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ELECTRONIC APPLICATION SYSTEMS

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 the development of a prototype electronic form.
2. The TWA is invited to note the developments concerning the development of a prototype electronic form as set out in this document.
3. The following abbreviations are used in this document:

CAJ: Administrative and Legal Committee
 TC: Technical Committee
 TWA: Technical Working Party for Agricultural Crops
 TWPs: Technical Working Parties

4. The structure of this document is as follows:

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BACKGROUND

5. The aim of the 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).

6. The background to the development of a prototype electronic form and developments prior to the fiftieth session of the Technical Committee (TC) are provided in document TC/50/9 "Electronic Application Systems".

DEVELOPMENTS IN 2014

The Administrative and Legal Committee (CAJ)

7. The CAJ, at its sixty-ninth session held in Geneva on April 10, 2014, considered documents CAJ/69/8 "Electronic application systems" and CAJ/69/11 "Report on developments in the Technical Committee" and noted the developments concerning the development of a prototype electronic form (see document CAJ/69/13 "Report", paragraphs 49 to 55).

8. The CAJ received a report of the meeting on the prototype electronic form, held in Geneva on April 9, 2014. It noted that the following features had been agreed for inclusion in the prototype:

- All the features presented in the mock-up,
- An administration interface with a dashboard to edit, submit or delete information,
- A possibility to import facility and export XML information.

9. The CAJ noted that the following aspects would not be included in the prototype but would be included in the final version:

- Payment authorization
- Different languages
- Possibility for introducing or modifying questions in the form
- Technical aspects such as business support for applicants; routine maintenance provisions; compliance with Web Content Accessibility Guidelines (WCAG); legal aspect and disclaimer.

10. The CAJ noted that the following timetable had been agreed on the development of the prototype:

Participating members to send their database structure, XML format or interface tables (requirement for participation in the project) Circular to be sent, requesting input from participants (PVP Offices + Breeders)	By May 30, 2014
Analysis of databases of participating members, design of the database structure and data interface tables	By September 2014
Consolidation of questions (bi/multilateral communication)	By September 2014
Finalization of project brief and request for cost estimate from approved supplier	June 2014
Agreement on the database structure/ import-export option/ interface tables format	October 2014
Start of the project	October 2014
Presentation of the prototype to the CAJ and Council	October 2015

11. The CAJ noted the request of the Delegation of Ecuador to participate in the meetings on the development of a prototype electronic form, and to provide information on its PVP platform project, which would be launched in July 2014 (see document CAJ/69/13 "Report", paragraph 54).

12. The CAJ, at its seventieth session held in Geneva on October 13, 2014, considered document CAJ/70/7 "Electronic application systems" and noted the confirmation of the Delegations of France, Germany and the Netherlands that they wished to participate in the meetings on the development of a prototype electronic form. It further noted the developments concerning the development of a prototype electronic form and that a report of the fourth meeting on the development of a prototype electronic form, held in Geneva on October 14, 2014, would be made to the CAJ at its seventy-first session in March 2015 (see document CAJ/70/10 "Report on the Conclusions", paragraphs 32 and 33).

Fourth meeting on the development of a prototype electronic form

Participating members

13. At the fourth meeting on the development of a prototype electronic form held in Geneva on October 14, 2014 ("EAF/4 meeting"), it was noted that France, Germany and the Netherlands had requested to participate in the development of the prototype. 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.

Consultation process

14. It was reported at the EAF/4 meeting that a collaborative platform had been created for the project (wiki space UPOV_EAS), where participating members were invited, through several rounds of discussions, to provide their comments.

XML Schema

15. It was noted 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 ("common components"). 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.

Data exchange

16. 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).

Online form

17. The meeting was informed that, as agreed at the third meeting of the meeting on the development of a prototype electronic form held in Geneva on April 9, 2014, the focus of the work had been on the development of the data model and it was confirmed that there had been no developments since the third meeting in relation to the online electronic form.

DEVELOPMENTS IN 2015

Two-letter code to represent UPOV

18. If considered appropriate in the future, it would be possible to provide an international reference number 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 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>).

The Technical Committee (TC)

19. 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 noted the developments concerning the development of a prototype electronic form (see document TC/51/39 “Report”, paragraphs 200 and 201).

20. The TC noted the request made by an expert from the European Union to have additional time to provide comments on the development of the prototype electronic form. The UPOV Office clarified that all comments received could be addressed in the subsequent versions of the prototype and invited all UPOV members and breeders to join the project (see document TC/51/39 “Report”, paragraph 202).

Fifth meeting on the development of a prototype electronic form

21. At the fifth meeting on the development of a prototype electronic form, held in Geneva on March 25, 2015 (“EAF/5 meeting”) a presentation on the prototype was given by the Office of the Union.

Future program of work

22. At the EAF/5 meeting, participants were informed that the next phase of the development of the prototype would start in April 2015 and would focus on the data exchange functionalities (import/ export facility) and on the on-line electronic form (user interface). 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, as appropriate.

The Administrative and Legal Committee (CAJ)

23. The CAJ, at its seventy-first session in Geneva on March 26, 2015, considered documents CAJ/71/4 “Electronic application systems” and CAJ/71/9 “Report on developments in the Technical Committee”. The CAJ also received an oral report by the Vice Secretary-General on the fifth Meeting on the Development of a Prototype Electronic Form (EAF), held in Geneva on March 25, 2015, which set out the timetable for the development of version 1 of the prototype electronic application form (proof of concept). The Vice Secretary-General reported that the sixth Meeting on the Development of a Prototype Electronic Form would be held on the evening of October 26, 2015. At that meeting the EAF planned to: review version 1 of the prototype electronic application form (proof of concept); discuss legal aspects, including payment modalities and authorization, filing/priority date, data confidentiality; technical aspects, including payment authorization and user authentication, electronic signatures, high availability, interaction with external systems (e.g. GENIE /WIPO accounts); and maintenance and support. In addition, it would discuss the way forward for the project, including possible plans for implementation. The Vice Secretary-General also reported that it was proposed to make a presentation of version 1 of the prototype electronic application form (proof of concept) to the CAJ and Consultative Committee at their sessions in October 2015 and to invite the CAJ and Consultative Committee to consider proposals for the ways forward for the project. With regard to work after October 2015, subject to discussions at the CAJ and Consultative Committee, it was planned to extend the prototype to cover other species, to explore further harmonization and to consider proposals for a launch of the electronic form.

24. The CAJ noted that the request to WIPO for a two-letter code “XU” to represent the name of UPOV had been 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”.

Recent developments

25. The TWA, at its forty-fourth session, will receive an oral report on recent developments in relation to the project.

26. *The TWA is invited to note the developments concerning the development of a prototype electronic form.*

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