



EAF/4/4

ORIGINAL: English

DATE: October 10, 2014

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**

ELECTRONIC FORM

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

1. The purpose of this document is to report on developments concerning the prototype electronic form since the third meeting on the development of a prototype electronic form, held in Geneva on April 9, 2014.

BACKGROUND

2. It is recalled that the key aspects of the prototype from the perspective of members of the Union are as follows (see document CAJ/68/8 "Electronic application systems"):

Form Content: The UPOV electronic form would contain all items required by the participating members of the Union, i.e. it would contain all items in the UPOV Model Application Form and, in addition, items required for an application in the participating member of the Union concerned. Applicants would select the members of the Union in which they wish to make an application and all relevant items for the selected members of the Union would be presented for completion.

Status: Participating members of the Union would decide the status of any data provided via the UPOV electronic form for their own situation.

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.

Languages: The UPOV electronic form would present all items (questions) in English, French, German and Spanish. Translations for all items (questions) in other languages would be provided by the participating members of the Union, with a suitable disclaimer.

Crops/species: Crops/species for the prototype would be:

Lettuce (*Lactuca sativa* L.);
Potato (*Solanum tuberosum* L.);
Rose (*Rosa* L.);
Apple (*Malus domestica* Borkh.).

Partners: The partners in the development of the prototype would be the participating members of the Union (including the continued participation of the Community Plant Variety Office of the European Union (CPVO)), Office of the Union, WIPO Internet Services Section, WIPO Standards Section, WIPO Global Database Service, ISF and CIOPORA.

ACTIONS AND PROGRAM AGREED AT THE THIRD MEETING

3. At the third meeting, held in Geneva on April 9, 2014, it was agreed to consider the following items in the development of a prototype electronic form:

a) *Form content*

(i) *prototype electronic form and project brief*

4. It was recalled that it had been agreed during the meeting on the development of a prototype electronic form, held in Geneva on October 24, 2013, that the “mock-up” 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).

5. A second phase of the “mock-up” of the prototype electronic form was presented at the meeting by the Office of the Union and by the WIPO External Web Applications Section. It was noted that the “mock-up” contained the questions from the UPOV Model Application Form, and additional questions which were not covered by the UPOV Model Application Form’s questions, as provided by the following participating members of the Union: Australia, Brazil, Canada, European Union, Japan, Mexico, New Zealand, Republic of Korea, Switzerland, United States of America and Viet Nam. The mock-up is available under: <http://upov.appls.org/upov/login.html>.

(ii) *questions in the electronic form*

6. It was recalled that, as a first step, all questions will be provided by the participating members of the Union in English plus the language of the member of the Union for its own questions. The participating members of the Union will also provide translations of all questions in their own language.

7. It was noted that information from the application forms received from participating members of the Union had been compiled in Annexes I and II of document EAF/3/2, which contain a summary of the questions in the UPOV Model Application Form and additional questions (Annex I) and the questions from the TQ of the UPOV Test Guidelines for Lettuce (*Lactuca sativa* L.) (TG/13/10 Rev.) (Annex II).

8. It was noted that Annex III to document EAF/3/2 provided a proposal for the “core” questions to be included in the prototype electronic form, on the basis that more than 50% of participating members included the questions.

9. It was agreed that the proposal for the “core” questions to be included in the prototype electronic form would be discussed at a subsequent meeting (see document EAF/3/3 Report, paragraph 16).

(iii) *timetable for the launch of the prototype electronic form*

10. On the basis of the development in relation to the other items to be discussed, as explained in document EAF/4/2 “Overview of the UPOV Electronic Application System Project”, a timetable for the launch of the prototype electronic form will be considered.

11. At the third meeting on the development of a prototype electronic form, held in Geneva on April 9, 2014, the following timetable was agreed for the development of the prototype (see document EAF/3/3 Report, paragraph 28):

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 June 15, 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

12. As explained in paragraph 9 of this document the consolidation of questions would be discussed at a subsequent meeting.

13. The following features were agreed for inclusion in the version 1 of 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 and export XML information.

14. The following aspects were agreed not to be included in the version 1 of the prototype but in the final version:

- payment authorization,
- different languages,
- possibility for participating UPOV members to introduce or modify their questions in the form,
- technical aspects such as: business support for applicants; routine maintenance provisions; compliance with WCAG; legal aspect and disclaimer.

(iv) arrangements for updating the form by participating members of the Union

15. It was agreed at the third meeting that the arrangements for updating the form by participating members of the Union would be discussed at a subsequent meeting, once the first phase of the prototype electronic form had been developed (see document EAF/3/3 "Report", paragraph 18).

b) Status

16. The possible options for level of authentication required to enter information (e.g. user name and password, digital certificate, electronic signature, etc.) were presented at the third meeting, giving the example of an existing WIPO Accounts (e.g. WIPO Identity Management (IDM) system for authentication of users). It was agreed to follow the same approach for the development of the first phase of the prototype electronic form.

c) Data format

17. Developments in relation to the data model and data exchange are presented in document EAF/4/3 "Data exchange and data model".

d) Technical aspects

- (i) technical and business support for applicants*
- (ii) routine maintenance provisions*
- (iii) compliance with Web Content Accessibility Guidelines (WCAG)*

18. It was agreed at the third meeting that technical aspects above would be discussed at a subsequent meeting.

e) *Legal aspect and disclaimer.*

19. It was noted at the third meeting that, in relation to legal aspects that the prototype electronic form would need to respect national or regional legislation (e.g. disclaimer, communication, correspondence route). It was agreed that legal aspects and disclaimer would be discussed at a subsequent meeting.

DEVELOPMENTS SINCE THE THIRD MEETING

20. In relation to the electronic form there have been no developments since the third meeting.

NEXT STEPS

21. A working prototype for the electronic form will be developed on the basis of the mock-up presented at the third meeting, and in parallel with the development of the data model and data exchange, as explained in document EAF/4/2 "Overview of the UPOV Electronic Application System Project".

22. For the development of the prototype electronic form, it is proposed to continue to include all questions from the UPOV Model Application Form and the participating members of the Union, without seeking to identify "core" questions.

23. Participating members will be invited to comment on the draft versions of the electronic form through test campaigns according to the timetable to be presented at the fourth meeting.

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

(a) the proposal to include all questions from the UPOV Model Application Form and the participating members of the Union without selection of "core" questions; and

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

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