## Contents

*Acknowledgements*  
*List of abbreviations*  
*Table of treaties, international, national and non-national legal instruments*  
*Table of cases*

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Introduction and overview</td>
<td>1</td>
</tr>
<tr>
<td>1.1 General and specific objectives</td>
<td>1</td>
</tr>
<tr>
<td>1.2 Background and significance</td>
<td>4</td>
</tr>
<tr>
<td>1.3 Definition of key conceptual issues</td>
<td>7</td>
</tr>
<tr>
<td>1.3.1 General legal and policy framework within which the ITPGRFA arises</td>
<td>7</td>
</tr>
<tr>
<td>1.3.1.1 The principle of common heritage of humankind and farmers’ rights under the International Undertaking</td>
<td>8</td>
</tr>
<tr>
<td>1.3.1.2 From common heritage to permanent sovereignty and the principle of common concern of humankind</td>
<td>11</td>
</tr>
<tr>
<td>1.3.1.3 The revision of the IUPGR and the adoption of the ITPGRFA</td>
<td>12</td>
</tr>
<tr>
<td>1.3.1.4 Differential treatment, international equity and North–South aspects of ABS</td>
<td>13</td>
</tr>
<tr>
<td>1.3.2 The relationship between the CBD and the ITPGRFA with particular regard to the legal principles underlying control over biological resources/PGR</td>
<td>15</td>
</tr>
<tr>
<td>1.3.3 The concept of access to genetic resources/PGRFA as developed in the CBD and the ITPGRFA, including the principle of Prior Informed Consent</td>
<td>16</td>
</tr>
<tr>
<td>1.3.4 The concept of benefit sharing under the CBD and the ITPGRFA</td>
<td>19</td>
</tr>
<tr>
<td>1.3.5 Farmers’ rights under the ITPGRFA</td>
<td>22</td>
</tr>
<tr>
<td>1.4 The commodification of crop diversity</td>
<td>23</td>
</tr>
<tr>
<td>1.5 Legal, temporal and geographical scope and limitations</td>
<td>26</td>
</tr>
<tr>
<td>1.6 Outline of the book</td>
<td>28</td>
</tr>
</tbody>
</table>
2. Patents, agricultural innovation and sustainable development
   2.1 Introduction 33
   2.2 Economic theories, sustainability principles and the patent system 35
      2.2.1 Factual background: agricultural research investment trends 35
      2.2.2 Patents and the establishment of global markets for agricultural knowledge, science and technology 37
      2.2.3 Economic theories about patents 39
      2.2.4 Technological advance and agricultural research 44
      2.2.5 Sustainable agriculture and food security 50
   2.3 Concentration, technological change and the gene revolution 54
      2.3.1 The origins of agriculture 55
      2.3.2 Technology, specialization and intellectual property 57
      2.3.3 Agro-biodiversity, intellectual property and genetic erosion 61
      2.3.4 Distributional implications of crop germplasm enclosure
         2.3.4.1 The politics of enclosure 64
         2.3.4.2 The relationship between specialization, concentration and wealth-shifting effects 65
      2.3.5 Internalizing externalities from agricultural research and breeding 68
      2.3.6 Plant genetic resources as non-traditional infrastructural resources
         2.3.6.1 Non-rival consumption of PGRFA 70
         2.3.6.2 Downstream productive uses as sources of value 72
         2.3.6.3 PGRFA as generic inputs into agricultural research 72
   2.4 Concluding remarks 73

3. Plant intellectual property protection: patents and plant variety rights 75
   3.1 Introduction 75
   3.2 WTO agreement on trade-related aspects of intellectual property rights
      3.2.1 Plant patenting under Article 27.3(b) of the TRIPs Agreement 76
      3.2.2 Exclusions from patentability and sui generis plant variety protection 77
3.2.3 Disclosure of origin and the revision of Article 27.3(b) of the TRIPs Agreement 78
3.3 UPOV conventions for the protection of new varieties of plants 80
  3.3.1 Patents versus plant variety rights 81
  3.3.2 Agricultural exemptions under UPOV 83
3.4 Plant intellectual property protection in Europe and North America 85
  3.4.1 Cumulative protection of plant varieties in the US 87
    3.4.1.1 The 1930 Plant Patent Act 87
    3.4.1.2 The 1970 Plant Variety Protection Act 88
    3.4.1.3 Utility patents and plant-related inventions 90
  3.4.2 Concurrent protection for plant varieties in Europe 91
  3.4.3 Experimental use exemption under patent law 93
    3.4.3.1 Experimental use exemption in the US 93
    3.4.3.2 Experimental use exemption in the EU 94
  3.4.4 The interface between patents and plant variety rights 95
    3.4.4.1 North American approach to the interface problem 95
    3.4.4.2 IP management responses from international agricultural research 98
    3.4.4.3 European approach to the interface problem 101
    3.4.4.4 Responses from the private sector 103
  3.4.5 US and European foreign policies on plant intellectual property 105
3.5 Concluding remarks 107

4. The international legal framework of access to plant genetic resources and benefit sharing 110
  4.1 Introduction 110
  4.2 The FAO International Treaty on Plant Genetic Resources for Food and Agriculture 111
    4.2.1 The Multilateral System of ABS 112
      4.2.1.1 The concepts of ‘public domain’, ‘private property’ and ‘common property’ in relation to the MLS 115
    4.2.1.2 The Standard Material Transfer Agreement 118
    4.2.1.3 The third party beneficiary 123
4.2.2 The International Network of ex-situ collections under the auspices of FAO

4.2.2.1 The establishment of the International Network

4.2.2.2 The legal status of designated germplasm in the International Network

4.2.2.3 The agreements between the governing body of the ITPGRFA and the CGIAR Centres

4.2.3 Farmers’ rights and TK protection under the ITPGRFA

4.2.3.1 Farmers’ rights protection

4.2.3.2 Key challenges for the protection of PGRFA-related TK

4.2.3.3 Ways forward

4.2.3.4 Crop diversity and the ABS protocol to the CBD

4.2.3.5 The status of PGRFA under the ABS Protocol

4.2.3.6 Lessons learned from the ITPGRFA

4.2.3.7 A note of caution

4.2.3.8 Concluding remarks

5. Case study: the regulation of crop diversity in Viet Nam

5.1 Introduction

5.1.1 Criteria for the selection of the study country

5.1.2 Methodology and sources of information

5.1.3 Legislative power and hierarchy between the sources of law

5.2 IP reform and plant intellectual property protection in Viet Nam

5.2.1 The legal recognition of intellectual property

5.2.2 Bilateral obligations to protect plant-related IP

5.2.3 Capacity development needs in agriculture and IP-related technical assistance

5.2.3.1 Key concerns regarding IP-related technical assistance

5.2.3.2 Agricultural S&T investment and public sector R&D capacity

5.2.4 The protection of plant-related inventions under the IP Law

5.2.5 Plant variety protection under the IP Law

5.2.5.1 The regulatory framework

5.2.5.2 Operations of the Plant Variety Protection Office and certificates granted
5.2.6 Seed certification and market regulation 168
5.2.7 The enforcement of patents and plant variety rights 169
5.2.8 Post-WTO accession IP-related technical assistance needs assessment 170
5.2.9 Lessons learned: privatization, equity and agriculture 173

5.3 The biodiversity law, access to genetic resources and benefit sharing 176
5.3.1 General fit of the Biodiversity Law in the Vietnamese legal system 177
5.3.2 The Biodiversity Law and ABS-related technical assistance 178
5.3.3 The ABS provisions of the Biodiversity Law 180
5.3.4 Outstanding issues and gaps relevant for the implementation of the ABS system 182
5.3.4.1 Relationship with the ITPGRFA 183
5.3.4.2 Farmers’ exemptions 184
5.3.4.3 Domestic non-commercial research 184
5.3.4.4 Traditional knowledge protection 186
5.3.5 Concluding observations on PGR and the Biodiversity Law 187

5.4 Lessons learned and conceptual contribution of the case study 188
5.5 Example PCT International Application 192

6. Conclusions 193
6.1 Crop diversity commodification: limitations and systemic weaknesses of global institutional reforms 193
6.2 Developmental implications of changes in the legal status of PGRFA 195
6.3 Available options and ways forward 197
6.4 Concluding remarks 199

Bibliography 201
Index 227