

Consultative Committee**CC/96/3****Ninety-Sixth Session
Geneva, October 31, 2019****Original: English
Date: July 11, 2019**

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

1. The purpose of this document is to provide information on the implementation of the Strategic Business Plan and to present proposals on resourcing for consideration by the Consultative Committee.
2. The Consultative Committee will be invited to:
 - (a) note the latest situation with regard to the 10 specific targets that were identified for improvement in the Strategic Business Plan, as set out in Annex I;
 - (b) note that developments concerning UPOV PRISMA and a proposal for UPOV PRISMA fees are provided in document CC/96/4 "UPOV PRISMA";
 - (c) propose to the UPOV Council, at its fifty-third ordinary session, to be held in Geneva on November 1, 2019, to adopt a "freemium" approach for the PLUTO database from November 2020, as follows:
 - (i) free option: the PLUTO database with a search function would be free to all users. Search results would be limited to an on-screen display of a single page of results. There would be no facility to download search results or data from the PLUTO database;
 - (ii) premium option: users paying a fee would have access to all PLUTO database features and would be able to download data without restrictions. The proposed fee is the fee that was charged for the UPOV-ROM Plant Variety Database, namely CHF750 per annum;
 - (iii) members of the Union and data contributors: access to all PLUTO database "premium" features would be free to all members of the Union and data contributors (i.e. OECD);
 - (iv) access to PLUTO data could also be granted in cases approved by the Consultative Committee, in a similar way to the assistance provided by the Office of the Union to the International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA);
 - (d) propose to the Council, at its fifty-third ordinary session, to be held in Geneva on November 1, 2019, to continue to make the GENIE database available without charge to users on the basis that a new feature in UPOV PRISMA based on cooperation in DUS examination information contained in the GENIE database, would be captured in the UPOV PRISMA fee, as appropriate;
 - (e) note the latest staff resourcing plan in the 2018-2019 Biennium, as set out in Annex II to this document; and
 - (f) note the staff resourcing plan presented in the draft Program and Budget for the 2020-2021 Biennium (document C/53/4), as reproduced in paragraphs 18 and 19 of this document.

3. The structure of this document is as follows:

BACKGROUND	2
TARGETS FOR IMPROVEMENT	2
RESOURCING PLAN	2
Financial resourcing	2
<i>Regular budget</i>	3
UPOV PRISMA	3
PLUTO database	3
GENIE database	3
Staff resourcing	4
ANNEX I: TARGETS FOR IMPROVEMENT IDENTIFIED IN THE STRATEGIC BUSINESS PLAN	
ANNEX II: RESOURCING IN 2018-2019 BIENNIUM	

BACKGROUND

4. The Consultative Committee, at its ninety-fourth session, held in Geneva on October 25, 2017, approved a Strategic Business Plan on the basis of the draft presented in the Annex to document CC/94/3 (see document CC/94/18 "Report on the Conclusions", paragraph 42).

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

6. The Consultative Committee, at its ninety-fifth session, held in Geneva on November 1, 2018, invited the Office of the Union to prepare a proposal for consideration at its ninety-sixth session for database/IT services that UPOV might consider as potential revenue sources, in conjunction with the proposal for the funding of UPOV PRISMA (see document CC/95/18 "Report", paragraph 43).

TARGETS FOR IMPROVEMENT

7. Annex I to this document presents the latest situation and developments not previously reported to the Consultative Committee, with regard to the 10 specific targets that were identified for improvement in the Strategic Business Plan.

RESOURCING PLAN

Financial resourcing

8. The Resourcing Plan explains that the income from the EAF (now UPOV PRISMA) would be the basis to support additional staff posts within the Office of the Union (see "Staff Resourcing").

9. The Consultative Committee, at its ninety-fifth session, held in Geneva on November 1, 2018, invited the Office of the Union to prepare a proposal for consideration at its ninety-sixth session for database/IT services that UPOV might consider as potential revenue sources, in conjunction with the proposal for the funding of UPOV PRISMA (see document CC/95/18 "Report", paragraph 43).

10. Document CC/95/5 included the option for a package of services covering UPOV PRISMA, GENIE and PLUTO. However, it has been concluded that it would not be advisable to propose a package of services at this time for two main reasons: firstly, the feedback from the survey of UPOV PRISMA users indicated that further refinements are needed to UPOV PRISMA to capture the full value and, secondly, there is insufficient information on the expected level of use of UPOV PRISMA, PLUTO and GENIE at this time.

11. The proposals for database/IT services as revenue sources are presented below.

Regular budget

UPOV PRISMA

12. A report on developments concerning UPOV PRISMA and a proposal for UPOV PRISMA fees are provided in document CC/96/4 "UPOV PRISMA".

PLUTO database

13. It is proposed to introduce a "freemium" approach for the PLUTO database as follows:

- free service: the PLUTO database with the existing search functions would be free to all users. Search results would be limited to an on-screen display of a single page of results. There would be no facility to download search results or data from the PLUTO database;
- premium service: users paying a fee would have access to all PLUTO database features and would be able to download data without restrictions. The proposed fee is the fee that was charged for the UPOV-ROM Plant Variety Database before it was replaced by the PLUTO database, namely CHF750 per annum (CHF125 on a bimonthly basis);
- members of the Union and data contributors: access to all PLUTO database "premium" features would be free to all members of the Union and data contributors (e.g. OECD);
- access to PLUTO data could also be granted in cases approved by the UPOV Council, in a similar way to the assistance provided by the Office of the Union to the International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA) (see documents CC/82/15 "Report", paragraph 87, and C/45/18 "Report", Annex III).

14. The draft Program and Budget for the 2020-2021 Biennium (document C/53/4) is based on the following projection:

2020

PLUTO database: 50 subscribers (2 months* at CHF 125) = CHF 6,250

* paying service from November 2020

2021

PLUTO database: 65 subscribers (12 months at CHF 750) = CHF 48,750

15. After preparing the draft Program and Budget for the 2020-2021 Biennium (document C/53/4), the Office of the Union was informed that the World Intellectual Property Organization (WIPO) would no longer be in a position to continue the arrangement between UPOV and WIPO (UPOV-WIPO arrangement), concerning the UPOV Plant Variety Database¹. This development will require the Office of the Union to adapt the PLUTO database to be compatible with UPOV's IT systems and will generate additional administrative work for the Office of the Union. Those developments mean that the work to develop a fee-paying version of the PLUTO database may be delayed beyond November 2020.

GENIE database

16. The GENIE database contains information on agreements for cooperation in DUS examination between UPOV members. Currently, the indications are that the GENIE database is used primarily by members of the Union. However, the information in the GENIE database is of potential relevance for plant breeders' rights'

¹ At its seventy-sixth session, held in Geneva on October 29, 2008, the Consultative Committee, approved an arrangement between UPOV and the World Intellectual Property Organization (WIPO) (UPOV-WIPO arrangement), concerning the UPOV Plant Variety Database, as follows:

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

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

(PBR) applicants, particularly in relation to the possibility to benefit from agreements between members of the Union for cooperation in DUS examination.

17. It is planned that the information in the GENIE database be made available in a more usable form for PBR applicants in the form of a new feature in UPOV PRISMA. This would mean that the GENIE database would continue to be available without charge and the value of the feature in UPOV PRISMA would be captured in the UPOV PRISMA fee, as appropriate.

Staff resourcing

18. A comparison of the latest plan for resourcing in the 2018-2019 Biennium, compared to the Resourcing Plan in the Annex to document CC/94/3, is provided in Annex II to this document.

19. The draft Program and Budget for the 2020-2021 Biennium (document C/53/4) anticipates no change in the number of posts as compared to 2018-2019.

Table 5: Budget 2020-2021: Posts by Category

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

* Director posts include the Secretary-General and Vice Secretary-General.

20. The table below, reproduced from the draft Program and Budget for the 2020-2021 Biennium (document C/53/4) provides an indication of the human resources, other than staff occupying posts, i.e. temporary staff, agency workers, Junior Professional Officers, interns and fellows, which may be utilized in the 2020-2021 Biennium, subject to the availability of resources from the regular budget, voluntary financial funds and provision of personnel resources by members of the Union.

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

21. *The Consultative Committee is invited to:*

(a) *note the latest situation with regard to the 10 specific targets that were identified for improvement in the Strategic Business Plan, as set out in Annex I;*

(b) *note that developments concerning UPOV PRISMA and a proposal for UPOV PRISMA fees are provided in document CC/96/4 "UPOV PRISMA";*

(c) *propose to the Council, at its fifty-third ordinary session, to be held in Geneva on November 1, 2019, to adopt a "freemium" approach for the PLUTO database from November 2020, as follows:*

(i) *free option: the PLUTO database with a search function would be free to all users. Search results would be limited to an on-screen display of a single page of results. There would be no facility to download search results or data from the PLUTO database;*

(ii) *premium option: users paying a fee would have access to all PLUTO database features and would be able to download data without restrictions. The proposed fee is the fee that was charged for the UPOV-ROM Plant Variety Database, namely CHF 750 per annum;*

(iii) *members of the Union and data contributors: access to all PLUTO database "premium" features would be free to all members of the Union and data contributors (i.e. OECD);*

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

(d) *propose to the Council, at its fifty-third ordinary session, to be held in Geneva on November 1, 2019, to continue to make the GENIE database available without charge to users on the basis that a new feature in UPOV PRISMA based on cooperation in DUS examination information contained in the GENIE database, would be captured in the UPOV PRISMA fee, as appropriate;*

(e) *note the latest staff resourcing plan in the 2018-2019 Biennium, as set out in Annex II to this document; and*

(f) *note the staff resourcing plan presented in the draft Program and Budget for the 2020-2021 Biennium (document C/53/4), as reproduced in paragraphs 18 and 19 of this document.*

[Annexes follow]

TARGETS FOR IMPROVEMENT IDENTIFIED IN THE STRATEGIC BUSINESS PLAN

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

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

Target	Description	Latest situation
Target 1: UPOV IT Tools	UPOV to maintain existing UPOV IT tools and to further develop existing and new IT tools for the delivery of improved services to UPOV members.	<p>UPOV PRISMA: Version 2.2 was launched in June 2019. More details are provided in document CC/96/4 "UPOV PRISMA".</p> <p>PLUTO database: proposals to introduce a fee and to provide enhanced services are presented in this document.</p> <p>GENIE database: the GENIE database will be used to develop a DUS testing arrangement tool for UPOV PRISMA.</p> <p>TG Template: see Target 4 "TG Template for UPOV members"</p> <p>UPOV Lex: UPOV Lex is based on the WIPO Lex platform, which is maintained by WIPO.</p>
Target 2: Data contribution assistance	To provide direct assistance to members of the Union in the contribution of data to PLUTO and GENIE databases.	The Office of the Union is examining the feasibility to develop an application to enable participating UPOV members to extend UPOV PRISMA workflow to PVP office systems. This would facilitate the contribution of data to PLUTO and would provide more information to applicants on the status of their applications. Developments will be reported under UPOV PRISMA.
Target 3: Increase coverage of EAF ²	To increase the number of members of the Union that participate in the EAF ² , the number of crops/species covered and the languages available for navigation of the EAF ² .	See document CC/96/4 "UPOV PRISMA"
Target 4: TG Template for UPOV members	To develop the TG Template for use by members of the Union in the preparation of individual authorities' test guidelines.	<p>Consideration is being given to the development of a version of the TG Template that could be used by UPOV members:</p> <ul style="list-style-type: none"> • to develop individual authorities' test guidelines from UPOV Test Guidelines; and • to draft UPOV Test Guidelines based on individual authorities' test guidelines

² Now called UPOV PRISMA

CC/96/3
Annex I, page 2

Target	Description	Latest situation
Target 5: Additional languages	To develop materials in other than UPOV languages, administer those materials on the UPOV website and utilize materials in training and assistance programs.	<p>Document CC/96/4 “UPOV PRISMA” provides information on developments concerning Navigation and Output Form languages in UPOV PRISMA.</p> <p>The following materials have recently been made available in other than UPOV languages and will be posted on the UPOV website:</p> <ul style="list-style-type: none"> Socio-economic benefits of UPOV membership in Viet Nam; An ex-post assessment on plant breeding and agricultural productivity after 10 years: available in Thai <p>Developments concerning the program for the use of the Russian language in UPOV are reported in document CC/96/11 “Use of Russian language in UPOV”).</p>

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

Target	Description	Latest situation
Target 6: Awareness-raising	To increase possibilities for initiatives, such as study tours to members of the Union, to illustrate the impact of PVP and UPOV membership	<p>Study tours organized in collaboration with the Office of the Union included:</p> <ul style="list-style-type: none"> IP Key South East Asia Study Visit on Plant Variety Protection to Viet Nam for Indonesia, Malaysia and Thailand (November 2018) EAPVP Forum high-level study tour to Viet Nam for Indonesia, Malaysia and Thailand, organized by Japan Association for Techno-innovation in Agriculture, Forestry and Fisheries (JATAFF) and the Ministry of Agriculture and Rural Development (MARD), Vietnam (July 2019) <p>see also document CC/96/6 “Communication Strategy” concerning awareness-raising via social media.</p>
Target 7: Extra-budgetary Funds	To maintain and increase extrabudgetary funds from members of the Union.	<p>In 2019, UPOV has been provided with extrabudgetary funds from the following members of the Union:</p> <ul style="list-style-type: none"> Japan Funds-in-Trust U.S. Patent and Trademark Office (USPTO) Memorandum of Understanding (MOU) Netherlands PVP development program (Toolbox)

CC/96/3
Annex I, page 3

Target	Description	Latest situation
Target 8: Partnerships for Capacity-building	To increase the number of partnerships to deliver training and assistance activities on UPOV matters and to increase collaboration with members of the Union, organizations and academic institutions to provide a range of training and assistance opportunities at national and regional levels	New collaborations: <ul style="list-style-type: none"> • Maastricht University “Advanced Masters Intellectual Property Law and Knowledge Management Law and Knowledge Management – PVP Course, Maastricht, Netherlands • Instituto Agronómico Medierráneo de Zaragoza (IAMZ) and Lleida University “CIHEAM-IAMZ Master on Plant Breeding, Plant Variety Protection Module”, Zaragoza, Spain • WIPO/ARIPO/African University “Master IP Master – Plant Variety Protection Sessions”, Mutare, Zimbabwe
Target 9: Enhanced cooperation	To implement any measures approved by the Council resulting from the work of the Working Group on a Possible International System of Cooperation (WG-ISC).	see document CC/96/5 “International System of Cooperation”

External Relations (Sub-program UV.4)

Target	Description	Latest situation
Target 10: Social media	To increase the use of social media	See document CC/96/7 “Communication Strategy”

[Annex II follows]

RESOURCING IN 2018-2019 BIENNIUM

Resourcing Plan

Target	Current UPOV staff (11)	Regular budget			Support by individual members of the Union			External support
		IT Expert (1) (Professional Post)	Admin. staff (1) (Temporary Staff)	Intern (1)	JPOs, Fellows funded by members of the Union (1-2)	Agency staff (1)	Extra-budgetary Funds	Partnerships
1: UPOV IT Tools	√	√	√					
2: Data contribution assistance	√	√		√	√			
3: Increase coverage of EAF ²	√	√	√	√	√			
4: TG Template for UPOV members	√	√		√	√			
5: Additional languages	√			√	√		√	
6: Awareness-raising	√				√		√	
7: Extra-budgetary funds	√					√	√	
8: Partnerships for capacity-building	√				√	√	√	√
9: Enhanced cooperation	tbc							
10: Social media	√			√	√			

Latest situation

Target	Current UPOV staff (12)	Regular budget			Regular budget/ Support by individual members of the Union	Support by individual members of the Union			External support
		IT Expert (1) (Professional Post)	Admin. Staff (Agency staff) (2)	Intern (1)	Fellow (1)	JPOs, Fellows funded by members of the Union	Agency staff (0.5)	Extra-budgetary Funds	Partnerships
1: UPOV IT Tools	√			√	√				
2: Data contribution assistance	√				√				
3: Increase coverage of EAF ²	√			√	√			√	
4: TG Template for UPOV members	√			√	√				
5: Additional languages	√				√			√	
6: Awareness-raising	√							√	
7: Extra-budgetary funds	√		√				√	√	

CC/96/3
Annex II, page 2

		Regular budget			Regular budget/ Support by individual members of the Union	Support by individual members of the Union			External support
8: Partnerships for capacity-building	√		√			√	√	√	
9: Enhanced cooperation	tbc								
10: Social media	√		√						

Proposed Resourcing by 2022-2023 Biennium

Target	Current UPOV staff (11)	Regular budget				Support by individual members of the Union			External support
		IT Expert (1) (Profession al Post)	Admin. staff (1) (General Post)	Junior Legal Officer (1) (Professional Post)	Intern (1)	JPOs, Fellows funded by members of the Union (3-5)	Agency staff (1)	Extra- budgetary Funds	Partnerships
1: UPOV IT Tools	√	√	√						
2: Data contribution assistance	√	√			√	√			
3: Increase coverage of EAF ²	√	√	√		√	√			
4: TG Template for UPOV members	√	√			√	√			
5: Additional languages	√			√	√	√		√	
6: Awareness-raising	√					√		√	
7. Extra-budgetary funds	√						√	√	
8: Partnerships for capacity-building	√			√		√	√	√	
9: Enhanced cooperation	tbc			√					
10: Social media	√				√	√			

[End of Annex II and of document]