Costa Rica2

Croatia2

Czech Republic2

Denmark2

Dominican Republic2

Ecuador1

Egypt2

Estonia2

European Union2, 3

Finland2

France2

Georgia2

Germany2

Ghana2

Hungary2

Iceland2 Ireland2

Israel2

Italy1

Japan2

Jordan2

Kenya2

Kyrgyzstan2

Latvia2

Lithuania2

Mexico1

Montenegro2

Morocco2

Netherlands2

New Zealand1

Nicaragua1

North Macedonia2Norway1

Oman2

Panama2

Paraguay1

Peru2

Poland2

Portugal1

Republic of Korea2

Republic of Moldova2

Romania2

Russian Federation2

Saint Vincent and the Grenadines2

Serbia2

Singapore2

Slovakia2

Slovenia2

South Africa1Spain2

Sweden2

Switzerland2

Trinidad and Tobago1

Tunisia2

Türkiye2

Ukraine2

United Kingdom2

United Republic of Tanzania2

United States of America2

Uruguay1

Uzbekistan2

Viet Nam2

(Total 78)

1 1978 Act is the latest Act by which 17 States are bound.

2 1991 Act is the latest Act by which 57 States and 2 organizations are bound.

3 Operates a plant breeders’ rights system which covers the territory of its 27 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) and until December 31, 2020, the United Kingdom.

4 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).*

**States and intergovernmental organizations which had initiated the procedure  
for acceding to the UPOV Convention**

Afghanistan, Armenia, Brunei Darussalam, Guatemala, Honduras, India, Iran (Islamic Republic of), Kazakhstan, Malaysia, Mauritius, Mongolia, Myanmar, Nigeria, Philippines, Tajikistan, Venezuela (Bolivarian Republic of), Zimbabwe, as well as the African Regional Intellectual Property Organization (ARIPO).

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

Algeria, Bahrain, Barbados, Cambodia, Cuba, Cyprus, El Salvador, Indonesia, Iraq, Jamaica, Lao People’s Democratic Republic, Libya, Liechtenstein, Mozambique, Namibia, Pakistan, Saudi Arabia, Sudan, Thailand, Tonga, Turkmenistan, United Arab Emirates, Zambia, as well as the Southern African Development Community (SADC).

The following map provides a graphic overview of the status in relation to UPOV at the end of 2021.



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

 78 members of UPOV covering 97 States at the end of 2021

 19 States and 1 intergovernmental organization had initiated the procedure for acceding the UPOV Convention at the end of 2021

 23 States and 1 intergovernmental organization which had been in contact with the Office of the Union for assistance in the development of laws based on the UPOV Convention at the end of 2021

[Annex IV follows]

ANNEX IV Members of the Union

This Annex provides the status of the members of the Union in relation to the Convention and its various Acts, as of December 31, 2021 (see Articles 31 and 32 of the 1961 Convention, Article 32(1) of the 1978 Act and Article 34(2) of the 1991 Act).



<https://www.upov.int/edocs/mdocs/upov/en/c_56/c_56_2_annex_iv.pdf>

[Annex V follows]

ANNEX V List of Activities in 2020-2021



<https://www.upov.int/edocs/mdocs/upov/en/c_56/c_56_2_annex_v.pdf>

[Appendix follows]

# iv. appendix

## ACRONYMS AND ABBREVIATIONS

**UPOV terms**

|  |  |
| --- | --- |
| BMT | Working Group on Biochemical and Molecular Techniques, and DNA-Profiling in Particular |
| CAJ | Administrative and Legal Committee |
| DL-205 | UPOV distance learning course “Introduction to the UPOV System of Plant Variety Protection under the UPOV Convention” |
| DL-305 | UPOV distance learning course “Examination of Applications for Plant Breeders’ Rights” |
| DL-305A | UPOV distance learning course “Administration of Plant Breeders’ Rights” (part A of DL‑305) |
| DL-305B | UPOV distance learning course “DUS Examination” (part B of DL-305) |
| DUS | Distinctness, Uniformity and Stability |
| EAF (see also UPOV PRISMA) | UPOV Electronic Application Form |
| EDV | essentially derived variety |
| Office | Office of the Union |
| PBR | Plant Breeder’s Right |
| PLUTO | UPOV Plant Variety Database |
| TC | Technical Committee |
| TC‑EDC | Enlarged Editorial Committee |
| TWA | Technical Working Party for Agricultural Crops |
| TWC | Technical Working Party on Automation and Computer Programs |
| TWF | Technical Working Party for Fruit Crops |
| TWM | Technical Working Party on Testing Methods and Techniques |
| TWO | Technical Working Party for Ornamental Plants and Forest Trees |
| TWP(s) | Technical Working Party(ies) |
| TWV | Technical Working Party for Vegetables |
| UPOV PRISMA | UPOV PRISMA PBR Application Tool |
| WSP | World Seed Partnership |

**Acronyms (also included in Annex V)**

|  |  |
| --- | --- |
| 2050Today | A climate action initiative bringing together a community of international Geneva institutions |
| 4SD | Skills, Systems & Synergies for Sustainable Development |
| AAFC | Agriculture and Agri-Food Canada |
| AATF | African Agricultural Technology Foundation |
| ABAPI (Brazil) | *Associação Brasileira de Agentes da Propriedade Industrial* (Brazilian Association of Industrial Property Agents) |
| ABPI (Brazil) | *Associação Brasileira da propriedade intellectual* (Brazilian Association of Intellectual Property) |
| CFIA – ACIA | Canadian Food Inspection Agency - Agence canadienne d'inspection des aliments |
| AfrIPI | Intellectual Property Rights and Innovation in Africa |
| AFSTA | African Seed Trade Association |
| AGRA | Alliance for a Green Revolution in Africa |
| AIPH | International Association of Horticultural Producers |
| APBA | African Plant Breeders Association |
| APBREBES | Association for Plant Breeding for the Benefit of Society |
| APSA | Asia and Pacific Seed Association |
| ARC (Egypt) | Agricultural Research Council |
| ARIPO | African Regional Intellectual Property Organization |
| ASA (Argentina) | *Asociación Semilleros Argentinos* (Argentine Seed Growers Association) |
| ASEAN | Association of Southeast Asian Nations |
| ASIWA | Alliance for Seed Industry in West Africa |
| ASTA | American Seed Trade Association |
| BruIPO | Intellectual Property Office of Brunei Darussalam |
| Bundessortenamt (Germany) | Federal Plant Variety Office of Germany |
| CARDI | Caribbean Agricultural Research & Development Institute |
| CARICOM | Caribbean Community |
| CARIFORUM | Caribbean Forum of the African, Caribbean and Pacific Group of States |
| CarIPI | CARIFORUM Intellectual Property Rights and Innovation |
| CBD | Convention on Biological Diversity |
| CBD SBI | Subsidiary Body on Implementation of the CBD |
| CBD SBSTTA | Subsidiary Body on Scientific, Technical and Technological Advice of the CBD |
| CFIA | Canadian Food Inspection Agency |
| CGIAR | Consultative Group on International Agricultural Research |
| CGRFA | Commission on Genetic Resources for Food and Agriculture |
| CIOPORA | International Community of Breeders of Asexually Reproduced Ornamental and Fruit Varieties |
| CIPO (Saint Vincent and the Grenadines) | Commerce and Intellectual Property Office of Saint Vincent and the Grenadines |
| CLI | CropLife International |
| CNI (Brazil) | *Confederação Nacional da Indústria* (National Confederation of Industry of Brazil) |
| CNRA | Committee on Nuclear Regulatory Activities |
| COPA-COGECA (European Union) | Committee of Professional Agricultural Organisations - General Confederation of Agricultural Cooperatives |
| CORAF (see also WECARD) | *Conseil Ouest et Centre Africain pour la Recherche et le Développement Agricoles* |
| CPVO | Community Plant Variety Office of the European Union |
| CROCEVIA | International Centre Crossroad |
| CSA (China) | China Seed Association |
| DCP (Viet Nam) | Department of Crop Production |
| DCS (China) | Department of Crop Seed |
| DCST | Development Center of Science and Technology of China |
| DOA (Malaysia) | Department of Agriculture of Malaysia |
| DOA (Thailand) | Department of Agriculture of Thailand |
| EAEU | Eurasian Economic Union |
| EAPVP Forum | East Asia Plant Variety Protection Forum |
| ECUASEM | Ecuadorian Seed Association |
| ECVC | European Coordination Via Campesina |
| EEC | European Economic Community |
| EMBRAPA (Brazil) | Brazilian Agricultural Research Corporation |
| EU40 | Platform of young Pro-European Members of the European Parliament and of the 28 EU national parliaments |
| EUIPO | European Intellectual Property Office |
| FAO | Food and Agriculture Organization of the United Nations |
| FIAN | Foodfirst Information and Action Network |
| GDA (China) | General Directorate of Agriculture |
| GESLIVE (Spain) | Affiliate company of the National Association of Plant Breeders (ANOVE) of Spain |
| GEVES (France) | *Groupe d'Étude et de contrôle des Variétés Et des Semences* |
| GNIS (France) | *Groupement national interprofessionnel des semences et plants*, renamed SEMAE on January 27, 2021 (see further down) |
| GRUR (Germany) | German Association for the Protection of Intellectual Property |
| HEPIA (Switzerland) | *Haute école du paysage, d'ingénierie et d'architecture de Genève* (Geneva School of Landscape, Engineering and Architecture of Switzerland) |
| ICA (Colombia) | *Instituto Colombiano Agropecuario* (Colombian Agricultural Institute) |
| IDIAP (Panama) | Instituto de Innovación Agropecuaria de Panamá (Panama Institute for Agricultural Innovation) |
| IICA | Inter-American Institute for Cooperation on Agriculture |
| INASE (Argentina) | *Instituto Nacional de Semillas* (National Seed Institute of Argentina) |
| INASE (Uruguay) | *Instituto Nacional de Semillas* (National Seed Institute of Uruguay) |
| INDECOPI (Peru) | *Instituto Nacional de Defensa de la Competencia y de la Protección de la Propiedad Intelectual* (National Institute for the Defense of Competition and Protection of Intellectual Property of Peru) |
| IMPI (Mexico) | *Instituto Mexicano de la Propiedad Industrial* (Mexican Institute of Industrial Property) |
| INPI (Brazil) | *Instituto Nacional da Propriedade Industrial* (National Institute of Industrial Property of Brazil) |
| IPC | International Planning Committee for Food Sovereignty (IPC) |
| IP Key SEA | IP Key South-East Asia |
| IPOS | Intellectual Property Office of Singapore |
| ISF | International Seed Federation |
| ISRA | *Institut Sénégalais de Recherches Agricoles* (Senegalese Agricultural Research Institute) |
| ISTA | International Seed Testing Association |
| ITG (Australia) | Records Administered in the Innovation and Technology Group |
| ITPGRFA | International Treaty on Plant Genetic Resources for Food and Agriculture |
| JATAFF | Japan Association for Techno-innovation in Agriculture, Forestry and Fisheries |
| JICA | Japan International Cooperation Agency |
| JICE | Japan International Cooperation Center |
| JIPO | Jamaica Intellectual Property Office |
| JPO | Japan Patent Office |
| KEPHIS | Kenya Plant Health Inspectorate Service |
| KSVS | Korea Seed and Variety Service |
| MAFF (Cambodia) | Ministry of Agriculture, Forestry and Fisheries of Cambodia |
| MAFF (Japan) | Ministry of Agriculture, Forestry and Fisheries of Japan |
| MAFI (Indonesia) | Ministry of Agriculture and Food Industries of Indonesia |
| MAIL (Afghanistan) | Ministry of Agriculture, Irrigation and Livestock of Afghanistan |
| MAPA (Spain) | Ministry of Agriculture, Fisheries and Food of Spain |
| MARA (China) | Ministry of Agriculture and Rural Affairs of China |
| MARD (Montenegro) | Ministry of Agriculture and Rural Development of Montenegro |
| MARD (Viet Nam) | Ministry of Agriculture and Rural Development of Viet Nam |
| MFARD (Mongolia) | Mongolian Farmers Association for Rural Development |
| MISTI (Cambodia) | Ministry of Industry, Science, Technology and Innovation of Cambodia |
| MOCCAE  (United Arab Emirates) | Ministry of Climate Change and Environment of the United Arab Emirates |
| MOFA (Japan) | Ministry of Foreign Affairs of Japan |
| Naktuinbouw | The Netherlands Inspection Service for Horticulture |
| NASC (Nigeria) | National Agricultural Seed Council of Nigeria |
| NCSS (Japan) | National Center for Seeds and Seedlings of Japan |
| NESG (Nigeria) | Nigerian Economic Summit Group |
| NFGA (China) | National Forestry and Grassland Administration of China |
| OAPI | African Intellectual Property Organization |
| OECD | Organisation for Economic Co-Operation and Development |
| OEPM | *Oficina Española de Patentes y Marcas* (Spanish Patent and Trademark Office) |
| OHCHR | Office of the United Nations High Commissioner for Human Rights |
| OIPI | Office Ivoirien de la Propriété intellectuelle (Intellectual Property Office of Côte d’Ivoire) |
| OREVADO (Dominican Republic) | *Oficina para el Registro de Variedades y Obtenciones Vegetales* (Office of Plant Variety Registration and Protection of Breeders' Rights of the Dominican Republic) |
| PRONACOM (Guatemala) | *Programa Nacional de Competitividad* (National Competitiveness Program of Guatemala) |
| PRV (Sweden) | Swedish Patent and Registration Office |
| PSIA (Philippines) | Philippine Seed Industry Association |
| ROM Global | Results-Oriented Monitoring of Asia and the Pacific, Latin America and the Caribbean, and Centrally Managed Thematic Interventions (European Commission contractor) |
| SAA | Seed Association of the Americas |
| SADER (Mexico) | *Secretaría de Agricultura y Desarrollo Rural* (Ministry of Agriculture and Rural Development of Mexico) |
| SAG (Chile) | *Servicio Agrícola y Ganadero* (Agricultural and Livestock Service of Chile) |
| Sakpatenti (Georgia) | National Intellectual Property Center of Georgia |
| SAIP (Saudi Arabia) | Saudi Authority for Intellectual Property |
| SCCI (Zambia) | Seed Control and Certification Institute of Zambia |
| SeCan | Canada's Seed Partner |
| SEMAE (France) | *L'interprofession des semences et plants* (French Interprofessional Organisation for Seeds and Plants) |
| SENADI (Ecuador) | *Servicio Nacional de Derechos Intelectuales* (National Service for Intellectual Rights of Ecuador) |
| SENAVE (Paraguay) | *Servicio Nacional de Calidad y Sanidad Vegetal y de Semillas* National Service of Quality and Plant and Seed Health of Paraguay |
| Sida (Sweden) | Swedish International Development Cooperation Agency |
| SIL | Soybean Innovation Lab |
| SNICS (Mexico) | *Servicio Nacional de Inspección y Certificación de Semillas* (National Seed Inspection and Certification Service of Mexico) |
| SNPC (Brazil) | *Serviço Nacional de Proteção de Cultivares* (National Cultivar Protection Service of Brazil) |
| TEC (Costa Rica) | *Tecnológico de Costa Rica* (Costa Rica Institute of Technology) |
| TTIPO | Trinidad and Tobago Intellectual Property Office |
| UFS | University of the Free State |
| UIPVE | Ukrainian Institute for Plant Variety Examination |
| UN EMG | United Nations Environment Management Group |
| UNFSS | United Nations Forum on Sustainability Standards |
| UNIGE | University of Geneva |
| USAID | United States Agency for International Development |
| USDA | United States Department of Agriculture |
| USPTO | United States Patent and Trademark Office |
| WBCSD | World Business Council for Sustainable Development |
| WFO | World Farmers’ Organization |
| WJO | WIPO Japan Office |
| WIPO | World Intellectual Property Organization |
| WTO | World Trade Organization |

1. Definitions used in Website statistics in this report:

   - “Users” are individuals who have had at least one session within the selected date range.

   - A “session” is a group of user interactions with your website that take place within a given time frame. For example a single session can contain multiple page views, events, social interactions, and ecommerce transactions. A single user can open multiple sessions. Those sessions can occur on the same day, or over several days, weeks, or months. As soon as one session ends, there is then an opportunity to start a new session. There are two methods by which a session ends:

   • Time-based expiration:

   * After 30 minutes of inactivity
   * At midnight

   • Campaign change:

   * If a user arrives via one campaign, leaves, and then comes back via a different campaign.

   - “Unique Pageviews” are the number of visits during which the specified page was viewed at least once.

   - “Pageviews” are the total number of times that a page was viewed. Repeated views of a single page by the same user during the same session are counted.

   - “Number of visits” is the number of devices used to visit the website in a month (a person may use more than one device).

   [End of appendix and of document] [↑](#endnote-ref-2)
2. Where data is provided over years, this is provided for the period 2011-2021 unless data is unavailable for all years. [↑](#footnote-ref-2)
3. \* Participation is assessed on the basis of the number of participating members and observer States/organization, rather than the number of individual participants. [↑](#footnote-ref-3)
4. Corrected from the figure shown in document C/55/2 (UPR 2020) [↑](#footnote-ref-4)