

Meeting on the development of an electronic application form

UPOV/EAF/18/3

**Eighteenth Meeting
Geneva, October 21, 2021****Original:** English
Date: March 3, 2022

REPORT

adopted by the Meeting on the development of an electronic application form

Disclaimer: this document does not represent UPOV policies or guidance

WELCOME AND OPENING

1. The eighteenth meeting on the development of an electronic form (EAF/18 meeting), organized via electronic means, was opened and chaired by Mr. Peter Button, Vice Secretary-General of UPOV, who welcomed the participants.
2. The list of participants is reproduced in Annex I to this report.

APPROVAL OF THE AGENDA

3. The meeting adopted the draft agenda as proposed in document UPOV/EAF/18/1.

DEVELOPMENTS CONCERNING UPOV PRISMA

4. The meeting considered document UPOV/EAF/18/2 "Developments concerning UPOV PRISMA" and received a presentation by the Office of the Union on the latest developments concerning UPOV PRISMA, a copy of which is reproduced in Annex II to this document.

Use of UPOV PRISMA (as of September 30, 2021)

5. The EAF/18 participants noted the information on the use of UPOV PRISMA (as of October 20, 2021), as reported in Annex II of this report.

Launch of Version 2.6

6. The EAF/18 participants noted that the current Version of UPOV PRISMA (Version 2.6) was deployed in July 2021, with the following changes:
 - No new additional participating PBR authorities;
 - The crop coverage was extended to blackberry, blueberry, raspberry and strawberry for Morocco;
 - Forms have been updated for the following participating PBR authorities: Mexico, Norway and United Kingdom;
 - Addition of Technical Questionnaires for parental lines (Winter Oil Seed Rape , Barley, Maize and Field Bean);
 - Improvement of auto-save functionality;
 - Possibility to make bulk payments by introducing "Add to Basket" functionality.

Other developments

IT Quality Software Audit

7. The EAF/18 participants noted that in order to reduce the risk of problems when introducing new versions and/ or new functionalities, the following steps would be taken (see document UPOV/EAF/17/3 "Report"):

- Appoint an external company to perform a software quality audit;
- Organize user acceptance testing (UAT) before going live with new functionalities.

8. The EAF/18 participants noted that the Office of the Union had appointed an external company to perform a software quality audit, and that according to the test maturity model, UPOV PRISMA had reached maturity level 2: "the organization has a fundamental test approach where some common test practices are implemented such as planning, monitoring and control over test activities". The following recommendations were provided to move to maturity level 3: "the organization is rather proactive and the test approach is documented and described in standards, procedures, tools and methods":

1. Know the users and how UPOV PRISMA is used;
2. Focus on what is important and urgent: Automate test cases for regression on the functionalities mostly used and the functionalities that generate 80% of the bugs;
3. Define a clear Test strategy document;
4. For each new requirement, an impact analysis should be made;
5. Define a standard process for test case creation;
6. Use a test repository tool.

9. The EAF/18 participants noted that the above 6 recommendations had been implemented. In particular, to limit the risk of negative impacts when introducing new functionalities, regression tests were being automated.

10. The EAF/18 participants noted that in relation to user acceptance testing (UAT) before going live with any new functionalities, it was planned to consult UPOV PRISMA "Task Force" Group before implementing the changes in the real environment.

UPOV PRISMA "Task Force" Group

11. The EAF/18 participants noted that the plan to work with a "Task Force" of users to be identified by CIOPORA and ISF was reported at the EAF/17 meeting, and further noted that in 2021, the following online meetings/ testing campaigns were organized:

- March 12, 2021 a first Task Force meeting was held;
- A User Acceptance Test campaign was organized for the new Auto-save function (March 22 to 26, 2021 and April 6 to 16, 2021) with the participation of the Task Force;
- A User Acceptance Test campaign was organized for the new addition of Technical Questionnaires for parental lines, especially in the scope of applications for Winter Oil Seed Rape and Barley (July 5 to 7, 2021) with the participation of the Task Force; and
- Meetings with the Task Force and the CPVO on CPVO participation in UPOV PRISMA were held on April 30, 2021 and September 19, 2021, with interim meetings between CPVO and UPOV.

CPVO Synchronization

12. The EAF/18 participants noted that in order to achieve and maintain synchronization of TQs between UPOV PRISMA and CPVO (see document EAF/16/3 "Report" paragraph 18 and document UPO/EAF/17/3 paragraph 32) the following projects had 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);
- 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).

13. The EAF/18 participants noted the report on each projects (as of October 20, 2021), as reported in Annex II of this report.

14. The EAF/18 participants noted the next steps agreed for the work on CPVO synchronization, as follows:

- Finalize project 4 for the beginning of November 2021;
- Agreement on the process for updating the forms after modification at the CPVO side (Project 2);
- Start project 2 after project 4 is finalized;
- Regular meetings are organized between UPOV and CPVO;
- Provide feedback regularly to stakeholders (Project 5).

Workshop with Users to Improve user-friendliness of UPOV PRISMA

15. The EAF/18 participants noted that as a first step to identify ways to improve the user-friendliness of UPOV PRISMA (see document UPOV/EAF/17/3, paragraph 21), online workshops would be organized with users to review certain current existing functionalities (e.g. copy functionality, assignment of roles).

16. The EAF/18 participants noted that:

- An external company (VanBerlo) was appointed to improve user experience and in that regard,
- Users were consulted via an online survey, in September 2021 on functionalities that should be improved on the “Start New Application and Copy Functionality” (96 responses were received as of October 11, 2021);
- Selected users would be contacted by the end of 2021 for further feedback (in-depth qualitative study) to develop mockup screens on the basis of the recommendations made.
- Report on the progress for improving user-friendliness of UPOV PRISMA would be made at the next EAF meeting.

VERSION 2.7

17. The EAF/18 participants noted that on the basis of the request for new developments made by PVP Offices and registered users (see paragraph 22 and 23 of document UPOV/EAF/18/2.), the following new coverage and functionalities were planned to be introduced in Version 2.7:

- Saint Vincent and Grenadines as new participating authority;
- Update of forms for European Union, France, and the Netherlands;
- Add the possibility to download the list of applications as displayed in the dashboard for PVP office in Excel format;
- Introduction of the WIPO IP Portal navigation bar (that will provide the possibility to access the basket anytime when the user is in UPOV PRISMA);
- Bulk Upload (for maize, European Union);
- Provide the Co-agent with the right to view applications of other colleagues.

18. The EAF/18 participants noted that Version 2.7 was planned to be launched by the end of 2021, subject to available resources.

POSSIBLE FUTURE DEVELOPMENTS

Coverage

19. The EAF/18 participants noted that the Office of the Union would 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).

20. The EAF/18 participants noted the intervention from representatives of Egypt to express their interest to join UPOV PRISMA in the future. The following UPOV members had previously expressed an interest: Bosnia and Herzegovina, Brazil, Japan, Nicaragua, Singapore, United Republic of Tanzania and Uzbekistan. The Office of the Union would consult the UPOV members concerned to discuss their requirements and timeline for joining UPOV PRISMA.

User-friendliness of the tool

21. The EAF/18 participants noted that the following elements would be considered after 2021 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);
- TQ Synchronization between UPOV PRISMA and CPVO (see document EAF/18/2. paragraph 18 and paragraph 17);
- Improvement of certain functionalities: copy, role management (according to the outcome of the Survey and study – see paragraph 16 of this document).

New functionalities

22. The EAF/18 participants noted that the following new functionalities would be considered for possible development:

- 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).

IT improvements

23. The EAF/18 participants noted that the following IT improvements would be considered for possible development after Version 2.7:

- Improve the performance of form generation.

DATE OF NEXT MEETING

24. The next meeting of the EAF (EAF/19 meeting) was agreed to be held by virtual means on March 16, 2022, from 12 pm to 2 pm (Geneva time).

25. *This report was adopted by correspondence.*

[Annex I follows]

LISTE DES PARTICIPANTS / LIST OF PARTICIPANTS / LISTA DE PARTICIPANTES

(dans l'ordre alphabétique des noms français des membres /
in the alphabetical order of the French names of the Members /
por orden alfabético de los nombres en francés de los miembros)

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Manabu SUZUKI (Mr.), Technical/Regional Officer (Asia)

Amit SHARMA (Mr.), IT Support Officer

Ariane BESSE (Ms.), Administrative Assistant

[L'annexe II suit/
Annex II follows/
Sigue el Anexo II]

Meeting on the development of an Electronic Application Form

Document EAF/18/2
“Developments concerning
UPOV PRISMA”

Geneva
October 21, 2021



PREVIEW

- Use of UPOV PRISMA
- UPOV PRISMA Version 2.6
- Feedback from Users
- Planned Work for 2021
- Future developments (after 2021)

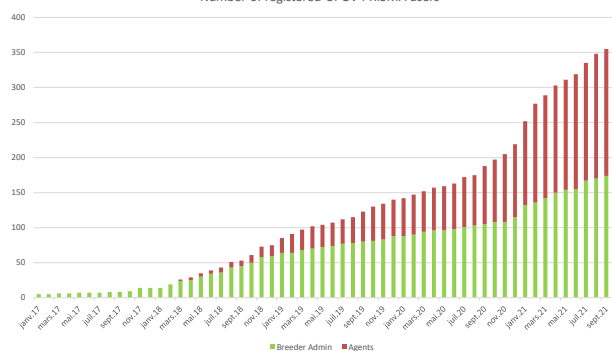
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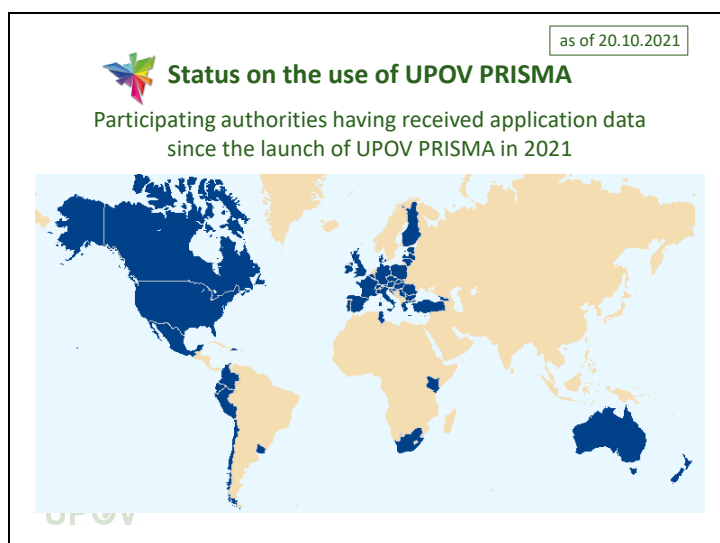
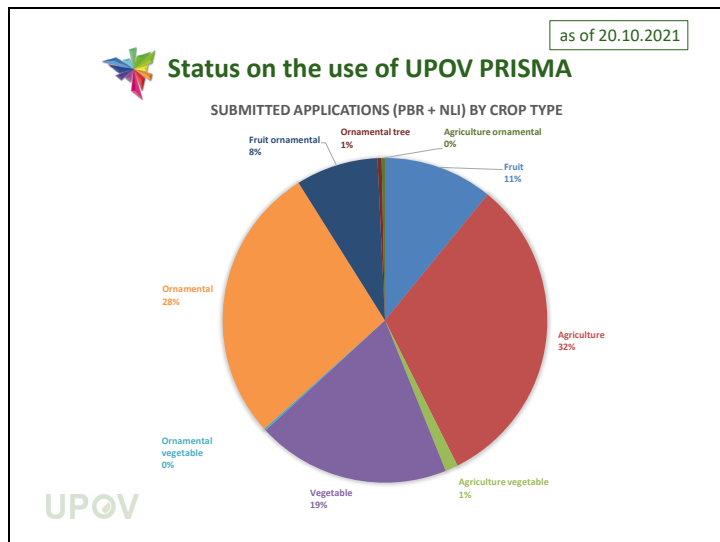
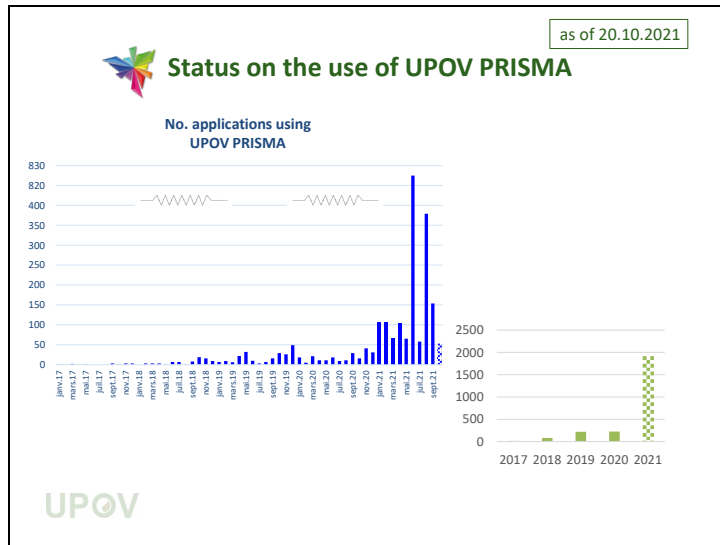


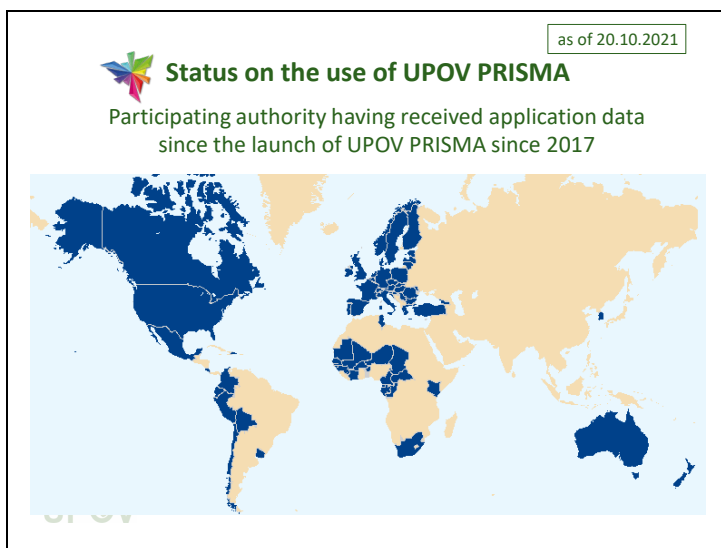
Status on the use of UPOV PRISMA

as of 20.10.2021

Number of registered UPOV PRISMA users








PREVIEW

- Use of UPOV PRISMA
- UPOV PRISMA Version 2.6
- Feedback from Users
- Planned Work for 2021
- Future developments (after 2021)

8

UPOV

 **Status - UPOV PRISMA Version 2.6 (V2.6)**

- Fully deployed in **July 2021**
- Coverage:
 - UPOV Members:
 - No new additional participating PBR authorities
 - Crops/ species:
 - Morocco: new addition: Blackberry, blueberry, raspberry, strawberry
 - Forms have been updated for Mexico, Norway and United Kingdom

9

UPOV



Status - UPOV PRISMA Version 2.6 (V2.6)

- News features in V2.6 :
 - Addition of Technical Questionnaires for parental lines (Winter Oil Seed Rape , Barley, Maize and Field Bean);
 - Improvement of auto-save functionality;
 - Possibility to make bulk payments by introducing “Add to Basket” functionality.

10

UPOV



Status - UPOV PRISMA Version 2.6 (V2.6)

Input data about a new parent

TQs for parents

Reuse data from existing parent

● Add a new parent

○ Edit/Associate an existing parent

UPOV



Status - UPOV PRISMA Version 2.6 (V2.6)

TQs for parents

Edit

Male fertile line as component for XU_30202100001448

UPOV

Technical Questionnaire (TQ/19)

Client Details
Institution: (Name)
Address:
City:
P_Legal name:
Submission Date:

Technical Questionnaire (TQ/19)

INFORMATION ON THE BREEDING SCHEME AND PROPAGATION OF THE VARIETY Yes No

How was the variety developed? (Please check all that apply to the breeding scheme)

newly resulting from crossing
 controlled cross
 partially known cross
 unknown cross
 Variety resulting from mutation
 Variety resulting from discovery and development
 Variety resulting from other

Method of propagating the variety

Seed-propagated varieties
 Self-pollination
 Hybrid
 Single Hybrid
 Three-way hybrid
 Other

Good cultivars are the following varieties

CHARACTERISTICS OF THE VARIETY TO BE INDICATED

Characteristics of the variety to be indicated (the number in brackets refers to the number of characteristics to be indicated; please mark the box when not corresponding)

Number of leaves per plant (per spike)

1 absent
 2 present

Time of ear emergence

1 very early
 2 very early to early
 3 early
 4 early to medium
 5 medium
 6 medium to late
 7 late
 8 late to very late
 9 very late

Plant architecture (height)

1 absent or very weak
 2 very weak to weak
 3 weak
 4 weak to medium

3

TQs
for parents
View

UPOV

Status - UPOV PRISMA Version 2.6 (V2.6)

Improvement of auto-save functionality

- Covers all possible scenarios
- A separate backup is saved simultaneously.

14

UPOV

Status - UPOV PRISMA Version 2.6 (V2.6)

“Add to basket” functionality

If you have many applications to submit in the same period

Payment Details

You are applying for Abella in CHILE
Please note that only UPOV PRISMA Fees are requested at UPOV PRISMA level. You should pay the application fees directly to CHILE

S A	Fees	Currency	Amount
	UPOV PRISMA Fees (PBR)	CHF	50.0
Total Amount		CHF	50.0

Promotional code ✓

Go to the payment gateway
Checkout later

15

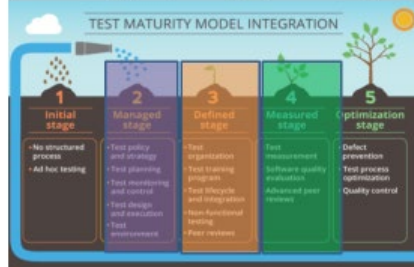
UPOV



Status - UPOV PRISMA Version 2.6 (V2.6)

It was noted at the EAF/17 meeting that in order to reduce the risk of problems when introducing new versions and/ or new functionalities, the following steps would be taken (see document UPOV/EAF/17/3 "Report"):

- Appoint an external company to perform a **software quality audit**;
- Organize user acceptance testing (UAT) before going live with any new functionalities.



UPOV



Status - IT Quality Software Audit Recommendations

1. Know the users and how UPOV PRISMA is used;
2. Focus on what is important and urgent: Automate test cases for regression on the functionalities mostly used and the functionalities that generate 80% of the bugs;
3. Define a clear Test strategy document;
4. For each new requirement, an impact analysis should be made;
5. Define a standard process for test case creation;
6. Use a test repository tool.

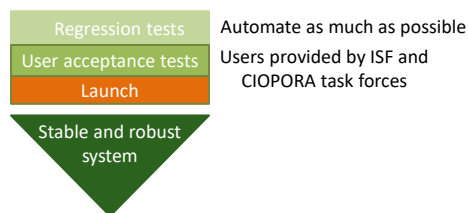
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UPOV



UPOV PRISMA 2021 Software Quality Improvement

Appoint an **external** company to perform a software quality audit :
Improve the delivery process including testing phase



UPOV

PREVIEW

- Use of UPOV PRISMA
- UPOV PRISMA Version 2.6
- **Feedback from Users**
- Planned Work for 2021
- Future developments (after 2021)

3

UPOV

Feedback received from Users

- **UPOV PRISMA “Task Force Group”**
 - CPVO Synchronization
- UPOV PRISMA mailbox
 - Auto-save functionality
 - Copy and Start New application



4

UPOV

CIOPORA + ISF _UPOV PRISMA Task Force group

 **ISF** International Seed Federation
Seed is Life



Collaborative work to improve the Tool

UPOV



Feedback received from Users

UPOV PRISMA “Task Force” Group CIOPORA and ISF

Series of meetings were held in 2021 with the Task Force Group:

- March 12, 2021 (focus on auto-save and bulk upload functionalities);
- User Acceptance Test campaign for the new Auto-save function (March 22 to 26, 2021 and April 6 to 16, 2021);
- User Acceptance Test campaign for the new addition of Technical Questionnaires for parental lines, especially in the scope of applications for Winter Oil Seed Rape and Barley (July 5 to 7, 2021);
- Meetings with the Task Force and the CPVO on CPVO participation in UPOV PRISMA (April 30, 2021 and September 19, 2021), with interim meetings between CPVO and UPOV.

6

UPOV



Feedback received from Users

• UPOV PRISMA “Task Force Group”

- CPVO Synchronization

• UPOV PRISMA mailbox

- Auto-save functionality
- Copy and Start New application

7


UPOV



CPVO Synchronization


- Project 1: “Audit” (current issues/ states of affairs) for exchange of data between UPOV PRISMA and CPVO in both directions
- Project 2: Part A: Resolving current issues; Part B : Synchronizing changes by UPOV/CPVO
- Project 3: Implementation of Project 2 outcome: Bi-directional exchange of application data (lettuce, tomato, rose)
- Project 4: Bulk upload of Maize applications from UPOV to CPVO
- Project 5: Transitional arrangements including (communication with stakeholders).


UPOV

 Project 1

“Audit” (current issues/ states of affairs) for exchange of data between UPOV PRISMA and CPVO in both directions

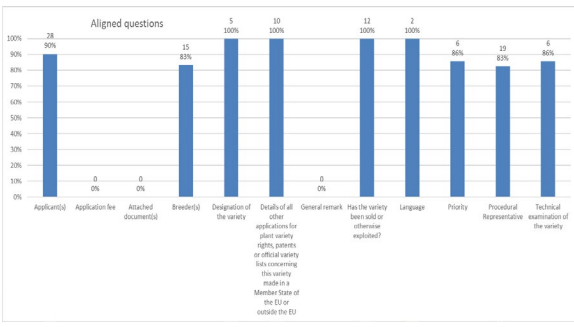
- Determine among the crops/species currently supported in UPOV PRISMA for the European Union (CPVO):
 - For which crops/species applicants there is full compliance between UPOV PRISMA and CPVO Online (exceptions/bugs can of course always occur)
 - For which crops/species applicants would need to provide more information at CPVO level and the type of information (e.g. TQ 5, TQ7)
 - For which crops/species the transfer will not work because of inconsistencies between UPOV and CPVO forms.




 Project 1


“Audit” (current issues/ states of affairs) for exchange of data between UPOV PRISMA and CPVO in both directions

- Alignment between CPVO Application Form (AF) in UPOV PRISMA and current CPVO AF.



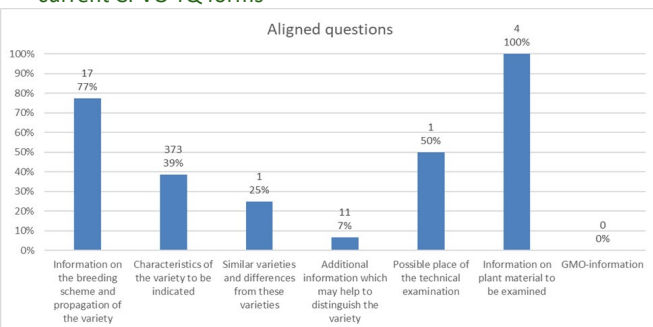
Question Category	Count	Percentage
Applicant(s)	38	90%
Application fee	0	0%
Attached document(s)	0	0%
Breeder(s)	15	83%
Designation of the variety	5	100%
Details of all other applications for plant variety rights, patents or official variety lists concerning the variety made in a Member State of the EU or outside the EU	10	100%
General remark	0	0%
Has the variety been sold or otherwise exploited?	12	100%
Language	2	100%
Priority	6	80%
Procedural Representative	19	83%
Technical examination of the variety	6	80%



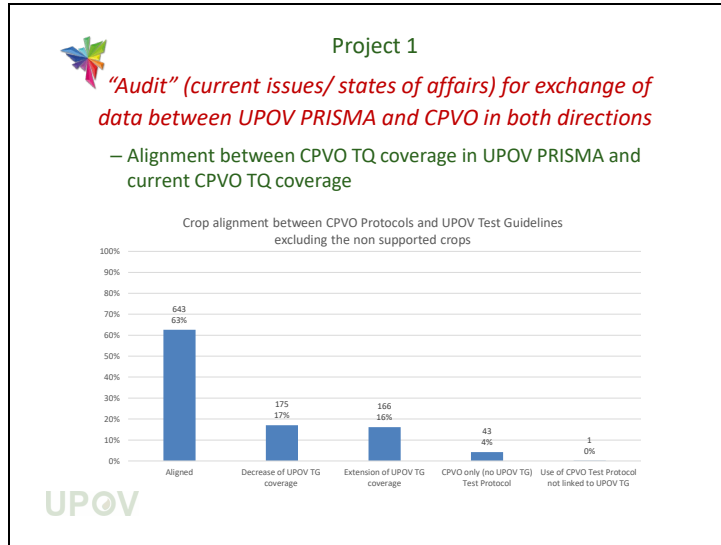
 Project 1



“Audit” (current issues/ states of affairs) for exchange of data between UPOV PRISMA and CPVO in both directions



- Alignment between CPVO TQ forms in UPOV PRISMA and current CPVO TQ forms



Question Category	Count	Percentage
Information on the breeding scheme and propagation of the variety	17	77%
Characteristics of the variety to be indicated	373	39%
Similar varieties and differences from these varieties	1	25%
Additional information which may help to distinguish the variety	11	7%
Possible place of the technical examination	1	50%
Information on plant material to be examined	4	100%
GMO-information	0	0%



-  **Project 2**
“Procedures for synchronization/update of forms in the frame of data transfers from UPOV PRISMA to CPVO”: Part A: Resolving current issues; Part B : Synchronizing changes by UPOV/CPVO
- Development and testing of solutions to address all the issues identified in Project 1 and any other issues that might be identified.
 - Selection of crops that would cover the range of issues identified.
 - Phase 1 : The development and testing of the solutions would be on a selected list of crops that would cover the range of issues identified
 - Phase 2: Roll-out to all supported crops.
 - Maize would be included as one of the selected crops
- 

-  **Project 3**
Implementation of Project 2 outcome: Bi-directional exchange of application data (lettuce, tomato, rose)
- 3 pilot crops for transfer of data in both directions (CPVO Online <-> UPOV PRISMA): tomato, lettuce, rose
- 



Project 4

Bulk upload of Maize applications from UPOV to CPVO

- The purpose of the project is to enable applications for maize varieties via UPOV PRISMA and bulk upload
- Limit the project to parental lines and single hybrids.

UPOV



Project 3

Transitional arrangements

- Communicate information to applicants about progress in Projects 1 to 4
- Consult applicants on proposed transitional measures and collect feedback for Projects 2 to 4, as appropriate
- Develop communications 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

UPOV



CPVO Synchronization

Next steps

- Finalize project 4 for the beginning of November 2021.
- Agreement on the process for updating the forms after modification at the CPVO side (Project 2)
- Start project 2 after project 4 is finalized.
- Regular meetings are organized between UPOV and CPVO
- Provide feedback regularly to stakeholders (Project 5)

UPOV



Feedback received from Users

- UPOV PRISMA “Task Force Group”
 - CPVO Synchronization
- UPOV PRISMA mailbox
 - Auto-save functionality
 - Copy and Start New application



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UPOV



Feedback received from Users

UPOV PRISMA MAILBOX Auto-Save functionality

- Issues reported for old drafted applications
- Some complaints due to caching issues
 - Avoid clearing the cache during user activity.
- Some issues due to XML schema upgrade
 - In progress: minimize the impact on the user experience
 - Notify the users before any change



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UPOV



Feedback received from Users

- UPOV PRISMA “Task Force Group”
 - CPVO Synchronization
- UPOV PRISMA mailbox
 - Auto-save functionality
 - Copy and Start New application



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UPOV



Feedback received from Users

Copy and Start New Application

Target: Improve User experience:

- An external company (VanBerlo) was appointed to improve user experience for Copy and start application
 - Step 1: Users were consulted (online survey) in September 2021 on functionalities that should be improved on the “Start New Application and Copy Functionality”.
 - Step 2: Some users will be contacted to get more information about their feedback (in-depth qualitative study)
 - Step 3: Mockup screens will be developed

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UPOV



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

- (a) the developments concerning UPOV PRISMA since the EAF/17 meeting;
- (b) that a report on plans for online workshops with users to improve the user-friendliness of UPOV PRISMA will be made at the EAF/18 meeting.



UPOV

PREVIEW

- Use of UPOV PRISMA
- UPOV PRISMA Version 2.6
- Feedback from Users
- **Planned Work for 2021**
- Future developments (after 2021)

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UPOV



UPOV PRISMA Version 2.7

UPOV member coverage

- New Authority:
 - Saint Vincent and Grenadines
- Update of forms:
 - European Union
 - France
 - The Netherlands

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UPOV PRISMA Version 2.7

Functionalities – PVP Offices

- Add the possibility to download the list of applications as displayed in the dashboard for PVP office in Excel format;

A	B	C	D	E	F	G	
1	IRN	Submission Date	STATUS	Application Type	Proposed Denomination	Breeder's Reference	Upov Code
H	I	J	K				
Botanical Name (GENIE)	Common Name (GENIE)	Crop Sector	Botanical Name (as provided by the user)				
M	N	O	P				
First Name	Last Name	Company	URL				

UPOV



UPOV PRISMA Version 2.7

Functionalities- Breeders

- Bulk Upload (for maize , European Union);
- Provide the Co-agent with the right to view applications of other colleagues.

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UPOV PRISMA Version 2.7

Tentative Timetable

- Launch UPOV PRISMA Version 2.7:
- **December 2021**

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“28. Participating members in the development of the electronic application form are invited to note the plans for Version 2.7, as set out in paragraphs 22 to 27 of this document.”



PREVIEW

- Use of UPOV PRISMA
- UPOV PRISMA Version 2.6
- Feedback from Users
- Planned Work for 2021
- Future developments (after 2021)

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Future developments
(After Version 2.7)

- Coverage:
 - National listing for other PBR authorities
 - Machine to machine communication with other national online systems
 - New authorities:
 - 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.

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Future developments
(After Version 2.7)

- User-friendliness of the tool
 - Addition of non UPOV TQ characteristics in TQ7
 - Crop-specific TQs beyond Test Guidelines
 - Improvement of some functionalities : copy, role management (according to the outcome of the Survey and study)
- New functionalities
 - Machine translation
 - DUS Arrangement Tool (DART)
- IT improvements
 - Improve the performance of form generation

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“34. Participating members in the development of the electronic application form are invited to note the possible future developments of UPOV PRISMA as set out in paragraphs 29 to 33.”



UPOV

Next EAF/19 Meeting

➤ **March 16, 2022 – 12pm to 2pm
(Geneva time)**



TENTATIVE DATES OF MEETINGS IN 2022

MARCH	Tuesday, 22 and Wednesday, 23	Enlarged Editorial Committee
OCTOBER	Sunday, 23 and Monday, 24 (evening)	Enlarged Editorial Committee
	Monday, 24 and Tuesday, 25	Technical Committee
	Wednesday, 26	Administrative and Legal Committee
	Thursday, 27	Consultative Committee
	Friday, 28	Council

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prisma@upov.int

UPOV PRISMA

UPOV PRISMA
PBR Application Tool

Quick and easy online tool for
transmission of application data
for Plant Breeders' Rights

www.upov.int/upovprisma

Linked

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[End of Annex II and of document]