INTERNATIONAL UNION FOR THE PROTECTION OF NEW VARIETIES OF PLANTS
Geneva

TECHNICAL COMMITTEE

Fifty-Second Session
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ELECTRONIC APPLICATION FORM

Document prepared by the Office of the Union

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1.   The purpose of this document is to report on developments concerning the development of an electronic application form.

2.   The structure of this document is as follows:

BACKGROUND

3.   The aim of the electronic application form project is to develop a multilingual, electronic form containing questions relevant for plant breeders' rights (PBRs) applications. As a first step, a prototype electronic form will be developed, covering all relevant information required for a PBR application in the members of the Union concerned and with questions translated in the relevant languages for the members of the Union concerned (see document CAJ/66/5 "Electronic Application Systems", paragraph 2).

4.   The background to the development of an electronic application form and developments prior to the fifty-first session of the Technical Committee (TC) are provided in document TC/51/7 "Electronic Application Systems".

DEVELOPMENTS IN 2015

Technical Committee (TC)

5.   The TC, at its fifty-first session held in Geneva on March 23 to 25, 2015, considered document TC/51/7 "Electronic Application Systems" and a presentation by the Office of the Union and noted the developments concerning the development of a prototype electronic form.

Meetings on the development of a prototype electronic form

6.   At the Fifth Meeting on the Development of a Prototype Electronic Form, held in Geneva on March 25, 2015 ("EAF/5 meeting"), participants were informed that participating members would be invited to test the system in stages, through different interim releases, in order to obtain regular feedback. Comments would be taken into consideration for the development of following releases in order to have a full, functioning prototype by August 2015 for a final test campaign in September 2015, before presentation at the sessions of the CAJ and the Consultative Committee in October 2015.

7.   With regard to the possible operation of an electronic form, a request to WIPO for a two-letter code "XU" to represent the name of UPOV was accepted and included in the revised version of WIPO ST.3 "Recommended Standard on Two-Letter Codes for the Representation of States, Other Entities and Intergovernmental Organizations" (see document CAJ/71/10 "Report on the Conclusions", paragraph 42).

8.   At the Sixth Meeting on the Development of a Prototype Electronic Form ("EAF/6 meeting"), held in Geneva on October 26, 2015, it was agreed by the participating members that the prototype electronic application form Version 1 (PV1) had demonstrated the feasibility of the project, including the validation on the data transfer from breeders to the participating PVP Offices, in terms of data completeness and in conformity with the agreed data model.

Prototype electronic application form Version 1 (PV1)

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

        (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 PV1);

        (b)   users to select the crop for which they wish to make an application (restricted to lettuce (*Lactuca sativa* L.) for PV1);

        (c)   users to select the authority in which they wish to make an application (one PVP Office at a time, but with the possibility to reuse data already provided). The selection is restricted to the participating members who submitted their forms and data for PV1;

        (d)   users to complete a blank form or a prefilled form based on existing PBR application data uploaded using an agreed format (PVP-XML);

        (e)   users to reuse the data in other applications;

        (f)   users to send/submit the input data to the selected PVP Office.

Prototype electronic application form Version 2 (PV2)

10.   At the EAF/6 meeting, it was agreed that the development of a prototype electronic application form version 2 (PV2) should proceed as follows:

        (a)   The aim of the Prototype Version 2 (PV2) will be to demonstrate the scalability of the system, i.e. addition of further crops, languages and PVP Offices, and also to demonstrate the feasibility of implementation by PVP Offices.

        (b)   The following items to be addressed in PV2:

                (i)   Different languages;

(ii) Addition of other crops:

to add 3 or 4 of: apple; potato; rose; soybean, in an order of priority to be established according to the interest of participating PVP Offices and breeders and the ability of the participating PVP Offices to provide relevant Technical Questionnaire information;

(c) Addition of other PVP Offices;

(d) Payment modalities and user authentication;

(e) Possibility for participating UPOV members to introduce or modify their questions in the form using an online interface;

(f) Legal aspects;

(g) Compliance with Web Content Accessibility Guidelines (WCAG);

(h) Security requirements such as:

(i) Data confidentiality;

(ii) Access rights management;

(i) High availability (HA) of the system;

(j) Communication with existing and external systems such as the GENIE Database, WIPO Users Account and existing systems in PVP Offices;

(k) Architecture of the system.

11.   The EAF/6 noted that the participating members in the EAF would be invited to test the system in stages, through different interim test releases, in order to obtain regular feedback. Comments would be taken into consideration for the development of subsequent test releases in order to have a fully functioning prototype (PV2) by August 2016 for a final test campaign in September 2016, before presentation at the sessions of the CAJ, the Consultative Committee and the Council in October 2016, as appropriate.

12.   The EAF/6 agreed that all members of the Union should have the opportunity to participate in the development of PV2, whilst noting that in order to be able to participate the following information would need to be provided to the Office of the Union by November 30, 2015:

(a) Applications forms and other application information requirements for PVP Offices that did not provide their forms for PV1;

(b) Technical Questionnaire information for apple, potato, rose and soybean;

(c) Payment procedures;

(d) Application authorization procedures;

(e) Security requirements for data transfer and receipt;

(f) Communication protocols for those PVP Offices that wish:

(i)   to receive application data from the EAF system;

(ii)   to enable breeders to retrieve data from their PVP Offices via the EAF system.

13.   The EAF/6 noted that, in the case of PVP Offices using forms in languages other than English, French, German or Spanish, the PVP Offices would need to arrange for translation of the forms of all participating members of the Union in the language concerned.

14.   In parallel with the development of PV2, it was agreed that the following items would be addressed prior to launch of the EAF:

(a) Operations such as:

(i)   users support;

(ii)   routine maintenance provisions;

(b) integration with PVP Offices systems;

(c)   training for PVP Offices and applicants; and

(d)   publicity of the availability of the system for breeders.

15.   The EAF/6 noted that the Council would need to approve the launch of an EAF system and charges to be paid by applicants.

Administrative and Legal Committee (CAJ)

16.   The Administrative and Legal Committee (CAJ) at its seventy-second session, held in Geneva on October 26 and 27, 2015, considered document CAJ/72/5 "Electronic application systems" and received an oral report by the Vice Secretary-General on the EAF/6 meeting, held in Geneva on October 26, 2015 (see document CAJ/72/9 "Report on the Conclusions", paragraph 28).

17.   The CAJ at its seventy-second session noted that the EAF/6 meeting had agreed that the prototype electronic application form Version 1 (PV1) had demonstrated the feasibility of the project, including the validation on the data transfer from breeders to the participating PVP Offices, in terms of data completeness and in conformity with the agreed data model. The CAJ at its seventy-second session endorsed the proposals made by the EAF/6 meeting with regard to the development of prototype application form version 2 (PV2), as reported in paragraphs 10 to 14 of this document (see document CAJ/72/9 "Report on the Conclusions", paragraphs 28 and 29).

18.   The CAJ, at its seventy-second session, noted that the Council would need to approve the launch of an EAF system and charges to be paid by applicants (see document CAJ/72/9 "Report on the Conclusions", paragraph 35).

Council

19.   The Council at its forty-ninth ordinary session in Geneva on October 29, 2015, noted the work of the Consultative Committee at its ninetieth session, as reported in document C/49/16 "Report by the President on the work of the ninetieth session of the Consultative Committee", which included the following information concerning the EAF (see document C/49/18 "Report", paragraph 18):

20.   The Consultative Committee considered a presentation by the Office of the Union, including a report by the Office of the sixth Meeting on the Development of a Prototype Electronic Form ("EAF/6 meeting"), held on October 26, 2015, and the conclusion of the CAJ, at its the seventy-second session, held on October 26 and 27, 2015 (see document C/49/16 "Report by the President on the work of the ninetieth session of the Consultative Committee" paragraph 44).

21.   The Consultative Committee noted the developments concerning the prototype electronic form and received a demonstration of the prototype electronic application form Version 1 (PV1) (see document C/49/16 "Report by the President on the work of the ninetieth session of the Consultative Committee" paragraphs 45 and 46).

22.   The Consultative Committee noted that the EAF/6 meeting had agreed that the prototype electronic application form Version 1 (PV1) had demonstrated the feasibility of the project, including the validation on the data transfer from breeders to the participating PVP Offices, in terms of data completeness and in conformity with the agreed data model. The Consultative Committee agreed with the proposals made by the EAF/6 meeting and endorsed by the CAJ at its seventy-second session, as set out in paragraphs 10 to 15 of this document (see document C/49/16 "Report by the President on the work of the ninetieth session of the Consultative Committee" paragraphs 47 to 51).

23.   The Consultative Committee agreed to consider the possible implementation of an operational system (see document C/49/16 "Report by the President on the work of the ninetieth session of the Consultative Committee" paragraph 52).

Recent Developments concerning PV2

24.   On November 4, 2015, the Office of the Union issued Circular E-15/258, inviting all UPOV members to provide information and application forms to be included in PV2. In reply to Circular E-15/258, the following 26 members of the Union provided the necessary information to be included in PV2: Argentina, Australia, Bolivia (Plurinational State of), Brazil, Canada, Chile, Colombia, Czech Republic, European Union, France,

Georgia, Japan, Kenya, Mexico, Netherlands, New Zealand, Norway, OAPI, Republic of Korea, South Africa, Sweden, Switzerland, Tunisia, United States of America, Uruguay and Viet Nam.

25. On January 8, 2016, a WebEx meeting was organized to report on latest developments concerning PV2, including the crops to be tested in PV2, presentation of the technical architecture to be adopted for the system, and the tentative timetable for the test campaign.

26. At the WebEx meeting held on January 8, 2016, it was agreed to add the following crops, in the following order of priority according to the interest of participating PVP Offices and breeders and the ability of the participating PVP Offices to provide relevant Technical Questionnaire information:

1) Rose
2) Soybean
3) Lettuce
4) Apple
5) Potato

27. It was further agreed by the participants, that Rose and Soybean would be done as priority 1, while Lettuce, Apple and Potato would be incorporated in the prototype subject to the workload and comments received during the test campaign.

28. The technical architecture has been designed and shared with participating members during the Web Ex meeting held on January 8, 2016. The architecture was built on the basis of PVP Offices needs and WIPO's infrastructure's requirements. The functionalities will be developed and tested during the test campaign from March 2016 to October 2016, as follows:

Test Campaign	From/To	Milestone Release (MR) Contents/ Functionalities to be tested
Release 1	01/02/2016 to 12/02/2016	Updated PVP-XML Application Form (AF) for new participants and new crops
Release 2	29/02/2016 to 11/03/2016	Updated PVP-XML Technical Questionnaire (TQ) for new participants and new crops, User feedback from MR1
Release 3	29/03/2016 to 08/04/2016	Authentication/Authorization, Multi-language feature, Add new participants (except BO, MX), user feedback from MR2
Release 4	25/04/2016 to 06/05/2016	Manage forms interface, Add BO and MX, Add crops (Rose+Soybean), user feedback from MR3
Release 5	23/05/2016 to 03/06/2016	Reuse TQ, user feedback from MR4
Release 6	20/06/2016 to 01/07/2016	Add Lettuce*, Payment, user feedback from MR5
Release 7	18/07/2016 to 12/08/2016	Add Apple*, Office/Breeder Preference Interface, integration with Genie DB and CPVO authorization service, user feedback from MR6
Release 8	05/09/2016 to 16/09/2016	Encryption, Secure RESTful services, Add potato*. user feedback from MR7
Final Release	03/10/2016 to 14/10/2016	User feedback from MR8 and Full prototype

*if time permits

29. At the Seventh Meeting on the Development of a Prototype Electronic Form ("EAF/7 meeting"), to be held on the evening of March 16, 2016, it is planned to discuss: the updated PVP-XML and the feedback received from release 1 and 2; technical aspects; and plans for launch of the EAF. The Consultative Committee, at its ninety-first session, will receive an oral report on the EAF/7 meeting.

30. The TC is invited to note the developments concerning the development of a prototype electronic form as set out in this document.

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