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|  |  | **E**  **EAF/6/4**  **ORIGINAL**: English  **DATE:** March 15, 2016 |
| **INTERNATIONAL UNION FOR THE PROTECTION OF NEW VARIETIES OF PLANTS** | | |
| Geneva | | |

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

Sixth Meeting  
Geneva, October 26, 2015

Report

*adopted by the Meeting on the development of a prototype electronic form  
  
Disclaimer: this document does not represent UPOV policies or guidance*

## Welcome and opening

The Sixth meeting on the development of a prototype electronic form (“EAF/6 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/6/1.

## Overview of the prototype electronic form project

The meeting considered documents EAF/6/2 “Overview of the prototype electronic form project” and EAF/6/3 “EAS questionnaire”.

The participants received a presentation by the Office of the Union on the latest developments in relation to the prototype electronic form, a copy of which is reproduced in Annex II to this document.

### Validation of prototype electronic application form Version 1 (PV1)

The participants were informed that during the test campaigns for the development of a prototype electronic application form Version 1 (PV1) from May to October 2015, the following PVP Offices received application or tested EAF PV1: Australia, Brazil, European Union, Japan, Netherlands, New Zealand, Republic of Korea, Switzerland, United states of America and Viet Nam. It was also noted that the following breeders tested the EAF PV1: Nuhhems, RijkZwan, Limagrain, Syngenta, Monsanto, Pioneer, Meilland and Grapaes.

The participants received a presentation by the Office of the Union of PV1 and its functionalities and agreed that the prototype 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 meeting noted that participating members had received a questionnaire to obtain information on possible requirements that PVP Offices might have with regard to legal, administrative and technical matters concerning a UPOV electronic application system (Circular E-15/168 of August 7, 2015). The results of the questionnaire were presented in document EAF/6/3 “EAS Questionnaire”.

### Development of prototype electronic application form Version 2 (PV2)

On the basis of the previous discussions, including during the test campaigns of PV1, and the results of the questionnaire (see document EAF/6/3 “EAS Questionnaire), it was agreed that the development of a prototype electronic application form version 2 (PV2), should proceed as follows:

#### Aim of PV2

The aim of PV2 would 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.

#### Different languages

The participating members for PV2 would be requested to provide their application forms in their original languages and, in the case of PVP Offices using forms in languages other than English, French, German or Spanish, the PVP Offices would be requested to provide translations of the forms of all participating members of the Union in the language concerned. It was further agreed that each participating PVP Office would be requested to provide information on the language(s) in which answers could be provided.

#### Addition of other crops and new PVP Offices

It was agreed to cover in PV2, three or four of: lettuce, 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.

#### Payment modalities

In relation to payments for PVP Offices, it was agreed that two different options would be developed in PV2:

1. payment to PVP Offices via UPOV;
2. direct payment to PVP Offices.

It was agreed that it would be necessary to provide the possibility for applicants to pay in different currencies.

In relation to payment for the UPOV service charge, it was agreed that there would be a possibility of a UPOV service charge to be integrated in PV2.

#### User authentication;

Two different options would be developed in PV2:

1. via web service at the EAF level (i.e. authorization for signature to be done in the EAF system);
2. after receipt of the application by the PVP Office (i.e. authorization for signature to be done by the selected PVP Office).

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

PV2 would be developed on the basis that questions could be added or modified once a month. New Authorities’ forms would need to be added by March 2016.

#### Legal aspects;

With regard to legal aspects, it was agreed that the EAF would need to conform to the legal requirements of the PVP Offices concerned.

It was agreed that the terms and conditions for PVP Offices would be provided by the PVP Offices concerned and acknowledgement would be integrated within the EAF terms and conditions, where appropriate. In other cases, a separate procedure would be required at the level of Authority. At the EAF system level, the terms and conditions would be included separately, with the user being requested to accept the terms and conditions at the first connection. At the application level, the terms and conditions would be included in the application form (i.e. specific to each application and completed in the declaration chapter).

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

Consideration would be given to the extent to which the system in PV2 should be compliant with Web Content Accessibility Guidelines (WCAG).

#### Security requirements in terms of Data confidentiality and Access rights management

In relation to the information to be transmitted from the applicants to the selected PVP Offices, and in order to comply with WIPO and PVP Offices’ security policies, it was agreed that all data would be encrypted and considered confidential.

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

It was agreed that the system would work continuously, with a tolerance of one day for the system to be out of operation.

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

It was agreed that it would be possible to use different communication channels as specified by the receiving PVP Office (web service, email, SFTP: Secure File Transfer Protocol).

#### Architecture of the system.

All the preceding items ((a) to (k)) would be considered when drafting the architecture of the system, in consultation with participating members, in the scope of the implementation of an operational system.

#### International Reference Number (IRN) and unique Breeder’s reference

A unique International Reference Number IRN would be allocated to a particular variety. All submissions of data to participating PVP Offices, for the same variety, would be attributed the same IRN. It was agreed that Technical Questionnaire data could only be copied when the same IRN was used. Consideration would also need to be given to whether it should be possible for the user to change the breeder’s reference after a variety file had been copied, in order to allow the user to provide a different breeder’s reference for the same variety in a different PVP Office. It was agreed to verify the functioning of the system during the development of PV2.

## Future actions and program

### Test campaigns PV2

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.

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:

1. Applications forms and other application information requirements for PVP Offices that did not provide their forms for PV1;
2. Technical Questionnaire information for apple, potato, rose and soybean;
3. Payment procedures;
4. Application authorization procedures;
5. Security requirements for data transfer and receipt;
6. Communication protocols for those PVP Offices that wish:
7. to receive application data from the EAF system;
8. to enable breeders to retrieve data from their PVP Offices via the EAF system.

Participating members noted that the program for development of the second version of PV2 and the dates for the different releases would be communicated to the participating members at a later stage.

The EAF/6 agreed with the plan to make a presentation of PV2 to the CAJ, the Consultative Committee and the Council, as appropriate, at their sessions in October 2016 and to invite the CAJ and Consultative Committee and the Council, to consider proposals for the ways forward for the project and to consider proposals for a launch of the electronic form.

### Other matters for consideration

In parallel with the development of PV2, the EAF/6 agreed that the following items would be addressed prior to launch of the EAF:

1. Operations such as:
   1. users support;
   2. routine maintenance provisions;
2. integration with PVP Offices systems;
3. training for PVP Offices and applicants; and
4. publicity of the availability of the system for breeders.

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

## Date of next meeting

It was agreed that the seventh meeting would be held in Geneva on the evening of March 16, 2016, 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 8, 2016, to report on latest developments and to update the future actions and program, as appropriate.

*This report was adopted by correspondence.*

[Annexes follow]

EAF/6/4

ANNEX I

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[Annex II follows]

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ANNEX II

*Please see the pdf version*

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