UPOV

International Union for the Protection of New Varieties of Plants

Technical Committee	**TC/58/INF/2**
Fifty-Eighth Session **Geneva, October 24 and 25, 2022**	**Original:** English **Date:** August 16, 2022

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 concerning UPOV PRISMA, since the fifty-seventh session of the Technical Committee (TC), held in Geneva on October 25 and 26, 2021.

2.   The structure of this document is as follows:

BACKGROUND

3.   The background and previous developments concerning UPOV PRISMA (formerly the Electronic Application Form project) are reported in document TC/57/INF/2 "UPOV PRISMA".

DEVELOPMENTS

Eighteenth Meeting on the Development of an Electronic Application Form ("EAF/18 meeting") in October 2021

4.   The eighteenth meeting on the Development of an Electronic Application Form ("EAF/18 meeting") was held via electronic means on October 21, 2021. The report of the meeting is provided in document EAF/18/3 "Report" available at: https://www.upov.int/edocs/mdocs/upov/en/upov_eaf_18/upov_eaf_18_3.pdf.

Administrative and Legal Committee (CAJ) in October 2021

5.   The Administrative and Legal Committee (CAJ), at its seventy-eighth session, organized via electronic means on October 27, 2021, noted the information provided in document CAJ/78/INF/4 in relation to recent developments in UPOV PRISMA (see document CAJ/78/13 "Report", paragraph 44).

Use of UPOV PRISMA (as of June 30, 2022)

6.   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	
August	-	1	7	11	379	
September	3	8	16	29	154	
October	1	19	29	16	68	
November	3	16	26	41	407	
December	3	9	51	32	174	
Total	14	77	219	222	2509	689

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	Number of submissions in UPOV PRISMA in 2022 (as of 30/06/2022)	Total Number of submissions in UPOV PRISMA (as of 30/09/2021)
African Intellectual Property Organization (OAPI)	OA			3	1			4
Argentina*	AR							
Australia	AU		10	17	36	27	10	100
Bolivia (Plurinational State of)*	BO			2				2
Canada	CA		6	27	17	24	34	108
Chile	CL	3		3	1	9		16
China	CN							
Colombia	CO			4	2	4	1	11
Costa Rica	CR			4	1	2		7
Dominican Republic	DO			2	2	4		8
Ecuador	EC				2	4	1	7
European Union	QZ		8	38	13	123	8	190
France	FR			20	-	4	1	25
Georgia	GE			2	1	3	1	7
Kenya	KE		13	6	14	14	12	59
Morocco	MA					7	4	11
Mexico	MX		7	7	13	13	23	63
Netherlands	NL	1	8	12	6	1		28
New Zealand	NZ	5	3	8	5	18	5	44
Norway	NO	1		5	7	6	3	22
Paraguay*	PY							
Peru	PE				2	3	1	6
Republic of Moldova	MD			2				2
Republic of Korea	KR			1	1			2
Serbia	RS			2	1	3		6
South Africa	ZA		2	3	2	12	1	20
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	29	177
United Kingdom	GB		3	18	22	2138	532	2713
United States of America	US		6	1	3	5	15	30
Uruguay	UY					6		6
Viet Nam	VN							
Total	35	14	77	219	222	2509	689	3730

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

<u>Launch of Version 2.7 (January 2022)</u>

Functionalities

7.   Version 2.7 of UPOV PRISMA was deployed in January 2022, with the following new functionalities:

(a) Possibility to download the list of applications as displayed in the dashboard for PVP office in Excel format;
(b) Introduction of the WIPO IP Portal navigation bar;
(c) Bulk Upload (for maize, European Union);
(d) Provide the Co-agent with the right to view applications of other colleagues.

Coverage

8.   In Version 2.7, application or technical questionnaire forms were updated for the following participating PBR authorities:

- European Union
- Netherlands

9.   Saint Vincent and Grenadines was introduced in UPOV PRISMA as a new participating UPOV member.

<u>Meeting on the development of an electronic application form (EAF/19)</u>

10.   The nineteenth meeting on the Development of an Electronic Application Form ("EAF/19 meeting") was held by electronic means on March 16, 2022. The report of the EAF/19 meeting (document UPOV/EAF/19/3) is available at: https://www.upov.int/edocs/mdocs/upov/en/upov_eaf_19/upov_eaf_19_3.pdf.

<u>Planned Launch of Version 2.8 (September 2022)</u>

11.   UPOV PRISMA Version 2.8 is planned to be deployed in September 2022.

UPOV members

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

Crops/ species

13.   The forms for France and the Netherlands will be updated.

New functionalities

14.   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;
- For agents, accept invitations in bulk instead of clicking each one individually;
- 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;
- Bulk invoice upon request; 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

15.   It was noted by the CAJ at its seventy-eighth session (see document CAJ/78/INF/4) 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.

16.   It was noted by the CAJ at its seventy-eighth session (see document CAJ/78/INF/4) that 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.

17.   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.

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

19.   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.

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

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

Improvement of user-friendliness of UPOV PRISMA

22.   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 CAJ/78/INF/4).

23.   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.

24.   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.

CPVO Synchronization

25.   In order to achieve and maintain synchronization of TQs between UPOV PRISMA and CPVO (see document CAJ/78/INF/4) 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).

Coverage of Test Guidelines: Sugar Beet

26.   In relation to the coverage of the Test Guidelines, the following was agreed at the EAF/13 meeting (see document UPOV/EAF/13/3 "Report", paragraphs 19 to 22):

"20.   The participants received a presentation from the Office of the Union, as reproduced in the Annex II of document UPOV/EAF/12/3 "Report", and noted that, for UPOV members following the UPOV Test Guidelines, where there were no UPOV Test Guidelines for a particular crop/species, a generic TQ was available. Alternatively, UPOV members could link these crop/species to a suitable UPOV TG. It was explained that it would not be appropriate to use national TGs for such crops/species because of the high level of maintenance, the translation burden and lack of harmonization. However, it would be possible for UPOV members participating in UPOV PRISMA to agree a common TQ and thereby to retain harmonization and minimize translation work.

"21.   The participants noted that, in cases where a participating authority used a national Technical Questionnaire for the Table of Characteristics, for a specific crop, where there was no UPOV Test Guidelines (TGs) and where the generic TQ was not appropriate, there would be 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.

"22.   The participants noted the process of consultation for authorities who do not follow the general approach but follow UPOV TGs TQ and UPOV characteristics, as follows:

1.   Request from Country A for a specific crop (Country A TQ)
2.   Inform other participating authorities in UPOV PRISMA
3.   Circulate the Country A TQ to see if there are any objections to use as UPOV PRISMA TQ
4.   If no objections: Country A TQ becomes UPOV PRISMA TQ (subject to resources available)
5.   If objections: discussion among interested authorities to explore possibilities to develop a harmonized TQ (and then back to 3)

Any new request would be reported at the subsequent EAF meeting."

27.   There are no UPOV Test Guidelines for sugar beet and the approach above was considered but initial feedback indicated that it could be problematic to seek to apply a specific TQ for all UPOV members that use the UPOV TQ for all genera and species.

28.   On the basis of the feedback received, it was agreed at the EAF/19 meeting to amend the procedure above 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).

29.   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.

30.   The United Kingdom has a specific TQ, a copy of which is provided in the Annex to this document. In accordance with the proposed new procedure, the United Kingdom TQ was circulated on June 15, 2022 (Circular E-22/089) to the following 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:

Authority
African Intellectual Property Organization (OAPI)
Chile
Colombia
Dominican Republic
France
Georgia
Kenya
Mexico
Netherlands
New Zealand
Norway
Peru
Republic of Moldova
Saint Vincent and Grenadines
Serbia
South Africa
Sweden
Tunisia
Türkiye
United Kingdom
Viet Nam

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

Plans for Version 2.9 (September 2023)

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

UPOV member coverage:

33.   The following developments in UPOV member coverage are anticipated for Version 2.9:

- Inclusion of Brazil;
- Expand the crop coverage for China.

Functionalities:

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

- 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;
- Develop a dedicated configuration interface for controlled management of the forms;
- Implement the new screen design (Start New Application, Copy Application) (see paragraphs 22 to 24)

POSSIBLE FUTURE DEVELOPMENTS

Coverage

35.   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).

36.   The following members of the Union 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 members of the Union concerned to discuss their requirements and timeline for joining UPOV PRISMA.

User-friendliness of the tool

37.   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);
- TQ Synchronization between UPOV PRISMA and CPVO (see document EAF/16/3 "Report" paragraph 18).

New functionalities

38.   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).

TWENTIETH MEETING ON THE DEVELOPMENT OF THE ELECTRONIC APPLICATION FORM (EAF/20)

39.   The Twentieth meeting of the EAF (EAF/20 meeting) will be organized as a hybrid meeting (physical/virtual means) on October 25, 2025.

EXPANDING THE SCOPE OF THE EAF MEETING TO COVER E-PVP

40.   The Program and Budget for the 2022-2023 Biennium (document C/55/4 Rev.) explains that the following package of compatible tools will be introduced or further developed in the 2022-2023 biennium, as follows:

    1) Applying for PVP
        (a) UPOV PRISMA:
            i)   coverage will be extended to more members of the Union and more crops/species
            ii) DUS Arrangement Recommendation Tool (DART) providing information on cooperation in DUS examination between members of the Union
        (b) UPOV member cooperation platforms (e.g. regional) for cooperation in the administration and examination of applications

    2) Administration of PVP applications
        (a) Electronic PVP administration module (e-PVP) for members of the Union to manage and publish PVP applications

    3) Examination of PVP applications
        (a) PLUTO database to be enhanced by increasing quantity and quality of data included
        (b) UPOV similarity search tool for variety denomination purposes running on data in the PLUTO database
        (c) GENIE database: UPOV Code System to be adapted to provide additional information to assist in DUS examination
        (d) Web-based TG Template to provide module for members of the Union to develop individual authorities' test guidelines (IATG) in their desired language

    4) Facilitating cooperation in DUS examination
        (a) Platform for exchange of existing DUS reports (part of e-PVP)
        (b) Platform for members of the Union to make their documented DUS procedures and information on their quality management systems available to other members of the Union
        (c) Platform/portal for UPOV member databases containing variety description information

41.   These tools will provide coherent and comprehensive assistance in the implementation of the UPOV system of plant variety protection, some or all of which could be used by members of the Union, as considered appropriate.

42.   There is a close relationship between UPOV PRISMA and the e-PVP modules for the administration of PVP applications and for the exchange of DUS reports. The CAJ, at its seventy-ninth session, will consider whether to expand the scope of the EAF meetings to cover the reporting of e-PVP developments. The name of the meetings would be changed to "Meeting on Electronic Applications".

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