

TWA/39/8

ORIGINAL: English

DATE: April 28, 2010

## INTERNATIONAL UNION FOR THE PROTECTION OF NEW VARIETIES OF PLANTS GENEVA

JENEVA

### **TECHNICAL WORKING PARTY FOR AGRICULTURAL CROPS**

# Thirty-Ninth Session Osijek, Croatia, May 24 to 28, 2010

#### ELECTRONIC APPLICATION SYSTEMS

Document prepared by the Office of the Union

1. The purpose of this document is to provide a report on developments concerning electronic application systems and to present the request of the Technical Committee (TC) for the Technical Working Parties (TWPs) to consider the introduction of standard references for the UPOV Model TQ and for Test Guidelines, which would also need to be considered in relation to a revision of document TGP/7 "Development of Test Guidelines".

## TWA/39/8 page 2

BACKGRO	OUND	3
Initiative .		3
Elaborati	ion of proposals	6
	Standardized Reference by Authorities to the UPOV Model Application Form and UPOV	7
Explanati	ion	7
Resource	implications	9
	e of the Union	
	bers of the Union	
Current s	status of Proposal 1	9
and UPOV	Use of Information Provided in an Electronic Version of the UPOV Model Application For Model TQ	. 12
Resource	implications	. 12
Office	e of the Union	12
Memb	bers of the Union	12
Current s	status of Proposal 2	12
ANNEX I	DOCUMENT TGP/5 "EXPERIENCE AND COOPERATION IN DUS TESTING" SECTION 2/2: "UPOV MODEL FORM FOR THE APPLICATION FOR PLANT BREEDEI RIGHTS" UPOV MODEL APPLICATION FORM, WITH STANDARD REFERENCES	RS'
ANNEX II	SET OF STANDARD REFERENCES TO: DOCUMENT TGP/5 "EXPERIENCE A COOPERATION IN DUS TESTING" SECTION 2/2: "UPOV MODEL FORM FOR THE APPLICATION FOR PLANT BREEDER RIGHTS" UPOV MODEL APPLICATION FORM	
ANNEX III	DOCUMENT TGP/7 "DEVELOPMENT OF TEST GUIDELINES" ANNEX I: "TG TEMPLATE", CHAPTER 10. TECHNICAL QUESTIONNAIRE, WI STANDARD REFERENCES	TH
ANNEX IV	SET OF STANDARD REFERENCES TO: DOCUMENT TGP/7 "DEVELOPMENT OF TE GUIDELINES" ANNEX I: "TG TEMPLATE" TECHNICAL OUESTIONNAIRE	EST

#### 2. The following abbreviations are used in this document:

CAJ: Administrative and Legal Committee

TC: Technical Committee

TC-EDC: Enlarged Editorial 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

TWV: Technical Working Party for Vegetables

TWPs: Technical Working Parties

### **UPOV Model Application Form:**

UPOV Model Form for the Application for Plant Breeders' Rights (document TGP/5 "Experience and Cooperation in DUS Testing", Section 2/2: "UPOV Model Form for the Application for Plant Breeders' Rights")

#### UPOV Model TQ:

Generalized UPOV Model Technical Questionnaire to be Completed in Connection with an Application for Plant Breeders' Rights – document TGP/7/1, Annex 1: TG Template, Chapter 10 "Technical Questionnaire" (see document TGP/5 "Experience and Cooperation in DUS Testing", Section 3/1: "Technical Questionnaire to be Completed in Connection with an Application for Plant Breeders' Rights")

#### **UPOV** Test Guidelines TQ:

Model Technical Questionnaire specific for the relevant UPOV Test Guidelines (e.g. the Test Guidelines for Rose, document TG/11/8, contains a model Technical Questionnaire for rose)

#### **BACKGROUND**

#### Initiative

3. On January 18, 2007, the Office of the Union (Office) received a letter from the International Seed Federation (ISF) proposing that UPOV should consider the development of an electronic version of the UPOV model application form¹ and technical questionnaire² for use by members of the Union. It was noted that such an approach would allow a standard application form and technical questionnaire to be completed in a language of the applicant's choice and then converted electronically to the language of the member of the Union where an application was to be made. It was suggested that the individual members of the Union could have a separate appendix containing additional questions not covered by the standard application form and technical questionnaire, although ISF suggested that such appendices should be minimized. ISF clarified that the intention was to make the forms available for use by members of the Union as they considered appropriate.

<sup>&</sup>lt;sup>1</sup> See document TGP/5 "Experience and Cooperation in DUS Testing", Section 2/2: "UPOV Model Form for the Application for Plant Breeders' Rights"

See document TGP/5 "Experience and Cooperation in DUS Testing", Section 3/1: "Technical Questionnaire to be Completed in Connection with an Application for Plant Breeders' Rights"

- 4. The Office received a letter from the International Community of Breeders of Asexually Reproduced Ornamental and Fruit-Tree Varieties (CIOPORA) on January 19, 2007, supporting the proposal made by ISF. It requested, in addition, that any initiative should not lead to a result that application forms which were short and simple would become more complex. The Office also received a letter from the European Seed Association (ESA) on January 30, 2007, expressing its support for the proposal made by ISF.
- 5. In agreement with the Chairperson of the Technical Committee (TC), ISF was invited to make a presentation on its proposal at the forty-third session of the TC, held in Geneva, from March 26 to 28, 2007.
- 6. At its forty-third session, the TC thanked ISF for its presentation on a proposal for the development of an electronic application form and technical questionnaire and noted that a copy of the presentation would be posted on the ISF website (www.worldseed.org). The TC noted that any developments should take into account the initiatives by a number of the members of the Union to develop on-line application facilities. The Vice Secretary-General welcomed the initiative of ISF and looked forward to investigating ways in which this matter could be taken forward in the most appropriate and beneficial way, within UPOV's resources. In that respect, the Vice Secretary-General informed the TC that, at its fifty-fifth session, to be held in Geneva on March 29, 2007, the CAJ would be considering the possibility to invite ISF to make a similar presentation to the CAJ in October 2007 (see document TC/43/13 "Report", paragraph 111).
- 7. The CAJ, at its fifty-fifth session, held in Geneva on March 29, 2007, agreed to invite ISF to make a presentation on its proposal for the development of an electronic application form and technical questionnaire at its fifty-sixth session in conjunction with the CAJ discussions on the revision of document TGP/5. In addition, the CAJ invited members of the Union to present their initiatives on the development of on-line application facilities.
- 8. At its fifty-sixth session, held in Geneva on October 22 and 23, 2007, the CAJ received presentations by a representative of ISF and by the Delegations of Brazil, Germany and the United Kingdom on experiences and initiatives for the development of electronic application forms and technical questionnaires. Those presentations (in English only) are reproduced in Annexes II to V to document CAJ/56/6 "Report", respectively, and on the UPOV website at <a href="http://www.upov.int/restrict/en/caj/index\_caj56.htm">http://www.upov.int/restrict/en/caj/index\_caj56.htm</a>.
- 9. The CAJ, at its fifty-sixth session (see document CAJ/56 "Report", paragraph 20), agreed that the Office should organize a meeting in order to explore possibilities:
  - (a) to provide a forum for exchanging information on electronic application systems and databasing of information;
  - (b) to investigate possibilities to facilitate harmonized electronic application systems and databasing of information, for interested members of the Union, by means of a standard electronic application form (including technical questionnaire), possibly with authority-specific annexes, to be made available for downloading from the UPOV website. Investigations would include:
    - (i) the development of a multilingual standard electronic application form in all languages provided by the relevant members of the Union (if not an official UPOV language);

- (ii) options for transfer of data from the standard electronic application form for use in applications made with members of the Union (on-line transmission, e-mail, paper), including the sharing of software between members of the Union and the use of electronic signatures and verification;
- (iii) means to facilitate the incorporation of data in electronic application systems in a format compatible with the UPOV-ROM Plant Variety Database;
- (c) to identify legal and administrative aspects which should be considered in the development of electronic application systems by members of the Union.
- 10. The CAJ agreed that any standard electronic application form (including technical questionnaire) would need to be based on the UPOV model forms contained in document TGP/5 "Experience and Cooperation in DUS Testing"<sup>1,2</sup> and document TGP/7 "Development of Test Guidelines" <sup>3</sup>.
- 11. At its fifty-seventh session, held in Geneva on April 10, 2008, the CAJ considered document CAJ/57/4, in conjunction with an oral report by the Vice Secretary-General on the Electronic Applications Systems Meeting, held in Geneva on April 9, 2008. The Vice Secretary-General reported that approximately sixty participants had attended the meeting and that a presentation had been made by the Community Plant Variety Office (CPVO) of the European Community on their project on the development of an electronic application system. As agreed by the CAJ at its fifty-sixth session, held on October 22 and 23, 2007, the meeting had explored the possibilities provided under paragraph 2 of document CAJ/57/4. The Vice Secretary-General reported that two concrete proposals had resulted from the discussions:
- (a) to prepare a survey on "core" questions in the UPOV Model Application Form, by requesting members of the Union to indicate which items of the Model Application Form they use and which they consider mandatory; and
- (b) to develop a pilot project, for a small number of crops, consisting of a downloadable application form, with or without a technical questionnaire, for testing in cooperation with breeders' organizations and a number of authorities.
- 12. In relation to the two proposals, the Vice Secretary-General noted that only very limited interest had been expressed at the meeting, which did not appear to be sufficient to justify the human and financial resources that such an exercise would entail for participating authorities and the Office of the Union.
- 13. After an initial discussion, the Vice Secretary-General noted that there had been very little time to reflect on the proposals discussed at the meeting and, given the substantial resource implications, suggested that it might be helpful to have more time for reflection.
- 14. The CAJ agreed that an item should be included on the agenda of its fifty-eighth session on October 27 and 28, 2008, in order to review the situation. The CAJ noted that, if there was

<sup>&</sup>lt;sup>3</sup> See document TGP/7 "Development of Test Guidelines", Annex 1: TG Template, Section 10. Technical Questionnaire.

support for a pilot project, the matter would need to be considered by the Consultative Committee in order to consider the impact on human and financial resources.

15. At its fifty-eighth session, held in Geneva on October 27 and 28, 2008, the CAJ considered document CAJ/58/5 and agreed that an item should be included on the agenda of its fifty-ninth session, and a document prepared by the Office of the Union on the basis of the agreed UPOV Model Application Form and further inputs from delegations and consultations thereof.

#### Elaboration of proposals

16. Documents TC/45/13 and CAJ/59/5 presented the following proposals concerning the development of electronic applications systems:

<u>Proposal 1: Standardized reference by authorities to the UPOV Model Application</u> Form, UPOV Model TQ and/or UPOV Test Guidelines TQ

A proposal based on members of the Union making reference in the relevant fields of their application forms and technical questionnaires (TQ) to the corresponding item in the UPOV Model Application Form and UPOV Model TQ or UPOV Test Guidelines TQ.

Proposal 2: Use of information provided in an electronic version of the UPOV Model Application Form (and possibly the UPOV Model TQ or UPOV Test Guidelines TQ)

A proposal based on an approach whereby the applicant would use the UPOV Model Application Form, and possibly the UPOV Model TQ or UPOV Test Guidelines TQ, to provide information to an authority as a part of an application for a breeder's right.

17. The criteria for developing those proposals were explained in document CAJ/59/5 as follows:

#### "Criteria

- "14. The discussions in the CAJ have confirmed that it would not be feasible to develop an electronic application form that would satisfy the requirements for making a complete application for a breeder's right with a member of the Union. Of the various aspects that would make such an approach unrealistic, the need for additional authority-specific information by individual members of the Union (i.e. in addition to the information included in the UPOV Model Application Form) and issues concerning electronic signatures have been consistently highlighted.
- "15. In addition to practical and resource issues, the discussions in the CAJ have indicated that it would be difficult for UPOV to develop an electronic form that contained requests for information beyond those set out in the UPOV Model Application Form and the UPOV Model TQ or UPOV Test Guidelines TQ."
- 18. It should be noted that these proposals would be entirely optional, i.e. it would be a matter for each member of the Union to decide whether to take advantage of the proposed scheme. In addition, the proposals are not mutually exclusive.
- 19. At its forty-fifth session, held in Geneva from March 30 to April 1, 2009, the TC considered document TC/45/13. The Delegation of New Zealand commented that Proposal 1

"Standardized reference by authorities to the UPOV Model Application Form, UPOV Model TQ and/or UPOV Test Guidelines TQ" would be a reasonable option for implementation in New Zealand. The Delegation of the European Community<sup>4</sup> and the representative of the International Seed Federation (ISF) expressed a preference for Proposal 2 "Use of information provided in an electronic version of the UPOV Model Application Form (and possibly the UPOV Model TQ or UPOV Test Guidelines TQ)". The Delegation of the United States of America expressed concerns about the limited interest of members to make use of the form and the resource implications. It also sought further information with respect to the proposals before it could express a view. The TC noted that the matter would be considered further by the CAJ at its fifty-ninth session, to be held in Geneva on April 2, 2009.

- 20. At its fifty-ninth session, held in Geneva on April 2, 2009, the CAJ considered document CAJ/59/5 "Electronic application systems" and the oral report by the Vice Secretary-General of the comments made by the TC at its forty-fifth session, held in Geneva from March 30 to April 1, 2009. The discussions at the fifty-ninth session of the CAJ can be found in document CAJ/59/8 "Report", paragraphs 47 to 56.
- 21. The CAJ agreed that the Office of the Union should prepare a set of detailed references for the document TGP/5 "Experience and Cooperation in DUS Testing", Section 2/2: "UPOV Model Form for the Application for Plant Breeders' Rights" for consideration at the sixtieth session of the CAJ. In addition, it requested the Office of the Union to provide information on the resource implications of Proposals 1 and 2 for the consideration of the CAJ at its sixtieth session. On that basis, Proposals 1 and 2 were developed and were considered by the CAJ at its sixtieth session, held in Geneva on October 19, 2009.

## PROPOSAL 1: STANDARDIZED REFERENCE BY AUTHORITIES TO THE UPOV MODEL APPLICATION FORM AND UPOV MODEL TQ

#### **Explanation**

- 22. This proposal is based on members of the Union making reference in the relevant fields of their application forms and technical questionnaires to the corresponding item in the UPOV Model Application Form and UPOV Model TQ or UPOV Test Guidelines TQ.
- 23. In order to provide a precise reference for all elements of information corresponding to the UPOV Model Application Form, a detailed set of references to document TGP/5 "Experience and Cooperation in DUS Testing", Section 2/2: "UPOV Model Form for the Application for Plant Breeders' Rights" has been developed. To facilitate the consideration of those references and to provide an illustration of how the standard references might be presented in an application form, Annex I shows the UPOV Model Application Form with the standard references inserted. Annex II provides a list of the standard references for the UPOV Model Application Form.

<sup>&</sup>lt;sup>4</sup> At the fifty-ninth session of the CAJ, the Delegation of the European Community noted that, at the forty-fifth session of the TC, it had expressed a preference for Proposal 2. However, taking into consideration the interventions made by other delegations at the forty-fifth session of the TC and, in particular, the resource and administrative implications of Proposal 2 "Use of information provided in an electronic version of the UPOV Model Application Form (and possibly the UPOV Model TQ or UPOV Test Guidelines TQ)", it considered that both proposals should be maintained.

- 24. As explained in document CAJ/59/5, paragraph 24, an intended benefit of Proposal 1 is to minimize linguistic difficulties for applicants and to provide the possibility of greater efficiency for applicants making multiple applications. For example, if working with several electronic application forms, the applicant could complete a single UPOV Model Application Form or UPOV Test Guidelines TQ and then transfer that information by "copy/paste" to the relevant fields of the relevant authority forms.
- 25. On the basis above, Annex II has been developed in a linear form ("linear blank form"), with blank cells for completion by applicants that would allow them to copy the information into relevant fields in the application forms and technical questionnaires of members of the Union, according to the use of standard references by the member of the Union concerned. Those forms could be posted on the UPOV website in the UPOV languages, for downloading by applicants.
- 26. A detailed set of references for the UPOV Model TQ, according to document TGP/7 "Development of Test Guidelines", Annex I: TG Template, Chapter 10 "Technical Questionnaire" has also been developed. To facilitate the consideration of those references and to provide an illustration of how the standard references might be presented in a technical questionnaire, Annex III shows the UPOV Model Technical Questionnaire with the standard references inserted. In addition to the text of the UPOV Model Technical Questionnaire, Annex III also contains certain Additional Standard Wording (ASW) from document TGP/7/1, Annex 2: "Additional Standard Wording (ASW) for the TG Template", as indicated. Annex IV provides a list of the standard references for the UPOV Model Technical Questionnaire in a "linear blank form", similar to that used in relation to the UPOV Model Application Form.
- 27. Annexes II and IV could also be produced in other languages, where provided by relevant members of the Union. However, in order to ensure the validity of the translations, all interested members of the Union would be requested to verify the translations of the languages before they were made available on the UPOV website. In addition, there would be an explanation that the translations were unofficial and that it would be the responsibility of the applicant to ensure the validity on any information provided in their application.
- 28. With regard to providing standard references for the Technical Questionnaire, a particular matter to be considered is that the characteristics of the variety to be indicated will differ according to crop and species (see document TGP/7 "Development of Test Guidelines", Annex I: TG Template, Chapter 10 "Technical Questionnaire": Section 5 "Characteristics of the variety to be indicated"). In that respect, the approach developed in Annexes III and IV to this document is to use a formula that will allow all members of the Union to present the characteristics in a standardized way according to the relevant Test Guidelines. Thus, the characteristics and notes would be presented as follows:

#### UPOV-TQ1: 5 (TG reference)(TQ reference)(TG characteristic number)(TG note)

29. Two examples of that approach are provided at the end of Annex IV. As indicated in those examples, such a reference also provides flexibility for members of the Union to provide a precise reference to any characteristic in the Test Guidelines, irrespective of whether the characteristic is one that is used in the Section 5 of the Technical Questionnaire of the Test Guidelines concerned. This approach means that it would not be necessary for the individual UPOV Test Guidelines to have specific references in order for members of the Union to have a standard form of reference.

30. The inclusion of the TG reference means that the characteristics can be linked to different versions of the Test Guidelines, which means that it would not be necessary for members of the Union to update their references each time the Test Guidelines were revised. However, in order for applicants to be able to refer to the relevant characteristics, it would mean that previous versions of adopted Test Guidelines should continue to be accessible on the UPOV website.

### Resource implications

#### Office of the Union

- 31. The following actions would be required by the Office of the Union:
  - (a) Development of standard UPOV references for the UPOV Model Application Form and UPOV Model TQ:
  - (b) Inclusion of explanation of standard references in the revision of document TGP/7 and in a revision of document TGP/5 Section 2/2;
  - (c) Posting of standard references and "linear blank forms" (in "Word" format) on freely-accessible area of UPOV website; and
  - (d) Posting of "linear blank forms" in languages provided by the relevant members of the Union (if not an official UPOV language).
- 32. No additional resources, beyond those approved in the Program and Budget for the 2008-2009 and those proposed in the draft Program and Budget for the 2010-2011 Biennium, would be required by the Office of the Union.

#### Members of the Union

- 33. The individual members of the Union would, as appropriate, include in their application forms and technical questionnaires a standardized reference to indicate the corresponding item in the UPOV Model Application Form and UPOV Model TQ (see Annexes I and III).
- 34. It would be a matter for each authority to decide if the field in the individual authority form corresponded sufficiently precisely to a field in the UPOV Model Application Form or UPOV Model TQ such that a reference could be made. For example, if there were any substantial differences in the information being requested in the UPOV model form, compared to the individual authority form, it would not be appropriate to indicate a reference to the UPOV model form.
- 35. In order to monitor the usefulness of this approach, if approved, it is proposed that, on a regular basis, the members of the Union be invited to provide information to the Office of the Union on the extent to which they use the standard references in their application forms and technical questionnaire.

#### Current status of Proposal 1

36. The CAJ, at its sixtieth session, held in Geneva on October 19 and 20, 2009, considered "Proposal 1: Standardized reference by authorities to the UPOV Model Application Form

and UPOV Model TQ", on the basis of paragraphs 21 to 30 of document CAJ/60/5 (paragraphs 21 to 35 of this document) and approved the:

- (i) standard UPOV references for the UPOV Model Application Form and UPOV Model TQ, as set out in Annexes II and IV of document CAJ/60/5 (Annexes II and IV of this document);
- (ii) inclusion of an explanation of the standard references in the revision of document TGP/7 and in a revision of document TGP/5 Section 2/2;
- (iii) posting of standard references and "linear blank forms" (in "Word" format) on the freely-accessible area of UPOV website, on the basis of Annexes II and IV of document CAJ/60/5 (Annexes II and IV of this document); and
- (iv) translation of "linear blank forms" into other languages, as set out in paragraph 26 of document CAJ/60/5 (paragraph 26 of this document).
- 37. The CAJ agreed that Proposal 1 "Standardized reference by authorities to the UPOV Model Application Form and UPOV Model TQ", as approved by the CAJ at its sixtieth session, should be put forward for adoption by the Council in October 2010 (see document CAJ/60/10 "Report on the Conclusions", paragraph 31).
- 38. The TC, at its forty-sixth session, held in Geneva from March 22 to 24, 2010, recalled that, as reported under agenda item 6 "TGP Documents", the CAJ, at its sixty-first session, would be invited to consider a proposal for text to be added to document TGP/5: Section 2 "UPOV Model Form for the Application for Plant Breeders' Rights", in order to explain the standard references in the UPOV Model Application Form.
- 39. The TC agreed to propose to the CAJ that inclusion of an explanation of the standard references for the UPOV Model TQ and for Test Guidelines, as set out in Annexes III and IV of document TC/46/13, would benefit from discussion in the TWPs and TC and should not be included in document TGP/7/2, but should be considered for a future revision of document TGP/7 (document TGP/7/3) (see document TC/46/15 "Report on the conclusions", paragraph 82).
- 40. With regard to the inclusion of an explanation of the standard references in the revision of document TGP/5 Section 2/2 (see paragraph 36(ii) above), the CAJ, at its sixty-first session, held in Geneva on March 25, 2010, agreed to the revision of document TGP/5, Section 2/2, as follows:

#### "A. General Instructions

"[…]"

"0.4 A standard UPOV reference has been provided for each field in the UPOV Model Form. For example,

"for item 1.(a) Applicant(s) Name(s),

"the standard UPOV reference is "UPOV A1: 1(a)(i)"

"To facilitate harmonization and to assist applicants, an Authority may include that standard UPOV reference in the corresponding field of the Authority's own form. It is a matter for each Authority to decide if the field in the Authority's own form corresponds sufficiently precisely to the field in the UPOV Model Application Form for the standard UPOV reference to be included."

- 41. The CAJ also agreed that, in the revision of document TGP/5, Section 2/2, a footnote be added to the first standard reference (UPOV A1: 1(a)(i)) stating that "standard UPOV reference see Section A. General Instructions, item 0.4".
- 42. The CAJ noted that the standard references and "linear blank forms" (in "Word" format) for posting on the freely accessible area of UPOV website, on the basis of Annexes I and II of document CAJ/60/5 (reproduced as Annexes I and II of this document), would be presented for adoption by the Council at its forty-fourth ordinary session, to be held in Geneva on October 21, 2010.
- 43. The CAJ agreed with the conclusion of the TC that inclusion of an explanation of the standard references for the UPOV Model TQ and for Test Guidelines, as set out in Annexes III and IV of document TC/46/13 (document CAJ/60/5) (reproduced as Annexes III and IV of this document), would benefit from discussion in the TWPs and TC and should not be included in document TGP/7/2, but should be considered for a future revision of document TGP/7 (document TGP/7/3).
  - 44. The Technical Working Parties are invited to consider the standard references for the UPOV Model TQ and for Test Guidelines, as set out in Annexes III and IV of this document, within the context of a future revision of document TGP/7 (document TGP/7/3).

## PROPOSAL 2: USE OF INFORMATION PROVIDED IN AN ELECTRONIC VERSION OF THE UPOV MODEL APPLICATION FORM AND UPOV MODEL TQ

### **Explanation**

- 45. This proposal is based on an approach whereby the applicant would use the UPOV Model Application Form and possibly the UPOV Model TQ, to provide information to an authority as a part of an application for a breeder's right. It would be a matter for each authority to decide if it could accept such information as a part of the application and, if appropriate, the procedure to be followed.
- 46. The basis for such an approach would be to use the "linear blank forms" in Annexes II and IV to this document as the basis for the applicant to provide information to an authority as a part of an application for a breeder's right.

#### Resource implications

#### Office of the Union

47. The initial actions for the Office of the Union would be similar to those of Proposal 1, although the "linear blank forms" might also need to be developed into a format that would facilitate electronic transmission of data to authorities (e.g. in XML format). However, the full resource implications of Proposal 2 would require further evaluation in conjunction with members of the Union that would wish to pursue such an approach (see below) and interested breeders' organizations. In that regard, the International Seed Federation (ISF) has indicated in informal consultations that, in principle, it would be willing to contribute resources to the development of Proposal 2.

#### Members of the Union

48. The authority would need to develop a procedure to accept the information "requested" in the UPOV Model Application Form and UPOV Model TQ as a part of its application. That information could, for example, be requested to be transmitted to the authority in electronic form (e.g. data in XML format), in the form of a Word document transmitted by e-mail, or as a hard copy by post. However, for applicants using this approach, the authority would also need to develop a procedure for the applicant to provide any additional information by a separate action, e.g. a supplementary form. It would also need to ensure that both sets of information could be combined in a reliable way to form the single application. Furthermore, it would be necessary to consider how to facilitate the completion of relevant fields in the UPOV Model Application Form in an efficient way, e.g. to ensure that the correct alternative (1991 Act or 1978 Act wording) for Question 8 in the UPOV Model Application Form was provided.

#### Current status of Proposal 2

49. The CAJ, at its sixtieth session, considered "Proposal 2: Use of information provided in an electronic version of the UPOV Model Application Form and UPOV Model TQ", on the basis of paragraphs 36 and 37 of document CAJ/60/5 (paragraphs 45 and 46 of this document).

- 50. The CAJ agreed that a Circular should be issued to the CAJ inviting expressions of interest in relation to "Proposal 2: Use of information provided in an electronic version of the UPOV Model Application Form and UPOV Model TQ". The response to that circular would be considered by the CAJ at its sixty-first session, to be held in Geneva on March 25, 2010.
- 51. At the forty-sixth session of the TC, the Delegation of the European Union recalled that, in principle, it had supported the Proposal 2 approach, but explained that it had already developed an electronic application system that would preclude such an approach without starting a new system from the beginning. It was explained that the Community Plant Variety Office of the European Union (CPVO) had launched an online application system and was encouraging the individual member States of the European Union to adopt that system for plant breeder's right and national list purposes. The CPVO had developed its own software and use of the system was not restricted by other parties. It planned to make that system available in French, German and Dutch. In response to a question from the Vice Secretary-General, the Delegation of the European Union explained that the system would be made available to the member States of the European Union in the first instance, but as a second step, consideration could be given to making that system available to members of the Union (see document TC/46/15 "Report on the conclusions", paragraph 83).
- 52. At its sixty-first session, held in Geneva on March 25, 2010, the CAJ noted the responses to Circular E-1141 concerning Proposal 2 "Use of information provided in an electronic version of the UPOV Model Application Form and UPOV Model TQ", as set out in documents CAJ/61/5 and CAJ/61/10.
- 53. The CAJ noted the intervention made by the Delegation of the European Union that recalled that, in principle, it had supported the Proposal 2 approach, but explained that it had already developed an electronic application system that would preclude such an approach without starting a new system from the beginning. It was explained that the CPVO had launched an online application system and was encouraging the individual member States of the European Union to adopt that system for plant breeder's right and national list purposes. The CPVO was planning to make that system available in French, German and Dutch. In response to a an intervention by the representative of the International Seed Federation (ISF), the Delegation of the European Union explained that the system would be made available to the member States of the European Union in the first instance, but as a second step, consideration could be given to making that system available to members of the Union.
- 54. The CAJ agreed that, in relation to Proposal 2 "Use of information provided in an electronic version of the UPOV Model Application Form and UPOV Model TQ", it would be beneficial to await developments concerning the possibility of the CPVO online application system being made available to members of the Union, as explained by the Delegation of the European Union, and decided to continue deliberations on electronic application systems, as considered appropriate by the CAJ (see document CAJ/61/11 "Report on the Conclusions", paragraphs 48 to 50).

[Annexes follow]

### TWA/39/8 ANNEX I

#### DOCUMENT TGP/5 "EXPERIENCE AND COOPERATION IN DUS TESTING" SECTION 2/2: "UPOV MODEL FORM FOR THE APPLICATION FOR PLANT BREEDERS' RIGHTS" UPOV MODEL APPLICATION FORM, WITH STANDARD REFERENCES

(Authority where application is filed) NOTE: First consult the instructions

(file mark) (Date of receipt)

		Date of receipt
1.(a) Applicant(s) <sup>5</sup> Name(s)  UPOV-A1: I(a)(i)  Address(es)  UPOV-A1: I(a)(ii)  Telephone No.(s)	2.(a) Name and address to which correspondence is to be sent (if different from 1.(a)):  Name  UPOV-A1: 2(a)(i)  Address  UPOV-A1: 2(a)(ii)	FOR OFFICIAL USE ONLY
UPOV-A1: I(a)(iii)  Fax No.(s)  UPOV-A1: I(a)(iv)  E-mail address(es)  UPOV-A1: I(a)(v)  (b) nationality(ies):	Telephone No.(s)	
(c) residence (State):  UPOV-A1: 1(c)  (d) registered offices for legal entities (State):  UPOV-A1: 1(d)	(b) This is the name and the address:  □ of one of the applicants  UPOV-A1: 2(b)(i)  □ of the procedural representative/ /agent/proxy	
(e) A procedural representative/agent/proxy will be used: Yes □ No □  UPOV-A1: 1(e)(i) UPOV-A1: 1(e)(ii)  3. (a) Botanical name:  UPOV-A1: 3(a) (b) Common name:	UPOV-A1: 2(b)(ii)	
UPOV-A1: 3(b)  4. (a) Proposed denomination (in block letters): UPOV-A1: 4(a)  (b) Breeder's reference:		
` '	person(s):	
applicant(s) by:  □ contract  UPOV-A1: 5(c)(i)	who bred, or discovered and developed, the variety to the	
□ succession  UPOV-A1: 5(c)(ii)  □ other (specify)  UPOV-A1: 5(c)(iii)  (d) The variety was bred in (State(s)):	UPOV-A1: 5(c)(iv)	
UPOV-A1: 5(d)		

6.	Other applications	Filing (State or Intergovernmental Organization / date)	Application No.	Stage	Denomination or breeder's reference
(a)	Protection				
	7	UPOV-A1: 6(a)(i)	UPOV-A1: 6(a)(ii)	UPOV-A1: 6(a)(iii)	UPOV-A1: 6(a)(iv)
(b)	Official variety list <sup>7</sup>	UDOV A1.6(b)(i)	LIDOV A1. 6(b)(ii)	UPOV A1. 6(b)(iii)	UDOV A1. 6(b)(in)
7	Dui anita, ia alaimad in	UPOV-A1: 6(b)(i)	UPOV-A1: 6(b)(ii)	UPOV-A1: 6(b)(iii)	UPOV-A1: 6(b)(iv)
7.	Priority is claimed in	on (date)	under	the denomination	rganization ) (first application)
	UPOV-A1: 7(i) An official copy of th UPOV-A1: 7(iv)	UPOV-A1.	: 7(ii)	ng, is requested as a	UPOV-A1: 7(iii) certification <sup>8</sup> of priority.
8.	The variety has been [sold or otherwise di	sposed of to others, by	or with the consent o	f the breeder, for pu	urposes of exploitation of the variety] <sup>9</sup>
	/ [offered for sale or	marketed, with the agr	eement of the breede	r] <sup>10</sup> (Authority to d	elete as appropriate)
	in [territory of app	lication]:	(91)(a)] / [UPOV-A1: 8(78	2)/ ) 7	
	□ not yet		r the first time (date)		
	[UPOV-A1	: 8(91)(b)] / [UPOV	V-A1: 8(91)(c)(i)] / V-A1: 8(78)(c)(i)]	[UPOV-A1: 8(91)(c [UPOV-A1: 8(78)(c	
	under the deno	omination			((4))
		8(91)(c)(iii)] / [UPOV-A1: 8(	78)(c)(iii)]		
	and in [other territori [UPOV-A1: 8(91)(d)(i)]	esj: /[UPOV-A1: 8(78)(d)(i)]			
	□ not yet		r the first time (territo		TUROV AL. 9(01)/J/CAL
	[UPOV-A	1: $8(78)(d)(ii)$ ] [UPOV	V-A1: 8(91)(d)(iii)] / V-A1: 8(78)(d)(iii)]	[UPOV-A1: 8(91)(a)(a)(a)(a)(a)(a)(a)(a)(a)(a)(a)(a)(a)	
	under the deno	omination [21](d)(vi)] / [UPOV-A1: 8(78	(d)(vi)]		
9.(a)	The technical examin	ation of the variety	□ has already be	en completed in _	
- (-)	,		UPOV-A1: 9(a)	U(i)(1)	POV-A1: 9(a)(i)(2)
			date comp	leted (if known): $\frac{1}{U}$	POV-A1: 9(a)(i)(3)
			□ is in progress i		Thou is a control
			UPOV-A1: 9(a) date starte	d (if known): $\underline{U}$	<i>IPOV-A1:</i> 9(a)(ii)(2)
				U	POV-A1: 9(a)(ii)(3)
			$\Box$ has not yet be UPOV-A1: 9(a)		
(b	I/We declare that the application.  UPOV-A1: 9(b)	material provided with	the first application i	s representative of	the variety and relevant to this
(c	Authorization is herel				rities of any UPOV member all he applicant are safeguarded.
	Other forms and docu	iments attached:			
	$\Box  1 \qquad \Box  2$ $UPOV-A1: 10(1) \qquad 10$	$ \begin{array}{cccc}                                  $	a 🗆 b	□ с	□ d □ e □ f
		r the grant of plant bree	eders' rights.		
		hat, to the best of my/o l in the annexes, is com		Formation necessary	for the examination of the application,
	UPOV-A1: 11(b) (p	place)		UPOV-A1: 11(	(date)
	· / · · · ·			Signature(s)	
	U	POV-A1: 11(d)			

#### TWA/39/8

#### ANNEX II

### SET OF STANDARD REFERENCES TO: DOCUMENT TGP/5 "EXPERIENCE AND COOPERATION IN DUS TESTING" SECTION 2/2: "UPOV MODEL FORM FOR THE APPLICATION FOR PLANT BREEDERS' RIGHTS" UPOV MODEL APPLICATION FORM

(note)

"A" is the abbreviation of TGP/5 "Experience and Cooperation in DUS Testing", Section 2: "UPOV Model Form for the Application for Plant Breeders' Rights";

"1" indicates the version of TGP/5 Section 2 (if TGP/5 Section 2/2 is revised, the reference would need to change to "A2")

Item in UPOV Model Application Form	Reference to be quoted in the application form of	(Clear cell indicates text to be completed in form.
(document TGP/5 "Experience and Cooperation in DUS Testing", Section 2/2: "UPOV Model Form for the Application for Plant Breeders' Rights")	the authority (note)	Highlighted cell indicates tick box, declaration or information to be attached)
1.(a) Applicant(s) <sup>11</sup> Name(s)	UPOV-A1: 1(a)(i)	
1.(a) Applicant(s) <sup>11</sup> Address(es)	UPOV-A1: 1(a)(ii)	
1.(a) Applicant(s) <sup>11</sup> Telephone No.(s)	UPOV-A1: 1(a)(iii)	
1.(a) Applicant(s) <sup>11</sup> Fax No.(s)	UPOV-A1: 1(a)(iv)	
1.(a) Applicant(s) <sup>11</sup> E-mail address(es)	UPOV-A1: 1(a)(v)	
1.(b) Applicant(s) <sup>11</sup> nationality(ies):	UPOV-A1: 1(b)	
1.(c) Applicant(s) <sup>11</sup> residence (State)	UPOV-A1: 1(c)	
1.(d) Applicant(s) <sup>11</sup> registered offices for legal entities (State)	UPOV-A1: 1(d)	
1.(e) Applicant(s) <sup>11</sup> A procedural representative/agent/ proxy will be used: Yes	UPOV-A1: 1(e)(i)	
1.(e) Applicant(s) <sup>11</sup> A procedural representative/agent/ proxy will be used: No	UPOV-A1: 1(e)(ii)	
2.(a) Name and address to which correspondence is to be sent (if different from 1.(a)): Name(s)	UPOV-A1: 2(a)(i)	
2.(a) Name and address to which correspondence is to be sent (if different from 1.(a)): Address(es)	UPOV-A1: 2(a)(ii)	
2.(a) Name and address to which correspondence is to be sent (if different from 1.(a)): Telephone No.(s)	UPOV-A1: 2(a)(iii)	
2.(a) Name and address to which correspondence is to be sent (if different from 1.(a)): Fax No.(s)	UPOV-A1: 2(a)(iv)	
2.(a) Name and address to which correspondence is to be sent (if different from 1.(a)): E-mail address(es)	UPOV-A1: 2(a)(v)	
2.(b) This is the name and the address: of one of the applicants (yes)	UPOV-A1: 2(b)(i)	

2.(b) This is the name and the address: of the procedural representative/agent/ proxy (yes)	UPOV-A1: 2(b)(ii)	
3.(a) Botanical name	UPOV-A1: 3(a)	
3.(b) Common name	UPOV-A1: 3(b)	
4.(a) Proposed denomination (in block letters)	UPOV-A1: 4(a)	
4.(b) Breeder's reference	UPOV-A1: 4(b)	
5.(a) The person(s) <sup>12</sup> who bred, or discovered and developed, the variety is (are) the (all) applicant(s) (yes)	UPOV-A1: 5(a)(i)	
5.(a) The person(s) <sup>12</sup> who bred, or discovered and developed, the variety is (are) the following person(s) (yes)	UPOV-A1: 5(a)(ii)	
5.(a) The person(s) <sup>12</sup> who bred, or discovered and developed, the variety is (are) the following person(s):	UPOV-A1: 5(a)(iii)	
5.(b) To the best of my/our knowledge there is no other person who bred, or discovered and developed the variety.	UPOV-A1: 5(b)	declaration
5.(c) The variety was transferred by the person(s) who bred, or discovered and developed, the variety to the applicant(s) by contract (yes)	UPOV-A1: 5(c)(i)	
5.(c) The variety was transferred by the person(s) who bred, or discovered and developed, the variety to the applicant(s) by succession (yes)	UPOV-A1: 5(c)(ii)	
5.(c) The variety was transferred by the person(s) who bred, or discovered and developed, the variety to the applicant(s) by other (specify) (yes)	UPOV-A1: 5(c)(iii)	
5.(c) The variety was transferred by the person(s) who bred, or discovered and developed, the variety to the applicant(s) by: other (specify)	UPOV-A1: 5(c)(iv)	
5.(d) The variety was bred in (State(s)):	UPOV-A1: 5(d)	
6. Other applications: (a) Protection: Filing (State or Intergovernmental Organization / date)	UPOV-A1: 6(a)(i)	
6. Other applications: (a) Protection: Application No.	UPOV-A1: 6(a)(ii)	
6. Other applications: (a) Protection: Stage	UPOV-A1: 6(a)(iii)	
6. Other applications: (a) Protection: Denomination or breeder's reference	UPOV-A1: 6(a)(iv)	
6. Other applications: (b) Official variety list <sup>13</sup> : Filing (State or Intergovernmental Organization / date)	UPOV-A1: 6(b)(i)	

UPOV-A1: 6(b)(iii)	
UPOV-A1: 6(b)(iv)	
UPOV-A1: 7(i)	
UPOV-A1: 7(ii)	
UPOV-A1: 7(iii)	
UPOV-A1: 7(iv)	to be provided
	UPOV-A1: 7(ii)  UPOV-A1: 7(iii)

1991 ACT alternative		
8. The variety has been sold or otherwise disposed of to others, by or with the consent of the breeder, for purposes of exploitation of the variety <sup>15</sup> in territory of application:	UPOV-A1: 8( <b>91</b> )(a)	the territory of application is inserted by the Authority
8. The variety has been sold or otherwise disposed of to others, by or with the consent of the breeder, for purposes of exploitation of the variety in territory of application: not yet	UPOV-A1: 8(91)(b)	
8. The variety has been sold or otherwise disposed of to others, by or with the consent of the breeder, for purposes of exploitation of the variety in territory of application: yes	UPOV-A1: 8(91)(c)(i)	
8. The variety has been sold or otherwise disposed of to others, by or with the consent of the breeder, for purposes of exploitation of the variety in territory of application: for the first time (date)	UPOV-A1: 8(91)(c)(ii)	
8. The variety has been sold or otherwise disposed of to others, by or with the consent of the breeder, for purposes of exploitation of the variety in territory of application: under the denomination	UPOV-A1: 8(91)(c)(iii)	
8. The variety has been sold or otherwise disposed of to others, by or with the consent of the breeder, for purposes of exploitation of the variety in: [other territories]:	UPOV-A1: 8(91)(d)(i)	
8. The variety has been sold or otherwise disposed of to others, by or with the consent of the breeder, for purposes of exploitation of the variety in other territories: not yet	UPOV-A1: 8(91)(d)(ii)	
8. The variety has been sold or otherwise disposed of to others, by or with the consent of the breeder, for purposes of exploitation of the variety in [other territories]: yes	UPOV-A1: 8(91)(d)(iii)	
8. The variety has been sold or otherwise disposed of to others, by or with the consent of the breeder, for purposes of exploitation of the variety in [other territories]: for the first time: in [territory]	UPOV-A1: 8(91)(d)(iv)	
8. The variety has been sold or otherwise disposed of to others, by or with the consent of the breeder, for purposes of exploitation of the variety in [other territories]: for the first time [in territory]: [date]	UPOV-A1: 8(91)(d)(v)	
8. The variety has been sold or otherwise disposed of to others, by or with the consent of the breeder, for purposes of exploitation of the variety in [other territories]: for the first time [in territory]: under the denomination	UPOV-A1: 8(91)(d)(vi)	

1978 ACT alternative		
8. The variety has been offered for sale or marketed, with the agreement of the breeder <sup>16</sup> in territory of application:	UPOV-A1: 8(78)(a)	the territory of application is inserted by the Authority
8. The variety has been offered for sale or marketed, with the agreement of the breeder in territory of application: not yet	UPOV-A1: 8(78)(b)	
8. The variety has been offered for sale or marketed, with the agreement of the breeder in territory of application: yes	UPOV-A1: 8(78)(c)(i)	
8. The variety has been offered for sale or marketed, with the agreement of the breeder in territory of application: for the first time (date)	UPOV-A1: 8(78)(c)(ii)	
8. The variety has been offered for sale or marketed, with the agreement of the breeder in territory of application: under the denomination	UPOV-A1: 8(78)(c)(iii)	
8. The variety has been offered for sale or marketed, with the agreement of the breeder in [other territories]:	UPOV-A1: 8(78)(d)(i)	
8. The variety has been offered for sale or marketed, with the agreement of the breeder in other territories: not yet	UPOV-A1: 8(78)(d)(ii)	
8. The variety has been offered for sale or marketed, with the agreement of the breeder in [other territories]: yes	UPOV-A1: 8(78)(d)(iii)	
8. The variety has been offered for sale or marketed, with the agreement of the breeder in [other territories]: for the first time: in [territory]	UPOV-A1: 8(78)(d)(iv)	
8. The variety has been offered for sale or marketed, with the agreement of the breeder in [other territories]: for the first time [in territory]: [date]	UPOV-A1: 8(78)(d)(v)	
8. The variety has been offered for sale or marketed, with the agreement of the breeder in [other territories]: for the first time [in territory]: under the denomination	UPOV-A1: 8(78)(d)(vi)	

9.(a) The technical examination of the variety: has already been completed: yes	UPOV-A1: 9(a)(i)(1)	
9.(a) The technical examination of the variety has already been completed: in:	UPOV-A1: 9(a)(i)(2)	
9.(a) The technical examination of the variety has already been completed: date completed (if known):	UPOV-A1: 9(a)(i)(3)	
9.(a) The technical examination of the variety: is in progress: yes	UPOV-A1: 9(a)(ii)(1)	
9.(a) The technical examination of the variety: is in progress in:	UPOV-A1: 9(a)(ii)(2)	
9.(a) The technical examination of the variety: is in progress: date started (if known)	UPOV-A1: 9(a)(ii)(3)	
9.(a) The technical examination of the variety: has not yet been started	UPOV-A1: 9(a)(iii)	
9.(b) I/We declare that the material provided with the first application is representative of the variety and relevant to this application.	UPOV-A1: 9(b)	declaration
9.(c) Authorization is hereby given to the Authority to exchange with the competent authorities of any UPOV member all necessary information and material related to the variety, provided that the rights of the applicant are safeguarded.	UPOV-A1: 9(c)	declaration
Other forms and documents attached:  1 Variety description: Attach the description of the variety on the special Technical Questionnaire for the species to which the variety belongs and mark box 1 with a cross	UPOV-A1: 10(1)	
Other forms and documents attached: 2 Power of attorney: If one joint applicant has been authorized to act for the other joint applicants or a procedural representative, agent or proxy has been named, attach the power of attorney referred to in [2.4] and mark box 2 with a cross	UPOV-A1: 10(2)	

Other forms and documents attached: 3 Priority claim: If the priority of the first application is claimed, a certified copy of the documents which constitute that application must be forwarded to the Authority within the prescribed time in the applicable law (minimum of three months from the date of filing of the present application); if that copy is attached, mark box 3 with a cross	UPOV-A1: 10(3)	
I/We hereby apply for the grant of plant breeders' rights.	UPOV-A1: 11(a)	declaration
I/We hereby declare that, to the best of my/our knowledge, the information necessary for the examination of the application, given in this form and in the annexes, is complete and correct: place	UPOV-A1: 11(b)	
I/We hereby declare that, to the best of my/our knowledge, the information necessary for the examination of the application, given in this form and in the annexes, is complete and correct: date	UPOV-A1: 11(c)	
I/We hereby declare that, to the best of my/our knowledge, the information necessary for the examination of the application, given in this form and in the annexes, is complete and correct: signature	UPOV-A1: 11(d)	

[Annex III follows]

### TWA/39/8

### ANNEX III

### DOCUMENT TGP/7 "DEVELOPMENT OF TEST GUIDELINES" ANNEX I: "TG TEMPLATE", CHAPTER 10. TECHNICAL QUESTIONNAIRE, WITH STANDARD REFERENCES

TECHNICAL QUESTIONNAIRE	Page {x} of {y}	Reference Number:			
		Application date: (not to be filled in by the applicant)			
TECHNICAL QUESTIONNAIRE  to be completed in connection with an application for plant breeders' rights  ASW 13  "In the case of hybrid varieties which are the subject of an application for plant breeders' rights, and where the parent lines are to be submitted as a part of the examination of the hybrid variety, this Technical Questionnaire should be completed for each of the parent lines, in addition to being completed for the hybrid variety."  UPOV-TQ1: ASW 13  1. Subject of the Technical Questionnaire					
$UPOV-TQI: I(a)$ 1.2 Common name { Common name } { Common nam	Sotanical name } Common name} SW 14				
2. Applicant					
Name  UPOV-TQ1: 2(a)					
Address  UPOV-TQ1: 2(b)					
Telephone No.  UPOV-TQ1: 2(c)					
Fax No.  UPOV-TQ1: 2(d)					
E-mail address  UPOV-TQ1: 2(e)					
Breeder (if different from appli	icant)				

TEO	CHNICAL QUESTIONNAIRI	Ξ	Page {x} of {y}	Reference Number:	
3.	Proposed denomination and	br	eeder's reference		
	Proposed denomination (if available)  UPOV-TQ1: 3(a) Breeder's reference  UPOV-TQ1: 3(b)				]

TECHNICAL O	QUESTIONNAIRE	Page {x} of {y}	Reference Number:	
*4. Information on the breeding scheme and propagation of the variety				
4.1 Bree	ding scheme			
<b>ASW 15</b>	(a) Alternative 1			
"Va	iety resulting from:			
"4.1	1 Crossing			
	"(a) controlled c UPOV-TQ1: 4(1) (please state UPOV-TQ1: 4(1)	()(I)(a)(i) e parent varieties)	[ ]	
	"(b) partially know UPOV-TQ1: 4(1) (please state UPOV-TQ1: 4(1))	()(I)(b)(i) known parent variety(	ies))	
	"(c) unknown cr UPOV-TQ1: 4(1)		[ ]	
"4.1	2 Mutation  UPOV-TQ1: 4(1)(II)(i)  (please state parer  UPOV-TQ1: 4(1)(II)(ii)	nt variety)	[ ]	
"4.1	3 Discovery and dev <i>UPOV-TQ1: 4(1)(III)(i)</i> (please state wher and how develope <i>UPOV-TQ1: 4(1)(III)(ii)</i>	e and when discovered	[ ]	
"4.1	4 Other  UPOV-TQ1: 4(1)(IV)(i)  (please provide de  UPOV-TQ1: 4(1)(IV)(ii)	etails)"	[ ]"	

TECHNICAL QUES	TIONNAIRE	Page {x} of {y}	Reference Number:
4.2 Method of propa	gating the varie	ety	
GN 31 Example 1			
"4.2.1 Seed	-propagated var	rieties	
"(a)	Self-pollinatio <i>UPOV-TQ1: 4(2)(I)</i>		[ ]
"(b)	Cross-pollinat (i) population  UPOV-TQI: (ii) synthetic v  UPOV-TQI:	n 4(2)(I)(b)(i) variety	[ ]
"(c)	UPOV-TQ1: 4(2)(I  See GN 32  GN 32 (TG Temp hybrid va  "In the case of hybrid"	for example}  plate: Chapter 10: TQ 4.2) - Inferrieties  rid varieties the production scheme	ormation on method of propagation of  for the hybrid should be provided on a arent lines required for propagating the
	"Single Hybri	female parent x (	male parent
		female line	male line
	"and should identify  "(a) any mal  "(b) mainten	· -	male parent
"(d)	Other UPOV-TQ1: 4(2)(I) (please provid UPOV-TQ1: 4(2)(I)	)(d)(i) e details)"	[ ]

TECHNICAL QUESTIONNAIRE	Page {x} of {y}	Reference Number:	
GN 31 Example 2			
"4.2.1 Vegetative propaga	ation		
"(a) cuttings  UPOV-TQ1: 4(2)(II)	)(a)	[ ]	
"(b) in vitro propag  UPOV-TQ1: 4(2)(II,	ation	[ ]	
"(c) other	)(c)(i)	[ ]	
"4.2.3 Other  UPOV-TQ1: 4(2)(III)(i)  (please provide det  UPOV-TQ1: 4(2)(III)(ii)	ails)"	[ ]"	

TECHNICAL QUESTIONNAIRE	Page {x} of {y}	Reference Number:	
5. Characteristics of the variety to be indicated (the number in brackets refers to the corresponding characteristic in Test Guidelines; please mark the note which best corresponds).  UPOV-TQ1: 5			
Characteristics		Example Varieties	Note
UPOV-TQ1: 5 (TG reference) (TG See Examples A and B at end of	· · · · · · · · · · · · · · · · · · ·	aracteristic number) (TG not	te)

TECHNICAL QUESTION	ONNAIRE	Page {x} o	of {y}	Reference Nu	ımber:
6. Similar varieties a	and difference	es from these	e varieties		
Please use the following table and box for comments to provide information on how your candidate variety differs from the variety (or varieties) which, to the best of your knowledge, is (or are) most similar. This information may help the examination authority to conduct its examination of distinctness in a more efficient way.					
Denomination(s) of variety(ies) similar to your candidate variety	Character which your variety diffe similar va	candidate ers from the	expres	cribe the sion of the istic(s) for the variety(ies)	Describe the expression of the characteristic(s) for <b>your</b> candidate variety
GN 33 Example	[e.g. Flow	er color]	[e.g.	orange]	[e.g. orange red]
UPOV-TQ1: 6(a)	UPOV-T <u>Q</u> 1:	6(b)	UPOV	'-TQ1: 6(c)	UPOV-TQ1: 6(d)
Comments: UPOV-TQ1: 6(e)					

TEC	HNICAL QUESTIONNAIRE	Page {x} of {y}	Reference Number:	
<sup>#</sup> 7.	Additional information which	may help in the examin	nation of the variety	
7.1	In addition to the information procharacteristics which may help		,	
	Yes $[]$ No $[$ UPOV-TQ1: $7(1)(a)(i)$ No $[$ UPOV-TQ1: $7(1)(a)(i)$ details) $[$ UPOV-TQ1: $7(1)(a)(ii)$	] Q1: 7(1)(b)		
7.2	Are there any special condition	ns for growing the varie	ety or conducting the examination?	
	Yes [] No [ UPOV-TQ1: 7(2)(a)(i) No [ UPOV-TQ1: 7(2)(a)(ii) VPOV- $TQ1: 7(2)(a)(ii)$	] Q1: 7(2)(b)		
7.3	Other information <i>UPOV-TQ1: 7(3)</i>			
ASV	V 16			
	epresentative color photograph o	f the variety should ac	company the Technical	
_	V-TQ1: 7(4)			
8.	8. Authorization for release			
	(a) Does the variety require prior authorization for release under legislation concerning the protection of the environment, human and animal health?			
	$\operatorname{Yes} \left[ \begin{array}{c} \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \$	$egin{array}{c}  ext{No} & \left[ &  ight] \  ext{\it UPOV-TQ1: 8(a)(ii)} \end{array}$		
	(b) Has such authorization be	een obtained?		
	$\operatorname{Yes} \left[ \begin{array}{c} \\ \\ UPOV-TQI: 8(b)(i) \end{array} \right]$	$N_0$ $\begin{bmatrix} \\ \end{bmatrix}$ $UPOV-TQ1: 8(b)(ii)$		
	If the answer to (b) is yes, please attach a copy of the authorization.  UPOV-TQ1: 8(b)(iii)			

TECHNICAL QUESTIONNAIRE	Page {x} of {y}	Reference Number:		
9. Information on plant material to be examined or submitted for examination.				
9.1 The expression of a characteristic or several characteristics of a variety may be affected by factors, such as pests and disease, chemical treatment (e.g. growth retardants or pesticides), effects of tissue culture, different rootstocks, scions taken from different growth phases of a tree, etc.				
9.2 The plant material should not have undergone any treatment which would affect the expression of the characteristics of the variety, unless the competent authorities allow or request such treatment. If the plant material has undergone such treatment, full details of the treatment must be given. In this respect, please indicate below, to the best of your knowledge, if the plant material to be examined has been subjected to:				
(a) Microorganisms (e.g. viru	us, bacteria, phytoplas	ma) $Yes \begin{bmatrix} 1 & No \end{bmatrix}$ UPOV-TQ1: 9(2)(a)(i) / 9(2)(a)(ii)		
(b) Chemical treatment (e.g.	growth retardant, pest			
(c) Tissue culture		Yes [] No [] $ UPOV-TQ1: 9(2)(c)(i) / 9(2)(c)(ii)$		
(d) Other factors		Yes[]No[]		
Please provide details for where <i>UPOV-TQ1:</i> 9(2)(e)	e you have indicated "			
"9.3 Has the plant material to be exa	amined been tested for	the presence of virus or other		
pathogens?	minica occii testea for	the presence of thus of other		
Yes [ ] $UPOV-TQ1: 9(3)(a)(i)$ (please provide details as specified by the Authority) $UPOV-TQ1: 9(3)(a)(ii)$				
No [ ]"  UPOV-TQ1: 9(3)(b)				
10. I hereby declare that, to the best of my knowledge, the information provided in this form is correct:				
Applicant's name UPOV-TQ1: 10(a)				
Signature  UPOV-TQ1: 10(b)		Date  UPOV-TQ1: 10(c)		

#### TWA/39/8

#### ANNEX IV

### SET OF STANDARD REFERENCES TO: DOCUMENT TGP/7 "DEVELOPMENT OF TEST GUIDELINES" ANNEX I: "TG TEMPLATE", TECHNICAL QUESTIONNAIRE

(note)

"TQ" is the abbreviation of TGP/7 "Development of Test Guidelines", Annex I: "TG Template" Technical Questionnaire;

"1" indicates the version of these references (if TGP/7 is revised, the reference may need to change to "TQ2")

Item in UPOV Model Application Form (Document TGP/7 "Development of Test Guidelines", Annex I: "TG Template" Technical Questionnaire)	Reference to be quoted in the application form of the authority (note)	(Clear cell indicates text to be completed in form.  Highlighted cell indicates tick box, declaration or information to be attached)
ASW 13 In the case of hybrid varieties which are the subject of an application for plant breeders' rights, and where the parent lines are to be submitted as a part of the examination of the hybrid variety, this Technical Questionnaire should be completed for each of the parent lines, in addition to being completed for the hybrid variety.	UPOV-TQ1: ASW 13	to be provided, if appropriate
1. Subject of the Technical Questionnaire: Botanical name	UPOV-TQ1: 1(a)	
Subject of the Technical Questionnaire:     Common name	UPOV-TQ1: 1(b)	
2. Applicant: Name	UPOV-TQ1: 2(a)	
2. Applicant: Address	UPOV-TQ1: 2(b)	
2. Applicant: Telephone No.	UPOV-TQ1: 2(c)	
2. Applicant: Fax No.	UPOV-TQ1: 2(d)	
2. Applicant: E-mail address	UPOV-TQ1: 2(e)	
Applicant:     Breeder (if different from applicant)	UPOV-TQ1: 2(f)	
3. Proposed denomination and breeder's reference: Proposed denomination (if available)	UPOV-TQ1: 3(a)	
3. Proposed denomination and breeder's reference: Breeder's reference	UPOV-TQ1: 3(b)	

<ul> <li>4. Information on the breeding scheme and propagation of the variety</li> <li>4.1 Breeding scheme</li> <li>Variety resulting from:</li> <li>ASW 15 4.1.1 Crossing</li> <li>(a) controlled cross (yes)</li> </ul>	UPOV-TQ1: 4(1)(I)(a)(i)	
4.1 Breeding scheme Variety resulting from:  ASW 15 4.1.1 Crossing  (a) controlled cross: please state parent varieties	UPOV-TQ1: 4(1)(I)(a)(ii)	
4.1 Breeding scheme Variety resulting from:  ASW 15 4.1.1 Crossing (b) partially known cross (yes)	UPOV-TQ1: 4(1)(I)(b)(i)	[ ]
<ul> <li>4.1 Breeding scheme</li> <li>Variety resulting from:</li> <li>ASW 15 4.1.1 Crossing</li> <li>(b) partially known cross:</li> <li>please state known parent variety(ies)</li> </ul>	UPOV-TQ1: 4(1)(I)(b)(ii)	
4.1 Breeding scheme Variety resulting from:  ASW 15 4.1.1 Crossing (c) unknown cross (yes)	UPOV-TQ1: 4(1)(I)(c)	
4.1 Breeding scheme Variety resulting from:  ASW 15 4.1.2 Mutation (yes)	UPOV-TQ1: 4(1)(II)(i)	
4.1 Breeding scheme Variety resulting from:  ASW 15 4.1.2 Mutation: please state parent variety	UPOV-TQ1: 4(1)(II)(ii)	
4.1 Breeding scheme Variety resulting from:  ASW 15 4.1.3 Discovery and development: (yes)	UPOV-TQ1: 4(1)(III)(i)	
4.1 Breeding scheme Variety resulting from:  ASW 15 4.1.3 Discovery and development: please state where and when discovered and how developed	UPOV-TQ1: 4(1)(III)(ii)	
4.1 Breeding scheme Variety resulting from:  ASW 15 4.1.4 Other: (yes)	UPOV-TQ1: 4(1)(IV)(i)	[]
4.1 Breeding scheme Variety resulting from:  ASW 15 4.1.4 Other: please provide details	UPOV-TQ1: 4(1)(IV)(ii)	

4. Information on the breeding scheme and propagation of the variety  4.2 Method of propagating the variety  GN 31 Ex1 4.2.1 Seed-propagated varieties  (a) Self-pollination (yes)	UPOV-TQ1: 4(2)(I)(a)	[ ]
<ul> <li>4.2 Method of propagating the variety</li> <li>GN 31 Ex1 4.2.1 Seed-propagated varieties</li> <li>(b) Cross-pollination</li> <li>(i) population (yes)</li> </ul>	UPOV-TQ1: 4(2)(I)(b)(i)	[ ]
<ul> <li>4.2 Method of propagating the variety</li> <li>GN 31 Ex1 4.2.1 Seed-propagated varieties</li> <li>(b) Cross-pollination</li> <li>(ii) synthetic variety (yes)</li> </ul>	UPOV-TQ1: 4(2)(I)(b)(ii)	
<ul> <li>4.2 Method of propagating the variety</li> <li>GN 31 Ex1 4.2.1 Seed-propagated varieties</li> <li>(c) Hybrid (yes)</li> </ul>	UPOV-TQ1: 4(2)(I)(c)(i)	
4.2 Method of propagating the variety  GN 31 Ex1 4.2.1 Seed-propagated varieties  (c) Hybrid  GN 32 (TG Template: Chapter 10: TQ 4.2) — Information on method of propagation of hybrid varieties  "In the case of hybrid varieties the production scheme for the hybrid should be provided on a separate sheet. This should provide details of all the parent lines required for propagating the hybrid e.g.  "Single Hybrid  "Three-Way Hybrid  "Three-Way Hybrid  "Three-Way Hybrid  "and should identify in particular:  "and should identify in particular:  "(a) any male sterile lines "(b) maintenance system of male sterile lines."	UPOV-TQ1: 4(2)(I)(c)(ii)	
4.2 Method of propagating the variety  GN 31 Ex1 4.2.1 Seed-propagated varieties  (d) Other: (yes)	UPOV-TQ1: 4(2)(I)(d)(i)	
4.2 Method of propagating the variety  GN 31 Ex1 4.2.1 Seed-propagated varieties  (d) Other: please provide details	UPOV-TQ1: 4(2)(I)(d)(ii)	
4.2 Method of propagating the variety GN 31 Ex2 4.2.1 Vegetatively propagated varieties: (a) cuttings (yes)	UPOV-TQ1: 4(2)(II)(a)	[ ]
4.2 Method of propagating the variety  GN 31 Ex2 4.2.1 Vegetatively propagated varieties:  (b) <i>in vitro</i> propagation (yes)	UPOV-TQ1: 4(2)(II)(b)	

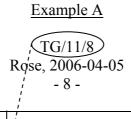
4.2 Method of propagating the variety  GN 31 Ex2 4.2.1 Vegetatively propagated varieties:  (c) other (yes)	UPOV-TQ1: 4(2)(II)(c)(i)	
4.2 Method of propagating the variety  GN 31 Ex2 4.2.1 Vegetatively propagated varieties:  (c) other state method	UPOV-TQ1: 4(2)(II)(c)(ii)	
4.2 Method of propagating the variety  GN 31 Ex2 4.2.3 Other  yes	UPOV-TQ1: 4(2)(III)(i)	
4.2 Method of propagating the variety  GN 31 Ex2 4.2.3 Other  please provide details	UPOV-TQ1: 4(2)(III)(ii)	
5. Characteristics of the variety to be indicated (the number in brackets refers to the corresponding characteristic in Test Guidelines; please mark the note which best corresponds).	UPOV-TQ1: 5 (TG reference) (TQ reference) (TG characteristic number) (TG note) -see Example A and B at end of Annex IV	
	etc.	
6. Similar varieties and differences from these varieties: Denomination(s) of variety(ies) similar to your candidate variety	UPOV-TQ1: 6(a)	
6. Similar varieties and differences from these varieties: Characteristic(s) in which your candidate variety differs from the similar variety(ies)	UPOV-TQ1: 6(b)	
6. Similar varieties and differences from these varieties: Describe the expression of the characteristic(s) for the <b>similar</b> variety(ies)	UPOV-TQ1: 6(c)	
6. Similar varieties and differences from these varieties: Describe the expression of the characteristic(s) for <b>your</b> candidate variety	UPOV-TQ1: 6(d)	
6. Similar varieties and differences from these varieties: Comments	UPOV-TQ1: 6(e)	
7. Additional information which may help in the examination of the variety 7.1 In addition to the information provided in sections 5 and 6, are there any additional characteristics which may help to distinguish the variety? Yes	UPOV-TQ1: 7(1)(a)(i)	

7.1 In addition to the information provided in sections 5 and 6, are there any additional characteristics which may help to distinguish the variety?  If yes, please provide details	UPOV-TQ1: 7(1)(a)(ii)	
7.1 In addition to the information provided in sections 5 and 6, are there any additional characteristics which may help to distinguish the variety?  No	UPOV-TQ1: 7(1)(b)	
<ul><li>7. Additional information which may help in the examination of the variety</li><li>7.2 Are there any special conditions for growing the variety or conducting the examination?</li><li>Yes</li></ul>	UPOV-TQ1: 7(2)(a)(i)	[ ]
7.2 Are there any special conditions for growing the variety or conducting the examination?  If yes, please provide details	UPOV-TQ1: 7(2)(a)(ii)	
7.2 Are there any special conditions for growing the variety or conducting the examination? No	UPOV-TQ1: 7(2)(b)	[ ]
<ul><li>7. Additional information which may help in the examination of the variety</li><li>7.3 Other information</li></ul>	UPOV-TQ1: 7(3)	
7. Additional information which may help in the examination of the variety  ASW 16 A representative color photograph of the variety should accompany the Technical Questionnaire	UPOV-TQ1: 7(4)	to be provided
8. Authorization for release (a) Does the variety require prior authorization for release under legislation concerning the protection of the environment, human and animal health? Yes	UPOV-TQ1: 8(a)(i)	
8. Authorization for release (a) Does the variety require prior authorization for release under legislation concerning the protection of the environment, human and animal health? No	UPOV-TQ1: 8(a)(ii)	[ ]
8. Authorization for release (a) Does the variety require prior authorization for release under legislation concerning the protection of the environment, human and animal health? (Yes) (b) Has such authorization been obtained? Yes	UPOV-TQ1: 8(b)(i)	

8. Authorization for release (a) Does the variety require prior authorization for release under legislation concerning the protection of the environment, human and animal health? (Yes) (b) Has such authorization been obtained? No	UPOV-TQ1: 8(b)(ii)	[ ]
8. Authorization for release (a) Does the variety require prior authorization for release under legislation concerning the protection of the environment, human and animal health? (Yes) (b) Has such authorization been obtained? (Yes) If the answer to (b) is yes, please attach a copy of the authorization.	UPOV-TQ1: 8(b)(iii)	to be provided
9. Information on plant material to be examined or submitted for examination. 9.1 The expression of a characteristic or several characteristics of a variety may be affected by factors, such as pests and disease, chemical treatment (e.g. growth retardants or pesticides), effects of tissue culture, different rootstocks, scions taken from different growth phases of a tree, etc. 9.2 The plant material should not have undergone any treatment which would affect the expression of the characteristics of the variety, unless the competent authorities allow or request such treatment. If the plant material has undergone such treatment, full details of the treatment must be given. In this respect, please indicate below, to the best of your knowledge, if the plant material to be examined has been subjected to:		
(a) Microorganisms (e.g. virus, bacteria, phytoplasma) Yes	UPOV-TQ1: 9(2)(a)(i)	[ ]
(a) Microorganisms (e.g. virus, bacteria, phytoplasma) No	UPOV-TQ1: 9(2)(a)(ii)	[ ]
(b) Chemical treatment (e.g. growth retardant, pesticide) Yes	UPOV-TQ1: 9(2)(b)(i)	[ ]
(b) Chemical treatment (e.g. growth retardant, pesticide) No	UPOV-TQ1: 9(2)(b)(ii)	[ ]
(c) Tissue culture Yes	UPOV-TQ1: 9(2)(c)(i)	[ ]
(c) Tissue culture No	UPOV-TQ1: 9(2)(c)(ii)	[ ]
(d) Other factors Yes	UPOV-TQ1: 9(2)(d)(i)	[ ]

(d) Other factors No	UPOV-TQ1: 9(2)(d)(ii)	[ ]
Please provide details for where you have indicated "yes".	UPOV-TQ1: 9(2)(e)	
9. Information on plant material to be examined or submitted for examination.  ASW 17 9.3 Has the plant material to be examined been tested for the presence of virus or other pathogens?  Yes	UPOV-TQ1: 9(3)(a)(i)	[]
9. Information on plant material to be examined or submitted for examination.  ASW 17 9.3 Has the plant material to be examined been tested for the presence of virus or other pathogens? (Yes):  Please provide details as specified by the Authority	UPOV-TQ1: 9(3)(a)(ii)	
9. Information on plant material to be examined or submitted for examination.  ASW 17 9.3 Has the plant material to be examined been tested for the presence of virus or other pathogens?  No	UPOV-TQ1: 9(3)(b)	[ ]
10. I hereby declare that, to the best of my knowledge, the information provided in this form is correct: Applicant's name	UPOV-TQ1: 10(a)	
10. I hereby declare that, to the best of my knowledge, the information provided in this form is correct: Signature	UPOV-TQ1: 10(b)	
10. I hereby declare that, to the best of my knowledge, the information provided in this form is correct:  Date	UPOV-TQ1: 10(c)	

### Example A



<u> </u>			
TECHNICAL QUESTIONNAIRE / Page {2	Reference Number:		
5. Characteristics of the variety to be indicated (the number in brackets refers to the corresponding characteristic in Test Guidelines; please mark the note which best corresponds).  UPOV-TQ1: 5			
Characteristics	Example Varieties Note		
5.4 Flower: diameter (26)			
very small	Noastrauss (G); Poulset (P)		
UPOV-TQ1: 5(TG/11/8)(5.4)(26)(1)			
small	Interlis (C); Clb.canibo 82 (G);  Maireletae (B)		
<b>UPOV-TQ1:</b> 5( <b>TG/11/8</b> )( <b>5.4</b> )( <b>26</b> )( <b>3</b> )  Meiraktas (P)			
medium	Schremna (C); Poulberg (G); 5[] Ruiz1491 (P)		
etc.			
large	Selaurum (C); Adesmanod (G); 7[] Korewala (P)		
very large	Koranderer (G); Evera116 (P) 9[]		

#### Example B (TG/11/8) Rose/Rosier/Rose/Rosal, 2006-04-05 - 9 -Example Varieties/ English français deutsch español Exemples/ Beispielssorten/ Note/ Variedades ejemplo Nota Étamine extérieure: 51. Outer-stamen: Äußeres Staubblatt: Estambre exterior: predominant color couleur prédomiüberwiegende Farbe color predominante nante des filets des Staubfadens del filamento of filament PQ **(b)** white weiß blanco Helklewi (G); blanche Koralbavan (P) **UPOV-TQ1:** 5(TG/11/8)(-)<sup>1</sup>(51)(1) Interlis (C); 2 green verte grün verde Kornemuta (G); Kornemut (P) light yellow amarillo claro jaune clair hellgelb Pouljill (G) 3 medium yellow mittelgelb amarillo medio Korplapei (C); 4 jaune moyen Meikrotal (G); Meirosfon (P) Ruiy5451 (C); orange orange orange naranja 5 Ruiskopoul (G); Everrom (P) Korfasso (G); Ruiowko (P) pink rose 6 rosa rosa Predesplen (C); red rouge rot rojo Pekoucan (G); Espever (P) brown red rouge-brun braunrot rojo pardo Schweizer Woche (G) 8

purpurn

púrpura

pourpre

purple

[End of Annex IV and of document]

Heltscher (G); Ruiovat (P)

9

<sup>&</sup>lt;sup>1</sup> Characteristic not included in Technical Questionnaire