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

Geneva

**TECHNICAL WORKING PARTY FOR FRUIT CROPS****Forty-Seventh Session****Angers, France, November 14 to 18, 2016**

## UPOV INFORMATION DATABASES

*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 provide an update on developments concerning: the GENIE database; UPOV Codes; and the PLUTO database.
2. The TWF is invited to:
  - (a) note that the TC, at its fifty-second session, agreed to invite the European Union to make a proposal to the TWPs, at their sessions in 2016, to for a revision of the Guide to the UPOV Code System with regard to UPOV codes for hybrid genera and species;
  - (b) note that the European Union proposal "Proposal to the 'Guide to the UPOV Code System' on the principal botanical name for inter-generic and interspecific hybrids" from the Community Plant Variety Office of the European Union (CPVO) is presented in document TWF/47/18;
  - (c) note the developments concerning UPOV codes, as set out in paragraph 8;
  - (d) check the amendments to UPOV codes, which are provided in Annex III part A, to this document;
  - (e) check the new UPOV codes or new information added for existing UPOV codes, which are provided in Annex III, part B, to this document;
  - (f) check the UPOV codes used in the PLUTO database for the first time, which are provided in Annex III, part C, to this document;
  - (g) submit comments on Annex III, part A "UPOV codes amendments to be checked", part B "New UPOV codes or new information", and part C "Crop type(s) of UPOV codes used in the PLUTO database for the first time" to the Office of the Union by October 7, 2016;
  - (h) the summary of contributions to the PLUTO database from 2012 to 2015 and the current situation of members of the Union on data contribution, as presented in the Annex II to this document;
  - (i) that the CAJ, at its seventy-second session, agreed, that the WG-DEN should consider proposals for the expansion of the content of the PLUTO database to include all recognized varieties, including those that had not been, or were no longer, registered/protected ;

(j) that the WG-DEN, at its first meeting, agreed to defer the consideration of the matters concerning the possible expansion of the content of the PLUTO database to include all recognized varieties, including those that have not been, or were no longer, registered/protected until its second, or a subsequent, meeting; and

(k) the information concerning the training courses “Contributing data to the PLUTO database”, held in Geneva in September and October 2015, as set out in paragraphs 22 to 24.

3. The following abbreviations are used in this document:

CAJ:	Administrative and Legal Committee
TC:	Technical Committee
TWA:	Technical Working Party for Agricultural Crops
TWC:	Technical Working Party on Automation and Computer Programs
TWF:	Technical Working Party for Fruit Crops
TWO:	Technical Working Party for Ornamental Plants and Forest Trees
TWP(s):	Technical Working Party(ies)
TWV:	Technical Working Party for Vegetables
WG-DST:	Working Group for the Development of a UPOV Denomination Similarity Search Tool
WG-DEN:	Working Group on Variety Denominations

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## GENIE DATABASE

5. It is recalled that the GENIE database (<http://www.upov.int/genie/en/>) has been developed to provide, for example, online information on the status of protection (see document C/[session]/6), cooperation in examination (see document C/[session]/5), experience in DUS testing (see document TC/[session]/4), and existence of UPOV Test Guidelines (see document TC/[session]/2) for different GENera and specIEs (hence GENIE), and is used to generate the relevant Council and Technical Committee (TC) documents concerning that information. In addition, the GENIE database is the repository of the UPOV codes and also provides information concerning alternative botanical and common names.

## UPOV CODE SYSTEM

### Guide to the UPOV Code System

6. The “Guide to the UPOV Code System” is available on the UPOV website (see [http://www.upov.int/genie/en/pdf/upov\\_code\\_system.pdf](http://www.upov.int/genie/en/pdf/upov_code_system.pdf)).

7. The TC, at its fifty-second session, held in Geneva from March 14 to 16, 2016, agreed to invite the European Union to make a proposal to the TWP, at their sessions in 2016, for a revision of the Guide to the UPOV Code System with regard to UPOV codes for hybrid genera and species (see document TC/52/29 “Report”, paragraph 163). The proposal is presented in document TWF/47/18 “Proposal to the ‘Guide to the UPOV Code System’ on the Principal Botanical name for Inter-Generic and Interspecific Hybrids”.

### UPOV code developments

8. In 2015, 188 new UPOV codes were created and amendments were made to 11 existing UPOV codes. The total number of UPOV codes in the GENIE database at the end of 2015 was 7,992.

	Year								
	<u>2007</u>	<u>2008</u>	<u>2009</u>	<u>2010</u>	<u>2011</u>	<u>2012</u>	<u>2013</u>	<u>2014</u>	<u>2015</u>
New UPOV codes	n/a	300 (approx.)	148	114	173	212	209	577	188
Amendments	n/a	30 (approx.)	17	6	12	5	47*	37	11
Total UPOV Codes (at end of year)	6,169	6,346	6,582	6,683	6,851	7,061	7,251	7,808	7,992

\* including changes to UPOV codes resulting from the amendment of the “Guide to the UPOV Code System” concerning hybrids (see document TC/49/6).

9. In accordance with the procedure set out in Section 3.3 of the Guide to the UPOV Code System, the Office of the Union will prepare tables of UPOV code additions and amendments, for checking by the relevant authorities, for each of the TWP sessions in 2016 (see [http://www.upov.int/genie/en/pdf/upov\\_code\\_system.pdf](http://www.upov.int/genie/en/pdf/upov_code_system.pdf)).

10. The Excel files provided as Annex III, part A “UPOV codes amendments to be checked”, part B “New UPOV codes or new information”, and part C “Crop type(s) of UPOV codes used in the PLUTO database for the first time” (available on the TWF/47 website in excel file only) to this documents provide information on new UPOV codes added to the GENIE database and UPOV code amendments that have not yet been checked by the relevant authorities, as follows:

“Part A, ‘UPOV codes amendments to be checked’:

for each change, the old entry is highlighted in the row in red and the changes to the entry are found in the line immediately below that highlighted row (they have the same number in the first column). All Technical Working Parties and Authority(ies) are requested to check the amendments whether the amendments follow UPOV code system, reflects authentic botanical names and/or common names (see “Guide to the UPOV Code System” [http://www.upov.int/export/sites/upov/genie/en/pdf/upov\\_code\\_system.pdf](http://www.upov.int/export/sites/upov/genie/en/pdf/upov_code_system.pdf)).

“Part B ‘New UPOV codes or new information’:

contains the new UPOV codes or new information added for existing UPOV codes. Highlighting in grey indicates that the UPOV code or name has not been changed. In this spreadsheet, the column headers highlighted in yellow indicate the relevant Technical Working Party (TWP) and Authority(ies) of interest which are requested to check the correctness of the information.”

“Part C ‘Crop type(s) of UPOV codes used in the PLUTO database for the first time’:

contains the new crop type allocation or amended allocation for new and existing UPOV codes. In this spreadsheet, the column headers highlighted in yellow indicate the relevant crop type(s) which are requested to check the correctness of the information.”

11. The TWF experts are requested to check the amendments to UPOV codes and the new UPOV codes or new information added for existing UPOV codes and to submit comments by October 7, 2015.

12. *The TWF is invited to:*

(a) *note that the TC, at its fifty-second session, agreed to invite the European Union to make a proposal to the TWPs, at their sessions in 2016, to for a revision of the Guide to the UPOV Code System with regard to UPOV codes for hybrid genera and species;*

(b) *note that European Union proposal "Proposal on the 'Guide to the UPOV Code System' on the principal botanical name for inter-generic and interspecific hybrids" from Community Plant Variety Office of the European Union (CPVO) is presented in document TWF/47/18;*

(c) *note the developments concerning UPOV codes, as set out in paragraph 8; and*

(d) *check the amendments to UPOV codes, which are provided in Annex III part A, to this document;*

(e) *check the new UPOV codes or new information added for existing UPOV codes, which are provided in Annex III, part B, to this document;*

(f) *check the UPOV codes used in the PLUTO database for the first time, which are provided in Annex III, part C, to this document;*

(g) *submit comments on Annex III, part A "UPOV codes amendments to be checked", part B "New UPOV codes or new information", and part C "Crop type(s) of UPOV codes used in the PLUTO database for the first time" to the Office of the Union by October 7, 2016.*

## PLUTO DATABASE

### Program for improvements to the PLUTO database ("Program")

13. The CAJ, at its sixty-eighth session, held on October 21, 2013, considered document CAJ/68/6 "UPOV information databases" and approved the amendments to the program for improvements to the PLUTO database ("Program") as set out in document CAJ/68/6, Annex II, subject to certain further amendments agreed at that session (see document CAJ/68/10 "Report on the Conclusions", paragraphs 23 to 26).

14. The program for improvement to the PLUTO database is reproduced in Annex I to this document.

15. The following paragraphs provide a summary of developments concerning the Program since the forty-sixth session of the TWF.

#### *Provision of assistance to contributors (Program: section 2)*

16. Section 2.3 of the Program states that "[a]n annual report on the situation [on data contributed to the plant variety database by members of the union and other contributors and assistance for data contribution] will be made to the Administrative and Legal Committee (CAJ) and Technical Committee (TC)".

17. The summary of contributions to the PLUTO database from 2012 to 2015 and the current situation of members of the Union on data contribution is presented in Annex II to this document (see document TC/52/29 "Report", paragraph 165).

#### Search tools

18. Matters concerning the possible development of a similarity search tool for variety denomination purposes are reported in document TWF/47/4 "Variety Denominations".

#### Content of the PLUTO Database

19. The Working Group for the Development of a UPOV Denomination Similarity Search Tool (WG-DST), at its second meeting, held in Geneva on June 9, 2015, agreed to recommend that consideration be given to avoiding re-use of denominations in all cases. In this regard, the WG-DST agreed to invite the CAJ to consider whether to expand the content of the PLUTO database to include all recognized varieties, including those that had not been, or were no longer, registered/protected (see document UPOV/WG-DST/2/6 "Report", paragraph 30).

20. The CAJ, at its seventy-second session, held in Geneva, on October 26 and 27, 2015, agreed that matters concerning the possible expansion of the content of the PLUTO database to include all recognized varieties, including those that have not been, or were no longer, registered/protected, be referred to the Working Group on Variety Denominations (WG-DEN) (see documents CAJ/72/9 "Report on the Conclusions", paragraph 40, and TC/52/29 "Report", paragraph 168).

21. The WG-DEN, at its first meeting, held in Geneva, on March 18, 2016, agreed to defer the consideration of the matters concerning the possible expansion of the content of the PLUTO database to include all recognized varieties, including those that have not been, or were no longer, registered/protected until its second, or a subsequent, meeting.

#### PLUTO Database Training Course

22. From September 7 to 9, 2015, and October 12 to 14, 2015, training courses on "Contributing data to the PLUTO database" were held in Geneva in English and Spanish, respectively. The aim of the courses was to provide assistance to members of the Union that did not provide data for the PLUTO database, or did not provide data on a regular basis, in order to enable them to provide data for the PLUTO database on a regular basis. The courses were in the form of practical, hands-on training, provided by the PLUTO administrators. At the end of the courses, participants were required to present the following information:

- (i) action required by participants to be able to provide data for the PLUTO database;
- (ii) action required by the PLUTO database administrator;
- (iii) the date by which participants intend to start to provide data to PLUTO on a regular basis (i.e. shortly after it is published by the authority(ies) concerned).

23. The training course in English was attended by three participants from the following members of the Union: Oman, South Africa and the former Yugoslav Republic of Macedonia. The training course in Spanish was attended by 11 participants from the following members of the Union: Argentina, Bolivia (Plurinational State of), Chile, Colombia, Costa Rica, Ecuador, Mexico, Nicaragua, Panama, Paraguay and Uruguay.

24. The dates by which participants intend to start providing data to PLUTO on a regular basis are provided in Annex II to this document (see document TC/52/6 "Information Databases", paragraph 29 to 31).

25. *The TWF is invited to note:*

*(a) the summary of contributions to the PLUTO database from 2012 to 2015 and the current situation of members of the Union on data contribution, as presented in the Annex II to this document;*

*(b) that the CAJ, at its seventy-second session, agreed, that the WG-DEN should consider proposals for the expansion of the content of the PLUTO database to include all recognized varieties, including those that had not been, or were no longer, registered/protected;*

*(c) that the WG-DEN, at its first meeting, agreed to defer the consideration of the matters concerning the possible expansion of the content of the PLUTO database to include all recognized varieties, including those that have not been, or were no longer, registered/protected until its second, or a subsequent, meeting; and*

*(d) the information concerning the training courses "Contributing data to the PLUTO database", held in Geneva in September and October 2015, as set out in paragraphs 22 to 24.*

[Three Annexes follow]

## PROGRAM FOR IMPROVEMENTS TO THE PLANT VARIETY DATABASE

*as approved by the Administrative and Legal Committee (CAJ),  
at its fifty-ninth session, held in Geneva on April 2, 2009,  
and amended by the CAJ at its sixty-fifth session, held in Geneva on March 21, 2012,  
and at its sixty-eighth session, held in Geneva on October 21, 2013*

### 1. *Title of the Plant Variety Database*

The name of the Plant Variety Database is the "PLUTO database" (PLUTO = **PL**ant varieties in the **UPOV** system: **The Omnibus**).

### 2. *Provision of assistance to contributors*

2.1 The PLUTO database administrator<sup>1</sup> will continue to contact all members of the Union and contributors to the PLUTO database that do not provide data for the PLUTO database, do not provide data on a regular basis, or do not provide data with UPOV codes. In each case, they will be invited to explain the type of assistance that would enable them to provide regular and complete data for the PLUTO database.

2.2 In response to the needs identified by members of the Union and contributors to the PLUTO database in 2.1, the PLUTO database administrator will seek to develop solutions for each of the PLUTO database contributors.

2.3 An annual report on the situation will be made to the Administrative and Legal Committee (CAJ) and Technical Committee (TC).

2.4 With regard to the assistance to be provided to contributors, the PLUTO database "General Notice and Disclaimer" states that "[...] All contributors to the PLUTO database are responsible for the correctness and completeness of the data they supply. [...]". Thus, in cases where assistance is provided to contributors, the contributor will continue to be responsible for the correctness and completeness of the data. In cases where the PLUTO database administrator is requested by the contributor to allocate UPOV codes, or where it is considered to be appropriate to amend a UPOV code allocated by the contributor, the PLUTO database administrator will make proposals for approval by the contributor. In the absence of responses within the designated time, the proposed UPOV codes will be used in the PLUTO database. Where the contributor subsequently notifies the PLUTO database administrator of a need for correction, the correction will be made at the first opportunity, in accordance with Section 4 "Frequency of data updating"

### 3. *Data to be included in the PLUTO database*

#### 3.1 *Data format*

3.1.1 In particular, the following data format options to be developed for contributing data to the PLUTO database:

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<sup>1</sup> 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 documents CAJ/57/6, paragraphs 3 and 8 and TC/44/6, paragraphs 12 and 17). 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 documents CAJ/57/6, paragraphs 18 to 21 and TC/44/6, paragraphs 27 to 30)).

"(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."

- (a) data in XML format;
- (b) data in Excel spreadsheets or Word tables;
- (c) data contribution by on-line web form;
- (d) an option for contributors to provide only new or amended data

3.1.2 To consider, as appropriate, restructuring TAG items; for example, where parts of the field are mandatory and other parts not.

3.1.3 Subject to Section 3.1.4, the character set for data shall be the ASCII [American Standard Code for Information Interchange] representation, as defined in ISO [International Standards Organization] Standard 646. Special characters, symbols or accents (~, ^, ", °, etc.) are not accepted. Only characters of the English alphabet may be used.

3.1.4 In the case of data submitted for TAG <520>, <550>, <551>, <552>, <553>, <650> <651>, <652>, <750>, <751>, <752>, <753>, <760>, <950> and <960>, the data must be submitted in Unicode Transformation Format-8 (UTF-8).

### 3.2 Data quality and completeness

The following data requirements to be introduced in the PLUTO database

TAG	Description of Item	Current Status	Proposed status	Database developments required
<000>	<b>Start of record and record status</b>	mandatory	<b>start of record to be mandatory</b>	mandatory, subject to development of facility to calculate record status (by comparison with previous data submission), if required
<190>	<b>Country or organization providing information</b>	mandatory	<b>mandatory</b>	data quality check: to verify against list of codes
<010>	<b>Type of record and (variety) identifier</b>	mandatory	<b>both mandatory</b>	(i) meaning of "(variety) identifier" to be clarified in relation to item <210>; (ii) to review whether to continue type of record "BIL"; (iii) data quality check: to check against list of types of record
<500>	<b>Species--Latin name</b>	mandatory until UPOV code provided	<b>mandatory (even if UPOV code provided)</b>	
<509>	Species--common name in English	mandatory if no common name in national language (<510>) is given.	not mandatory	
<510>	Species--common name in national language other than English	mandatory if no English common name (<509>) is given	REQUIRED if <520> is provided	
<520>	Species--common name in national language other than English in non-Roman alphabet		not mandatory	
<511>	<b>Species--UPOV Taxon Code</b>	mandatory	<b>mandatory</b>	(i) if requested, the PLUTO database administrator to provide assistance to the contributor for allocating UPOV codes; (ii) data quality check: to check UPOV codes against the list of UPOV codes; (iii) data quality check: to check for seemingly erroneous allocation of UPOV codes (e.g. wrong code for species)



TAG	Description of Item	Current Status	Proposed status	Database developments required
<b>DENOMINATIONS</b>				
<540>	<b>Date + denomination, proposed, first appearance or first entry in data base</b>	mandatory if no breeder's reference (<600>) is given	<b>(i) mandatory to have &lt;540&gt;, &lt;541&gt;, &lt;542&gt;, or &lt;543&gt; if &lt;600&gt; is not provided</b> (ii) date not mandatory (iii) REQUIRED if <550>, <551>, <552> or <553> are provided	(i) to clarify meaning and rename; (ii) data quality check: mandatory condition in relation to other items
<550>	Date + denomination, proposed, first appearance or first entry in data base in non-Roman alphabet		not mandatory	
<541>	<b>Date + proposed denomination, published</b>		<b>see &lt;540&gt;</b>	(i) to clarify meaning and rename (ii) data quality check: mandatory condition in relation to other items
<551>	Date + proposed denomination, published in non-Roman alphabet		not mandatory	
<542>	<b>Date + denomination, approved</b>	mandatory if protected or listed	<b>see &lt;540&gt;</b>	(i) to clarify meaning and rename; (ii) to allow for more than one approved denomination for a variety (i.e. where a denomination is approved but then replaced) (iii) data quality check: mandatory condition in relation to other items
<552>	Date + denomination, approved in non-Roman alphabet		not mandatory	
<543>	<b>Date + denomination, rejected or withdrawn</b>		<b>see &lt;540&gt;</b>	(i) to clarify meaning and rename (ii) data quality check: mandatory condition in relation to other items
<553>	Date + denomination, rejected or withdrawn in non-Roman alphabet		not mandatory	
<600>	Breeder's reference	mandatory if existing	REQUIRED if <650> is provided	
<650>	Breeder's reference in non-Roman alphabet		not mandatory	
<601>	Synonym of variety denomination		REQUIRED if <651> is provided	
<651>	Synonym of variety denomination in non-Roman alphabet		not mandatory	
<602>	Trade name		REQUIRED if <652> is provided	(i) to clarify meaning (ii) to allow multiple entries
<652>	Trade name in non-Roman alphabet		not mandatory	
<210>	<b>Application number</b>	mandatory if application exists	<b>mandatory if application exists</b>	to be considered in conjunction with <010>
<220>	Application/filing date	mandatory if application exists	<b>mandatory</b>	explanation to be provided if TAG<220> not completed
<400>	Publication date of data regarding the application (protection)/filing (listing)		not mandatory	
<111>	<b>Grant number (protection)/registration number (listing)</b>	mandatory if existing	<b>(i) mandatory to have &lt;111&gt; / &lt;151&gt; / &lt;610&gt; or &lt;620&gt; if granted or registered</b> (ii) date not mandatory	(i) data quality check: mandatory condition in relation to other items; (ii) to resolve any inconsistencies concerning the status of TAG<220>

TAG	Description of Item	Current Status	Proposed status	Database developments required
<151>	<b>Publication date of data regarding the grant (protection) / registration (listing)</b>		<b>see &lt;111&gt;</b>	data quality check: mandatory condition in relation to other items
<610>	<b>Start date--grant (protection)/registration (listing)</b>	mandatory if existing	<b>see &lt;111&gt;</b>	(i) data quality check: mandatory condition in relation to other items; (ii) data quality check: date cannot be earlier than <220>
<620>	<b>Start date--renewal of registration (listing)</b>		<b>see &lt;111&gt;</b>	(i) data quality check: mandatory condition in relation to other items; (ii) data quality check: date cannot be earlier than <610> (iii) to clarify meaning
<665>	Calculated future expiration date	mandatory if grant/listing	not mandatory	
<666>	Type of date followed by "End date"	mandatory if existing	not mandatory	
<b>PARTIES CONCERNED</b>				
<730>	<b>Applicant's name</b>	mandatory if application exists	<b>mandatory if application exists or REQUIRED if &lt;750&gt; is provided</b>	
<750>	Applicant's name in non-Roman alphabet		Not mandatory	
<731>	<b>Breeder's name</b>	mandatory	<b>mandatory</b>	to clarify meaning of "breeder" according to document TGP/5 (see <733>)
<751>	Breeder's name in non-Roman alphabet		Not mandatory	
<732>	Maintainer's name	mandatory if listed	<b>REQUIRED if &lt;752&gt; is provided</b>	to be accompanied by start and end date (maintainer can change)
<752>	Maintainer's name in non-Roman alphabet		Not mandatory	
<733>	<b>Title holder's name</b>	mandatory if protected	<b>mandatory if protected or REQUIRED if &lt;753&gt; is provided</b>	(i) to clarify meaning of "title holder" according to document TGP/5 (see <731>) (ii) to be accompanied by start and end date (title holder can change)
<753>	Title holder's name in non-Roman alphabet		Not mandatory	
<740>	Type of other party followed by party's name		<b>REQUIRED if &lt;760&gt; is provided</b>	
<760>	Type of other party followed by party's name in non-Roman alphabet		not mandatory	
<b>INFORMATION REGARDING EQUIVALENT APPLICATIONS IN OTHER TERRITORIES</b>				
<300>	Priority application: country, type of record, date of application, application number		not mandatory	
<310>	Other applications: country, type of record, date of application, application number		not mandatory	
<320>	Other countries: Country, denomination if different from denomination in application		not mandatory	
<330>	Other countries: Country, breeder's reference if different from breeder's reference in application		not mandatory	

TAG	Description of Item	Current Status	Proposed status	Database developments required
<900>	Other relevant information (phrase indexed)		REQUIRED if <950> is provided	
<950>	Other relevant information (phrase indexed) in non-Roman alphabet		not mandatory	
<910>	Remarks (word indexed)		REQUIRED if <960> is provided	
<960>	Remarks (word indexed) in non-Roman alphabet		not mandatory	
<920>	Tags of items of information which have changed since last transmission (optional)		not mandatory	to develop option to generate automatically (see 2.1.1.(a))
<998>	FIG		not mandatory	
<999>	Image identifier (for future use)		not mandatory	to create possibility to provide hyperlink to image (e.g. an authority's webpage)
DATES OF COMMERCIALIZATION				
<800>	Commercialization dates		not mandatory	

<800> example: "AB CD 20120119 source status"  
or "AB CD 2012 source status"

### 3.3 Mandatory and required "items"

3.3.1 With respect to items that are indicated as "mandatory" in Section 3.2, data will not be excluded from the PLUTO database if that item is absent. However, a report of the non-compliances will be provided to the contributor.

3.3.2 A summary of non-compliances will be reported to the TC and CAJ on an annual basis.

3.3.3 With respect to items that are indicated as "REQUIRED" in Section 3.2, data will be excluded from the PLUTO database if the required item is absent in Roman alphabet.

### 3.4 Dates of commercialization

3.4.1 An item has been created in the PLUTO database to allow for information to be provided on dates on which a variety was commercialized for the first time in the territory of application and other territories, on the following basis:

Item <XXX>: dates on which a variety was commercialized for the first time in the territory of application and other territories (not mandatory)

	Comment
(i) Authority providing the [following] information	ISO two letter code
(ii) Territory of commercialization	ISO two letter code
(iii) Date on which the variety was commercialized* for the first time in the territory (* The term "commercialization" is used to cover "sold or otherwise disposed of to others, by or with the consent of the breeder, for purposes of exploitation of the variety" (Article 6(1) of the 1991 Act of the UPOV Convention) or "offered for sale or marketed, with the agreement of the breeder" (Article 6(1)(b) of the 1978 Act of the UPOV Convention), as appropriate.	according to the format YYYY[MMDD] (Year[MonthDay]): month and day will not be mandatory if not available
(iv) Source of information	mandatory for each entry in item <XXX>

	<u>Comment</u>
(v) Status of information	mandatory for each entry in item <XXX> (to provide an explanation or a reference to where an explanation is provided (e.g. the website of the authority providing the data for this item))
<i>Note: for the same application, the authority in (i) could provide more than one entry for items (ii) to (v). In particular, it could provide information on commercialization in the "territory of application", but also "other territories"</i>	

3.4.2 The following disclaimer will appear alongside the title of the item in the database:

*"The absence of information in [item XXX] does not indicate that a variety has not been commercialized. With regard to any information provided, attention is drawn to the source and status of the information as set out in the fields 'Source of information' and 'Status of information'. However, it should also be noted that the information provided might not be complete and accurate."*

#### 4. Frequency of data submission

Contributors will be encouraged to provide data as soon as practical after it is published by the authority(ies) concerned. The PLUTO database will be updated with new data as quickly as possible after receipt, in accordance with the uploading procedure. The PLUTO database can, as necessary, be updated with corrected data, in accordance with the uploading procedure.

#### 5. Disclaimer

5.1 The following disclaimer appears on the PLUTO page of the UPOV website:

"The data currently in the Plant Variety Database (PLUTO database) was last updated on [dd/mm/yyyy] .

"To continue to the PLUTO page, you must first acknowledge the following disclaimer.

"Please note that the information concerning plant breeders' rights provided in the PLUTO database does not constitute the official publication of the authorities concerned. To consult the official publication, or to obtain details on the status and completeness of the information in the PLUTO database, please contact the relevant authority, contact details for which are provided at [http://www.upov.int/members/en/pvp\\_offices.html](http://www.upov.int/members/en/pvp_offices.html).

"All contributors to the PLUTO database are responsible for the correctness and completeness of the data they supply. Users are particularly requested to note that it is not obligatory for members of the Union to supply data for the PLUTO database and, for those members of the Union who supply data, it is not obligatory to supply data for all items."

5.2 The following disclaimer appears with reports generated by the PLUTO database:

"The data in this report was generated from the PLUTO database on [dd/mm/yyyy].

"Please note that the information concerning plant breeders' rights provided in the PLUTO database does not constitute the official publication of the authorities concerned. To consult the official publication, or to obtain details on the status and completeness of the information in the PLUTO database, please contact the relevant authority, contact details for which are provided at [http://www.upov.int/members/en/pvp\\_offices.html](http://www.upov.int/members/en/pvp_offices.html).

"All contributors to the PLUTO database are responsible for the correctness and completeness of the data they supply. Users are particularly requested to note that it is not obligatory for members of the Union to supply data for the PLUTO database and, for those members of the Union who supply data, it is not obligatory to supply data for all items."

6. *Common search platform*

A report on developments concerning the development of a common search platform will be made to the TC and CAJ. Any proposals concerning a common search platform will be put forward for consideration by the TC and CAJ.

[Annex II follows]

## ANNEX II

## REPORT ON DATA CONTRIBUTED TO THE PLANT VARIETY DATABASE BY MEMBERS OF THE UNION AND OTHER CONTRIBUTORS AND ASSISTANCE FOR DATA CONTRIBUTION

Contributor	Number of applications for Plant Breeders' Rights in 2014	Number of new data submissions to the Plant Variety Database in 2012 <sup>1</sup>	Number of new data submissions to the Plant Variety Database in 2013	Number of new data submissions to the Plant Variety Database in 2014	Number of new data submissions to the Plant Variety Database in 2015	Current situation
African Intellectual Property Organization	0	-	-	0	0	E-mail with instructions for contribution sent on October 31, 2014. Awaiting data.
Albania	0 (2013)	0	0	0	1	[Contributing data] Awaiting submission of missing data on the data received on February 2, 2015.
Argentina	253	0	1	0	0	Participated in the training course in 2015 and planned to start regularly submitting data from December 15, 2015.
Australia	341	5	6	3	5	[Contributing data]
*Austria	0	4	4	3	3	
Azerbaijan	19	0	0	0	0	Awaiting reply to e-mail of October 1, 2014 requesting data.
Belarus	29	1	0	0	0	Participated in the training course in 2014 and planned to submit data every March.
*Belgium	3	4	4	4	6	
Bolivia (Plurinational State of)	6	0	0	0	0	Participated in the training course in 2015 and planned to submit data by end of December, 2015.
Brazil	344	5	5	4	3	[Contributing data]
*Bulgaria	21	6	6	5	12	
Canada	345	6	5	5	7	[Contributing data]
Chile	134	3	3	2	4	[Contributing data]
China	2,026	1	0	1	2	[Contributing data] Ministry of Agriculture submitted data on May 20, 2015, and State Forestry Administration on October 23, 2015.
Colombia	106	0	0	0	0	Participated in the training course in 2015 and plans to submit data by February, 2016.
Costa Rica	20	(1)	0	2	1	[Contributing data] Participated in the training course in 2015. Data submitted on October 16, 2015. Plans to submit next data as soon as possible.
*Croatia	3	1	0	0	3	
*Czech Republic	99	4	6	4	3	
*Denmark	16	6	6	8	12	
Dominican Republic	0 (2011)	0	0	0	0	Awaiting reply to e-mail of October 21, 2014 requesting data.

<sup>1</sup> '3' indicates that new data was submitted for all three (3) new versions of the UPOV-ROM issued in 2012.

( ) Parenthesis indicates that data are currently being processed.

\* Data provided via the CPVO.

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Contributor	Number of applications for Plant Breeders' Rights in 2014	Number of new data submissions to the Plant Variety Database in 2012 <sup>1</sup>	Number of new data submissions to the Plant Variety Database in 2013	Number of new data submissions to the Plant Variety Database in 2014	Number of new data submissions to the Plant Variety Database in 2015	Current situation
Ecuador	50	3	2	1	0	[Contributing data] Participated in the training course in 2015 and planned to submit data on the first week of December, 2015.
*Estonia	7	5	4	4	9	
*European Union	3625	6	6	6	10	
*Finland	6	3	3	2	2	
*France	102	6	5	6	13	
Georgia	61	0	2	1	0	[Contributing data]
*Germany	69	6	6	8	11	
*Hungary	30	6	6	6	16	
*Iceland	0 (2012)	0	0	0	0	
*Ireland	2	2	2	2	2	
Israel	79	0	0	2	1	[Contributing data]
*Italy	5	6	6	4	8	
Japan	1,018	1	2	5	4	[Contributing data]
Jordan	12	(1)	0	0	0	
Kenya	69	0	1	2	0	[Contributing data]
Kyrgyzstan	1	1	0	1	0	[Contributing data]
*Latvia	6	2	1	3	1	
*Lithuania	7	2	3	2	3	
Mexico	180	1	1	1	1	[Contributing data] Participated in the training course in 2015 and planned to submit data by end of December, 2015.
Montenegro	-	-	-	-	0	
Morocco	76	1	1	0	2	[Contributing data]
*Netherlands	699	6	6	2	10	
New Zealand	148	5	3	5	6	[Contributing data]
Nicaragua	7	0	0	0	0	Participated in the training course in 2015 and planned to submit data by end of November 2015.
*Norway	18	3	3	1	4	
Oman	0 (2009)	0	0	0	0	Participated in the training course in 2015 and plan to submit data upon receipt of applications.
Panama	3	0	0	0	0	Participated in the training course in 2015 and planned to submit data by end of December, 2015 (received new data on January 18, 2016).
Paraguay	34(2013)	0	0	0	1	[Contributing data] Participated in the training course in 2015 and planned to submit data by mid-December, 2015. Submitted data on December 25, 2015.
Peru	56	1	0	2	0	[Contributing data]
*Poland	75	6	5	5	3	
*Portugal	0	1	1	2	0	

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Contributor	Number of applications for Plant Breeders' Rights in 2014	Number of new data submissions to the Plant Variety Database in 2012 <sup>1</sup>	Number of new data submissions to the Plant Variety Database in 2013	Number of new data submissions to the Plant Variety Database in 2014	Number of new data submissions to the Plant Variety Database in 2015	Current situation
Republic of Korea	661	1	2	1	0	[Contributing data]
Republic of Moldova	34	1	0	2	3	[Contributing data]
*Romania	32	4	3	4	4	
Russian Federation	722	5	4	2	5	[Contributing data]
Serbia	53	-	3	2	3	[Contributing data]
Singapore	6	0	0	0	0	Awaiting reply to E-mail on July 9, 2014 requesting data.
*Slovakia	16	5	6	4	4	
*Slovenia	3	4	3	5	5	
South Africa	243	2	2	0	0	Participated in the training course in 2015 and planned to submit data by end of December, 2015.
*Spain	54	6	4	5	5	
*Sweden	0	4	5	6	11	
*Switzerland	53	5	6	7	6	
The former Yugoslav Republic of Macedonia	n/a	0	0	0	0	Participated in the training course in 2014 and planned to submit data upon receipt of applications.
Trinidad and Tobago	0(2013)	0	0	0	0	Participated in the training course in 2014 and planned to submit some data by the third week of January 2015.
Tunisia	7	0	0	0	0	Awaiting reply to e-mail of July 23, 2014 requesting data. Data received and awaiting confirmation of tags on August 29, 2014,
*Turkey	202	2	1	1	1	
Ukraine	1,447	0	0	0	0	Unable to provide data at present.
*United Kingdom	36	6	6	10	11	
United Republic of Tanzania	-	-	-	-	0	
United States of America	1,567	5	6	10	17	[Contributing data]
Uruguay	49	1	0	1	1	[Contributing data] Participated in the training course in 2015 and planned to submit data by end of December, 2015.
Uzbekistan	29	0	0	0	0	Participated in the training course in 2014 and planned to submit data in 2015.
Viet Nam	109	0	0	0	0	Participated in the training course in 2014 and planned to submit data in 2015.
OECD	-	1	1	1	0	[Contributing data]

[Annex III follows]



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ANNEX III

[See Excel files]

[End of Annex III and of document]