



EAF/5/2

ORIGINAL: English

DATE: March 20, 2015

INTERNATIONAL UNION FOR THE PROTECTION OF NEW VARIETIES OF PLANTS

Geneva

MEETING ON THE DEVELOPMENT OF A PROTOTYPE ELECTRONIC FORM

Fifth Meeting Geneva, March 25, 2015

OVERVIEW OF THE PROTOTYPE ELECTRONIC FORM PROJECT

Document prepared by the Office of the Union

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1. The purpose of this document is to report on developments since the fourth meeting on the development of a prototype electronic form (EAF), held in Geneva on October 14, 2014 and on the planned developments.
2. The structure of this document is as follows:

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BACKGROUND

3. The background to the development of a prototype electronic form and previous developments are provided in document EAF/4/2 "Overview of the Prototype Electronic Form Project".

4. At the fourth meeting on the development of a prototype electronic form ("EAF/4 meeting"), held in Geneva on October 14, 2014, it was confirmed that the participating members of the Union were: Argentina; Australia; Brazil; Canada; Colombia; Dominican Republic; Ecuador; European Union; France, Germany, Japan; Mexico; Netherlands; New Zealand; Paraguay; Republic of Korea; Switzerland; United States of America and Viet Nam (see document EAF/4/5 "Report", paragraph 22), with other partners being: the Community Plant Variety Office of the European Union (CPVO), the Office of the Union, WIPO, ISF and CIOFORA.

Prototype Version 1

5. The aim of the Prototype Version 1 (PV1) is to demonstrate the feasibility of the project and to obtain the business validation on the data transfer from the breeders to the participating PVP offices, in terms of data completeness and in conformity with the agreed data model.

6. PV1 is composed of the online form, and the data transfer facility through web services according to an agreed format (i.e. PVP-XML schema). PV1 should allow:

- (a) users^{*} to select the language in which the items in the Application Form for PBR would be presented (Input Template language) (restricted to English for the PV1 (see document EAF/3/3 "Report", paragraph 10));
- (b) users to select the crop for which they want to make an application (restricted to lettuce (*Lactuca sativa* L.) for the PV1 (see document EAF/3/3 "Report", paragraph 10));
- (c) users to select the authority in which they want to make an application (one authority at a time, but with the possibility to reuse data already submitted - see 6(e)). The selection is restricted to the participating members who have submitted their forms and data (see document EAF/4/5 "Report", paragraph 8));
- (d) users to complete a blank form or a prefilled form based on existing PBR application data uploaded using an agreed format (PVP-XML; ZIP);
- (e) users to choose to store the input data in an associated database (hosted by UPOV), in order, for example, to allow its reuse in other applications.

7. The features of PV1 will be tested by participating members through test campaigns in order to present a functioning prototype in October 2015 at the sessions of the Administrative and Legal Committee (CAJ) and Consultative Committee (CC), as appropriate.

Prototype version 2

8. Subject to agreement, the following items would be considered as a next phase of the project (Prototype Version 2: PV2) and/or the implementation of the system:

- (a) Payment authorization and user authentication;
- (b) Different languages;
- (c) Possibility for participating UPOV members to introduce or modify their questions in the form;
- (d) Technical aspects such as: business support for applicants; routine maintenance provisions; compliance with Web Content Accessibility Guidelines (WCAG); legal aspects and disclaimer;
- (e) Confidentiality of data;

* The term "user" is used instead of "applicant" or "breeder", in order to avoid any implication that the use of the Linear Blank Form for PBR Applications might indicate that an application is being filed for a plant breeder's right.

- (f) High availability (HA) of the system;
- (g) Interaction with existing and external systems (such as GENIE Database, WIPO Users Account).

Actions and program agreed at the fourth meeting

9. At the EAF/4 meeting, the participants received a presentation on the proposal for the development of the data model to be used for the project (i.e. PVP-XML Schema), and the following timetable was agreed for the development of the prototype (see document EAF/4/5 "Report", paragraph 23):

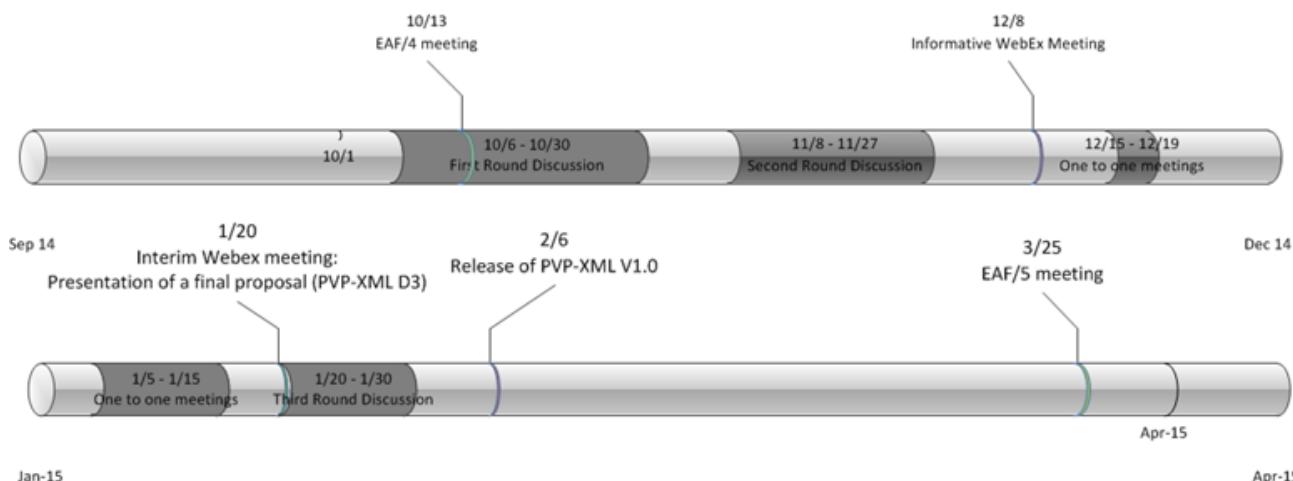
| | |
|---|---|
| Participating members to comment via the UPOV_EAS wiki space on the draft PVP-XML Schema, data exchange and technical specifications: | <ul style="list-style-type: none"> • First round discussion by October 31, 2014 • Second round discussion by November 21, 2014 • First test campaign by December 12, 2014 • Second test campaign by February 13, 2015 |
| Participating members to comment on the Issue Register: <ul style="list-style-type: none"> • 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 |

DEVELOPMENTS SINCE THE FOURTH MEETING

PVP-XML Schema

10. It was noted at the EAF/4 meeting that the XML Schema to be used for the project (i.e. PVP-XML) would, as far as possible, reuse and refer to relevant components of the WIPO Standard ST.96. It was agreed that components that 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. The meeting was informed that participating members would be invited to provide data in order to test the PVP-XML Schema to ensure compatibility with their systems.

11. On December 8, 2014 and on January 20, 2015, participants in the EAF project were provided with an on-line presentation from the Office of the Union on the latest developments in relation to the project (Circular E-14/307 of December 2, 2014 and Circular E-15/007 of January 13, 2015). A new timetable, as reproduced below, was agreed during the meeting in order to allow a third and final round discussion before approval and the release of the PVP-XML Schema to be used for the development of the prototype:



Data exchange

12. In relation to data exchange, it was noted at the EAF/4 meeting that the system would provide an import (via online form, upload of existing data or both) and export facility (under PDF format or PVP-XML format via PVP office's system) through web services (web interface).

On-line electronic application form

13. It was agreed during the third meeting on the development of a prototype electronic form ("EAF/3 meeting"), held in Geneva on October 24, 2013, that the "mock-up" presented would be the basis to develop a fully working prototype. The "mock-up" and prototype would be in English only and the Technical Questionnaire (TQ) would be for Lettuce (*Lactuca sativa* L.) (see document EAF/3/3 "Report", paragraph 10).

14. The mock-up presented at EAF/3 meeting was updated based on the UPOV Web design (CSS) in order to include new functionalities and will be presented at the fifth meeting of the EAF.

15. Developments in relation to the on-line electronic application form are presented in document EAF/5/3 "Electronic form : user interface" and participants were invited to comment on "User Interface specifications" document on the UPOV_EAS wiki space.

16. The EAF participants are invited to note the developments since the EAF/4 meeting.

FUTURE PROGRAM

17. Participants will be invited to provide data in order to test the PVP-XML Schema to ensure compatibility with their system. It was agreed at the EAF/4 meeting, 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 (see document EAF/4/5 "Report", paragraph 10).

18. Users will be able to start a new application from scratch (i.e. blank form), or by uploading existing data in XML format, or by a combination of both approaches.

19. The PVP-XML Schema has been approved by participating members following three round discussions, as explained in paragraph 11 of this document. The next phase of the development of the PV1 will start in April 2015 and will focus on the data exchange functionalities (import/ export facility) and on the on-line electronic form (user interface). Participating members will be invited to test the system in stages, through different interim releases, in order to obtain regular feedback. Comments will be taken into consideration for the development of following releases in order to have a full, functioning prototype (PV1) by August 2015 for a final test campaign in September 2015, before presentation at the sessions of the CAJ and the CC in October 2015, as appropriate.

20. Participating members will receive a presentation of the project brief and the proposed detailed timetable for the development of PV1 at the fifth meeting on the development of a prototype electronic form.

21. Participating members in the development of a prototype electronic form are invited to:

(a) provide data in order to test the PVP-XML Schema to ensure compatibility with their system, as set out in paragraphs 17 to 20 of this document.

(b) consider the timetable for the test campaigns and the development of the project, as presented at the fifth meeting.

MATTERS FOR CONSIDERATION

Harmonization

22. Users will start an application by choosing one authority in the first instance. Once submitted and saved in the database, users will be able to copy that existing data for a subsequent application. The system will allow the reuse of data from a single application in one authority or to use a combined set of data (generic application data) of a variety in different authorities. The system will calculate the percentage of commonality and reusability of all questions between participating members, and give recommendations to the users (see document EAF/5/3 “Electronic Form: User interface”). The table reproduced below illustrates the percentage of elements used by all authorities or by at least 2 authorities:

| Indicators | Application Form | Technical Questionnaire (Lettuce) |
|---|------------------|-----------------------------------|
| Percentage of Elements used by all countries/Authorities | 6% | 1% |
| Percentage of Elements used by at least two countries/Authorities | 67% | 18% |

The tables reproduced below illustrate for the application form and the technical questionnaire the percentage of commonality and reusability of questions for selected authorities for lettuce:

Application Form

| | AU | BR | CA | JP | KR | NL | NZ | QZ | US | VN |
|----|------|------|------|------|------|------|------|------|------|------|
| AU | 100% | 40% | 39% | 39% | 17% | 44% | 24% | 29% | 34% | 33% |
| BR | 55% | 100% | 48% | 52% | 31% | 47% | 31% | 35% | 43% | 36% |
| CA | 50% | 51% | 100% | 33% | 29% | 44% | 37% | 30% | 34% | 37% |
| JP | 42% | 56% | 24% | 100% | 19% | 39% | 22% | 29% | 24% | 26% |
| KR | 46% | 59% | 51% | 46% | 100% | 51% | 31% | 38% | 41% | 44% |
| NL | 50% | 39% | 34% | 41% | 22% | 100% | 31% | 29% | 21% | 28% |
| NZ | 54% | 50% | 37% | 46% | 26% | 61% | 100% | 52% | 35% | 37% |
| QZ | 23% | 20% | 16% | 21% | 11% | 42% | 18% | 100% | 12% | 13% |
| US | 48% | 44% | 33% | 32% | 22% | 26% | 22% | 22% | 100% | 25% |
| VN | 53% | 42% | 41% | 39% | 27% | 39% | 27% | 27% | 28% | 100% |

Technical Questionnaire

| | AU | BR | CA | JP | KR | NL | NZ | QZ | US | VN |
|----|------|------|------|------|------|------|------|------|------|------|
| AU | 100% | 16% | 8% | 8% | 3% | 8% | 12% | 14% | 5% | 12% |
| BR | 27% | 100% | 16% | 13% | 9% | 16% | 18% | 24% | 11% | 18% |
| CA | 56% | 78% | 100% | 22% | 22% | 44% | 11% | 44% | 33% | 44% |
| JP | 8% | 67% | 3% | 100% | 6% | 8% | 18% | 14% | 3% | 14% |
| KR | 4% | 9% | 4% | 9% | 100% | 7% | 7% | 9% | 9% | 2% |
| NL | 15% | 18% | 10% | 15% | 8% | 100% | 35% | 39% | 5% | 25% |
| NZ | 25% | 22% | 11% | 36% | 8% | 39% | 100% | 42% | 8% | 75% |
| QZ | 19% | 20% | 7% | 19% | 7% | 53% | 28% | 100% | 6% | 30% |
| US | 2% | 2% | 1% | 1% | 2% | 1% | 1% | 1% | 100% | 1% |
| VN | 24% | 22% | 11% | 27% | 3% | 27% | 73% | 43% | 8% | 100% |

23. It is proposed that possible ways to increase the level of harmonization between UPOV members could be considered in a future step.

24. *Participating members in the development of a prototype electronic form are invited to note the degree of existing harmonization and to consider possible ways to increase the level of harmonization between UPOV members in a future step.*

International Reference Number (IRN) and unique Breeder's reference

25. For transparency purposes, it is proposed to provide an international reference number (IRN) for applications that used data provided via a UPOV electronic form. On that basis, and without pre-judging any future decisions in that regard, the Office of the Union has made a request to the World Intellectual Property Organization (WIPO) for a two-letter code (XU) to represent the name of UPOV within WIPO ST.3 "Recommended Standard on Two-Letter Codes for the Representation of States, Other Entities and Intergovernmental Organizations" (see <http://www.wipo.int/export/sites/www/standards/en/pdf/03-03-01.pdf>). On December 22, 2014 the Office of the Union was informed that the Annex A to WIPO Standard ST.3 had been amended accordingly (see <http://www.wipo.int/cws/en/circulars/circ2014.html>).

26. It is proposed that a unique IRN be allocated to a particular variety. For transparency purposes, all submissions of data to participating PVP offices, for the same variety, would be attributed the same IRN. In order to encourage that transparency, it is proposed that technical questionnaire data could only be copied when the same IRN is used. If the user wished to use a different IRN, it would be necessary to enter new technical questionnaire data. Consideration will also need to be given to whether it should be possible for the user to change the breeder's reference after a variety file has been copied, in order to allow the user to provide a different breeder's reference for the same variety to a different PVP office.

27. Participating members in the development of a prototype electronic form are invited to:

(a) note the new two-letter code (XU) to represent the name of UPOV within WIPO ST.3;

(b) consider the proposal for the use of the unique IRN, as set out in paragraph 26 of this document.

[End of document]