

**Administrative and Legal Committee**
**CAJ/75/8**
**Seventy-Fifth Session  
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**ELECTRONIC APPLICATION FORM**
*Document prepared by the Office of the Union*
*Disclaimer: this document does not represent UPOV policies or guidance*
**EXECUTIVE SUMMARY**

1. The purpose of this document is to report on developments concerning the electronic application form, since the seventy-fourth session of the Administrative and Legal Committee (CAJ), held in Geneva on October 23 and 24, 2017.

2. The CAJ is invited to note:

(a) the developments concerning UPOV PRISMA, as set out in this document;

(b) that further developments concerning UPOV PRISMA will be reported at the seventy-fifth session of the CAJ; and

(c) that proposals concerning financial aspects of UPOV PRISMA will be considered by the Consultative Committee at its ninety-fifth session and, if appropriate, by the Council at its fifty-second ordinary session.

3. The following abbreviations are used in this document:

CAJ:	Administrative and Legal Committee
EAF:	Electronic Application Form
PRISMA:	Plant variety data Routing Information System using Multilingual Application forms
TG:	Test Guidelines
TQ:	Technical Questionnaire
ISF:	International Seed Federation
AOHE:	Association des Obtenteurs Horticoles Européens
CIOPORA:	International Community of Breeders of Asexually Reproduced Ornamental and Fruit Varieties
ASTA:	American Seed Trade Association
AFSTA:	African Seed Trade Association

4. The structure of this document is as follows:

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## BACKGROUND

5. The aim of the electronic application form (EAF) project is to develop a multilingual electronic form containing questions relevant for plant breeders' rights (PBRs) applications (see document CAJ/66/5 "Electronic Application Systems", paragraph 2).

6. The background to the development of a prototype electronic form and developments prior to the seventy-fourth session of the CAJ are provided in document CAJ/74/4 "Electronic application form" and CAJ/74/10 "Report", paragraphs 22 to 26.

### Developments in the Administrative and Legal Committee in October 2017

7. The CAJ at its seventy-fourth session held on October 23 and 24, 2017, noted the developments concerning EAF Version 1.1 and the plans for the development of Version 2.0, as set out in document CAJ/74/4.

8. The CAJ noted the strategy for the addition of new crops/species, as provided in paragraphs 18 to 21 of document CAJ/74/4.

9. The CAJ noted that the name PRISMA and the logo, as set out in paragraph 26 of document CAJ/74/4, would be proposed for approval at the fifty-first ordinary session of the Council, to be held in Geneva on October 26, 2017.

10. The CAJ noted that proposals concerning financial aspects of the EAF would be considered by the Consultative Committee at its ninety-fourth session and, if appropriate, by the Council at its fifty-first ordinary session (see document CAJ/74/10 "Report", paragraphs 22 to 26).

## DEVELOPMENTS SINCE THE SEVENTY-FOURTH SESSION OF THE ADMINISTRATIVE AND LEGAL COMMITTEE

### Developments in the Council in October 2017

11. The Council at its fifty-first ordinary session, held in Geneva on October 26, 2017, considered document C/51/18 "Report by the Vice-President on the work of the ninety-fourth session of the Consultative Committee" (see document C/51/22 "Report", paragraph 20).

12. Based on the recommendations of the Consultative Committee reported in document C/51/18, the Council:

- (i) approved the name PRISMA and the logo, as set out below, for the electronic application form (EAF);



(ii) approved the UPOV charge for the EAF at CHF150 per application for the 2018-2019 biennium, but agreed that the EAF could be made free of charge for an introductory period if the budgeted costs of the EAF were funded by means other than the regular budget. In that regard, the Council noted that the Office of the Union had received a letter from the Secretary General of the ISF offering to contribute CHF20,000 in order to increase the use of the EAF during the launch period and to extend the system to a larger number of crops and UPOV members. It further noted that Canada and Australia would be interested to explore the possibility of funding the EAF in the form of an annual subscription.

#### Launch of UPOV PRISMA Version 2.0

13. Version 2.0 of UPOV PRISMA was released on February 9, 2018.

#### *Participating UPOV members and crops/species covered*

14. The table below summarizes the participating PVP offices and the crops supported in UPOV PRISMA Version 2.0:

Authority		Crop coverage
Argentina	AR	Apple Fruit Varieties, Potato, Rose, Soyabean, Wheat, Barley, Maize and Grapevine
Australia	AU	All genera & species
Bolivia (Plurinational State of)	BO	Rice, wheat
Canada	CA	All genera & species excluding algae, bacteria and fungi
Chile	CL	All genera & species
China	CN	Lettuce, Rose
Colombia	CO	Rose, Carnation, Alstroemeria, Chrysanthemum, Gypsophila
European Union	QZ	Apple Fruit Varieties, Lettuce, Potato, Rose, Soyabean
France	FR	All genera & species
Georgia	GE	Maize, Wheat, Field Bean, French Bean, Apple (fruit varieties), Pear, Barley, Oats, Potato, Cherry (Sweet Cherry), Raspberry, Tomato, Peach, Hazelnut, Blackberry, Soya Bean, Sunflower, Walnut, Blueberry, Chick-Pea, Lentil
Kenya	KE	All genera & species
Mexico	MX	87 selected crops
Netherlands	NL	All genera & species
New Zealand	NZ	All genera & species
Norway	NO	All genera & species
Paraguay	PY	Soyabean
Republic of Moldova	MD	Maize, Wheat, Pea, Barley, European Plum, Tomato, Grapevine, Sweet Pepper, Hot Pepper, Paprika, Chili, Sunflower, Walnut, Apple Fruit Varieties, Lettuce, Potato, Rose, Soyabean
Switzerland	CH	All genera & species
Tunisia	TN	All genera & species
Turkey	TR	All genera & species
United States of America	US	Lettuce, Potato, Soyabean and Wheat
Uruguay	UY	All genera & species
Total	22	

## *Languages*

15. UPOV PRISMA Version 2.0 presents pages and items (questions) for application forms and technical questionnaires for participating PVP offices in English, French, German, Spanish, Chinese and Japanese (“navigation languages”).

16. UPOV PRISMA Version 2.0 generates application forms and technical questionnaires in the languages required by the participating PVP offices (“output form languages”), in English, French, German, Spanish, Chinese, Georgian, Norwegian, Romanian and Turkish. Information must be completed by the applicant in an acceptable language for the PVP Office concerned, although answers selected from drop-down lists (e.g. characteristics and states of expression) will be automatically translated for output form languages.

## Meeting on the development of the electronic application form (EAF/11)

17. At the Eleventh Meeting on the Development of an Electronic Application Form (“EAF/11 meeting”), held in Geneva on March 28, 2018, the participants noted the following in relation to proposed developments for UPOV PRISMA Version 2.1.

### *Version 2.1*

#### Coverage

##### *UPOV members*

18. Participation in Version 2.1 is possible for authorities that participated in the development of Prototype Electronic Form (PV2) or in the development of the Electronic Application Form Versions 1.0 or 1.1 (African Intellectual Property Organization (OAPI), Argentina, Australia, Bolivia (Plurinational State of), Brazil, Canada, Chile, China, Colombia, Czech Republic, European Union, France, Georgia, Japan, Kenya, Mexico, Netherlands, New Zealand, Norway, Paraguay, Republic of Korea, Republic of Moldova, South Africa, Switzerland, Tunisia, Turkey, United States of America, Uruguay and Viet Nam), according to available resources.

19. UPOV Members that did not participate in the development of a Prototype Electronic Form (PV2) or in the development of the Electronic Application Form Versions 1.0 or 1.1 need to provide their forms for relevant crops (application form and technical questionnaire) in a UPOV language and, if appropriate, to provide translations of the questions of the application forms and technical questionnaires of the other languages used in UPOV PRISMA. The timetable for addition of new members of the Union will be developed according to available resources and will vary according to the content of the application forms and technical questionnaires.

20. Circular E-17/264, issued on December 12, 2017, invited all UPOV members not currently participating in UPOV PRISMA and that have not already expressed a wish to participate, to indicate to the Office of the Union their wish to join in 2018 (see paragraph 24 below).

##### *Crops/species*

21. Circular E-18/011, issued on February 22, 2018, invited participating members in UPOV PRISMA who do not yet cover all genera and species (Argentina, Bolivia (Plurinational State of), China, Colombia, Georgia, Mexico, Republic of Moldova and the United States of America) to indicate their wish to increase the scope of coverage for genera and species for Version 2.1.

22. Circular E-18/010, issued on February 21, and March 12, 2018, invited UPOV members who have already expressed an interest to participate in UPOV PRISMA (African Intellectual Property Organization (OAPI), Brazil, Czech Republic, Germany, Japan, Republic of Korea, South Africa, Sweden, United Republic of Tanzania and Viet Nam) to confirm their intention to participate in the Version 2.1 and to clarify the scope of coverage for genera and species. Other UPOV members who have already expressed interest to participate in UPOV PRISMA Version 2.1 (Costa Rica, Serbia, United Kingdom and Uzbekistan) have been contacted to clarify the scope of coverage for genera and species.

23. In UPOV PRISMA Version 2.1, Technical Questionnaires (TQ) from all UPOV Test Guidelines will be available with the inclusion of apple rootstocks and avocado.

24. As of May 2, 2018 the following authorities had expressed interest to be part of Version 2.1, which is planned to be released in September 2018:

Authority		currently participating in Version 2.0	intention to participate in Version 2.1	Anticipated crop coverage in Version 2.1 (highlighted in grey are changes from Version 2.0)
African Intellectual Property Organization (OAPI)	OA	-	✓	All genera and species
Argentina	AR	✓	✓	18 selected crops
Australia	AU	✓	✓	All genera & species
Bolivia (Plurinational State of)	BO	✓	✓	All genera & species
Canada	CA	✓	✓	All genera & species excluding algae, bacteria and fungi
Chile	CL	✓	✓	All genera & species
China	CN	✓	✓	Lettuce, Rose
Colombia	CO	✓	✓	All genera & species
Costa Rica	CR	-	✓	All genera and species
European Union	QZ	✓	✓	All genera & species excluding agricultural crops
France	FR	✓	✓	All genera & species
Georgia	GE	✓	✓	Maize, Wheat, Field Bean, French Bean, Apple (fruit varieties), Pear, Barley, Oats, Potato, Cherry (Sweet Cherry), Raspberry, Tomato, Peach, Hazelnut, Blackberry, Soya Bean, Sunflower, Walnut, Blueberry, Chick-Pea, Lentil
Kenya	KE	✓	✓	All genera & species
Mexico	MX	✓	✓	All genera & species
Netherlands	NL	✓	✓	All genera & species
New Zealand	NZ	✓	✓	All genera & species
Norway	NO	✓	✓	All genera & species
Paraguay	PY	✓	✓	Soyabean
Republic of Moldova	MD	✓	✓	Maize, Wheat, Pea, Barley, European Plum, Tomato, Grapevine, Sweet Pepper, Hot Pepper, Paprika, Chili, Sunflower, Walnut, Apple Fruit Varieties, Lettuce, Potato, Rose, Soyabean
Republic of Korea	KR	-	✓	Apple Fruit Varieties, Lettuce, Potato, Soyabean, Rose
Serbia	RS	-	✓	Apple Fruit Varieties and Rose
South Africa	ZA	-	✓	All genera and species
Sweden	SE	-	✓	All genera and species
Switzerland	CH	✓	✓	All genera & species
Tunisia	TN	✓	✓	All genera & species
Turkey	TR	✓	✓	All genera & species
United Kingdom	GB	-	✓	to be confirmed- All genera and species
United States of America	US	✓	✓	192 crops including Lettuce, Potato, Soyabean and Wheat
Uruguay	UY	✓	✓	All genera & species
Viet Nam	VN	-	✓	15 selected crops
Total		22	30	

### Languages

25. Additional navigation and output languages can be introduced according to available resources and if the necessary information is provided.

### New Functionalities

#### *Guidance on next steps*

26. The participants noted that it is proposed to add information on the next steps in relation to PVP Office procedures once a submission has been made via UPOV PRISMA. This information will be sent to the applicants when starting a new application and in a separate email with the confirmation of a successful submission. The relevant information will need to be provided to the Office of the Union by the participating PVP offices in UPOV PRISMA.

#### *Deadline for submitting application*

27. The participants noted that it is proposed to add information on deadlines for submitting applications in a selected authority such that an automatic reminder could be generated, if and when relevant. This information would need to be provided by authorities.

#### *Breeding Scheme*

28. The participants noted that the breeding scheme section in Version 2.0 is available with a pre-defined list of options. Additional options for crop specific breeding schemes are considered for development in version 2.1.

#### *Novelty*

29. The participants noted that for novelty requirements, it was agreed that each participating authority should indicate, if appropriate, which of the supported crops were considered by that authority to be vines or trees in terms of novelty (see document UPOV/EAF/10/3 "Report", paragraph 15). By default, 4 years is used in the system. It is proposed to add a "novelty alert" for applicants.

30. The participants agreed that information regarding novelty should be provided to the Office by all participating members in UPOV PRISMA. On the basis of the information received, the Office will investigate how to update this functionality in the system in a sustainable manner and it will be presented at the next meeting on the development of the electronic application form.

#### *Agent Role*

31. The participants were informed that, in order to enable local representatives or agents to submit applications on behalf of different breeders, the role of "agent" in UPOV PRISMA was proposed to be updated. Consideration will also be given to providing information on agents via UPOV PRISMA to enable breeders to find agents in different UPOV members.

### Timetable for release

32. The participants noted that participating members in the development of the Version 2.1 of UPOV PRISMA will be invited to test the prototype through different releases during a test campaign in July- August 2018. Subject to their validation, Version 2.1 would be released in September 2018.

### *Communication*

33. The EAF/11 meeting noted that the following elements were planned in 2018:

- targeted communication to potential users of UPOV PRISMA (e.g. agents, representatives, breeding companies, breeders' associations);
- training sessions (*in situ* and online);
- participation in international breeders' events (e.g. ISF, AOHE, CIOPORA, ASTA);
- updated communication materials (posters, flyers, tutorials) with the new name and logo and the new coverage of crops and countries;
- press articles;
- update of the UPOV PRISMA webpage with new testimonials from breeders and PVP offices;
- inclusion of information in existing UPOV and UPOV members' training programs.

34. The EAF/11 meeting noted that, since the launch of UPOV PRISMA Version 2.0 (February 9, 2018), the following initiatives had been taken:

- (a) update of the dedicated webpage on the UPOV Website available at: <http://www.upov.int/upovprisma>, containing all necessary information to access and use UPOV PRISMA;
- (b) UPOV Press Release 113 concerning the launch of UPOV PRISMA Version 2.0, sent to all UPOV members and subscribers to the UPOV news feed;
- (c) on February 9, 2018, the Office of the Union informed breeders' organizations and PVP offices on the availability of the system inviting them to inform all their relevant stakeholders and potential users (e.g. breeders, representatives, agents, etc.), and to disseminate information about the special offer to use UPOV PRISMA for free until June 2018;
- (d) on February 21, 2018, the Office of the Union sent electronic mails to potential users on the availability of UPOV PRISMA Version 2.0, including information on the special promotional offer;
- (e) the following communication materials have been updated and disseminated to requesting UPOV members and breeders' organizations (still available on demand):
  - o posters and roll-up banners in English, French, German and Spanish,
  - o flyers in Chinese, English, French, Spanish and German,
  - o a series of short videos have been created (in English) and posted on the UPOV website to explain key steps to start an application and functionalities of the system;
- (f) three meetings (online sessions & webinars) have been organized since January 2018 for individual applicants or groups of applicants upon request;
- (g) presentations have been made at the following meetings: AFSTA Congress, AOHE Annual Meeting and ASTA vegetable and flower conference;
- (h) regular updating of the UPOV PRISMA LinkedIn page, available at: <https://www.linkedin.com/showcase/24973258/>;
- (i) creation of a Twitter account, available at: <https://twitter.com/upovprisma>.

#### *Financing of UPOV PRISMA*

35. The EAF/11 meeting noted that, since the fifty-first ordinary session of the Council, the following contributions had been made to support UPOV PRISMA:

- 20,000 Swiss francs from ISF;
- 2,500 Swiss francs from CIOPORA;
- 10,000 Swiss francs from CropLife International.

36. At the launch of Version 2.0, in January 2018, UPOV PRISMA was made free of charge for an initial period to encourage users to test the system. The initial free-of-charge period was announced until June 2018, and would be extended until December 2018.

#### Use of UPOV PRISMA

37. The following table summarizes the development of UPOV PRISMA since its launch in 2017, as of June 30, 2018:

Time	Number of participating UPOV members	Number of countries covered	Crops covered by participating UPOV members		Number of registered entities (roles)	Number of applications
			Limited list	All crops/ species		
Jan-June 2017	12	12	12 (1-5 crops)	-		
July-Dec 2017	16	16	16 (1-5 crops)	-	7 (25)	14
Jan-June 2018	22	46	11 (1-100 crops)	12	44 (39 Breeder admins + 5 agents) (69)	17
Sep 2018 (projected)	30	69	8 (1-100 crops)	20		

An oral report on latest developments, including latest figures on the use of UPOV PRISMA, will be made at the seventy-fifth session of the CAJ.

## NEXT STEPS

### Launch of UPOV PRISMA Version 2.1

38. The launch of UPOV PRISMA Version 2.1 is planned for September 3, 2018. The CAJ, at its seventy-fifth session will receive an oral report on the launch of UPOV PRISMA Version 2.1.

### Proposed future developments

39. Plans for the release of future versions of UPOV PRISMA will be discussed at the next meeting of the EAF (EAF/12 meeting) to be held in Geneva on the evening of October 29, 2018. The CAJ, at its seventy-fifth session will receive an oral report on the conclusions made at the EAF/12 meeting.

### Financing of UPOV PRISMA

40. Proposals concerning financial aspects of UPOV PRISMA will be considered by the Consultative Committee at its ninety-fifth session, to be held in Geneva, on November 1, 2018 and, if appropriate, by the Council at its fifty-second ordinary session, to be held in Geneva on November 2, 2018.

41. *The CAJ is invited to note:*

*(a) the developments concerning UPOV PRISMA, as set out in this document;*

*(b) that further developments concerning UPOV PRISMA will be reported at the seventy-fifth session of the CAJ; and*

*(c) that proposals concerning financial aspects of UPOV PRISMA will be considered by the Consultative Committee at its ninety-fifth session and, if appropriate, by the Council at its fifty-second ordinary session.*

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