

Meeting on the development of an electronic application form

UPOV/EAF/20/2 Corr.

**Twentieth Meeting
Geneva, October 25, 2022 (hybrid meeting)**

**Original: English
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DEVELOPMENTS CONCERNING UPOV PRISMA

Document prepared by the Office of the Union

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EXECUTIVE SUMMARY

1. The purpose of this document is to report on developments since the nineteenth meeting on the development of an electronic application form (“EAF/19 meeting”), held by electronic means on March 16, 2022, and to present the planned future developments.
2. Participating members in the development of an electronic application form are invited to note:
 - (a) the developments concerning UPOV PRISMA since the EAF/19 meeting;
 - (b) that a report on plans for improving CPVO TQ synchronization and the user-friendliness of UPOV PRISMA will be made at the EAF/20 meeting;
 - (c) that the proposed new procedure was applied for the United Kingdom TQ for Sugar Beet, and that in Version 2.8, the Republic of Moldova will use the United Kingdom TQ for Sugar Beet, as set out in paragraphs 26 to 30 of this document;
 - (d) the plans for Version 2.9, as set out in paragraphs 32 and 33 of this document;
 - (e) the plans for Version 2.10, as set out in paragraphs 35 and 37 of this document;
 - (f) the possible future developments of UPOV PRISMA, as set out in paragraphs 39 to 41 of this document;
 - (g) the proposal to expand the scope of EAF meetings to also cover e-PVP modules to be made to the CAJ at its seventy-ninth session, as set out in paragraph 43 of this document.
3. The structure of this document is as follows:

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USE OF UPOV PRISMA (AS OF SEPTEMBER 30, 2022)

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

Number of submissions via UPOV PRISMA

	2017	2018	2019	2020	2021	2022
January	1	-	7	18	107	232
February	-	3	9	5	107	95
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	
November	3	16	26	41	407	
December	3	9	51	32	174	
Total	14	77	219	222	2,509	1,298

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 30/09/2022)
		2017	2018	2019	2020	2021	2022 (as of 30/09/2022)	
African Intellectual Property Organization (OAPI)	OA			3	1		2	6
Argentina*	AR							
Australia	AU	2	10	17	36	27	12	104
Bolivia (Plurinational State of)*	BO			2				2
Canada	CA		6	27	17	24	36	110
Chile	CL	3		3	1	9	2	18
China	CN							
Colombia	CO			4	2	4	1	11
Costa Rica	CR			4	1	2		7
Dominican Republic	DO			2	2	4	1	9
Ecuador	EC				2	4	1	7
European Union	QZ		8	38	13	123	15	197
France	FR			20	-	4	1	25
Georgia	GE			2	1	3	1	7
Kenya	KE		13	6	14	14	23	70
Morocco	MA					7	4	11

Authority		Number of submissions in UPOV PRISMA in:						Total number of submissions in UPOV PRISMA (as of 30/09/2022)
		2017	2018	2019	2020	2021	2022 (as of 30/09/2022)	
Mexico	MX		7	7	13	13	23	63
Netherlands	NL	1	8	12	6	1		28
New Zealand	NZ	5	3	8	5	18	7	46
Norway	NO	1		5	7	6	6	25
Paraguay*	PY							
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							
Serbia	RS			2	1	3		6
South Africa	ZA		2	3	2	12	7	26
Sweden	SE			1				1
Switzerland	CH	2	3	4	16	13	5	43
Trinidad and Tobago	TT							
Tunisia	TN		2	4		1		7
Türkiye	TR		6	23	54	65	46	194
United Kingdom	GB		3	18	22	2,138	1,086	3,267
United States of America	US		6	1	3	5	18	33
Uruguay	UY					6		6
Viet Nam	VN							
Total:	36	14	77	219	222	2,509	1,298	4,339

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

PLANNED LAUNCH OF VERSION 2.8 (NOVEMBER 2022)

5. UPOV PRISMA Version 2.8 is planned to be deployed in November 2022.

UPOV members

6. No new additional participating UPOV members are anticipated in Version 2.8.

Crops/ species

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

- The forms for France, the Netherlands and the United Kingdom will be updated;
- Expand the coverage of the United States of America to include all crops and species except for the ones in the list below. UPOV TG characteristics will be used.

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.
Marigold	Tagetes patula L.
Muskmelon	Cucumis melo L.
Oat	Avena sativa L.

Common Name	Botanical Name
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 are planned to be introduced in Version 2.8:

- Import Lettuce and Rose application data from CPVO online system to UPOV PRISMA;
- Allow the 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, accept invitations in bulk instead of accepting each application individually; 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. It was noted at the EAF/18 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; and
- Organize user acceptance testing (UAT) before going live with any new functionalities.

10. As reported at the EAF/18 meeting, an external company was appointed to perform a software quality audit and reported 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.

11. The above six recommendations have been implemented. In particular, to limit the risk of negative impacts when introducing new functionalities, regression tests have been automated.

12. In relation to user acceptance testing (UAT), it is planned to consult the UPOV PRISMA "Task Force" Group before implementing new functionalities.

13. Further to the above measures 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.

14. Recommendation 1 (best practices in terms of coding) will be implemented in Version 2.8.

15. Recommendation 2 (Migration to the cloud) and Recommendation 3 (Development of a dedicated configuration interface) will be implemented in Version 2.9.

16. A report on progress on implementing the recommendations will be made at future EAF meetings.

Improvement of user-friendliness of UPOV PRISMA

17. 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 document UPOV/EAF/17/3 "Report", paragraph 22 and document UPOV/EAF/18/3 "Report", paragraphs 15 and 16).

18. Participants in the UPOV PRISMA Task Force Group were consulted on the proposals made to improve the interface and the navigation through the system. The plan to work with a "Task Force" of users to be identified by CIOPORA and ISF was reported at the EAF/17 meeting.

19. 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.

20. A summary of the feedback received and the next steps will be presented at the EAF/20 meeting.

CPVO Synchronization

21. A meeting of the UPOV PRISMA Task Force Group was organized on June 22, 2022 to report on CPVO participation in UPOV PRISMA.

22. 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).

23. 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 November 2022;
- 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).

24. A report on progress made for each project will be made at the EAF/20 meeting.

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

(a) the developments concerning UPOV PRISMA since the EAF/19 meeting;

(b) that a report on plans for improving CPVO TQ synchronization and the user-friendliness of UPOV PRISMA will be made at the EAF/20 meeting.

Coverage of Test Guidelines: Sugar Beet

26. It is recalled that in cases where a participating authority uses a national Technical Questionnaire 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.

27. 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).

28. 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.

29. In accordance with the proposed new procedure, 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.

30. The Republic of Moldova expressed its wish to use the United Kingdom TQ for Sugar Beet. This will be reflected in Version 2.8.

31. Participating members in the development of an electronic application form are invited to note that the proposed new procedure was applied for the United Kingdom TQ for Sugar Beet, and that in Version 2.8 the Republic of Moldova will use the United Kingdom TQ for Sugar Beet, as set out in paragraphs 26 to 30 of this document.

PLANS FOR VERSION 2.9

Release of Version 2.9

32. It is planned to release Version 2.9 of UPOV PRISMA in March 2023.

UPOV member coverage

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

34. *Participating members in the development of an electronic application form are invited to note the plans for version 2.9 as set out in paragraphs 32 and 33 of this document.*

PLANS FOR VERSION 2.10

Release of Version 2.10

35. It is planned to release Version 2.10 of UPOV PRISMA in September 2023.

UPOV member coverage

36. 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 will 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

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

- Bulk Upload (for maize, United Kingdom);
- 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; and
- Bulk invoice upon request.

38. Participating members in the development of an electronic application form are invited to note the plans for version 2.10 as set out in paragraphs 35 to 37 of this document.

POSSIBLE FUTURE DEVELOPMENTS

Coverage

39. 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

40. It was agreed at the EAF/17 meeting 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).

New functionalities

41. The following new functionalities will 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).

42. Participating members in the development of an electronic application form are invited to note the possible future developments of UPOV PRISMA as set out in paragraphs 39 to 41 of this document.

FURTHER DEVELOPMENTS

Meetings on the development of an electronic application form (EAF) (UPOV PRISMA)

43. At the seventy-ninth session of the CAJ, a proposal to expand the scope of EAF meetings to also cover e-PVP modules will be considered (see document CAJ/79/10 "Meetings on the development of an electronic application form (EAF)", paragraphs 40 to 42).

44. Participating members in the development of the electronic application form are invited to note the proposal to expand the scope of EAF meetings to also cover e-PVP modules to be made to the CAJ at its seventy-ninth session, as set out in paragraph 43 of this document.

DATE OF NEXT MEETING

45. The date of the next EAF meeting is proposed to be held by electronic means on March 15, 2023 at 12 pm.

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