

## Meeting on Electronic Applications

EAM/1/3

**First meeting**  
**Geneva, March 15, 2023**

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## UPOV PRISMA

*Document prepared by the Office of the Union*

*Disclaimer: this document does not represent UPOV policies or guidance*

### EXECUTIVE SUMMARY

1. The purpose of this document is to report on developments concerning UPOV PRISMA since the twentieth meeting on the development of an electronic application form (“EAF/20 meeting”), held on October 25, 2022, and to present the planned future developments.
2. Participating members in electronic applications are invited to note:
  - (a) the developments concerning UPOV PRISMA since the EAF/20 meeting;
  - (b) that a report on plans for improving CPVO TQ synchronization and the user-friendliness of UPOV PRISMA will be made at the EAM/1 meeting;
  - (c) that from Version 2.8, the Republic of Moldova uses the United Kingdom TQ for Sugar Beet, and that in Version 2.9, South Africa will also use the United Kingdom TQ for Sugar Beet as set out in paragraphs 23 and 27 of this document;
  - (d) the plans for Version 2.9, as set out in paragraphs 29 to 31 of this document;
  - (e) the plans for Version 2.10 and Version 3.0, as set out in paragraphs 33 to 39 of this document;
  - (f) the possible future developments of UPOV PRISMA, as set out in paragraphs 41 to 43 of this document.
3. The structure of this document is as follows:

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#### USE OF UPOV PRISMA (AS OF FEBRUARY 28, 2023)

4. Information on the use of UPOV PRISMA is provided below:

##### Number of submissions via UPOV PRISMA

|              | 2017      | 2018      | 2019       | 2020       | 2021         | 2022         | 2023       |
|--------------|-----------|-----------|------------|------------|--------------|--------------|------------|
| January      | 1         | -         | 7          | 18         | 107          | 232          | 206        |
| February     | -         | 3         | 9          | 5          | 107          | 95           | 107        |
| March        | 2         | 3         | 6          | 21         | 67           | 121          |            |
| April        | -         | 3         | 22         | 11         | 105          | 96           |            |
| May          | 1         | 1         | 33         | 11         | 65           | 67           |            |
| June         | -         | 7         | 10         | 18         | 819          | 78           |            |
| July         | -         | 7         | 3          | 9          | 58           | 83           |            |
| August       | -         | 1         | 7          | 11         | 379          | 435          |            |
| September    | 3         | 8         | 16         | 29         | 154          | 91           |            |
| October      | 1         | 19        | 29         | 16         | 68           | 53           |            |
| November     | 3         | 16        | 26         | 41         | 407          | 353          |            |
| December     | 3         | 9         | 51         | 32         | 174          | 204          |            |
| <b>Total</b> | <b>14</b> | <b>77</b> | <b>219</b> | <b>222</b> | <b>2,509</b> | <b>1,907</b> | <b>313</b> |

##### Number of submissions by participating Authority in UPOV PRISMA

| Authority   |    | Number of submissions in UPOV PRISMA in: |      |      |      |      |      |      | Total number of submissions in UPOV PRISMA (as of 28/02/2023) |
|---|----|--|------|------|------|------|------|------|---|
|   |    | 2017                                     | 2018 | 2019 | 2020 | 2021 | 2022 | 2023 |   |
| African Intellectual Property Organization (OAPI) | OA |  |      | 3    | 1    |      | 2    |      | 6   |
| Argentina*  | AR |  |      |      |      |      |      |      | 0   |
| Australia   | AU | 2  | 10   | 17   | 36   | 27   | 15   | 10   | 117   |
| Bolivia (Plurinational State of)*                 | BO |  |      | 2    |      |      |      |      | 2   |
| Canada  | CA |  | 6    | 27   | 17   | 24   | 46   | 2    | 122   |
| Chile   | CL | 3  |      | 3    | 1    | 9    | 3    |      | 19  |
| China   | CN |  |      |      |      |      |      |      | 0   |
| Colombia  | CO |  |      | 4    | 2    | 4    | 1    |      | 11  |
| Costa Rica  | CR |  |      | 4    | 1    | 2    |      |      | 7   |
| Dominican Republic                                | DO |  |      | 2    | 2    | 4    | 3    |      | 11  |
| Ecuador   | EC |  |      |      | 2    | 4    | 1    |      | 7   |
| European Union                                    | QZ |  | 8    | 38   | 13   | 123  | 89   | 2    | 273   |
| France  | FR |  |      | 20   | -    | 4    | 3    |      | 27  |
| Georgia   | GE |  |      | 2    | 1    | 3    | 1    | 3    | 10  |
| Kenya   | KE |  | 13   | 6    | 14   | 14   | 26   | 5    | 78  |
| Morocco   | MA |  |      |      |      | 7    | 4    |      | 11  |
| Mexico  | MX |  | 7    | 7    | 13   | 13   | 25   |      | 65  |

| Authority                        |           | Number of submissions in UPOV PRISMA in: |           |            |            |              |              |            | Total number of submissions in UPOV PRISMA (as of 28/02/2023) |
|----------------------------------|-----------|--|-----------|------------|------------|--------------|--------------|------------|---|
|                                  |           | 2017                                     | 2018      | 2019       | 2020       | 2021         | 2022         | 2023       |   |
| Netherlands                      | NL        | 1  | 8         | 12         | 6          | 1            | 2            |            | 30  |
| New Zealand                      | NZ        | 5  | 3         | 8          | 5          | 18           | 7            | 1          | 47  |
| Norway                           | NO        | 1  |           | 5          | 7          | 6            | 6            | 1          | 26  |
| Paraguay*                        | PY        |  |           |            |            |              |              |            | 0   |
| Peru                             | PE        |  |           |            | 2          | 3            | 1            |            | 6   |
| Republic of Moldova              | MD        |  |           | 2          |            |              |              |            | 2   |
| Republic of Korea                | KR        |  |           | 1          | 1          |              |              |            | 2   |
| Saint Vincent and the Grenadines | VC        |  |           |            |            |              |              |            | 0   |
| Serbia                           | RS        |  |           | 2          | 1          | 3            |              |            | 6   |
| South Africa                     | ZA        |  | 2         | 3          | 2          | 12           | 17           | 1          | 37  |
| Sweden                           | SE        |  |           | 1          |            |              |              |            | 1   |
| Switzerland                      | CH        | 2  | 3         | 4          | 16         | 13           | 9            | 2          | 49  |
| Trinidad and Tobago              | TT        |  |           |            |            |              |              |            | 0   |
| Tunisia                          | TN        |  | 2         | 4          |            | 1            |              |            | 7   |
| Türkiye                          | TR        |  | 6         | 23         | 54         | 65           | 63           | 6          | 217   |
| United Kingdom                   | GB        |  | 3         | 18         | 22         | 2,138        | 1,557        | 277        | 4'015   |
| United States of America         | US        |  | 6         | 1          | 3          | 5            | 26           | 3          | 44  |
| Uruguay                          | UY        |  |           |            |            | 6            |              |            | 6   |
| Viet Nam                         | VN        |  |           |            |            |              |              |            | 0   |
| <b>Total:</b>                    | <b>36</b> | <b>14</b>                                | <b>77</b> | <b>219</b> | <b>222</b> | <b>2,509</b> | <b>1,907</b> | <b>206</b> | <b>5,256</b>  |

\*Until required information is provided, applicants will not be able to submit application data

#### LAUNCH OF VERSION 2.8 (NOVEMBER 2022)

5. UPOV PRISMA Version 2.8, incorporating the following developments, was deployed on November 21, 2022.

#### UPOV members

6. No new additional participating UPOV members .

- The forms for France, the Netherlands and the United Kingdom were updated.

#### Crops/species

7. The following new UPOV member coverage was for Version 2.8:

- The Republic of Moldova uses the United Kingdom TQ for Sugar Beet;
- Expand the coverage of the United States of America to include all crops and species except for those listed below. UPOV TG characteristics were used in Exhibit C.Objective description of the Variety.

| Common Name  | Botanical Name                            |
|--------------|---|
| Alfalfa      | Medicago sativa L.                        |
| Barley       | Hordeum vulgare L.                        |
| Bentgrass    | Agrostis capillaris L.                    |
| Bermudagrass | Cynodon dactylon (L.) Pers. var. dactylon |
| Bluegrass    | Poa pratensis L.                          |
| Cauliflower  | Brassica oleracea L. var. botrytis L.     |
| Corn         | Zea mays L.                               |
| Cotton       | Gossypium hirsutum L.                     |
| Field Bean   | Phaseolus vulgaris L.                     |
| Fine Fescue  | Festuca rubra L. var. rubra               |
| Garden Bean  | Phaseolus vulgaris L.                     |

| Common Name            | Botanical Name  |
|------------------------|---|
| Marigold               | Tagetes patula L.                                       |
| Muskmelon              | Cucumis melo L.   |
| Oat                    | Avena sativa L.   |
| Onion                  | Allium cepa L.  |
| Pea                    | Pisum sativum L.  |
| Peanut                 | Arachis hypogaea L.                                     |
| Pumpkin                | Cucurbita pepo L.                                       |
| Rice                   | Oryza sativa L.   |
| Ryegrass               | Lolium multiflorum Lam.                                 |
| Safflower              | Carthamus tinctorius L.                                 |
| Sorghum                | Sorghum bicolor (L.) Moench                             |
| Tall and Meadow Fescue | Festuca pratensis Hudson                                |
| Triticale              | x Triticosecale Wittm.                                  |
| Vinca                  | Catharanthus roseus (L.) G. Don                         |
| Watermelon             | Citrullus lanatus (Thunb.) Matsum. & Nakai var. lanatus |
| Zinnia                 | Zinnia elegans Jacq.                                    |

### New functionalities

8. The following functionalities were introduced in Version 2.8:

- possibility to upload multiple attachments for the same question;
- In the email notification message, remove the reference to the “applicant” since it is not correct when an agent submits the application data;
- Add an additional “notes” field to the agent profile to allow agents to provide further information to breeders/applicants, such as services offered and languages spoken;
- For agents, an option to accept invitations in bulk; and
- Improve the download functionality for PVP Offices by including UPOV code information for crops not covered by UPOV TG and the addition of the following columns for the United Kingdom as a proof of concept:
  - Country of Origin
  - NLI Maintainer
  - NLI Agent
  - NLI Applicant
  - PBR Breeder
  - PBR Applicant
  - PBR Agent
  - Date PBR application received
  - Date NL application Received
  - Provisional Marketing Authorisation Code
  - Provisional Marketing Authorisation Date
  - Seed Weight.

### OTHER DEVELOPMENTS

#### IT Quality Software Audit

9. To improve the quality of the UPOV PRISMA software, it was decided to organize a code audit, which produced the following recommendations:

- (1) Implement best practices in terms of coding in order to avoid concurrency and performance issues;
- (2) Move to the cloud for a better resource management at infrastructure level and keep following the highest security standards;
- (3) Develop a dedicated configuration interface for a controlled management of the forms.

10. Recommendation 1 (best practices in terms of coding) was implemented in Version 2.8.

11. Recommendation 2 (Migration to the cloud) and Recommendation 3 (Development of a dedicated configuration interface) will be implemented in Version 2.10, subject to available resources.

12. After deployment of Version 2.8, certain issues were reported by the users. Those issues were not identified at the time of regression testing, mainly because the tests were done on TEST data and not real data. It is proposed to apply the automatic regression tests on a copy of production data, as from Version 2.9.

13. A report on progress on implementing the recommendations will be made at the EAM/1 meeting.

#### Improvement of user-friendliness of UPOV PRISMA

14. In order to improve the user-friendliness of UPOV PRISMA, consultations were organized with users to review certain current existing functionalities (copy functionality, assignment of roles) (see documents UPOV/EAF/17/3 "Report", paragraph 22, and UPOV/EAF/18/3 "Report", paragraphs 15 and 16).

15. Participants in the UPOV PRISMA Task Force Group were consulted on the proposals made to improve the interface and the navigation through the system.

16. A second draft of the screens (Start New Application, Copy Application) were circulated to the Task Force Group on June 21, 2022, for feedback. The new proposal was presented during the Task Force Meeting held on June 22, 2022.

17. During the Task Force meeting held on December 11, 2022, the consolidated feedback received from ISF/CIOPORA was presented and discussed. The follow-up actions are reflected in the plans below.

#### CPVO Synchronization

18. A meeting of the UPOV PRISMA Task Force Group was organized on December 11, 2022 to report on CPVO participation in UPOV PRISMA.

19. In order to achieve and maintain synchronization of TQs between UPOV PRISMA and CPVO, the following projects have been agreed with CPVO:

- Project 1: "Audit" (current issues/ states of affairs) for exchange of data between UPOV PRISMA and CPVO in both directions (Status: completed);
- Project 2: Part A: Resolving current issues; Part B : Synchronizing changes by UPOV/CPVO (Status: ongoing on the basis of information provided in Project 1);
- Project 3: Implementation of Project 2 outcome: Bi-directional exchange of application data (lettuce, tomato, rose) (Status: ongoing on the basis of information provided in Project 1);
- Project 4: Bulk upload of Maize applications from UPOV to CPVO (Status: ongoing on the basis of information provided in Project 1); and
- Project 5: "Transitional arrangements", to communicate to applicants about the situations in which they can use UPOV PRISMA for applications at the CPVO and the measures that need to be taken until all issues have been resolved (Status: ongoing).

20. In relation to the TQ synchronization between UPOV PRISMA and CPVO, CPVO and UPOV agreed to follow three phases for Project 3:

- Phase 1: Lettuce and Rose February 2023;
- Phase 2: Rollout the approach to other pilot crops where their UPOV TG are under revision (in 2023);
- Phase 3: Fully automated synchronization for TQ5 (after 2023).

21. A report on progress made for each project will be made at the EAM/1 meeting.

*22. Participating members in electronic applications are invited to note that a report on plans for improving CPVO TQ synchronization and the user-friendliness of UPOV PRISMA will be made at the EAM/1 meeting.*

#### Coverage of Test Guidelines: Sugar Beet

23. It is recalled that in cases where a participating authority uses a national Technical Questionnaire (TQ) for the Table of Characteristics, for a specific crop, where there are no UPOV Test Guidelines (TGs) there is a possibility to develop a specific UPOV PRISMA TQ for this crop, subject to a procedure for consultation with other UPOV participating members in UPOV PRISMA and under the condition to follow UPOV TGs TQ and UPOV characteristics.

24. It was agreed at the EAF/19 meeting to amend the procedure for consultation of UPOV participating members in UPOV PRISMA as follows (see document EAF/19/3 "Report", paragraph 16):

- (1) Request from Authority A for a specific crop (Authority A TQ);
- (2) Inform other participating authorities in UPOV PRISMA;
- (3) Circulate the Authority A TQ to see if participating UPOV members that use the UPOV TQ for all genera and species would prefer to:
  - (a) use Authority A TQ, or
  - (b) continue using the generic TQ;
- (4) Implement Authority A TQ for UPOV members who wish to use Authority A TQ (subject to available resources).

25. According to the above procedure, more than one authority can make their TQ available for use by other participating UPOV members that use the UPOV TQ for all genera and species.

26. In accordance with the proposed new procedure agreed at the EAF/19 meeting, the United Kingdom TQ for Sugar Beet was circulated on June 15, 2022 (Circular E-22/089) to the participating UPOV members that use the UPOV TQ for all genera and species to see if they would wish to use the United Kingdom TQ or to continue using the generic TQ.

27. South Africa has expressed its wish to use the United Kingdom TQ for Sugar Beet. This will be reflected in Version 2.9.

*28. Participating members in electronic applications are invited to note that the proposed new procedure was applied for the United Kingdom TQ for Sugar Beet, and that in Version 2.9 South Africa will use the United Kingdom TQ for Sugar Beet, as set out in paragraphs 23 and 27 of this document.*

## PLANS FOR VERSION 2.9

### Release of Version 2.9

29. It is planned to release Version 2.9 of UPOV PRISMA in May 2023.

### Crop coverage

30. Expand the crop coverage for Morocco as follows:.

| Common Name       | Botanical Name  | UPOV TG         |
|-------------------|---|-----------------|
| French Bean       | <i>Phaseolus vulgaris</i> L.  | TG/12/9 Rev.2   |
| Hot pepper        | <i>Capsicum annuum</i> L.   | TG/76/8         |
| Lettuce           | <i>Lactuca staiva</i> L.  | TG/13/x         |
| Squash            | <i>Cucurbita pepo</i> L.  | TG/119/4 Corr.2 |
| Tomato            | <i>Solanum lycopersicum</i> L.  | TG/44/11        |
| Tomato Rootstocks | <i>Solanum habrochaites</i> S. Knapp & D.M. Spooner;<br><i>Solanum lycopersicum</i> L. x <i>Solanum habrochaites</i> S. Knapp & D.M. Spooner;<br><i>Solanum lycopersicum</i> L. x<br><i>Solanum peruvianum</i> (L.) Mill.;<br><i>Solanum lycopersicum</i> L. x<br><i>Solanum cheesmaniae</i> (L. Ridley) Fosberg;<br><i>Solanum pimpinellifolium</i> L. x <i>Solanum habrochaites</i> S. Knapp & D.M. Spooner | TG/294/1 Rev.3  |

### Functionalities

31. The following functionalities are planned to be introduced in Version 2.9:

- In UPOV PRISMA, confirmation email (submitted and received), add a reference to the authority.
- For all questions "this question could be confidential", change the current default from 'No' to 'Yes';

- See the applications waiting for agent's acceptance;
- Set up notifications preferences; and
- Allow users to specify the crop group

32. *Participating members in electronic applications are invited to note the plans for version 2.9 as set out in paragraphs 29 to 31 of this document.*

## PLANS FOR VERSION 2.10

### Release of Version 2.10

33. It is planned to release Version 2.10 of UPOV PRISMA in October 2023.

### UPOV member coverage

34. The following new UPOV member coverage is anticipated for Version 2.10:

#### *- China*

Expand the crop coverage for China as follows:

| Common Name | Botanical Name           | UPOV TG     |
|-------------|--------------------------|-------------|
| Soya bean   | Glycine max (L.) Merrill | TG/80/6     |
| Kiwifruit   | Actinidia Lindl.         | TG/98/7     |
| Sunflower   | Helianthus annuus L.     | TG/81/6     |
| Tomato      | Solanum lycopersicum L.  | TG/44/11    |
| Hot pepper  | Capsicum annum L         | TG/76/8     |
| Anthurium   | Anthurium Schott         | TG/86/5     |
| Guzmania    | Guzmania Ruiz et Pav.    | TG/182/4    |
| Cucumber    | Cucumis sativus L.       | TG/61/7     |
| Melon       | Cucumis melo L.          | TG/104/5    |
| Morchella   | Morchella Dill. ex Pers. | National TG |

*China will automate application data exchange between UPOV PRISMA and their application administration system.*

#### *- Brazil*

Brazil has indicated its intention to join UPOV PRISMA for a limited set of crops. The final list has not yet been decided. Brazil will automate application data exchange between UPOV PRISMA and their application administration system.

### Functionalities

35. The following functionalities are planned to be introduced in Version 2.10:

- Improve Search functionality, and
- Bulk invoice upon request.

## PLANS FOR VERSION 3.0

### Release of Version 3.0

36. It is planned to release Version 3.0 of UPOV PRISMA in 2024.

### UPOV member coverage

37. It will possible to make applications to Japan and e-PVP Asia (see document TC/57/9 "Cooperation in Examination", paragraph 13).

### Functionalities

38. The following functionalities are planned to be introduced in Version 3.0:

- Move to the cloud for a better resource management at infrastructure level and keep following the highest security standards;
- Implement the new screen design for Start New Application and Copy Application;
- Improve / revise botanical names and German translations;
- Receive notification / alert when a change is made to the AF or TQ for GB;
- PDF accessibility; and
- Floating menu for chapters in the generated form page.

### Timetable

39. Implementation of Version 3.0 will be in four phases:

- Phase 1 – Work package 1 :Migration to the cloud and form generation, serialization and deserialization (from February 2023 to December 2023)
- Phase 2 –Testing and debugging of work package 1 (January 2024)
- Phase 3 – Work package 2: Integration with existing application and dashboard (December 2023-March 2024)
- Phase 4 – Testing and debugging of work package 2 (April 2024)

*40. Participating members in electronic applications are invited to note the plans for version 2.10 and version 3.0 as set out in paragraphs 33 to 39 of this document.*

## POSSIBLE FUTURE DEVELOPMENTS

### Coverage

41. The following members of the Union have expressed an interest to join UPOV PRISMA in the future: Bosnia and Herzegovina, Egypt, Nicaragua, Singapore, the United Republic of Tanzania and Uzbekistan. The Office of the Union will consult the members of the Union concerned to discuss their requirements and timeline for joining UPOV PRISMA.

### User-friendliness of the tool

42. It was agreed at the EAF/19 meeting that the following elements would be considered after 2022 to increase the user-friendliness of UPOV PRISMA:

- Addition of non-UPOV TQ characteristics in TQ Section 7 instead of TQ Section 5 (see document EAF/17/3 “Report” paragraph 19);
- Crop-specific TQs beyond Test Guidelines (see document EAF/16/3 “Report” paragraph 18).

### New functionalities

43. The following new functionalities will be considered for possible development:

- Bulk Upload (for maize, United Kingdom);
- Machine translation (see document EAF/16/3 “Report” paragraph 18);
- Information on DUS cooperation (DUS Arrangement Recommendation Tool (DART)) (see document EAF/16/3 “Report” paragraph 18).

*44. Participating members in electronic applications are invited to note the possible future developments of UPOV PRISMA as set out in paragraphs 41 to 43 of this document.*