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|  |  | **E**  **EAF/4/5**  **ORIGINAL**: English  **DATE:** March 18, 2015 |
| **INTERNATIONAL UNION FOR THE PROTECTION OF NEW VARIETIES OF PLANTS** | | |
| Geneva | | |

**MEETING ON THE DEVELOPMENT OF A PROTOTYPE ELECTRONIC FORM**

**Fourth Meeting  
Geneva, October 14, 2014**

Report

*prepared by the Office of the Union  
  
Disclaimer: this document does not represent UPOV policies or guidance*

## Welcome and opening

The meeting on the development of a prototype electronic form (“meeting”) was opened and chaired by Mr. Peter Button, Vice Secretary‑General, UPOV, who welcomed the participants in Geneva and those who participated in the meeting by means of electronic conference.

The list of participants is reproduced in Annex I to this report.

## Approval of the agenda

The meeting adopted the draft agenda as proposed in document EAF/4/1 Rev..

## Overview of the prototype electronic form project

The meeting considered document EAF/4/2 “overview concerning the prototype electronic form project”.

## Data exchange and data model

The meeting considered document EAF/4/3 “Data exchange and data model”.

It was recalled that one of the key aspects of the prototype is the data format, as follows (see document CAJ/68/8 “Electronic application systems”):

Data format: The UPOV electronic form would enable data to be transferred to participating members of the Union in Word, Excel, PDF or XML format. The participating members of the Union would decide in which format(s) to accept data. In the case of XML format, a standard format would be developed, based on WIPO standard ST.96.

The participants received a presentation on the proposal for the development of the XML Schema to be used for the project (i.e. PVP-XML), as reproduced in Annex II of this document. It was noted that the PVP-XML Schema would, as far as possible, reuse and refer to relevant components of the WIPO Standard ST.96 (“common components”). It was agreed that components which were not covered by the ST.96 standard would be described and developed on the basis of the ST.96 Annex I (Design Rules and conventions) and UPOV XML Design Rules and Conventions (DRCs). It was agreed that the PVP-XML would be updated in line with ST.96, as appropriate; however, it was not planned for the PVP-XML to be prepared for adoption as a WIPO standard.

It was recalled that participants in the EAF Project had been invited to provide information on their database structure and PVP data format (Circular E-4/111 of May 2, 2014). In addition, to assist in the design of the database and define the data model, participants had been invited to provide sample data (Circular E-14/205 of August 6, 2014). Information received from the following participating members of the Union had been incorporated in the first draft PVP-XML Schema: Australia, Brazil, Canada, European Union, Germany, Japan, Mexico, the Netherlands, New Zealand, Republic of Korea, Switzerland, United States of America and Viet Nam.

The participants received a presentation made by the Office of the Union on the proposal for the UPOV XML Design Rules and Conventions (DRCs), the PVP Data Dictionary, the Schema Technical Specification and the PVP-XML schema as set out in in document EAF/4/3 “Data exchange and data model” and available on a collaborative platform created for this project (wiki space UPOV\_EAS).   
Participating members in the development of a prototype electronic form were invited to check the information made available on the wiki space UPOV\_EAS available under: <https://www3.wipo.int/confluence/display/UP/UPOV_EAS+Home>, and to provide their comments in the different round discussions according to the following timetable:

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| Participating members to comment via the wiki space UPOV\_EAS on the draft PVP-XML schema and data exchange specifications: | * First round discussion by October 31, 2014 * Second round discussion by November 21, 2014 |

The meeting noted that participating members would be invited to provide data in order to test the PVP-XML Schema to ensure compatibility with their system. It was agreed that participants would need to allocate time to comment and test the import/ export facility of PVP data to/ from their internal system to the UPOV database during the period October 2014 to October 2015.

The meeting noted that, on the basis of the comments received via the wiki space UPOV\_EAS, a new draft PVP-XML Schema would be submitted for approval by experts involved in the project, at the fifth meeting.

The Office explained that, an “Issue Register” has been created under <https://www3.wipo.int/confluence/display/UP/Issue+Register>. This register would contain issues for which participating members were invited to indicate their preference. Three issues were presented on matters related to:

* Relationship between PVP-XML schema and existing components for Patents and Trademarks (Issue ID-1);
* Data exchange: Schema to be used for data exchange in case of import/export process (Issue ID-2);
* Manual or automatic bulk upload (Issue ID-3);

Participating members were invited to provide their comments on those 3 issues by November 28, 2014:

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| Participating members to comment on the Issue Register:   * Issue ID-1: Relationship between PVP-XML schema and existing components for Patents and Trademarks; * Issue ID-2: Data exchange: Schema to be used for data exchange in case of import/export process; * Issue ID-3: Manual or automatic bulk upload. | By November 28, 2014 |

In relation to data exchange, it was noted that the system would provide an import (via online form or bulk upload) and export facility (under HTML format or PVP-XML format via PVP office’s system) through web services (web interface).

## Electronic form

The meeting considered document EAF/4/4 “Electronic Form”.

It was noted that due to the focus given on the development of the data model, as agreed at the third meeting, there had been no developments since the third meeting in relation to the electronic form.

It was agreed that the prototype electronic form should include all questions from the UPOV Model Application Form and the participating members of the Union, without seeking to identify “core” questions.

The meeting noted that participating members would be invited to comment on the draft versions of the electronic form through test campaigns according to the following timetable:

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| Participating members to comment via the wiki space UPOV\_EAS on the data exchange: | * First test campaign by December 12 , 2014 * Second test campaign by February 13, 2015 |

The meeting noted that all comments received previously in relation to the electronic form would be included in the wiki space, and taken into consideration in the development of the prototype.

The meeting noted that user authentication (unique user ID vs. multiple users: access right management) would be clarified at a subsequent meeting.

## Experiences of participating members of the Union with electronic application systems

Mr. Paul M. Zankowski, Commissioner, Plant Variety Protection Office, United States Department of Agriculture (USDA), made a presentation on “Update of U.S. ePVP System”, a copy of which is attached as Annex III to this report.

## Participating members

At the seventieth session of the CAJ, held in Geneva on October 13, 2014, France, Germany and the Netherlands requested to participate in the development of the prototype (see document CAJ/70/10 “Report on conclusions”, paragraph 32). On that basis, it was recalled that the participating members of the Union were: Argentina; Australia; Brazil; Canada; Colombia; Dominican Republic; Ecuador; European Union; France, Germany, Japan; Mexico; New Zealand; Paraguay; Republic of Korea; Switzerland; Netherlands, United States of America and Viet Nam.

## Future actions and program

The following timetable was agreed for the development of the prototype:

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| Participating members to comment via the wiki space UPOV\_EAS on the draft PVP-XML schema, data exchange and technical specifications: | * First round discussion by October 31, 2014 * Second round discussion by November 21, 2014 * First test campaign by December 12 , 2014 * Second test campaign by February 13, 2015 |
| Participating members to comment on the Issue Register:   * Issue ID-1: Relationship between PVP-XML schema and existing components for Patents and Trademarks; * Issue ID-2: Data exchange: Schema to be used for data exchange in case of import/export process; * Issue ID-3: Manual or automatic bulk upload. | By November 28, 2014 |
| Finalization of project brief for the electronic form and choice of the outsourced supplier (UPOV Office) | By March 2015 |
| Agreement on the data model, database structure/ import-export option/ interface tables format | March 2015 |
| Presentation of the prototype to the CAJ and Council | October 2015 |

It was agreed to consider the following items at the subsequent meeting:

1. Data model and data exchange
   1. *Update on the PVP-XML Schema including comments received from participating members and the Issue Register (presentation by the Office of the Union)*
   2. *Data exchange and communication protocol (presentation by the Office of the Union and the* [*External Web Applications Section*](http://intranet.wipo.int/people_finder/en/unit_pages/unit.jsp?unit_code=0342) *of WIPO)*
2. Electronic form
   1. *Presentation of project brief and timetable (presentation by the* [*External Web Applications Section*](http://intranet.wipo.int/people_finder/en/unit_pages/unit.jsp?unit_code=0342) *of WIPO)*
   2. *Presentation of version 1 of the prototype, including administration interface and user authentication, and feedback received from the test campaigns (presentation by the Office of the Union and the* [*External Web Applications Section*](http://intranet.wipo.int/people_finder/en/unit_pages/unit.jsp?unit_code=0342) *of WIPO)*

It was agreed to consider the following items at a subsequent meeting:

1. *Payment authorization and user authentication (presentation by the Office of the Union and the* [*External Web Applications Section*](http://intranet.wipo.int/people_finder/en/unit_pages/unit.jsp?unit_code=0342) *of WIPO)*
2. *Different languages (presentation by the Office of the Union)*
3. *Possibility for participating UPOV members to introduce or modify their questions in the form (presentation by the Office of the Union and the* [*External Web Applications Section*](http://intranet.wipo.int/people_finder/en/unit_pages/unit.jsp?unit_code=0342) *of WIPO)*
4. *Technical aspects such as: business support for applicants; routine maintenance provisions; compliance with Web Content Accessibility Guidelines (WCAG); legal aspects and disclaimer (presentation by the Office of the Union).*

## Date of next meeting

It was agreed that the next meeting would be held in Geneva on March 25, 2015, at 18.00, with the possibility of participation by means of electronic conference.

It was agreed to organize an interim meeting by means of electronic conference, on January 15, 2015, to report on latest developments and to update the future actions and program if need be.

[Annexes follow]

EAF/4/5

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[Annex II follows]

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ANNEXES II and III

*please see the pdf version*

[End of Annex III and of document]