

Meeting on the development of an electronic application form

UPOV/EAF/12/2

**Twelfth Meeting
Geneva, October 29, 2018**

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DEVELOPMENTS CONCERNING UPOV PRISMA

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 since the eleventh meeting (“EAF/11 meeting”) on the development of the electronic application form (EAF), held in Geneva on March 28, 2018, and to present proposals for future developments.
2. Participating members in the development of the electronic application form are invited to note the developments concerning UPOV PRISMA, as set out in this document; and to consider the plans for the next steps of UPOV PRISMA, to be presented at the EAF/12 meeting.
3. The structure of this document is as follows:

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BACKGROUND

4. The background to the development of the EAF is provided in document UPOV/EAF/11/2 “Developments concerning the electronic application form”.

DEVELOPMENTS AT THE EAF/11 MEETING

5. At the Eleventh Meeting on the Development of an Electronic Application Form (“EAF/11 meeting”), held in Geneva on March 28, 2018, the participating members considered document UPOV/EAF/11/2 “Developments concerning the electronic application form” and received a presentation from the Office of the Union and noted the following in relation to proposed developments for UPOV PRISMA Version 2.1 (see document UPOV/EAF/11/3 “Report”, paragraphs 4 to 36):

Coverage

UPOV members

6. Participation in Version 2.1 would be 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.

7. 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 would 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 would be developed according to available resources and would vary according to the content of the application forms and technical questionnaires.

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

Crops/species

9. Circular E-18/011, issued on February 22, 2018, invited participating members in UPOV PRISMA who did not 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.

10. Circular E-18/010, issued on February 21, and March 12, 2018, invited UPOV members who had 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 had already expressed interest to participate in UPOV PRISMA Version 2.1 (Costa Rica, Serbia, United Kingdom and Uzbekistan) had been contacted to clarify the scope of coverage for genera and species.

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

Languages

12. Additional navigation and output languages could be introduced according to available resources and if the necessary information was provided.

New Functionalities

Guidance on next steps

13. The participants noted that it was proposed to add information on the next steps in relation to PVP office procedures once a submission had been made via UPOV PRISMA. This information would 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 would need to be provided to the Office of the Union by the participating PVP Offices in UPOV PRISMA.

Deadline for submitting application

14. The participants noted that it was 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

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

Novelty

16. 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 was used in the system. It was proposed to add a "novelty alert" for applicants.

17. 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 would investigate how to update this functionality in the system in a sustainable manner and it would be presented at the next meeting on the development of the electronic application form.

Agent Role

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

Timetable for release

19. The participants noted that participating members in the development of the Version 2.1 of UPOV PRISMA would 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

20. 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.

21. 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 had 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 had 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 had 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 English, French, German and Spanish;
- 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) had been organized since January 2018 for individual applicants or groups of applicants upon request;

(g) presentations had 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>.

DEVELOPMENTS SINCE THE EAF/11 MEETING

Launch of UPOV PRISMA Version 2.1

22. Version 2.1 of UPOV PRISMA was released on September 17, 2018.

Participating UPOV members and crops/species covered

23. The table below summarizes the participating PVP offices and the crops supported in UPOV PRISMA Version 2.1:

Authority		participating in Version 2.0	currently participating in Version 2.1	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	✓	✓	Ornamentals, Fruits and Vegetables, Soyabean and Potato
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

Authority		participating in Version 2.0	currently participating in Version 2.1	Crop coverage in Version 2.1 (highlighted in grey are changes from Version 2.0)
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	-	✓	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	-	✓	Rice, Maize, Soyabean, Groundnut, Tomato, Potato, Cucumber, Rose, Chrysanthemum, Anthurium, Orange, Mango, Dragon fruit
Total		22	30	

Languages

24. Additional navigation and output languages introduced in Version 2.1 were as follow (highlighted):

Navigation languages	Output languages
<ul style="list-style-type: none"> • Chinese • English • French • German • Japanese • Korean (new) • Spanish • Turkish (new) • Vietnamese (new) 	<ul style="list-style-type: none"> • Georgian • Norwegian • Romanian • Serbian (new) • Swedish (new)

New Functionalities

25. In Version 2.1 the following new functionalities were introduced and will be presented at the EAF/12 meeting:

- Novelty/ priority alert;
- Information on PVP application procedure for participating members;
- Enhancement of agent role ;
- View application data in the final output format before submission;
- Revise application data after submission upon PVP office request.

Communication

26. Since the EAF/11 meeting, the following initiatives have 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 116 on September 18, 2018 concerning the launch of UPOV PRISMA Version 2.1, sent to all UPOV members and subscribers to the UPOV news feed;

(c) Communication campaigns sent via "Mail chimp" to a large list of potential;

(d) presentations have been made at the following meetings: ISF congress, ESA Annual meeting and CIOFORA Academy;

(e) regular updating of the UPOV PRISMA LinkedIn page, available at: <https://www.linkedin.com/showcase/24973258/>;

(f) creation of a Twitter account, available at: <https://twitter.com/upovprisma>;

(g) creation of a NewsFeed (information letter) to provide the most recent information to a list of registered users.

Coverage of Test Guidelines

27. On June 28, 2018, the Office of the Union issued Circular E-18/081, to inform participating members in UPOV PRISMA that CPVO extends the coverage of some TGs to additional UPOV codes compared to those specified in the relevant UPOV TGs and invited participating members in UPOV PRISMA Version 2.1 to indicate if they agree to extend the scope of the specified TG to the indicated UPOV codes as proposed by CPVO.

28. Replies received and possible consequences will be presented at the EAF/12 meeting.

Use of UPOV PRISMA

29. The following table summarizes the development of UPOV PRISMA since its launch in 2017 (as of October 11, 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)	-		4
July-Dec 2017	16	16	16 (1-5 crops)	-	7 (25)	10
Jan-August 2018	22	46	11 (1-100 crops)	12	44 (39 Breeder admins + 5 agents) (69)	26
Since September 2018	30	69	8 (1-100 crops)	20	55 (47 Breeder admins + 8 agents) (114)	14
TOTAL						54

Factors affecting use of UPOV PRISMA

30. The number of PBR applications made using UPOV PRISMA is small, so far. The following are considered to be the most important factors for the slow uptake of UPOV PRISMA to date:

- Difficulty in raising awareness of UPOV PRISMA amongst the persons directly involved in making PBR applications
 - The Office of the Union does not have contact details for such persons and PVP offices cannot provide contact details to the Office of the Union because of data protection laws. Outreach will continue to be largely indirect, via PVP offices and breeder organizations.
- The low initial number of participating UPOV members and crops/species covered
 - The number of UPOV members is now growing significantly and the number of crops/species covered has expanded much faster than projected.
- Inertia/burden of changing to a new system
 - It is apparent that it will take some time for some breeders to test how UPOV PRISMA works and to implement the necessary changes to their procedures. The number of breeder entities and persons assigned roles has been increasing.
- Cost
 - When first launched, a fee of CHF150 was charged per submission, which may have discouraged some breeders from testing the system to assess its potential.

Support from breeders

31. The positive feedback that the Office of the Union has received from breeders' organizations and from breeders participating in the EAF meetings and other events confirms that UPOV PRISMA is considered to be an important tool to assist breeders in making PBR applications.

32. The following contributions had been made to support UPOV PRISMA and, in particular, to enable UPOV PRISMA to be made available free of charge for an initial period (chronological order):

- International Seed Federation (ISF): CHF 20,000;
- International Community of Breeders of Asexually Reproduced Ornamental and Fruit-Tree Varieties (CIOPORA): CHF 2,500;
- CropLife International: CHF 10,000.

Policy considerations for development of UPOV PRISMA

33. The launch of the EAF (now UPOV PRISMA) in 2017 was introduced on the basis that fees from applicants would ultimately cover the costs of the service. However, a number of participating members of the Union have highlighted wider policy considerations that should be taken into account when considering the financing of UPOV PRISMA. For example, it has been noted that facilitating PBR applications will enable farmers and growers to have greater access to improved new varieties and that UPOV PRISMA can offer particular benefits because it:

1. Provides a system that can be used as a national, online electronic application system without the need for PVP offices to develop their own. This may be of particular relevance for small PVP offices.
2. Facilitates applications, particularly by SMEs¹, in more territories through:
 - a. Single, online source for current application forms
 - b. Multilingual forms with automated translation of certain information
 - c. Information on agents that can be used in the territory of application (where appropriate) (future feature)
 - d. Information on next steps after data submission (future feature).
3. For UPOV members that wish to increase the number of applications by breeders from other territories, UPOV PRISMA provides support through:
 - a. Online procedure
 - b. Multilingual forms with automated translation of certain information
 - c. Information on agents that can be used in the territory of application (where appropriate) (future feature)
 - d. Information on next steps after application form submission (future feature).

34. Members of the Union can use UPOV PRISMA to support particular policy objectives, e.g. to increase the number of domestic applications, by using UPOV PRISMA to create an online system and by making their application forms available in native and non-native languages and/or to increase the number of applications by domestic breeders in other territories by supporting the introduction of their native language as a navigation language.

Financing UPOV PRISMA

35. The policy objective of increasing the number of PBR applications may also be taken into consideration for the fee to be charged to applicants. For example, an annual subscription model could provide a greater incentive to make a larger number of PBR applications than a unit cost per submission.

36. Some members of the Union had some initial discussions on how to ensure that UPOV PRISMA could continue and could bring the benefits that they wish to obtain from UPOV PRISMA without the cost to breeders becoming an obstacle. Therefore, it was proposed to consider with relevant members of the Union and organizations representing breeders how a fund or funding arrangements might be developed to enable UPOV PRISMA to be available at a reduced fee, or free of charge.

¹ Small & Medium-sized Enterprises

37. In addition to the financial support provided by ISF, CIOPORA and CropLife International, the Ministry of Agriculture, Nature and Food Quality of the Netherlands via the PVP Development Program (Toolbox), will provide EUR 5,000. Canada has also indicated its wish to develop an annual subscription model to enable UPOV PRISMA to be made free of charge when used for making PBR applications to Canada and has indicated that it would propose to make an annual contribution of CHF5-10,000 for such a possibility.

38. The launch of the EAF (now UPOV PRISMA) in 2017 was introduced on the basis that income from the tool would ultimately cover the costs of the service and this remains the objective. The options developed below for financing UPOV PRISMA are built on that assumption.

39. In order for UPOV PRISMA to provide revenue, it is important that the cost is not a barrier for potential users to test and ultimately use the system. At this stage in the development of UPOV PRISMA, a major factor to be considered is that the awareness of UPOV PRISMA by those persons making PBR applications remains low and will remain low for some time, for the reasons explained in paragraph 28. However, it is important to have sufficient awareness of UPOV PRISMA and a sufficient number of users of UPOV PRISMA in order to be able to assess the value of the tool for breeders and, therefore, a suitable cost model.

40. In parallel with the consideration of a suitable charge for breeders, it is also necessary to consider the policy objectives of those members of the Union that would like to make UPOV PRISMA free of charge for applications in their territory.

41. On the above basis, it has been proposed to the Consultative Committee that more time be taken to explore financing options and that a proposal be made to the Consultative Committee at its ninety-sixth session, to be held in Geneva on November 1, 2018. The options that would be considered include the following:

- Fee per submission;
- Fee per variety;
- Subscription model(s) for applicants;
- Subscription model(s) for members of the Union;
- Package(s) of UPOV services.

NEXT STEPS

42. Plans for the release of future versions of UPOV PRISMA will be presented at the EAF/12 meeting.

43. 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. Any decision taken will be reported to the subsequent EAF meeting.

44. Participating members in the development of the electronic application form are invited to:

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

(b) consider the plans for the next steps of UPOV PRISMA, to be presented at the EAF/12 meeting.

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