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**INTERNATIONAL UNION FOR THE PROTECTION OF NEW VARIETIES OF PLANTS**  
 Geneva

**ENLARGED EDITORIAL COMMITTEE**  
**Geneva, January 7 and 8, 2015**

MATTERS REFERRED BY THE CAJ TO THE TC

*Document prepared by the Office of the Union*

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1. The purpose of this document is to consider matters concerning the verification of the conformity of the maintenance of the variety and concerning variety descriptions, which were referred to the TC by the CAJ.

2. The following abbreviations are used in this document:

CAJ: Administrative and Legal Committee  
 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  
 TWF: Technical Working Party for Ornamental Plants and Forest Trees  
 TWV: Technical Working Party for Vegetables  
 TWPs: Technical Working Parties

3. The structure of this document is as follows:

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VERIFYING THE MAINTENANCE OF THE VARIETY

4. The provisions on the cancellation of the breeder's right contained in Article 22 of the 1991 Act of the UPOV Convention and Article 10(2) to (4) of the 1978 Act of the UPOV Convention are reproduced below:

**1991 Act of the UPOV Convention****Article 22****Cancellation of the Breeder's Right**

(1) [*Reasons for cancellation*] (a) Each Contracting Party may cancel a breeder's right granted by it if it is established that the conditions laid down in Articles 8 or 9 are no longer fulfilled.

(b) Furthermore, each Contracting Party may cancel a breeder's right granted by it if, after being requested to do so and within a prescribed period,

(i) the breeder does not provide the authority with the information, documents or material deemed necessary for verifying the **maintenance** of the variety,

(ii) the breeder fails to pay such fees as may be payable to keep his right in force, or

(iii) the breeder does not propose, where the denomination of the variety is cancelled after the grant of the right, another suitable denomination.

(2) [*Exclusion of other reasons*] No breeder's right shall be cancelled for reasons other than those referred to in paragraph (1).

5. The CAJ, at its sixty-ninth session, held in Geneva on April 10, 2014, in accordance with the proposal by the CAJ-AG, agreed to the development of guidance on the following matters concerning cancellation of the breeder's rights, which it invited the Technical Committee (TC) to consider in the first instance (see documents CAJ-AG/13/8/10 "Report", paragraph 73; and CAJ/69/13 "Report", paragraph 19):

(a) use of information, documents or material provided by the breeder for verifying the maintenance of the variety, as set out in paragraph 15 of document CAJ-AG/13/8/4 "Matters concerning cancellation of the breeder's right" (transcribed below), with an explanation that the information, documents or material could be maintained in a different country;

"15. Annexes I, II and III to this document provide examples of cases in which members of the Union have considered the cancellation of a breeder's right on the basis of information, documents or material provided by the breeder for verifying the maintenance of the variety. In that regard, the CAJ-AG may wish to consider the development of guidance according to the aspects raised by the European Union in Annex IV to this document:

"If the Uniformity or Stability requirement is being questioned, it may be necessary to make a technical verification. In order for the examination office to be able to compare the results of a technical verification for Stability purposes with the plant material once protected, it is important that the authority keeps plant material of protected varieties in a living reference collection, or, that documents such as the variety description, photos of the variety from the DUS test, notes from the field test etc are kept by the authority."

and

(b) use of Test Guidelines for verifying the maintenance of the variety that were different from the Test Guidelines used for the examination of Distinctness, Uniformity and Stability ("DUS").

Proposal

6. It is proposed that the TC invite experts to present to the TWPs, at their sessions in 2015, their experiences with regard to the use of information, documents or material provided by the breeder for verifying the maintenance of the variety and the use of Test Guidelines for verifying the maintenance of the variety that were different from the Test Guidelines used for the examination of DUS.

## MATTERS CONCERNING VARIETY DESCRIPTIONS

7. The CAJ, at its sixty-ninth session, held in Geneva on April 10, 2014, in accordance with the proposal by the CAJ-AG, agreed to propose that the following matters in document CAJ-AG/13/8/7 “Matters concerning variety descriptions”, paragraph 4, should be considered by the TC in the first instance (see documents CAJ-AG/13/8/10 “Report”, paragraph 74; and CAJ/69/13 “Report”, paragraph 19):

“[...]”

“(b) the status of the original variety description in relation to the verification of the conformity of plant material to a protected variety for the purposes of:

“(i) verifying the maintenance of the variety (Article 22 of the 1991 Act, Article 10 of the 1978 Act);

“(ii) the examination of distinctness, uniformity and stability (“DUS”) of candidate varieties; and

“[...]”

“(c) the status of a modified variety description in relation to (a<sup>1</sup>) and (b) above produced, for example, as a result of:

“(i) a recalibration of the scale in the Test Guidelines (particularly for non-asterisked characteristics<sup>2</sup>);

“(ii) variation due to the environmental conditions of the years of testing for characteristics that are influenced by the environment;

“(iii) variation due to observation by different experts; or

“(iv) the use of different versions of scales (e.g. different versions of the RHS Color Chart).

“(d) situations where an error is subsequently discovered in the initial variety description.”

## Developments the Administrative and Legal Committee Advisory Group (CAJ-AG)

8. At its meeting on October 14 and 17, 2014, the CAJ-AG considered document CAJ-AG/14/9/4 “Matters concerning variety descriptions”.

9. The CAJ-AG agreed that on the basis of document TGP/5 “Experience and Cooperation in DUS Testing”, Section 6 “UPOV Report on Technical Examination and UPOV Variety Description”, the purpose of the variety description developed at the time of the grant of the breeder’s right (original variety description) might be summarized as (see document CAJ-AG/14/9/6 “Report on the conclusions”, paragraphs 19 to 23):

(a) to describe the characteristics of the variety; and

(b) to identify and list similar varieties and differences from these varieties; combined with the information on the basis for (a) and (b), namely:

- Date and document number of UPOV Test Guidelines;
- Date and/or document number of Reporting Authority’s test guidelines;
- Reporting Authority;
- Testing station(s) and place(s);
- Period of testing;
- Date and place of issue of document;
- Group: (Table: Characteristics; States of Expression; Note; Remarks);
- Additional Information;
  - (a) Additional Data
  - (b) Photograph (if appropriate)

<sup>1</sup> “(a) the purpose(s) of the variety description developed at the time of grant of the right (original variety description),”

<sup>2</sup> “[I]f a characteristic is important for the international harmonization of variety descriptions (asterisked characteristics) and is influenced by the environment (most quantitative and pseudo-qualitative characteristics) [...] it is necessary to provide example varieties” in the Test Guidelines (see document TGP/7, Annex 3, Guidance Note GN 28 “Example varieties”, section 3.3 (iii)).

“1.2.3 Example varieties are important to adjust the description of the characteristics for the year and location effects, as far as possible. [...]” (see document TGP/7, Annex 3, Guidance Note GN 28 “Example varieties”, section 1.2.3)

- (c) RHS Colour Chart version used (if appropriate)
- (d) Remarks

10. The CAJ-AG considered the status of the original variety description in relation to the verification of plant material of a protected variety for the purposes of enforcement of the breeder's right and noted that UPOV guidance on the enforcement of breeders' rights contained in document UPOV/EXN/ENF/1 "Explanatory notes on the enforcement of breeders' rights under the UPOV Convention" explains as follows:

"SECTION II: Some possible measures for the enforcement of breeders' rights

"While the UPOV Convention requires members of the Union to provide for appropriate legal remedies for the effective enforcement of breeders' rights, it is a matter for breeders to enforce their rights."

[...]

11. The CAJ-AG agreed that, in relation to the use of the original variety description, it should be recalled that the description of the variety characteristics and the basis for distinctness from the most similar variety are linked to the circumstances of the DUS examination, as set out in paragraph 9 (b) of this document, namely:

- Date and document number of UPOV Test Guidelines;
- Date and/or document number of Reporting Authority's test guidelines;
- Reporting Authority;
- Testing station(s) and place(s);
- Period of testing;
- Date and place of issue of document;
- Group: (Table: Characteristics; States of Expression; Note; Remarks);
- Additional Information;
  - (a) Additional Data
  - (b) Photograph (if appropriate)
  - (c) RHS Colour Chart version used (if appropriate)
  - (d) Remarks

12. The CAJ-AG agreed to recommend to the CAJ that the purpose of the original variety description and the status of the original variety description in relation to the verification of the conformity of plant material to a protected variety for the purposes of the enforcement of the right, as set out above, should be conveyed to the Technical Committee to assist in its consideration of the matters presented in [paragraph 7](#) of this document.

### Proposal

13. On the basis of the developments in the CAJ-AG, it is proposed that the TC consider whether further information needs to be developed beyond the information presented in paragraphs 9 to 11 of this document to address the matters presented in paragraph 7 of the document.

*14. The TC-EDC is invited to note the information in this document to be presented to the TC and propose any improvements to the document in that regard.*

[Annex follows]

## ANNEX

## UPOV GUIDANCE ON VARIETY DESCRIPTION

Reference to “variety description” in the UPOV Convention

The 1991 Act of the UPOV Convention does not make reference to “variety description”.

The 1978 Act of the UPOV Convention makes the following references to “description”:

“Article 6: Conditions Required for Protection

“(1) The breeder shall benefit from the protection provided for in this Convention when the following conditions are satisfied:

“(a) Whatever may be the origin, artificial or natural, of the initial variation from which it has resulted, the variety must be clearly distinguishable by one or more important characteristics from any other variety whose existence is a matter of common knowledge at the time when protection is applied for. Common knowledge may be established by reference to various factors such as: cultivation or marketing already in progress, entry in an official register of varieties already made or in the course of being made, inclusion in a reference collection, or precise **description** in a publication. The characteristics which permit a variety to be defined and distinguished must be capable of precise recognition and **description**.

[...]  
“(d) The variety must be stable in its essential characteristics, that is to say, it must remain true to its **description** after repeated reproduction or propagation or, where the breeder has defined a particular cycle of reproduction or multiplication, at the end of each cycle.”

Document TGP/5 “Experience and Cooperation in DUS Testing”, Section 6 “UPOV Report on Technical Examination and UPOV Variety Description”

Components of a variety description are presented in the Annex “UPOV Variety Description” to document TGP/5 “Experience and Cooperation in DUS Testing”, Section 6 “UPOV Report on Technical Examination and UPOV Variety Description”, a copy of which is attached as an Annex to this document. The items forming the UPOV variety description are as follows:

1. Reference number of Reporting Authority
2. Reference number of Requesting Authority
3. Breeder’s reference
4. Applicant (name and address)
5. (a) Botanical name of taxon  
(b) UPOV code
6. Common name of taxon
7. Variety denomination
8. Date and document number of UPOV Test Guidelines
9. Date and/or document number of Reporting Authority’s test guidelines
10. Reporting Authority
11. Testing station(s) and place(s)
12. Period of testing
13. Date and place of issue of document
14. Group: (Table: Characteristics; States of Expression; Note; Remarks)
15. Characteristics Included in the UPOV Test Guidelines or Reporting Authority’s Test Guidelines (Table: Characteristics; States of Expression; Note; Remarks)
16. Similar Varieties and Differences from These Varieties
17. Additional Information
  - (a) Additional Data
  - (b) Photograph (if appropriate)
  - (c) RHS Colour Chart version used (if appropriate)
  - (d) Remarks

The “UPOV Variety Description” clarifies that the description is not composed of a description of the characteristics (item 15) in isolation. In particular, the key elements of a variety description at the time of grant of the breeder’s right might be summarized as follows:

- (a) characteristics of the variety (Item 15); and
- (b) similar varieties and differences from these varieties (Item 16);  
combined with
- (c) the information on the basis for (a) and (b), namely:
  - Date and document number of UPOV Test Guidelines (Item 8);
  - Date and/or document number of Reporting Authority’s test guidelines (Item 9);
  - Reporting Authority (Item 10);
  - Testing station(s) and place(s) (Item 11);
  - Period of testing (Item 12);
  - Date and place of issue of document (Item 13);
  - Group: (Table: Characteristics; States of Expression; Note; Remarks) (Item 14);
  - Additional Information (Item 17);
    - (a) Additional Data
    - (b) Photograph (if appropriate)
    - (c) RHS Colour Chart version used (if appropriate)
    - (d) Remarks

The characteristics used in the growing trial for establishing distinctness and the differences in state of expression between candidate and the most similar variety(ies) should be provided in the variety description, as detailed in the addendum to item 16 “Similar Varieties and Differences from These Varieties” as follows:

- “18. Explanatory Notes to the Annex: UPOV VARIETY DESCRIPTION  
[...]  
“(d) Ad Number 16 (Annex: UPOV Variety Description)”

“Only those characteristics that show sufficient differences to establish distinctness should be given. Information on differences between two varieties should always contain the states of expression with their notes for both varieties; if possible, in columns if more varieties are mentioned.”

#### Reference to variety description in other UPOV documents

Document TG/1/3 “General introduction to the examination of distinctness, uniformity and stability and the development of harmonized descriptions of new varieties of plants” and associated TGP documents make several mentions to variety descriptions with respect to the DUS examination. However, the purpose and status of the variety description generated at the time of the grant of the breeder’s right is not discussed.

[End of Annex and of document]