

Consultative Committee

CC/98/INF/5

**Ninety-Eighth Session
Geneva, October 28, 2021**

Original: English
Date: October 14, 2021

UPOV PRISMA – MATTERS FOR INFORMATION

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 ninety-seventh session of the Consultative Committee, held in Geneva on October 29, 2020.

2. The structure of this document is as follows:

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BACKGROUND

3. The background and previous developments concerning UPOV PRISMA (formerly the Electronic Application Form project) are reported in document CC/97/INF/5 “UPOV PRISMA”.

DEVELOPMENTS

Sixteenth Meeting on the Development of an Electronic Application Form (“EAF/16 meeting) in October 2020

4. The sixteenth meeting on the Development of an Electronic Application Form (“EAF/16 meeting”) was held via electronic means on October 23, 2020. The report of the meeting is provided in document EAF/16/3 “Report” available at: https://www.upov.int/edocs/mdocs/upov/en/upov_eaf_16/upov_eaf_16_3.pdf.

Technical Committee (TC) in October 2020

5. The Technical Committee (TC), at its fifty-sixth session, organized via electronic means on October 26 and 27, 2020, noted the information provided in document TC/56/INF/2 in relation to recent developments in UPOV PRISMA (see document TC/56/23 “Report”, paragraph 80).

Administrative and Legal Committee (CAJ) in October 2020

6. The Administrative and Legal Committee (CAJ), at its seventy-seventh session, organized via electronic means on October 28, 2020, noted the information provided in document CAJ/77/INF/4 in relation to recent developments in UPOV PRISMA (see document CAJ/77/10 “Report”, paragraph 45).

Consultative Committee and Council in October 2020

7. The Council at its fifty-fourth ordinary session in Geneva, organized via electronic means on October 30, 2020, noted the work of the Consultative Committee at its ninety-seventh session, as reported in document C/54/13 Rev. “Report by the President on the work of the ninety- seventh session of the Consultative Committee”, including information concerning UPOV PRISMA (see document C/54/21 “Report”, paragraph 18).

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

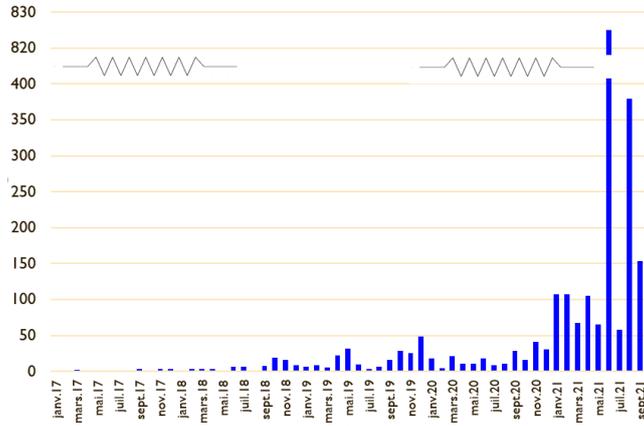
8. Information on the use of UPOV PRISMA, is provided below:

Number of submissions via UPOV PRISMA

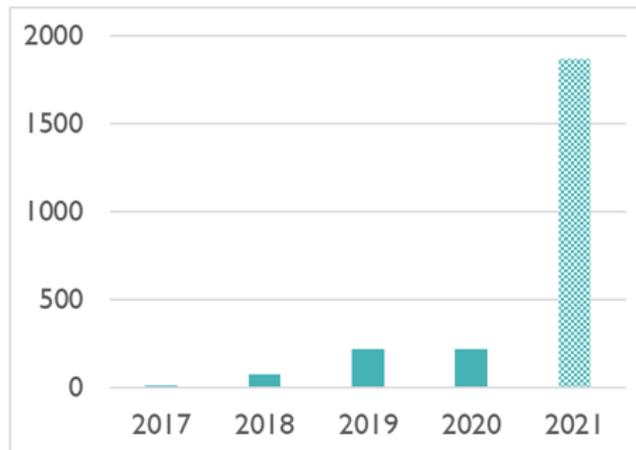
	2017	2018	2019	2020	2021
January	1	-	7	18	107
February	-	3	9	5	107
March	2	3	6	21	67
April	-	3	22	11	105
May	1	1	33	11	65
June	-	7	10	18	822
July	-	7	3	9	58

August	-	1	7	11	379
September	3	8	16	29	154
October	1	19	29	16	
November	3	16	26	41	
December	3	9	51	32	
Total	14	77	219	222	1864

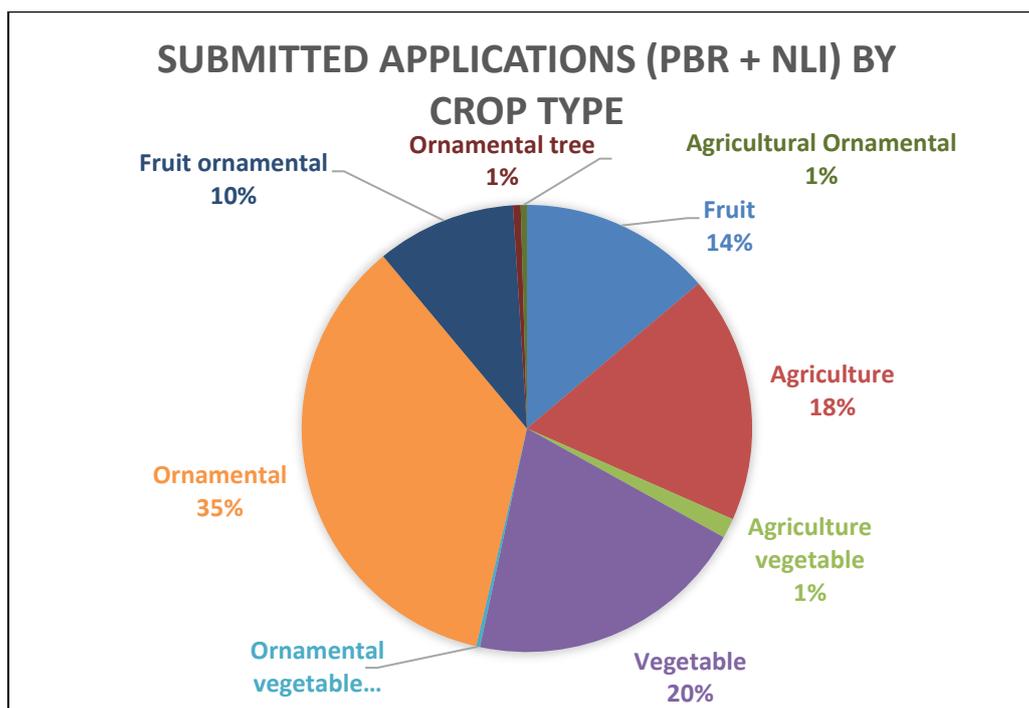
No. applications using
UPOV PRISMA



Applications in UPOV PRISMA (annual)



Submissions in UPOV PRISMA by crop type



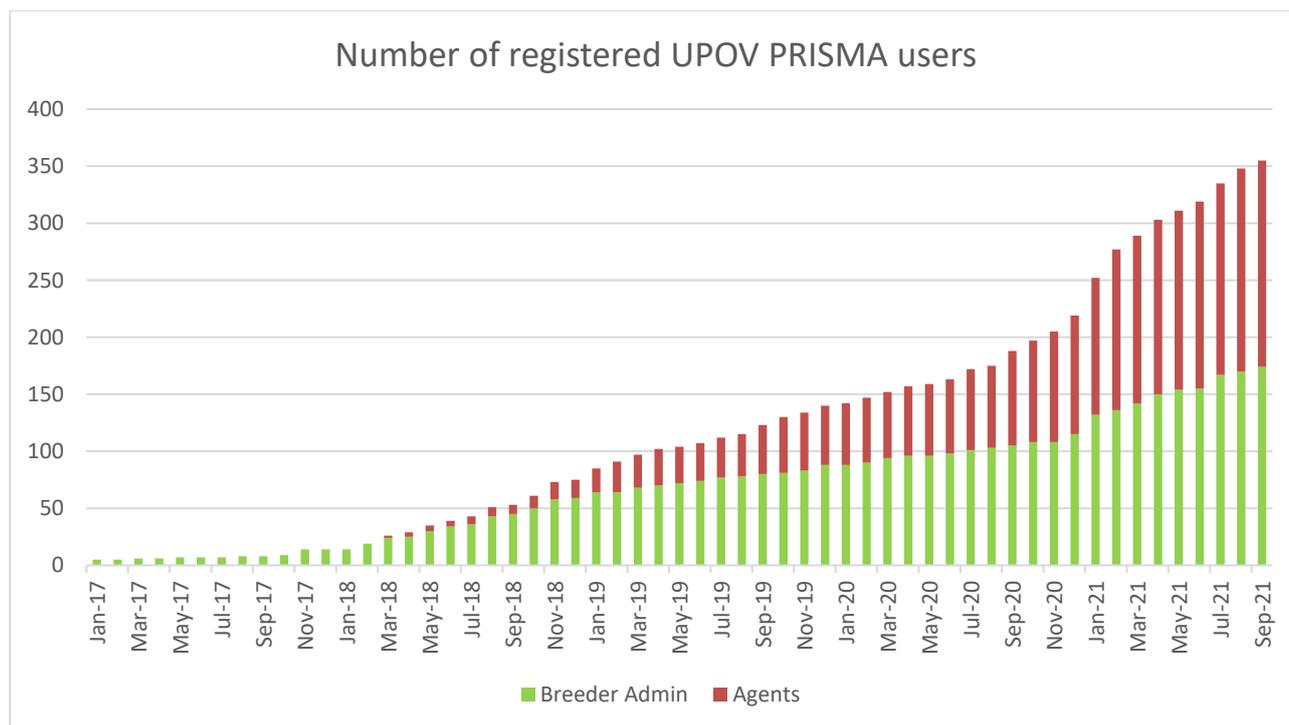
Number of submissions by participating Authority in UPOV PRISMA

Authority		Number of submissions in UPOV PRISMA in 2017	Number of submissions in UPOV PRISMA in 2018	Number of submissions in UPOV PRISMA in 2019	Number of submissions in UPOV PRISMA in 2020	Number of submissions in UPOV PRISMA in 2021 (as of 30/09/2021)	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	23	86
Bolivia (Plurinational State of)*	BO			2			2
Canada	CA		6	27	17	19	69
Chile	CL	3		3	1	8	12
China	CN						-
Colombia	CO			4	2	2	5
Costa Rica	CR			4	1		5
Dominican Republic	DO			2	2	1	5
Ecuador	EC				2	2	4
European Union	QZ		8	38	13	20	79
France	FR			20	-	3	23
Georgia	GE			2	1	3	6
Kenya	KE		13	6	14	10	43
Morocco	MA						-
Mexico	MX		7	7	13	11	38
Netherlands	NL	1	8	12	6		27
New Zealand	NZ	5	3	8	5	18	39
Norway	NO	1		5	7		13
Paraguay*	PY						-
Peru	PE				2	1	3

Authority		Number of submissions in UPOV PRISMA in 2017	Number of submissions in UPOV PRISMA in 2018	Number of submissions in UPOV PRISMA in 2019	Number of submissions in UPOV PRISMA in 2020	Number of submissions in UPOV PRISMA in 2021 (as of 30/09/2021)	Total Number of submissions in UPOV PRISMA (as of 30/09/2021)
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	4	11
Sweden	SE			1			1
Switzerland	CH	2	3	4	16	6	31
Trinidad and Tobago	TT						-
Tunisia	TN		2	4		1	7
Turkey	TR		6	23	54	43	126
United Kingdom	GB		3	18	22	1683	1726
United States of America	US		6	1	3	4	14
Uruguay	UY					3	3
Viet Nam	VN						-
Total	35	14	77	219	222	1864	2392

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

Number of Registered Users



Version 2.5

Functionalities

9. Version 2.5 of UPOV PRISMA was fully deployed on February 1, 2021, with the following new functionalities:

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

Coverage

10. In Version 2.5, application or technical questionnaire forms were updated for the following participating PBR authorities:

- Chile
- European Union
- Switzerland

11. No members of the Union were added in Version 2.5. Maize was added as new crop for the European Union.

The coverage of UPOV PRISMA in Version 2.5 was as follows:

Authority		Crop coverage in Version 2.5
African Intellectual Property Organization (OAPI)	OA	All genera and species
Argentina*	AR	Apple (Fruit Varieties), Barley, Black Radish, Broad Bean, Brussels Sprouts, Cauliflower, Chili, Chinese Cabbage, Cotton, Egg Plant, Fig, Grapevine, Green onion, Grey Shallot, Hot Pepper, Indian mustard, Japanese Bunching Onion, Maize, Melon, Oriental Radish, Papaya, Paprika, Potato, Rose, Salvia, Shallot, Soya Bean, Spinach, Sugarcane, Sweet Pepper, Tomato Rootstocks, Watermelon, Welsh Onion, Wheat, Witloof Chicory
Australia	AU	All genera and species
Bolivia (Plurinational State of) *	BO	All genera and species
Canada	CA	All genera & species excluding algae, bacteria and fungi
Chile	CL	All genera and species
China	CN	Lettuce
Colombia	CO	All genera and species
Costa Rica	CR	All genera and species
Dominican Republic	DO	All genera and species
Ecuador	EC	All genera and species
European Union	QZ	All genera & species excluding agricultural crops apart from Bent, Cocksfoot, Fescue, Maize, Meadow Fescue, Potato, Soya Bean, Ryegrass, Timothy
France	FR	All genera & species
Georgia	GE	Apple (Fruit Varieties), Barley, Blackberry, Blueberry, Cherry (Sweet Cherry), Chick-Pea, Field Bean, French Bean, Hazelnut, Lentil, Maize, Oats, Peach, Pear, Potato, Raspberry, Soya Bean, Sunflower, Tomato, Walnut, Wheat
Kenya	KE	All genera and species
Morocco	MA	Melon
Mexico	MX	All genera and species
Netherlands	NL	All genera and species
New Zealand	NZ	All genera and species
Norway	NO	All genera and species

Authority		Crop coverage in Version 2.5
Paraguay *	PY	Soya Bean
Peru	PE	All genera and species
Republic of Moldova	MD	Apple (Fruit Varieties), Barley, Blackberry, Chili, European Plum, Grapevine, Hot Pepper, Lettuce, Maize, Oats, Onion, Paprika, Pea, Pear, Potato, Raspberry, Rose, Rye, Sour cherry, Soya Bean, Strawberry, Sunflower, Sunflower, Sweet Pepper, Tomato, Walnut, Wheat
Republic of Korea	KR	Apple (Fruit Varieties), Lettuce, Potato, Rose, Soya Bean
Serbia	RS	Apple (Fruit Varieties), Blueberry, Raspberry, Rose
South Africa	ZA	All genera and species
Sweden	SE	All genera and species
Switzerland	CH	All genera and species
Trinidad and Tobago	TT	Anthuriums , Bromeliaceae, Heliconiaceae, Orchidaceae, Sterculiaceae, Cajanus cajans, Vigna sp., Theobroma cacao L.
Tunisia	TN	All genera and species
Turkey	TR	All genera and species
United Kingdom	GB	All genera and species
United States of America	US	192 crops including Lettuce, Potato, Soya Bean, Wheat
Uruguay	UY	All genera & species
Viet Nam	VN	Anthurium, Carnation, Chrysanthemum, Cucumber, Dahlia, Dragon Fruit, Japanese Bunching, Onion, Kohlrabi, Maize, Mango, Oranges (Citrus L. - Group 2), Peanut, Poinsettia, Potato, Rice, Rose, Soya Bean, Sunflower, Tomato, Welsh Onion, White-Red and Savoy Cabbage
Total	35	

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

Meeting on the development of an electronic application form (EAF/17)

12. The seventeenth meeting on the Development of an Electronic Application Form (“EAF/17 meeting”), was held by electronic means on March 25, 2021. The Report of EAF/17 meeting (document UPOV/EAF/17/3) is available at: https://www.upov.int/edocs/mdocs/upov/en/upov_eaf_17/upov_eaf_17_3.pdf.

Launch of Version 2.6

5. UPOV PRISMA Version 2.6 was deployed in July 2021.

UPOV members

13. No new additional participating PBR authorities were introduced in Version 2.6.

Crops/ species

14. The crop coverage in UPOV PRISMA has been changed in Version 2.6, as follows:

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

15. Forms have been updated for the following participating PBR authorities: Mexico, Norway and the United Kingdom.

New functionalities

16. The following new functionalities were introduced in Version 2.6:

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

Other developments

IT Quality Software Audit

17. 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.

18. The Office of the Union appointed an external company to perform a software quality audit.

19. According to the test maturity model, UPOV PRISMA has 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.

20. The above 6 recommendations have been implemented. In particular, to limit the risk of negative impacts when introducing new functionalities, regression tests are being automated.

UPOV PRISMA “Task Force” Group

21. The plan to work with a “Task Force” of users to be identified by CIOPORA and ISF was reported at the EAF/17 meeting. 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

22. 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 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)
- 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)

Workshop with Users to Improve user-friendliness of UPOV PRISMA

23. 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 will be organized with users to review certain current existing functionalities (e.g. copy functionality, assignment of roles).

24. Users were consulted 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.

Requests for new developments

PVP offices

25. Since the EAF/17 meeting, the following requests have been received from PVP Offices:

1. Add the possibility to download the list of applications as displayed in the dashboard for PVP office in Excel format;
2. Update of forms for Netherlands, France and European Union.

Registered Users

26. Since the EAF/17 meeting, the following requests have been received from users for new functionalities:

1. The possibility to access the basket anytime when the user is in UPOV PRISMA. This will be achieved when introducing the WIPO IP Portal navigation bar in the next release (Version 2.7).
2. The possibility to use a different billing addresses for the same company. An interim solution has been developed.

27. It is planned to address these issues by the end of 2021, subject to available resources.

Plans for Version 2.7

UPOV member coverage:

28. The following new UPOV member coverage is anticipated for Version 2.7:

- Saint Vincent and Grenadines (New);
- Update of forms for European Union, France, and the Netherlands.

Functionalities:

29. The following functionalities are planned to be introduced in Version 2.7:

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

Release of Version 2.7:

30. It is planned to release Version 2.7 of UPOV PRISMA in December 2021.

POSSIBLE FUTURE DEVELOPMENTS

Coverage

31. 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).

32. 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

33. 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);
- Improvement of the copy functionality and Start New application (according to the outcomes of the workshops organized with users).

New functionalities

34. 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).

IT improvements

35. The following IT improvements will be considered for possible development after Version 2.7:

- Improve the performance of form generation.

FURTHER DEVELOPMENTS

Eighteen meeting on the development of the electronic application form (EAF/18)

36. The eighteen meeting of the EAF (EAF/18 meeting) will be organized via electronic means on October 21, 2021.

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