

Meeting on the development of an electronic application form

UPOV/EAF/17/2

**Seventeenth Meeting
Geneva, March 25, 2021**

Original: English
Date: March 19, 2021

DEVELOPMENTS CONCERNING 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 since the sixteenth meeting on the development of an electronic application form (“EAF/16 meeting”), held by electronic means on October 23, 2020, and to present the planned future developments.

2. The structure of this document is as follows:

EXECUTIVE SUMMARY.....	1
BACKGROUND.....	2
DEVELOPMENTS AT THE EAF/16 MEETING.....	2
DEVELOPMENTS SINCE THE EAF/16 MEETING.....	3
<i>Completion of information by participating UPOV members.....</i>	3
<i>Crops/ species coverage.....</i>	3
<i>Acknowledge receipt of the application data submission.....</i>	3
<i>Requirements of participating PBR authorities.....</i>	3
<i>Withdrawing PBR authority participation where the UPOV PRISMA Terms of Use are not fulfilled.....</i>	3
<i>Launch of UPOV PRISMA Version 2.5.....</i>	3
<i>Use of UPOV PRISMA (as of February 28, 2021).....</i>	4
Number of submissions via UPOV PRISMA.....	4
Number of submissions via UPOV PRISMA (comparison by month).....	5
Submissions in UPOV PRISMA by crop type.....	5
Number of submissions by participating Authority in UPOV PRISMA.....	6
FEEDBACK FROM USERS.....	7
New version of payment interface (Epay V2).....	7
Auto-save functionality.....	7
Lack of options for certain TQ information (Section 5) in relation to Disease Resistance.....	7
PLANNED WORK FOR 2021.....	8
1. <i>Resolving user issues concerning Version 2.5.....</i>	8
Auto-save function.....	8
UPOV TQ options for disease resistance characteristics.....	8
2. <i>Updating of participating PBR authority information.....</i>	8
3. <i>Improve user-friendliness of UPOV PRISMA.....</i>	9
4. <i>Expanding the Coverage.....</i>	9
UPOV members.....	9
Crops/ species.....	9
Version 2.6.....	9
POSSIBLE DEVELOPMENTS AFTER 2021.....	10
<i>Coverage.....</i>	10
<i>User-friendliness of the tool.....</i>	10
<i>New functionalities.....</i>	10

BACKGROUND

3. The background to the development of the EAF is provided in document UPOV/EAF/16/2 “Developments concerning the electronic application form”.

DEVELOPMENTS AT THE EAF/16 MEETING

4. At the Sixteenth Meeting on the Development of an Electronic Application Form (“EAF/16 meeting”), which was organized via electronic means on October 23, 2020, the participants considered document UPOV/EAF/16/2 “Developments concerning UPOV PRISMA” and received a presentation from the Office of the Union. The report of the meeting is provided in document EAF/16/3 “Report”.

5. At the EAF/16 meeting, participants noted the feedback received from users on IT matters and on the information in UPOV PRISMA, and agreed the following (see document UPOV/EAF/16/3 “Report” paragraphs 7 to 9):

- (a) Priority should be placed on working with participating PBR authorities to ensure that all related information is complete and updated in a timely way before extending UPOV PRISMA to additional UPOV members (see UPOV PRISMA Terms of Use available at: <https://www.upov.int/upovprisma/en/termsuse.html> “Provide the Office of the Union with the most recent and updated application forms”); [see below “Completion of information by participating UPOV members”]
- (b) Need to increase coverage for important crops in participating PBR authorities that do not cover all crops/species in UPOV PRISMA; [see below “Crops/ species coverage”]
- (c) Ensure that all participating PBR authorities in UPOV PRISMA acknowledge receipt of the application data submission within a reasonable amount of time (see UPOV PRISMA Terms of Use available at: <https://www.upov.int/upovprisma/en/termsuse.html> “Acknowledge receipt in UPOV PRISMA of any application data submitted via UPOV PRISMA within 7 days”); [see below “Acknowledge receipt of the application data submission”]
- (d) Ensure that all requirements of participating PBR authorities are specified in UPOV PRISMA to avoid requests for additional information after data submission via UPOV PRISMA (see UPOV PRISMA Terms of Use available at: <https://www.upov.int/upovprisma/en/termsuse.html> “Specify all documents required for accepting a completed application and ensure all required information can be provided in UPOV PRISMA”); [see below “Requirements of participating PBR authorities”]
- (e) Avoid loss of confidence in UPOV PRISMA by withdrawing PBR authority participation where the UPOV PRISMA Terms of Use are not fulfilled. [see below “Withdrawing PBR authority participation where the UPOV PRISMA Terms of Use are not fulfilled”]

6. The EAF/16 participants noted that in order to ensure confidence in UPOV PRISMA, the Office of the Union would contact, individually, all participating PBR authorities. [see below “Requirements of participating PBR authorities”]

7. The EAF/16 participants noted that the following items would be addressed in Version 2.5 [see below “Launch of UPOV PRISMA Version 2.5”]:

- (a) Need to automatically save application data in case of inactivity period in the system/session;
- (b) Improve the speed of response of the system; and
- (c) Increase the maximum size of attachments (e.g. for pictures);

8. Participants in the EAF/16 meeting noted that increasing the use of machine-to-machine communication would be a matter for each participating PBR authority to decide when to proceed and would be subject to available resources.

DEVELOPMENTS SINCE THE EAF/16 MEETING

9. This section reports on developments concerning the matters considered at EAF/16.

Completion of information by participating UPOV members

10. Application or technical questionnaire forms have been updated for the following participating PBR authorities:

- Chile
- European Union
- Switzerland

Crops/ species coverage

11. Coverage was updated for the following authority:

Authority		New crop coverage in Version 2.5
European Union	QZ	Maize

Acknowledge receipt of the application data submission

12. A functionality, for the participating PBR authority to acknowledge receipt of the application data submission is provided in UPOV PRISMA, via the dashboard. The UPOV PRISMA Team remains available if guidance is needed (see [User Guide for PVP Offices](#) page 10).

13. The acknowledgment of receipt in UPOV PRISMA is mandatory for a participating PBR authority to request a revision via UPOV PRISMA (see [User Guide for PVP Offices](#) page 11).

Requirements of participating PBR authorities

14. The Office of the Union has been informed by Chile, European Union, Mexico, Norway, Switzerland and Uruguay, of updates of their application or technical questionnaire forms and/or new requirements to be specified and provided in UPOV PRISMA.

Withdrawing PBR authority participation where the UPOV PRISMA Terms of Use are not fulfilled

15. Additional information is still needed from Bolivia (Plurinational State of) and Paraguay. In the meantime, it is not possible to use UPOV PRISMA to submit application data.

Launch of UPOV PRISMA Version 2.5

16. The current version of UPOV PRISMA (Version 2.5) was fully deployed on February 1, 2021, with the following new functionalities:

- New version of payment interface (Epay V2) to facilitate payment by PayPal, China Union Pay and Bulk payment;
- National Listing for United Kingdom;
- Bulk upload functionality (Proof Of Concept on a limited scope for restricted users);
- Automatically save the application data in case of a period of inactivity;
- Improve system performance for dashboard (further improvement for the generation of the forms performance is planned in Version 2.6);
- Avoid simultaneous access to the same application data by colleagues from the same organization (application data lock functionality);
- Allow co-agents to appear in the public list of agents available for breeders;
- Allow uploading of large attachments;
- When a PBR authority ask for a revision to the applicant, allow the possibility to attach documents.

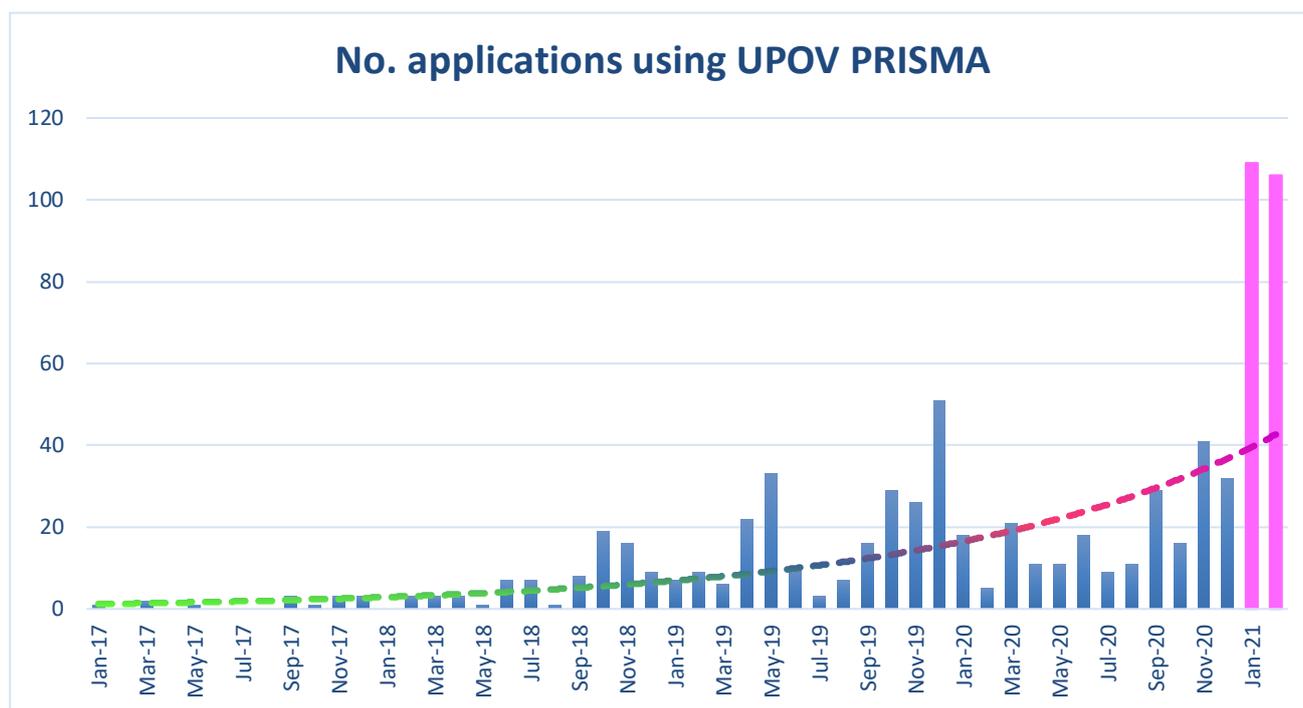
Use of UPOV PRISMA (as of February 28, 2021)

17. Since the EAF/16 meeting, UPOV PRISMA communication and promotion was focused on individual support via direct contacts and training sessions with individuals and companies (breeders and agents) that were using, or had expressed an intention to use, UPOV PRISMA.

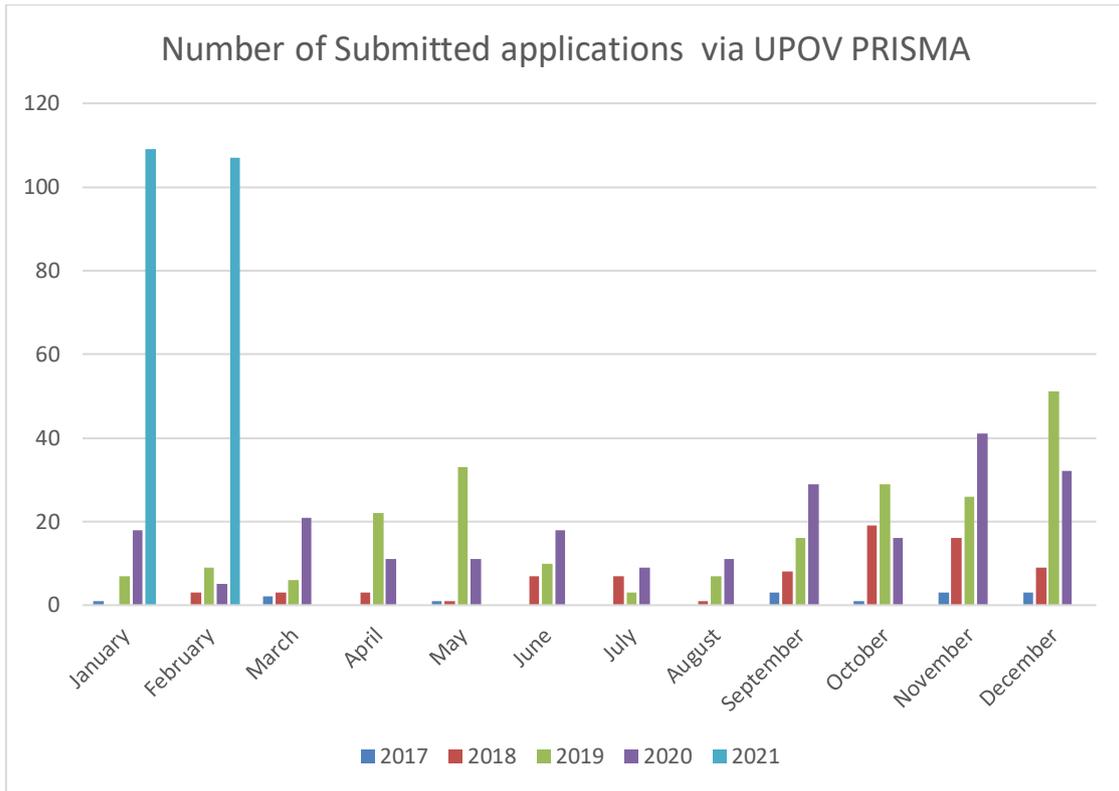
18. Information on the use of UPOV PRISMA, is provided below:

Number of submissions via UPOV PRISMA

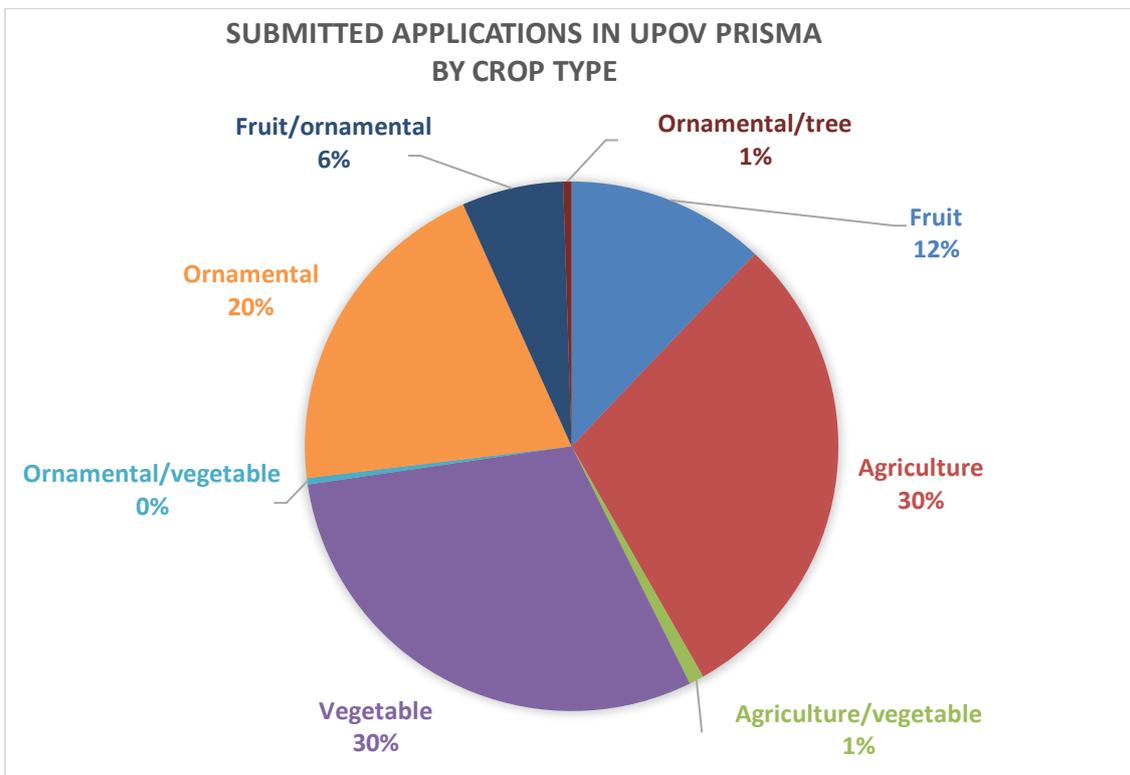
	2017	2018	2019	2020	2021
January	1		7	18	109
February		3	9	5	106
March	2	3	6	21	
April		3	22	11	
May	1	1	33	11	
June		7	10	18	
July		7	3	9	
August		1	7	11	
September	3	8	16	29	
October	1	19	29	16	
November	3	16	26	41	
December	3	9	51	32	
Total	14	77	219	222	215



Number of submissions via UPOV PRISMA (comparison by month)



Submissions in UPOV PRISMA by crop type

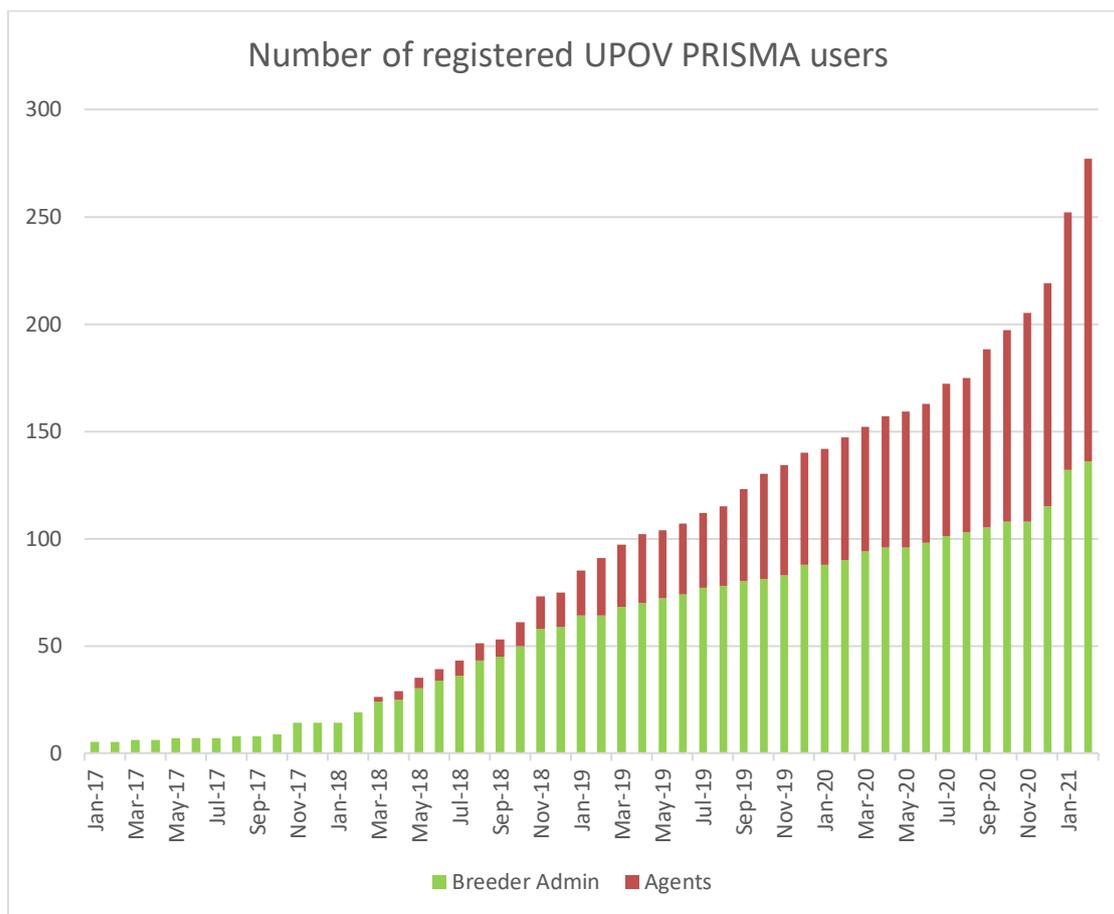


Number of submissions by participating Authority in UPOV PRISMA

Authority		Number of submissions in UPOV PRISMA in 2017	Number of submissions in UPOV PRISMA in 2018	Number of submissions in UPOV PRISMA in 2019	Number of submissions in UPOV PRISMA in 2020	Number of submissions in UPOV PRISMA in 2021 (as of 28/02/2021)	Total Number of submissions in UPOV PRISMA (as of 28/02/2021)
African Intellectual Property Organization (OAPI)	OA			3	1		4
Argentina	AR						-
Australia	AU		10	17	36	3	66
Bolivia (Plurinational State of)*	BO			2			2
Canada	CA		6	27	17	2	52
Chile	CL	3		3	1		7
China	CN						-
Colombia	CO			4	2	1	7
Costa Rica	CR			4	1		5
Dominican Republic	DO			2	2		4
Ecuador	EC				2	1	3
European Union	QZ		8	38	13	15	74
France	FR			20	-		20
Georgia	GE			2	1		3
Kenya	KE		13	6	14	2	35
Morocco	MA						-
Mexico	MX		7	7	13	4	31
Netherlands	NL	1	8	12	6		27
New Zealand	NZ	5	3	8	5	4	25
Norway	NO	1		5	7		13
Paraguay*	PY						-
Peru	PE				2		2
Republic of Moldova	MD			2			2
Republic of Korea	KR			1	1		2
Serbia	RS			2	1		3
South Africa	ZA		2	3	2	1	8
Sweden	SE			1			1
Switzerland	CH	2	3	4	16	1	26
Trinidad and Tobago	TT						-
Tunisia	TN		2	4		1	7
Turkey	TR		6	23	54	17	100
United Kingdom	GB		3	18	22	159	202
United States of America	US		6	1	3	3	13
Uruguay	UY					1	1
Viet Nam	VN						-
Total	35	14	77	219	222	215	745

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

Number of Registered Users



19. An oral report on latest developments will be made at the EAF/17 meeting.

Feedback From Users

20. Since the EAF/16 meeting following issues have been raised by users

New version of payment interface (Epay V2)

21. The new version of Epay (Epay V2), required by WIPO, resulted in certain problems at the time of launch but have since been resolved.

Auto-save functionality

22. In Version 2.5, a new “Auto-save” functionality was introduced to address loss of data when data were not saved after a period of inactivity in the system. The introduction of this new functionality created some new issues where different users were working on the same application (within the same company, with third parties and/or at different times). The consequence of the issue was that certain data could not be retrieved by users and needed to be recovered by the UPOV PRISMA IT team.

Lack of options for certain TQ information (Section 5) in relation to Disease Resistance

23. In relation to the information requested in the UPOV Technical Questionnaire for certain disease resistance characteristics, it has been reported that there is a need to have “Not tested” as an option.

24. *Participating members in the development of the electronic application form are invited to note developments in relation to UPOV PRISMA.*

PLANNED WORK FOR 2021

25. In order to reduce the risk of problems when introducing new versions and/ or new functionalities, the following steps will be taken:

- Appoint an external company to perform a software quality audit;
- Automate regression tests (to limit the risk of negative impact when introducing new functionalities);
- Organize user acceptance testing (UAT) before going live with any new functionalities.

26. With regard to receiving feedback and organizing user acceptance tests, it is proposed to work with a “Task Force” of users to be identified by CIOPORA and ISF.

27. In accordance with the feedback from users (see paragraphs 20 to 23 of this document) and on the basis of the strong growth in the number of applications made using UPOV PRISMA in 2021, the order of priority in 2021 will be as follows:

1. Resolve user issues concerning Version 2.5:
 - Auto-save functionality
 - UPOV TQ options for disease resistance characteristics
2. Update of participating PBR authority information
3. Improve user-friendliness of UPOV PRISMA
4. Expand the coverage of UPOV PRISMA

1. Resolving user issues concerning Version 2.5

Auto-save function

28. To resolve the auto-save issue (see paragraph 22 of this document), the current auto-save functionality will be removed and a new auto-save version introduced. In the interim, the users concerned have been advised to save data manually rather than relying on the auto-save function.

29. User acceptance tests of the new auto-save functionality are planned, to ensure that everything is fully tested before introducing the new functionality (see paragraph 26 of this document).

UPOV TQ options for disease resistance characteristics

30. For newly adopted revisions of Test Guidelines a “not tested” option has already been implemented, meaning this change will be reflected in the system for all new TGs, once approved by the relevant UPOV bodies and once synchronized in UPOV PRISMA. To resolve the issue of disease resistance characteristics (see paragraph 23 of this document), for the following Test Guidelines, which are not currently under revision, it is proposed to add “not tested” for the relevant questions, in order to allow the applicants to complete the form accurately:

- French Bean (TG/12) [already done]
- Tomato (TG/44)
- Almond (TG/56)
- Gherkin, Cucumber (TG/61)
- Sweet Pepper (TG/76)
- Cotton (TG/88)
- Melon (TG/104)
- Tomato Rootstocks (TG/294)

2. Updating of participating PBR authority information

31. Participating PBR authorities are reminded to inform the Office of the Union if there is a need to update requirements in UPOV PRISMA (e.g. update of the forms, additional information).

32. Application or technical questionnaire forms will be updated for the following participating PBR authorities as soon as possible:

- Mexico
- Norway

3. Improve user-friendliness of UPOV PRISMA

33. As a first step, it is proposed to organize online workshops with users to review certain functionalities (e.g. copy functionality, assignment of roles), in order to identify ways to improve the user-friendliness of UPOV PRISMA.

34. A further step to improve user-friendliness will be to introduce a bulk upload feature, which will enable applicants to enter data in a pre-defined template (available for download in UPOV PRISMA) as a mean of transmitting multiple applications, at the same time, for the same authority and the same crop. A proof of concept (Version 1) has been tested (for Maize and CPVO) with real application data. The next step would be to extend the concept to other crops and authorities and with different user profiles. The scope of bulk upload feature and timeline for deployment will be discussed with breeders and authorities.

35. WIPO has developed a new interface for online WIPO IP services (WIPO IP Portal - see <https://ipportal.wipo.int/>). It is proposed to integrate UPOV PRISMA into this platform, so that WIPO client users (e.g. agents) could also:

- access UPOV PRISMA from the IP Portal Menu;
- navigate to and from UPOV PRISMA to other IP services offered by WIPO (e.g. e-PCT, eHague, Madrid) and use a common dashboard for payment services.

A presentation of the plans to integrate UPOV PRISMA in the WIPO IP Portal will be made at the EAF/17 meeting.

4. Expanding the Coverage

UPOV members

36. No new additional participating PBR authorities are planned to be included in 2021.

Crops/ species

37. The following participating PBR authority have informed the Office of the Union of their intention to extend the crop coverage in UPOV PRISMA. Anticipated changes will be implemented in 2021.

Authority		Anticipated new crop coverage
Morocco	MA	Blackberry, blueberry, raspberry, strawberry,

Version 2.6

38. On the basis of the priorities set out in paragraph 27, above, the following new functionalities are planned to be introduced in 2021 (Version 2.6):

New functionalities

- a) Integrate UPOV PRISMA into the WIPO IP Portal;
- b) Development of bulk upload functionality (Proof of Concept Version 2);
- c) UPOV TQ options for disease resistance characteristics.

IT improvements

- a) Improve the performance of form generation.

39. *Participating members in the development of the electronic application form are invited to consider the planned work for 2021 on UPOV PRISMA, as set out in paragraphs 25 to 38.*

POSSIBLE DEVELOPMENTS AFTER 2021

Coverage

40. The Office of the Union will consult relevant participating PBR authorities concerning their requirements and timeline to:

- include National Listing in UPOV PRISMA (see document EAF/15/3 “Report” paragraph 12);
- introduce machine-to-machine links/ communication to UPOV PRISMA (see document EAF/15/3 “Report” paragraph 12).

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

User-friendliness of the tool

- 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).
- TQ Synchronization between UPOV PRISMA and CPVO (see document EAF/16/3 “Report” paragraph 18);
- Improvement of the copy functionality (according to the outcomes of the workshops organized with users – see paragraph 33 of this document).

New functionalities

- 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).

42. Participating members in the development of the electronic application form are invited to note the proposed future developments of UPOV PRISMA as set out in paragraphs 40 to 41.

[End of document]