

Technical Working Party for Agricultural Crops

Forty-Seventh Session

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Technical Working Party on Automation and Computer Programs

Thirty-Sixth Session

Hanover, Germany, July 2 to 6, 2018

Technical Working Party for Vegetables

Fifty-Second Session

Beijing, China, September 17 to 21, 2018

Technical Working Party for Fruit Crops

Forty-Ninth Session

Santiago de Chile, Chile, November 19 to 23, 2018

Technical Working Party for Ornamental Plants and Forest Trees

Fifty-First Session

Christchurch, New Zealand, February 18 to 22, 2019

ELECTRONIC APPLICATION SYSTEMS

Document prepared by the Office of the Union

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EXECUTIVE SUMMARY

1. The purpose of this document is to report on developments concerning the development of the electronic application form.
2. The TWPs are invited to note the developments concerning UPOV PRISMA.
3. The structure of this document is as follows:

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BACKGROUND

4. 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).

5. The background to the development of the EAF is provided in document TWP/1/3 "Electronic Application systems".

DEVELOPMENTS IN 2017

6. Developments at meetings on the development of the electronic application form prior to the Technical Working Parties in 2017 are provided in document TWP/1/3 "Electronic Application systems".

Developments in the Administrative and Legal Committee (CAJ) in October 2017

7. The CAJ at its seventy-fourth session 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 in the Consultative Committee and the Council in October 2017

11. The Council at its fifty-first ordinary session in Geneva on October 26, 2017, noted the work of the Consultative Committee at its ninety-fourth session, as reported in document C/51/18 "Report by the Vice-President on the work of the ninety-fourth session of the Consultative Committee", which included the following information concerning the EAF (see document C/51/22 "Report", paragraph 20):

12. The Consultative Committee noted the developments concerning EAF Version 1.1, the plans for the development of Version 2.0 and the strategy for the addition of new crops/species.

13. The Consultative Committee agreed that the name PRISMA and the logo, as set out below, be proposed for approval at the fifty-first ordinary session of the Council, to be held in Geneva on October 26, 2017:



14. The Consultative Committee noted that the success of the EAF would depend on maximizing the number of UPOV members participating in the EAF for all crops and species and on members of the Union promoting the EAF to their applicants.

15. The Consultative Committee recommended to the Council to approve the UPOV charge for the EAF at CHF150 per application for the 2018-2019 biennium, but to agree 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 Consultative Committee noted that the Office of the Union had received a letter

from the Secretary General of the International Seed Federation (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.

16. The Consultative Committee requested the Office of the Union to report on developments concerning the EAF at its ninety-fifth session and further agreed to follow the use and analyze the benefits of the electronic application form for users and to review the arrangements for funding of the EAF at its ninety-fifth session.

17. The Council at its fifty-first ordinary session, approved the name PRISMA and the logo for the electronic application form (EAF), as set out in paragraph 13 of this document. It further 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 International Seed Federation (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 (see document C/51/22 "Report", paragraph 20 (c) et (d)).

Meeting on the development of the electronic application form (EAF/10)

18. At the Tenth Meeting on the Development of an Electronic Application Form ("EAF/10 meeting"), held in Geneva on October 27, 2017, the participants noted that the Council at its fifty-first ordinary session held in Geneva on October 26, 2017 agreed with the new name for the EAF tool as "UPOV PRISMA" (Plant variety data Routing Information System using Multilingual Application forms) and the proposed logo.

Versions of the EAF

19. The participants noted that the current version of the EAF was Version 1.1. It was reported that the next version (Version 2.0) of UPOV PRISMA (EAF) was planned to be released beginning of 2018.

Version 1.1

Participating UPOV members

20. The participants noted that the following participating PVP Offices and crops were supported in EAF Version 1.1:

Authority	Soya Bean	Lettuce	Apple fruit varieties	Rose	Potato	Total
Argentina	✓	-	✓	✓	✓	4
Australia	✓	✓	✓	✓	✓	5
Chile	✓	✓	✓	✓	✓	5
China	-	✓	-	✓	-	2
Colombia	-	-	-	✓	-	1
France	✓	✓	✓	✓	✓	5
Kenya	✓	✓	✓	✓	✓	5
Netherlands	✓	✓	✓	✓	✓	5
New Zealand	-	✓	✓	✓	✓	4
Norway	✓	✓	✓	✓	✓	5
Republic of Moldova	✓	✓	✓	✓	✓	5
Switzerland	✓	✓	✓	✓	✓	5
Tunisia	✓	✓	✓	✓	✓	5
Turkey	✓	✓	✓	✓	✓	5
United States of America	✓	✓	-	-	✓	3
Uruguay	✓	-	✓	-	✓	3
16	13	13	13	14	14	

Languages

21. The participants noted that all webpages and items (questions) for all application forms and technical questionnaires for all participating PVP Offices were available in English, Chinese, French, German and Spanish (“navigation languages”).

22. The participants noted that EAF Version 1.1 generated application forms and technical questionnaires in the languages required by the participating PVP Offices (“output form languages”). In Version 1.1, the output form languages were English, French, German, Spanish, Chinese, Norwegian, Romanian and Turkish.

23. The participants noted that the information needed to 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) would be automatically translated for the navigation languages.

Style sheet for the application form

11. The participants noted that, where requested by PVP Offices, it would be possible to have a customized format for the application form to be received by the PVP Office (e.g. PVP Office logo) if the relevant information was provided according to a specified format.

Version 2.0

Participating UPOV members

24. The participants noted that the following UPOV members had expressed their intention to participate in Version 2.0 of UPOV PRISMA (EAF) (Circular E-17/132):

Authority		participating in Version 1.0 or 1.1	intention to participate in Version 2.0	Anticipated crop coverage in Version 2.0
Argentina	AR	✓	✓	Apple Fruit Varieties, Potato, Rose, Soyabean and Wheat, Barley, Maize, 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
Japan	JP		✓	to be confirmed
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

Authority		participating in Version 1.0 or 1.1	intention to participate in Version 2.0	Anticipated crop coverage in Version 2.0
Turkey	TR	✓	✓	All genera & species
United States of America	US	✓	✓	Lettuce, Potato, Soyabean and Wheat
Uruguay	UY	✓	✓	All genera & species
Total		16	23	

Crops/species

25. The participants noted that the three possible approaches for including crop/species for participating members of the Union, would be:

Approach 1: UPOV Technical Questionnaire (TQ)

The TQ in UPOV PRISMA would be identical to the TQ in the adopted UPOV Test Guidelines (TGs). For crops/species for which there is no adopted UPOV TGs, the TQ in UPOV PRISMA would be based on the structure of the TQ in document TGP/7 “Development of Test Guidelines”.

Approach 2: Customized characteristics

The TQ in UPOV PRISMA would be the same for all crops (non crop-specific) except for “characteristics of the variety” (Section 5 of the UPOV TQ or equivalent) and “similar varieties and differences from these varieties” (Section 6 of the UPOV TQ or equivalent)). The characteristics in the TQ in UPOV PRISMA would be:

- (i) UPOV TG characteristics,
- (ii) Authority specific characteristics,
- (iii) Free text information.

Approach 3: Customized TQ

The TQ in UPOV PRISMA would contain crop-specific sections other than those specified in Approach 2.

26. The participants noted that according to the approach, the number of crop and species that could be covered for each authority in future versions of the tool would be different. For Approach 1, all crops could be easily covered. For Approaches 2 and 3 considerably more time would be needed and new crops would be added according to available resources and the degree of customization that was required.

Functionalities

Breeding Scheme

27. The participants noted that the breeding scheme section in Version 2.0 of the tool would be available with a pre-defined list of options. Other options might be considered for development in a subsequent version.

Novelty

28. The participants noted that for novelty requirements, each participating authority should indicate, if appropriate, which one(s) of the supported crops were considered by that authority to be vines or trees in terms of novelty. The participants noted that, by default, 4 years would be used in the system.

Scope of plants

29. The participants noted that for the definition of what was considered to be a “plant” (e.g. in relation to fungi, algae, bacteria), the tool would reflect the information in GENIE database on the basis of the information provided by the relevant UPOV member in document C/51/6.

Financing

30. The participants noted that a proposal for the financing of the EAF had been made to the Consultative Committee at its ninety-fourth session, held in Geneva, on October 25, 2017 and, agreed by the Council at its fifty-first ordinary session, held in Geneva on October 26, 2017 (see document "Report" C/51/22). It noted, in particular, that the UPOV Council had agreed that the EAF could be made free of charge for an introductory period.

Communication

31. In relation to communication, the participants noted that:

(a) at the launch of the EAF, on January 9, 2017, a webpage had been created for the EAF, available at: <http://www.upov.int/upoveaf>, containing all necessary information to access and use the EAF;

(b) at the launch of the EAF, the Office of the Union had informed breeders' organizations and PVP Offices on the availability of the system (see Circulars E-17/007, E-17/008 and E-17/009), also inviting them to inform all their relevant stakeholders;

(c) the following communication materials had been developed and transmitted to requesting UPOV members and breeders' organizations (still available on demand):

- posters and roll-up banners in English, Spanish and Chinese,
- flyers in English, French, Spanish and Chinese,
- a series of tutorials (in English), also posted on the UPOV website, with subtitles in French, Spanish, Arabic, Chinese, Japanese and Korean;

(d) 5 meetings (including online sessions & webinars) had been organized for individual applicants or groups of applicants upon request;

(e) presentations had been made at the following meetings: ISF congress, EAPVP Forum, ESA congress, AOHE Annual meeting and SAA congress;

(f) a LinkedIn page had been created (<https://www.linkedin.com/showcase/24973258/>);

(g) the Office of the Union had invited PVP Offices to disseminate the information on the availability of the EAF tool to potential users (e.g. breeders, representatives, agents, etc.) and to add a link to the EAF on their own websites (see Circular E-17/138);

(h) briefing sessions in English, French and Spanish had been organized at the fringes of the UPOV sessions held in Geneva in October 2017 (see Circular E-17/139).

32. In relation to communication plan for 2018, the participants agreed that the following elements should be developed:

- targeted communication to potential users of the UPOV EAF (e.g. agents, representatives, breeding companies, breeders' associations);
- training sessions (in situ and online);
- participation in international breeders' events (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 EAF PBR webpage with new testimonials from breeders and PVP Offices;
- inclusion of information in existing UPOV and UPOV members' training programs.

DEVELOPMENTS IN 2018

Launch of UPOV PRISMA Version 2.0

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

Participating UPOV members and crops/species covered

34. 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

35. 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”).

36. 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)

37. At the Eleventh Meeting on the Development of an Electronic Application Form (“EAF/11 meeting”), held in Geneva on March 28, 2017, the participants noted the following in relation to proposed developments for UPOV PRISMA Version 2.1.

Version 2.1

Coverage

UPOV members

38. 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, Chile, China, Canada, 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.

39. Members of the Union 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 the EAF. 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.

40. Circular E-17/264, issued on December 12, 2017, invited all UPOV members not currently participating in UPOV PRISMA PBR Application Tool and that have not already expressed a wish to participate, to indicate to the Office of the Union their wish to join in 2018.

Crops/ species

41. 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 United States of America) to indicate their wish to increase the scope of coverage for genera and species for Version 2.1.

42. 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.

43. 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 rootstocks.

Languages

44. 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

45. The participants noted that it is proposed to add information on the next steps in relation to PVP Offices procedures once a submission has been made via UPOV PRISMA. This information will be sent to the applicants together 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

46. 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

47. The participants noted that the breeding scheme section in Version 2.0 is available with a pre-defined list of options. Additional options for more specific breeding schemes (e.g. crop specific) might be considered for development in a subsequent version.

Novelty

48. 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.

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

Agent Role

50. The participants were informed that in order to enable local representatives or agents to submit applications on behalf of different breeders, it is proposed to update the role of "agent" in the tool. 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

51. 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 August 2018.

Communication

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

- targeted communication to potential users of the 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.

53. 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 1UPOV 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):

- posters and roll-up banners in English, Spanish and German (as reproduced in Annex I of this document),
- flyers in English, French, Spanish and German (as reproduced in Annex II of this document),
- 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

54. 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 the International Community of Breeders of Asexually Reproduced Ornamental and Fruit-Tree Varieties (CIOPORA);
- 10,000 Swiss francs from CropLife International.

55. 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 will be extended until December 2018.

56. Proposals concerning the financing of the UPOV PRISMA will be considered by the Council at its fifty-second ordinary session, to be held in Geneva on November 2, 2018.

Latest developments

57. The TWPs, at their sessions in 2018, will receive an oral report on recent developments in relation to UPOV PRISMA.

58. *The TWPs are invited to note the developments concerning UPOV PRISMA.*

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