### **Meeting on Electronic Applications**

Third meeting Geneva, March 18, 2024 Original: English Date: May 28, 2024

EAM/3/6

## REPORT

adopted by the Meeting on Electronic Applications

Disclaimer: this document does not represent UPOV policies or guidance

### WELCOME AND OPENING

1. The second meeting on electronic applications (EAM/3 meeting), which was held as a virtual meeting, was opened and chaired by Mr. Martin Ekvad, Director of Legal Affairs 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 EAM/3/1.

### DEVELOPMENTS CONCERNING UPOV e-PVP

### Overview of UPOV e-PVP

4. The meeting considered document EAM/3/2 "Overview of UPOV e-PVP" and received a presentation by the Office of the Union on:

- the use of UPOV e-PVP;
- the financing of UPOV e-PVP components;
- the current situation of UPOV e-PVP in terms of expression of interest to join one or more of UPOV e-PVP modules;
- the UPOV's data privacy notice.
- 5. A copy of the presentation is reproduced in Annex II to this document.

### **UPOV PRISMA**

6. The meeting considered document EAM/3/3 "UPOV PRISMA" and received a presentation by the Office of the Union on the developments concerning UPOV PRISMA since the second Meeting on Electronic Applications ("EAM/2 meeting"), a copy of which is reproduced in Annex II to this document.

### Use of UPOV PRISMA (as of February 29, 2024)

7. The EAM/3 participants noted the information on the use of UPOV PRISMA as of February 29, 2024, as reported in Annex II of this report.

### Launch of Version 2.10 (April 2024)

8. The EAM/3 participants noted that UPOV PRISMA Version 2.10 will be deployed in April 2024, with the following:

- 10 new UPOV Technical Questionnaires (TQ) and 40 updated ones;
- Addition of 9 new crops for China;
- Addition of 6 new crops for Morocco;
- Addition of 2 new crops for Serbia;
- Crop expansion for the United States of America to cover all crops and species.

### Other developments

### IT Quality Software Audit

9. The Office of the Union recalled that a code audit had been organized, which had 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. The EAM/3 participants noted the report on the following plans for implementing the above recommendations:

- Recommendation 1 (Best practices in terms of coding) was implemented in Version 2.8. A new tool to assess security at code level is being used since Version 2.9;
- Recommendations 2 (Migration to the cloud) and 3 (Development of a dedicated configuration interface) will be implemented in Version 2.10, subject to available resources.

### Improvement of user-friendliness of UPOV PRISMA

11. The EAM/3 participants noted the report on the overview presented during the Task Force meeting held on November 14, 2023:

- Number of applications, and proportion of applications filed via UPOV PRISMA compared to the number of applications not filed via UPOV PRISMA in each participating authority;
- Need for original documents: it is planned to revise the PVP office procedure with participating authorities to:
  - clarify participating authorities' requirements in terms of non-digital documents (original documents, paper submissions) and ink signatures, and
  - o clarify any impact on the filing date if such requirements are not met when filing via UPOV PRISMA;
- The PVP office procedure information in UPOV PRISMA will be updated along with the revision referred to above.

12. The EAM/3 participants noted that two design thinking workshops on user management were organized on December 4 and 7, 2023. After an online consultation, a new design on user management was presented to the participants of the workshops on January 30, 2024. It was agreed to split the user hierarchy into two dimensions:

- (1) User types: applicant and agent;
- (2) User roles: the different actions that a user type is entitled to carry out.

13. The EAM/3 participants received a presentation from a representative of ISF providing feedback on the user management workshops. A copy of the presentation is reproduced in Annex II to this document (slides 26-29).

14. The EAM/3 participants received a report on the progress related to the update of PVP Office Procedures as of March 18, 2024.

### CPVO synchronization

15. The EAM/3 participants noted that, in order to achieve and maintain synchronization of TQs between UPOV PRISMA and CPVO (see documents UPOV/EAF/16/3 "Report" paragraph 18, UPOV/EAF/17/3 "Report" paragraph 32 and UPOV/EAF/18/3 "Report" paragraph 12), 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).

16. The EAM/3 participants noted the report on each project (as of March 18, 2024), as presented in Annex II of this documentt.

17. The EAM/3 participants noted that CPVO and UPOV are discussing the timelines in relation to the above projects taking into account the available resources.

### Plans for Version 3.0

- 18. The EAM/3 participants noted that Version 3.0 was planned to be deployed in March 2025.
- 19. The EAM/3 participants noted the plans for Version 3.0 as follows:
  - (a) Migrate UPOV PRISMA to the cloud;
  - (b) Implement the new screen design for Start New Application and Copy Application;
  - (c) Improve user management functionality;
  - (d) Add a "floating" menu for chapters in the generated form page;
  - (e) Bulk Upload improvements:
    - fix pending issues: Stage, language, dropdown validation,
    - o simplify the template: Reuse of Applicant/Breeder/Representative/Correspondence Address,
    - o add the possibility to use of Purdy's notation for hybrids,
    - o implement validation after upload to minimize errors;
  - (f) PDF accessibility:
    - add document's title and language in the properties.
    - o title: application data for "crop common name" in "authority name",
    - o language,
    - o all elements should be tagged and follow a proper reading order.

### User-friendliness of the tool

20. The EAM/3 participants noted that the following elements would be considered after 2024 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 UPOV/EAF/17/3 "Report" paragraph 19);
- Crop-specific TQs beyond Test Guidelines (see document UPOV/EAF/16/3 "Report" paragraph 18).

### New functionalities

- 21. The EAM/3 participants noted that the following new functionalities would be considered for development:
  - Bulk Upload (for maize, United Kingdom);
  - Machine translation (see document UPOV/EAF/16/3 "Report" paragraph 18).

### UPOV e-PVP Administration Module

### UPOV e-PVP administration Module Features

22. The EAM/3 participants noted that the UPOV e-PVP Administration Module would provide for the following features to PVP offices:

- Administer applications/grants;
- Communicate with applicants/title holders;
- Publish PVP data in the PVP office publication and PLUTO database.

### Developments since EAM/2

23. The EAM/3 participants noted that, on October 26, 2023, Ghana signed the terms of use. It is planned that Ghana will start using the UPOV e-PVP Standard Admin module in April 2024.

24. The EAM/3 participants noted that, on November 28, 2023, the first application to Viet Nam was transferred through UPOV PRISMA to the UPOV e-PVP Admin Module.

### Costs

- 25. The EAM/3 participants noted the following three options for hosting the service:
  - (a) Hosting on a dedicated node: the cost of UPOV hosting the service on the cloud, providing and configuring the new node, is borne by the UPOV member. The UPOV cloud hosting service is provided in accordance with the conditions specified in an exchange of letters with the relevant UPOV member. Typical annual cost of hosting is currently estimated at 1800 USD (50-100 applications per year and less than 1,000 titles in force) or 2400 USD (1,000-2,000 applications per year and less than 10,000 titles in force). This is calculated based on the current Amazon Web Service pricing scheme, which is subject to change.
  - (b) Hosting on a shared node: the cost of UPOV hosting the service on the cloud, providing and configuring the new node, is borne by the UPOV members sharing the node. In this case, the cost will be divided between the members as per the conditions specified in an exchange of letters between the relevant UPOV members.
  - (c) Hosting on an infrastructure owned and/or controlled by the UPOV member: the cost of hosting and potential configurations is borne by the UPOV member.

26. The Office of the Union recalled that customized versions of the UPOV e-PVP Administration Module according to the specific needs of members of the Union could be developed with UPOV where the necessary extra-budgetary resources were provided and subject to the resource implications for the Office of the Union.

27. The EAM/3 participants noted, in the context of additional work on customization for Viet Nam, that a new work package has been agreed which includes:

- (a) uploading existing national variety description data;
- (b) retrieving data based on the crop (or set of crops sharing the same test guidelines).

### Future developments

28. The EAM/3 participants noted that the following functionalities were anticipated in future releases:

- Variety description data
- Comparison of variety descriptions
- Auto generation of application number
- Rule-based automatic validation and status update in line with applicable legislation
- Generation of certificate of breeder's right grant
- Consolidate data to generate reports.

### **DUS Exchange Module**

### UPOV e-PVP DUS Report Exchange Module Features

29. The EAM/3 participants noted that the UPOV e-PVP DUS Report Exchange Module would provide the following features for PVP offices:

- Make existing DUS reports available to other UPOV members (option for bulk-uploading);
- Obtain DUS reports
  - Search for existing DUS reports,
  - o Make a request for information on the possibility to use a DUS report,
  - $\circ$  Communicate with the PVP Office providing the report,
  - Be informed that a request has been accepted,
  - $\circ~$  Be informed when a DUS report is made available;
- Track the history of each request.

### Developments since EAM/2

30. The EAM/3 participants noted that the on September 28, 2023, Viet Nam became the first UPOV member to use UPOV e-PVP with the DUS Report Exchange Module component. The Kingdom of the Netherlands has access to the component since December 2023.

31. The EAM/3 participants noted that as of March 4, 2024, eight additional authorities expressed their intent to join in 2024:

- Brazil
- Canada
- European Union
- Georgia
- Ghana
- Morocco
- New Zealand
- United States of America.

32. The EAM/3 participants noted that the European Union aims to make over 30,000 reports available.

33. The EAM/3 participants noted that utility feature to upload information on the status of reports (whether the DUS examination is in progress or completed) in bulk has been improved to allow better feedback on the uploaded report data. A demonstration of the utility feature was made at the EAM/3 Meeting.

### Future developments

34. The EAM/3 participants noted that the following functionalities were anticipated in future releases:

- Provide support for exchanging VCU (Value for Cultivation and Use) reports;
- Add a new role for test centers:
  - Request by a PVP office to a test center to carry out a DUS test on behalf of the PVP office,
  - test results (DUS Reports) will be shared in the UPOV e-PVP DUS Report Exchange module to the requesting PVP office by the test centers.

### DATE OF NEXT MEETING

35. The next meeting of the EAM was agreed to be held as a hybrid meeting (physical/virtual means) on Tuesday October 22, 2024.

36. This report was adopted by correspondence.

### EAM/3/6

### ANNEXE I / ANNEX I / ANEXO I

### 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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### EAM/3/6 Annexe I / Annex I / Anexo I page 2 / página 2

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### EAM/3/6 Annexe I / Annex I / Anexo I page 4 / página 4

### II. ORGANISATIONS / ORGANIZATIONS / ORGANIZACIONES

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Leontino TAVEIRA (Mr.), Director of Global Development and Technical Affairs

Martin Ekvad (Mr.), Director of Legal Affairs

Hend MADHOUR (Ms.), Head of IT

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

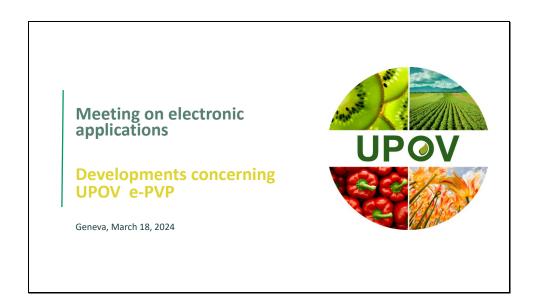
Kees VAN ETTEKOVEN (Mr.), Technical Expert

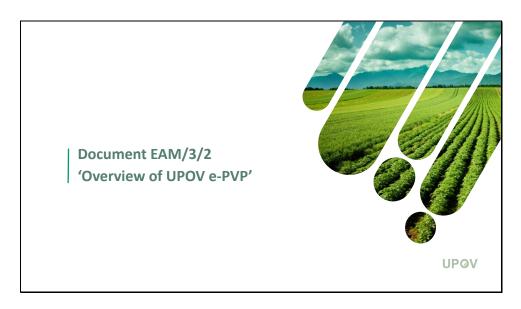
Ariane BESSE (Ms.), Administrative Assistant

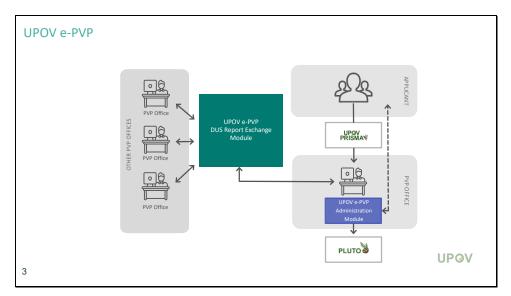
Kasumi FALQUET (Ms.), Agency Worker

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ANNEX II





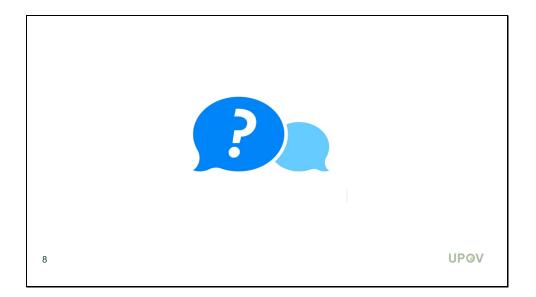




JPOV e-PVP components (covered by UPOV Regular Budget (including UPOV PRISMA/PLUTO fees), JP Fund In Irust, NL MoU)	Exceptions (covered by the relevant UPOV member)
UPOV PRISMA	<ol> <li>Translation costs if non-UPOV language</li> <li>Development and maintenanance of customized PDF layout.</li> </ol>
UPOV e-PVP Admin	<ol> <li>On boarding cost (in case of data migration)</li> <li>Customization development and maintenance (if applicable)</li> <li>Cloud storage</li> </ol>
UPOV e-PVP DUS Exchange	Customization development and maintenance (if applicable)
PLUTO	NA

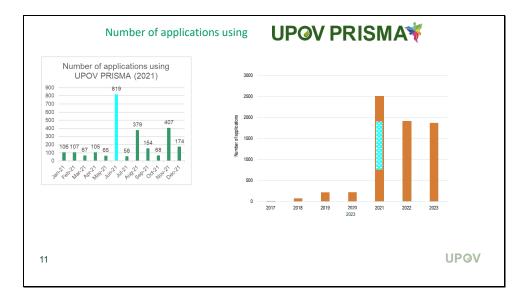
UPOV Member	UPOV PRISMA*	UPOV e-PVP Admin Module	UPOV e-PVP DUS Exchange Module
Brazil			(X)
Canada	Х		(X)
European Union	Х		(X)
Georgia	Х		(X)
Ghana	(X)	(X)	(X)
Morocco	Х		(X)
Netherlands (Kingdom of)	х		Х
New Zealand	Х		(X)
United States of America	Х		(X)
Viet Nam	х	x	x

Data Privacy	
<ul> <li>Ensure that personal data is processed in a way compliant with best practices.</li> <li>Ensure that Personal Data is kept accurate and up to date to fulfil the specified purposes for which it was collected.</li> <li>Ensure appropriate protection of its confidentiality</li> <li>Safeguard the Personal Data from risks such as unauthorized access, modification or destruction, accidental loss, etc</li> </ul>	https://www.upov.int/about/en/privacy_notice.html
7	UPØV





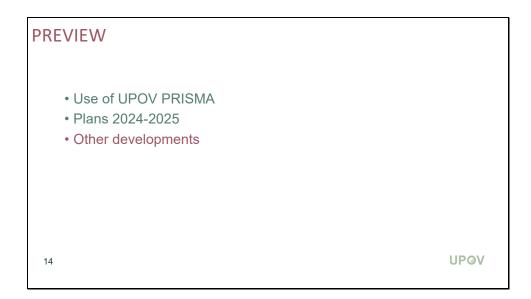


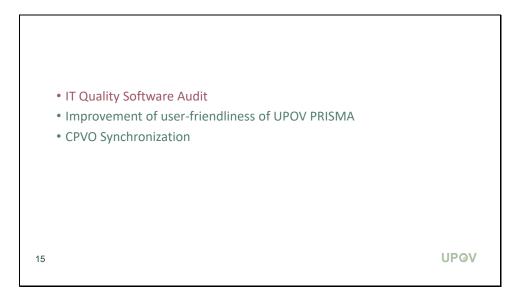


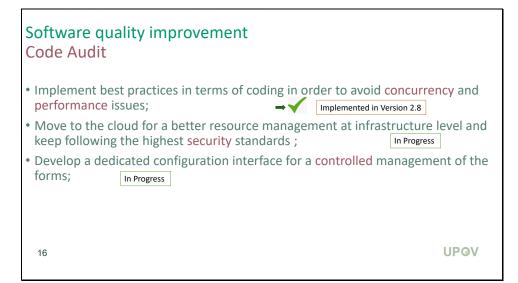


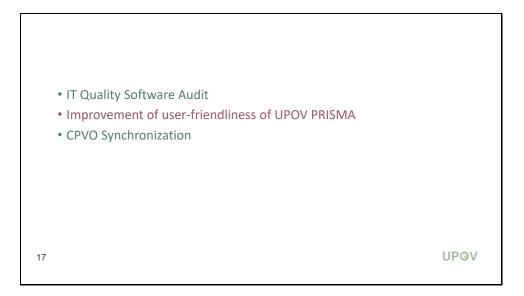
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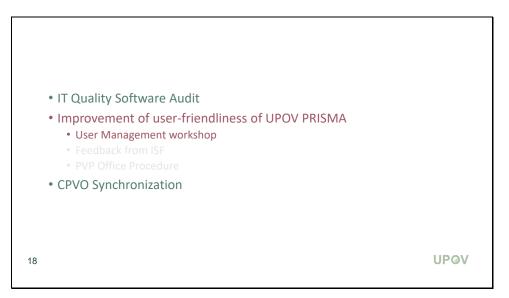
Version	When	What
Version 2.10	April 2024	1. 10 new UPOV TQs and 40 updated ones.
		2. China : 9 new crops
		3. Morocco: 6 new crops
		4. Serbia : 2 new crops
		5. United States of America: All crops and species
Version 3.0	March 2025	1. Move to the cloud
		2. New user interfaces
		3. Improvement of user management
		4. Improvement of bulk upload
		5. Accessibility



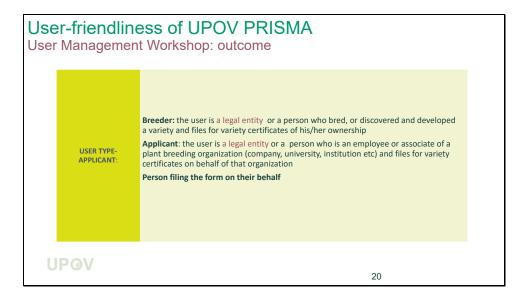


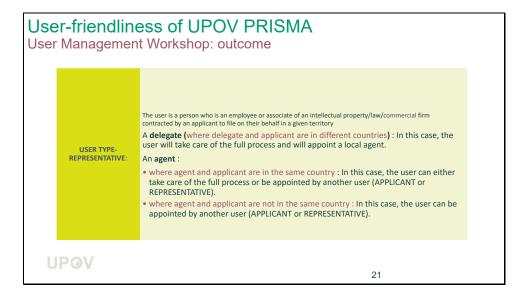


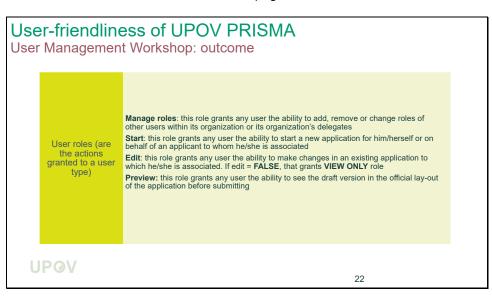




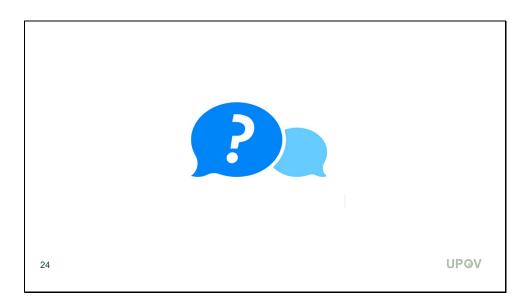
User-friendliness of UPOV PRISMA User Management Workshop	
<ul> <li>Two design thinking workshops on User management :</li> <li>December 4, 2023</li> <li>December 7, 2023</li> </ul>	
• After an online consultation, a final version was presented on January 30, 2024.	
19	UPØV



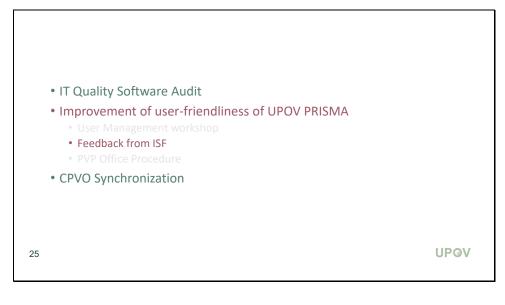




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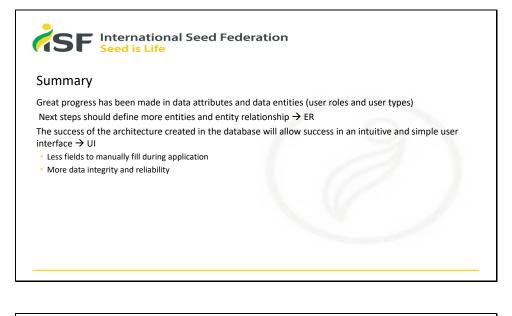


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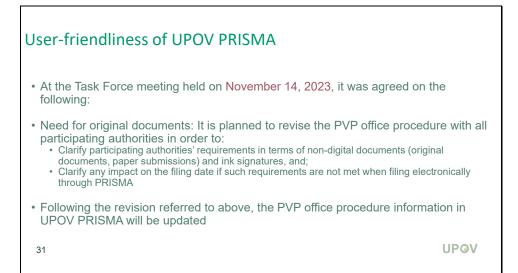


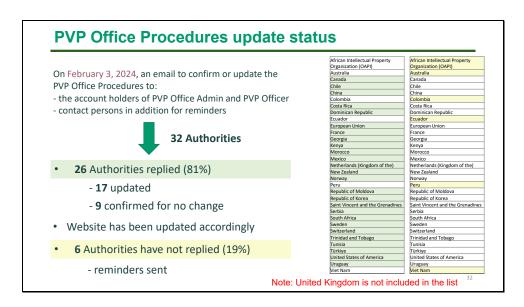


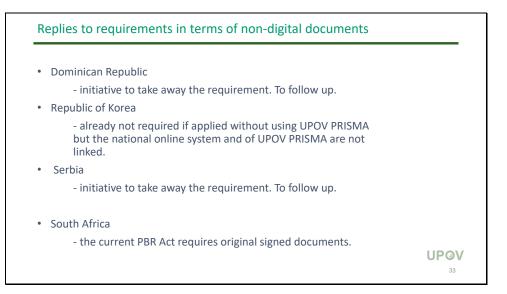




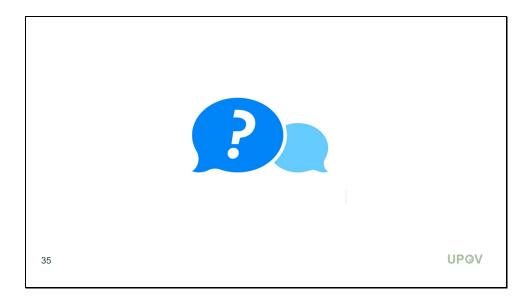
IT Quality Software Audit	
Improvement of user-friendliness of UPOV PRISMA	
<ul> <li>User Management workshop</li> <li>Feedback from ISF</li> </ul>	
PVP Office Procedure	
CPVO Synchronization	
30	UPØV

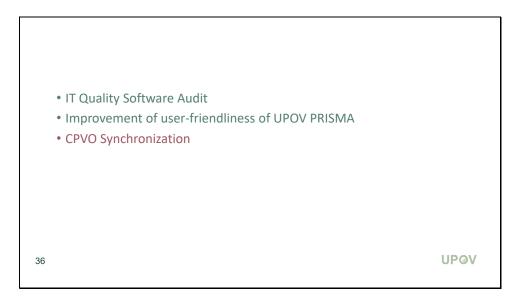


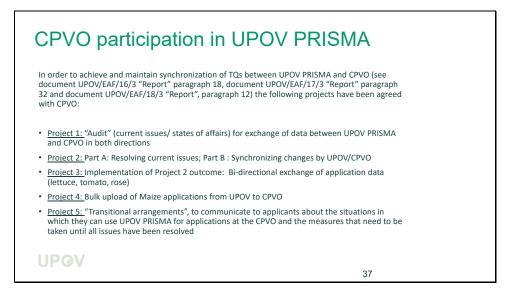


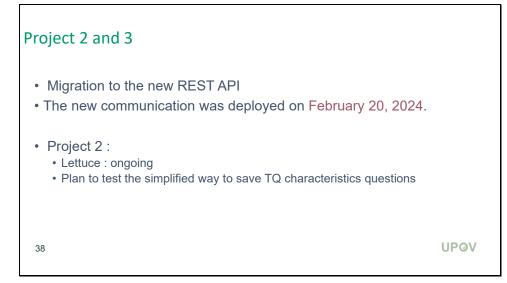


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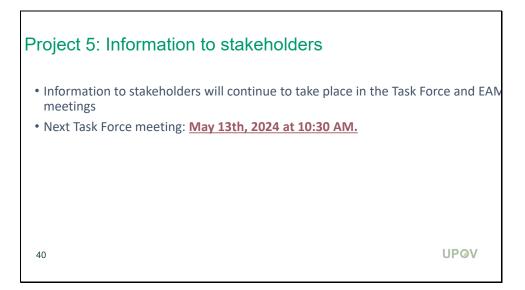


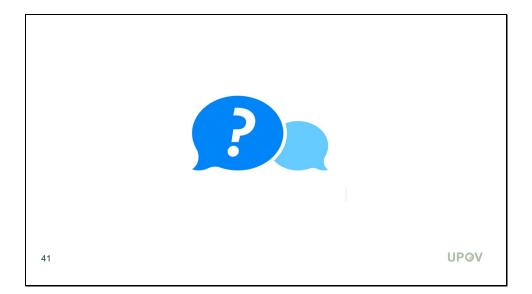


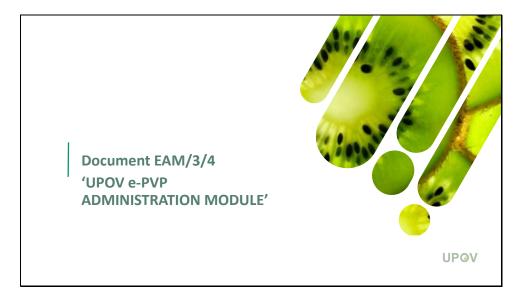


## Project 4 Proof of concept : completed The bulk upload (QZ Maize) was used in November 2022 and November 2023 (Pilot with Corteva) Bulk Invoice : in progress (Version 3.0)

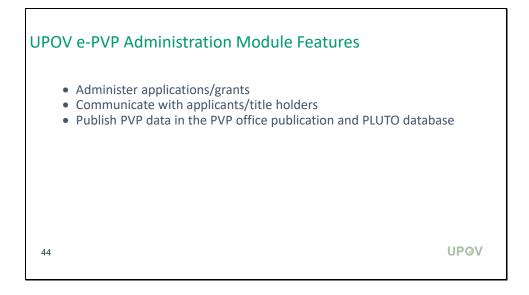
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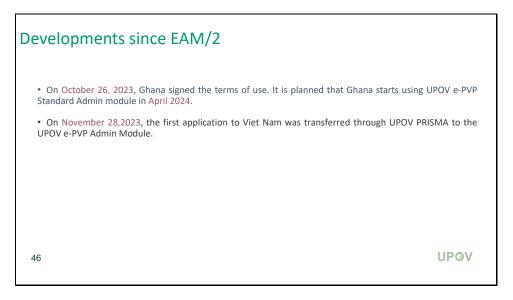


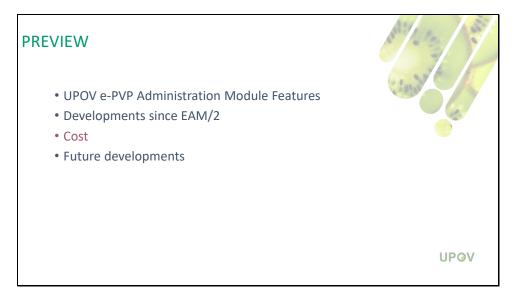


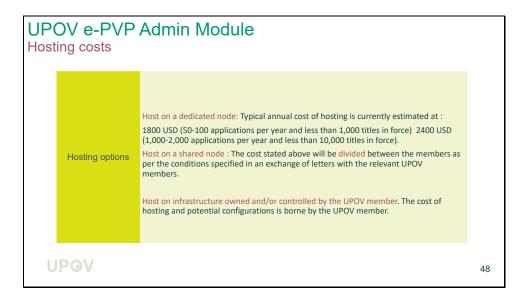






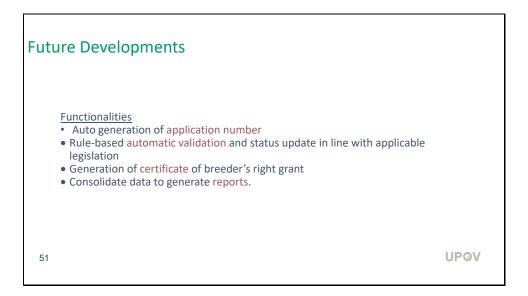


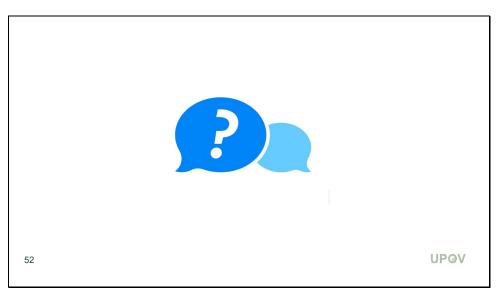


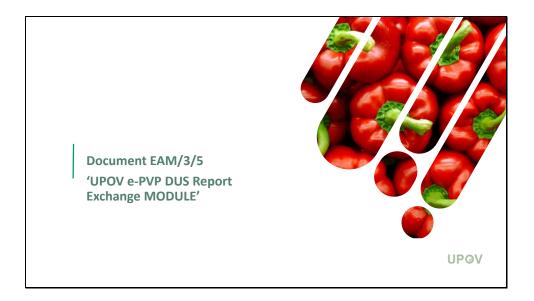


UPOV e-PVP Customization co	Admin Module sts	
Customization	Versions of the UPOV e-PVP Administration Module customized according to the specific needs of UPOV members can be developed in co-operation with UPOV. All the necessary resources are provided by the UPOV member and subject to the priorities of the Office of the Union. Additional work on customization for Viet Nam: 1.Upload existing national variety description data 2.Retrieve data based on the crop (or set of crops sharing the same test guidelines)	
UPØV		49











### New joining authorities in 2024

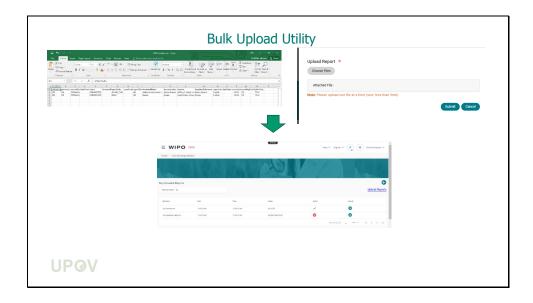
- In September 2023, initially with Viet Nam as the sole participant.
  The Kingdom of the Netherlands : access to the system in December 2023.
- As of March 4, 2024, eight additional authorities expressing their intent to join in 2024:
  - Brazil Brazil
    Canada
  - European Union
    Georgia
    Ghana

  - Morocco
     New Zealand New Zealand
     United States of America.
- Notably, the European Union aims to make over 30,000 reports available.

## Ongoing work

Bulk upload utility: upload information on the status of reports in Excel format provided by the participating countries (whether the DUS examination is in progress or completed) in bulk

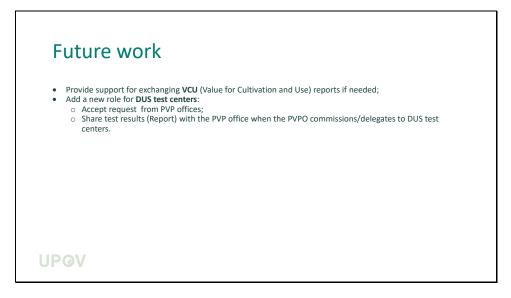
- The following APIs will be made available: Create a new report : to push report information at the time when a DUS examination starts. Keep the status of report list up to date :
  - update report fields (such as denomination, breeder etc) if there is any change during the examination period.
  - change status of report to "Prepared" when a report is produced and can be made available.
  - change status of report to "READY
  - contact Requesting PVP Office : to upload interim reports as attachments.
- Transfer request information made through UPOV e-PVP DUS exchange to national/regional systems
- Transfer progress on processing request to UPOV e-PVP DUS Exchange module.

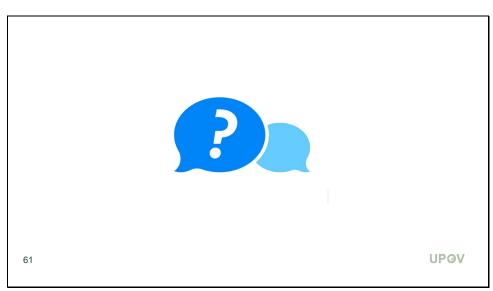


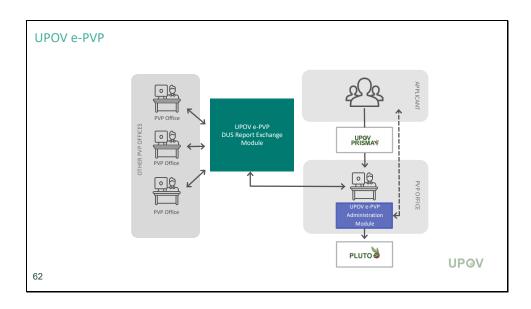
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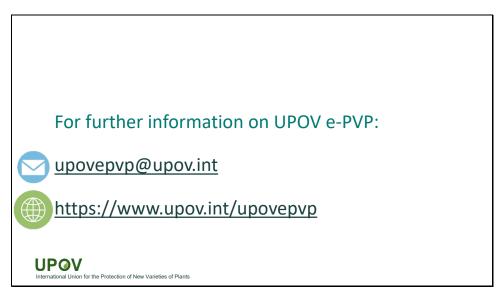
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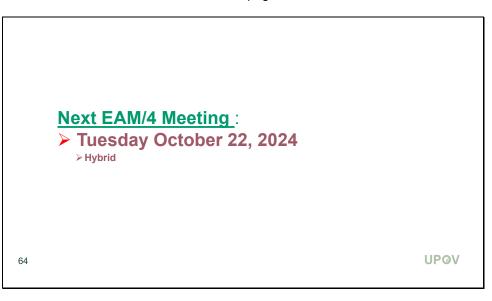












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