



EAF/6/4

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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

1. 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.
2. The list of participants is reproduced in Annex I to this report.

Approval of the agenda

3. The meeting adopted the draft agenda as proposed in document EAF/6/1.

Overview of the prototype electronic form project

4. The meeting considered documents EAF/6/2 "Overview of the prototype electronic form project" and EAF/6/3 "EAS questionnaire".
5. 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)

6. 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.
7. 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.
8. 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)

9. 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:

(a) Aim of PV2

10. 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.

(b) Different languages

11. 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.

(c) Addition of other crops and new PVP Offices

12. 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.

(d) Payment modalities

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

- (i) payment to PVP Offices via UPOV;
- (ii) direct payment to PVP Offices.

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

15. 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.

(e) User authentication;

16. Two different options would be developed in PV2:

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

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

17. 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.

(g) Legal aspects;

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

19. 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).

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

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

(i) Security requirements in terms of Data confidentiality and Access rights management

21. 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.

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

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

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

23. 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).

(l) Architecture of the system.

24. 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.

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

25. 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

26. 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.

27. 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.

28. 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.

29. 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

30. In parallel with the development of PV2, the EAF/6 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.

31. 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

32. 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.

33. 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.

34. *This report was adopted by correspondence.*

[Annexes follow]

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[Annex II follows]

EAF/6 meeting

Electronic Application System Project

Documents EAF/6/2 and EAF/6/3

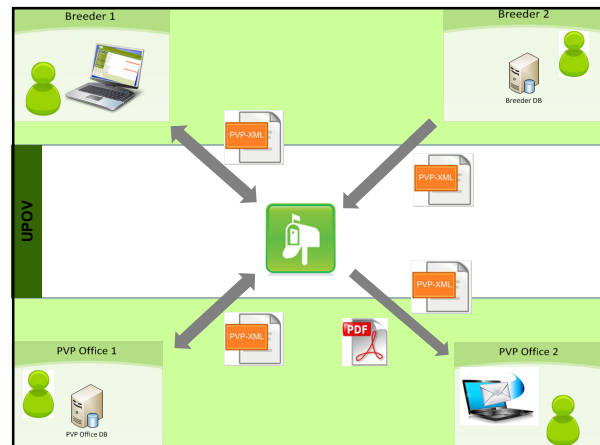
Geneva, October 26, 2015

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OVERVIEW

- Background
- Presentation of the prototype 1 (PV1)
- Scope of the prototype 2 (PV2)
- Other matters for consideration
- Next steps and Timetable

2



Background

The original description of the **aim of the project** on a prototype electronic form was to develop a **multilingual, electronic form containing questions relevant for plant breeders' rights (PBRs) applications**.

The aim of the prototype would be to develop an **electronic form covering all relevant information required for a PBR application (including Technical Questionnaire)** 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).

3

Benefits of the EAF system

1. Multilingual system: possibility to read all questions in all languages of participating members
2. Provide an electronic PVP system for participating members who don't have one
3. Facilitate exchange of data in a standard format (PVP-XML)
4. Offer the possibility to reuse existing application data

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Prototype Electronic Application Form

Participating UPOV members **20** Partners

- 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
- Viet Nam
- UPOV Office
- WIPO
- CPVO
- ISF
- CIOPORA

• (China)

Approx. 56% of the total applications within UPOV members (66 % including China)
See document C/48/7 "Plant Variety Protection Statistics for the Period 2009-2013"

Target


Functioning Prototype by October 2015

=

Data can be transferred (and reused) from participating breeders to participating PVP Offices according to the **specific information** that they require for an application in the **requested format**

Prototype Electronic Application System

Participating UPOV members




The boundaries shown on this map do not imply the expression of any opinion whatsoever on the part of UPOV concerning the legal status of any country or territory

Prototype Electronic Application Form

Participating UPOV members in the EAF who provided their forms on time (Application Form and Technical Questionnaire) used in the prototype electronic form PV1

- Australia
- Brazil
- Canada
- European Union
- Japan
- Netherlands
- New Zealand
- Republic of Korea
- United States of America
- Viet Nam





Electronic Form

Agreement on the prototype V.1 (P1)
(see documents EAF/3/3 "Report" and EAF/4/5 "Report")

Included (PV1)	NOT included in PV1
In English only	Different languages
For lettuce only (one crop)	Payment authorization and user authentication
Forms for 10 authorities: AU, NL, BR, NZ, QZ, JP, VN, US, KR, CA	Possibility to introduce or modify questions (update of the form)
Complete a blank form or a prefilled form based on existing PBR application data uploaded using an agreed format (PVP-XML)	Some technical and legal aspects
Store the input data in an associated database in order to allow its reuse in other applications	Confidentiality of data
Dashboard: Edit/ View options	View Application in Word/Excel format
Administration interface	High availability of the system
Export of XML information to selected authorities based on: 6 Office specific schemas: AU, NL, QZ, JP, US, KR and the Generic (combined) schema	Interaction with existing and external systems (GENIE DB, WIPO Accounts)

Test campaigns

Test Campaign	Web Ex	From/To	Milestone Release (MR) Contents/ Functionalities to be tested
Test Release 1	22/05/2015	22/05/15 to 05/06/15	Login, Create new application with export application data as XML
Test Release 2	22/06/2015	22/06/15 to 03/07/15	Create new application from existing XML data, Save, Submit new application, User feedback from MR1
Test Release 3	20/07/2015	20/07/15 to 21/08/15	Part 1 (20/07/15 to 04/08/15): Dashboard, View Recommendations, User feedback from MR2 Part 2 (05/08/15 to 21/08/15): Copy application, Edit Application, User feedback from MR2 (cont'd)
Test Release 4	07/09/2015	07/09/15 to 18/09/15	Remove Application, PDF View, Import and Export Web services, User feedback from MR3
Test Final Release	07/10/15	07/10/15 to 21/10/15	Full prototype

Testing Report PV1 PVP Office' s input

PVP Offices who received applications or tested the EAF PV1

PVP Offices who tested PV1
Australia
Brazil
European Union
Japan
Netherlands
Republic of Korea
Switzerland
United States of America

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Presentation of Prototype 1

<https://webaccess.wipo.int/eas/>

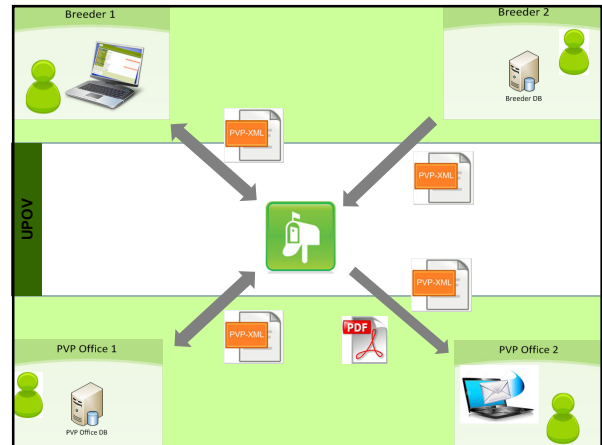
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Testing Report PV1 Breeder' s input

Breeders who tested the EAF PV1 (10 PVP Offices)

Breeders who tested PV1
ISF_Nunhems
ISF_RijkZwan
ISF_Limagrain
ISF_Syngenta
ISF_Monsanto
ISF_Pioneer
CIOPORA_Meilland
CIOPORA_Grapaes

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OVERVIEW

- Background
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Start a new application from scratch

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Form Generation

Reference to UPOV Application Model Form Set up of specific constraints and dependencies

Chapter grouping Dynamic display 19

Reuse of existing data- Exported data

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Action Buttons

- Export: Save the application data into the local drive
- Save: Save the application data into UPOV DB -> Pending Application
- Submit: Save the application data into UPOV DB and direct transfer to the designated PVP office -> Submitted Application

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Reuse of existing data- Exported data

23

Reuse of existing data- Exported data

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Reuse of existing data: pending application

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Breeder 1

Reuse of existing data: pending application

Application Form

APPLICANT(S)
CORRESPONDENCE ADDRESS
REPRESENTATIVE(S)/AGENT(S)
BREEDER(S)
DENOMINATION
OTHER APPLICATIONS
PRIORITY CLAIM
VARIETY SALE

Technical Questionnaire

GENERAL
BREEDING SCHEME
VARIETY COMPARISON
ADDITIONAL INFORMATION

Declaration And Signature

DECLARATION AND SIGNATURE
ATTACHMENTS

Similar variety n.o	Characteristics in which the similar the variety is different to	State of expression of similar variety n.o	State of expression of candidate variety n.o
test Marton	UPOV 01: Seed colour	1_white	2_yellow
test Marton	Flower colour	orange	purple

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Chapters

- Application Form
 - APPLICANT(S)
 - CORRESPONDENCE ADDRESS
 - REPRESENTATIVE(S)/AGENT(S)
 - BREEDER(S)
 - DENOMINATION
 - OTHER APPLICATIONS
 - PRIORITY CLAIM
 - VARIETY SALE
- Technical Questionnaire
 - GENERAL
 - BREEDING SCHEME
 - VARIETY COMPARISON
 - ADDITIONAL INFORMATION
- Declaration And Signature
 - DECLARATION AND SIGNATURE
 - ATTACHMENTS

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Breeder 1

Reuse of existing data

Copy Application Settings

Select Language * English

Select Crop/Species * Lactuca sativa L.

Select Authority * Australia

Submitter's Own Reference

Our Recommendations

Combined* denotes the Combined Application Data (Application Form and Technical Questionnaire). It cumulates all answers (to common and country specific questions) you provided for a specific variety. For each question, the latest answer should overrule any previous answers.

International Reference Number	Crop	Variety Proposed Denomination	Variety Breeder's Reference	Submitter's Own Reference	Authority	Application Form Reusability	Technical Questionnaire Reusability	Action
01_20201000000004	Lettuce	US: Proposed name for the variety new: Denomination: RZ	Testing US	Testing US	United States of America	34%	0%	Copy
01_20201000000044	Lettuce		Test Marton 0-10		Netherlands	44%	0%	Copy
			test marton 10-03					
scratch 10-2015 RZ		Netherlands				44%	8%	Copy

29

Applicant

APPLICANT(S)

Name of Applicant *

Contact Name *

Street Address *

In second line *

Postal Code *

State *

Country *

Telephone (include area code) *

Mobile (include area code) *

Fax (include area code) *

E-mail address *

ACKNOWLEDGE OF APPLICATIONS

Add Applicant

30

Breeder 1

Reuse of existing data: Submitted data (Copy)

Application Form

APPLICANT(S)

Name of Applicant *

Contact Name *

Street Address *

In second line *

Postal Code *

State *

Country *

Telephone (include area code) *

Mobile (include area code) *

Fax (include area code) *

E-mail address *

ACKNOWLEDGE OF APPLICATIONS

Add Applicant

31

Correspondence Address

CORRESPONDENCE ADDRESS

Is the correspondence address different to applicant's address or is applicant's address not in Australia or New Zealand? *

Postal address for service of notices on the applicant if different to applicant's address or if applicant's address is not in Australia or New Zealand *

Street Address *

In second line *

Postal Code *

State *

Country (must be Australia or New Zealand) *

Contact Name *

Telephone (include area code) *

Fax (include area code) *

E-mail address *

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Other Applications

OTHER APPLICATIONS

Has an application for PBR in this variety been lodged in a country other than Australia? ☒ Yes ☐ No

Country filed (s) (i)	Date of Lodgement (dd/mm/yyyy) (s) (i)	Application No. (s) (i)	Current Status (s) (i)	Variety Name (s) (i) (v)
Malaysia	01/09/2015	123	application pending	test Astrid

[Add](#)

31

Reuse of existing data: Copy combined

Application Form

APPPLICANT(S)

BREEDING SCHEME

Correspondence Address

BREEDER(S)

DEMONSTRATION

PRIORITY CLAIM

TECHNICAL EXAMINATION

Technical Questionnaire

VARIETY CHARACTERISTICS

VARIETY COMPARISON

ADDITIONAL INFORMATION

PLANT MATERIAL INFORMATION

Declaration And Signature

DECLARATION AND SIGNATURE

ATTACHMENTS

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Variety Sale

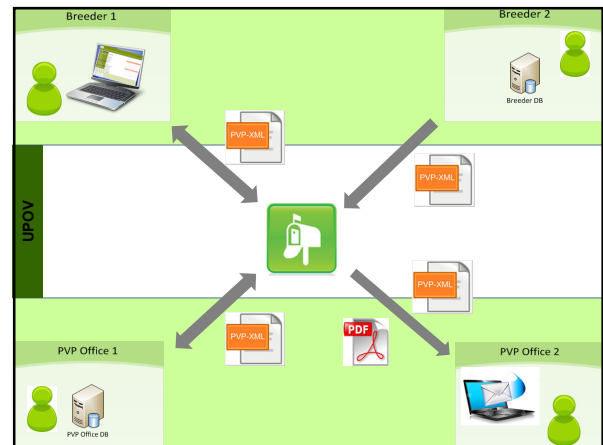
VARIETY SALE

Has the variety been sold in Australia with the breeder's consent? ☒ Yes ☐ No

Has the variety been sold overseas with the breeder's consent? ☒ Yes ☐ No

Date of first sale (s) (i)	Under what variety name (s) (i) (s)	Which country (s) (i) (s)
12/02/2015	test Astrid	NETHERLANDS

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Reuse of existing data: Copy combined application data

Copy Application Settings

Language: English

Selected Country: Lactuca sativa L.

Selected Variety: European Crops

Our Recommendations

International Reference Number	Crop	Variety Proposed Denomination	Variety Breeder's Denomination	Applicant's Own Denomination	Authority	Application Date Received	Technical Examination Result	Action
AU_30201500000635	Lactuca	AU_30201500000635	Test Astrid	Test Astrid	Continued	NA	NA	View
AU_30201500000635	Lactuca	AU_30201500000635	Test Astrid	Test Astrid	Continued	NA	NA	View
AU_30201500000635	Lactuca	AU_30201500000635	Test Astrid	Test Astrid	Continued	NA	NA	View
AU_30201500000635	Lactuca	AU_30201500000635	Test Astrid	Test Astrid	Continued	NA	NA	View
AU_30201500000635	Lactuca	AU_30201500000635	Test Astrid	Test Astrid	Continued	NA	NA	View

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Application Data Transfer to PVP offices

Message

PVP office email address

Breeder email address

Subject: [UPOV EAS] application Data Submission (AU_30201500000635)

Message:

Please be notified that the applicant AU: Contact name; Correspondence address; RZ has submitted an application for *Lactuca sativa L.* to Australia as following:

International Reference Number: AU_30201500000635

Proposed Denomination: AU_30201500000635

Breeder's reference (if applicable): AU_30201500000635

Date of Submission: 16/10/2015

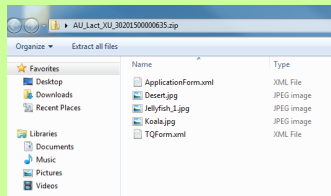
Please find here attached the application data.

Best Regards,

UPOV Electronic Application System

PVP Office 2

Application Data: XML files and attachments




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Language: English

Crop/Species: Lettuce

Authority: Australia

APPLICATION DATA



The text in grey next to each question denotes the corresponding standard UPOV reference as defined in [TSP9/Section 2: UPOV Model Form for the Application for Plant Breeder's Rights](#)

Application Form

APPLICANT(S)

Name of Applicant <small>(UPOV)</small>	All Name of applicant, Applicant, RZ
Contact Name <small>(UPOV)</small>	All Contact Name, Applicant, RZ
Address <small>(UPOV)</small>	All Street address, Applicant, RZ
Is second time <small>(UPOV)</small>	All Is second time, Applicant, RZ
Postal Code	All Postal code, Applicant, RZ
State	All State, Applicant, RZ
Country	All Australia, RZ
Telephone (include area code) <small>(UPOV)</small>	All Telephone, Applicant, RZ
Mobile (include area code)	All Mobile, Applicant, RZ
Fax (include area code) <small>(UPOV)</small>	All Fax, Applicant, RZ
E-mail address <small>(UPOV)</small>	Registration@xxxxxxxxx
CORRESPONDENCE ADDRESS	All Address, Applicant, RZ

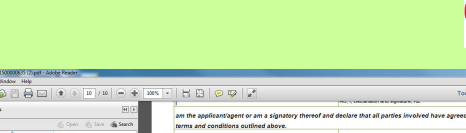
Is the correspondence address different to applicant's address or is applicant's address not in Australia or New Zealand?	✓
Postal address for carrier of notices, or the applicant if different to applicant's address or if applicant's address is not in Australia or New Zealand <small>(UPOV)</small>	NOTIFY
Street Address <small>(UPOV)</small>	All Street address, Correspondence address, RZ
Is second time <small>(UPOV)</small>	All Is second time, Correspondence address, RZ
State	All State, Correspondence address, RZ
Postal Code	All Postal code, Correspondence address, RZ
Country (must be Australia or New Zealand)	AUSTRALIA

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Application Data: PDF

[illegible]

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The screenshot shows a PDF viewer window with the following content:

Agreement to Transfer of Shares

I, **Mr. A. J. S. S.**, of **10/05/2015**, do hereby agree to transfer the following shares to **Mr. A. J. S. S.** of **10/05/2015**.

Name	Description
Share	A copy of the transfer of company
Share	A copy of the transfer of company
Share	A copy of the transfer of company

ATTACHMENTS

Have you included the following?

A copy of the transfer of company (Shareholder's Agreement) to be signed by the transferor and the transferee. If the transferee is not the original transferor.

A completed Authorization of Agent form (PROBATION) if you are acting in behalf of the transferee.

A completed Nomination of a Qualified Person from (PROBATION) if you are acting in behalf of the transferee.

A photograph or photograph showing the distinguishing characteristics of the new vehicle.

Final payment date.

Copy of Material Transfer Agreement or EAO Transfer Agreement.

Signature **Mr. A. J. S. S.** **10/05/2015**

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Bookmarks

- Application Form
 - APPLICANT(S)
 - CORRESPONDENCE ADDRESS
 - REPRESENTATIVE(S)/AGENT(S)
 - BREEDER(S)
 - DENOMINATION
 - OTHER APPLICATIONS
 - PRIORITY CLAIM
 - VARIETY SALE
- Technical Questionnaire
 - GENERAL
 - BREEDING SCHEME
 - VARIETY COMPARISON
 - ADDITIONAL INFORMATION
- Declaration And Signature
 - DECLARATION AND SIGNATURE
 - ATTACHMENTS

PDF

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[illegible]

Breeder Dashboard

UPOV

Start a new application Copy application Bulk Upload

International Reference Number	Date of Submission	Crop	Variety Proposed Denomination	Variety Breeder's Reference	Submitter's Own Reference	Authority	Status	Action
UI_3020150000641	12/10/2015	Lettuce	AU Proposed name for the variety new Denomination: RZ	AU Final release: New Appl: 08/10/15: RZ	AU Final release: New Appl: 08/10/15: RZ	Australia	SUBMITTED	View
UI_3020150000642	09/10/2015	Lettuce	AU Proposed name for the variety new Denomination: RZ	AU Final release: Submitt ZIP: 08-10-15: RZ	AU Final release: Submitt ZIP: 08-10-15: RZ	Australia	SUBMITTED	View
UI_3020150000644	09/10/2015	Lettuce	Testification in 10	Testification in 10-2015: RZ	Testification in 10-2015: RZ	Netherlands	SUBMITTED	View
UI_3020150000645	09/10/2015	Lettuce	Testification in 10-2015: RZ	Testification in 10-2015: RZ	Testification in 10-2015: RZ	Netherlands	SUBMITTED	View
UI_3020150000646	14/10/2015	Lettuce	HL DENOMINATION	HL version 10-10-2015: RZ	HL version 10-10-2015: RZ	Netherlands	SUBMITTED	View
UI_3020150000647	14/10/2015	Lettuce	CPVD DENOMINATION	CPVD version 10-10-2015: RZ	CPVD version 10-10-2015: RZ	European Union	PENDING	View
UI_3020150000648	15/10/2015	Lettuce	AU Proposed name for the variety new Denomination: RZ new	AU Final release: RZ	AU Final release: RZ	Australia	SUBMITTED	View

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Bulk Upload

Breeder DB

UPOV

Bulk Upload

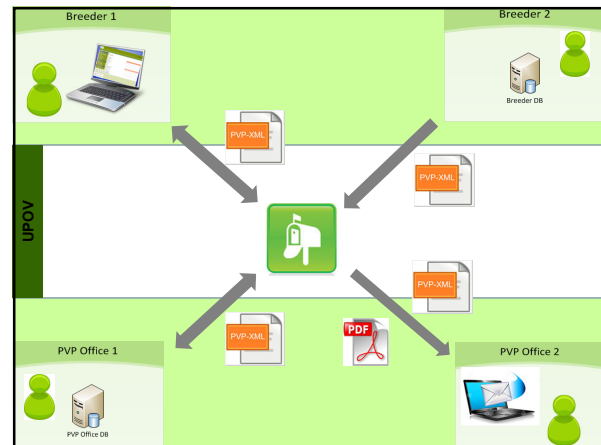
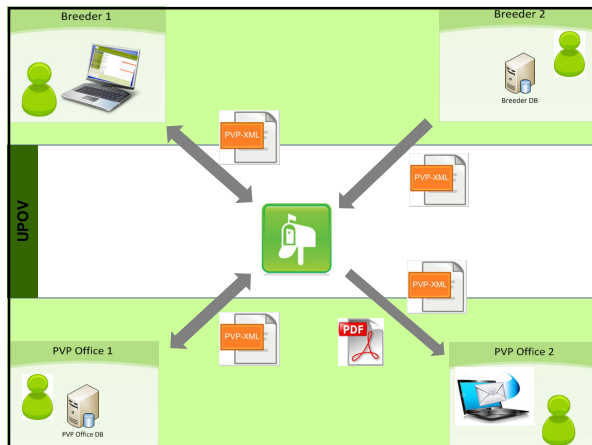
Import Web Service Response

Upload Existing Data (ZIP)

Uploaded File	Status	Information
MYVAR_CA.zip	✓	
MYVAR_NZ.zip	✓	

Submit Cancel

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Bulk Upload

Breeder DB

UPOV

Bulk Upload

Upload Existing Data (ZIP)

Browse

MYVAR_CA.zip

MYVAR_NZ.zip

Submit Cancel

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[UPOV EAS] Application Data Submission(UU_3020150000641) - Message (HTML)

From: Harold UPOV
To: registration@uk.gov.uk
Cc: registration@uk.gov.uk
Subject: [UPOV EAS] Application Data Submission(UU_3020150000641)

Message: CA_Lact_RU_3020150000649.zip (3 KB) CA_Lact_RU_3020150000649.pdf (10 KB)

Madam,
Sir,

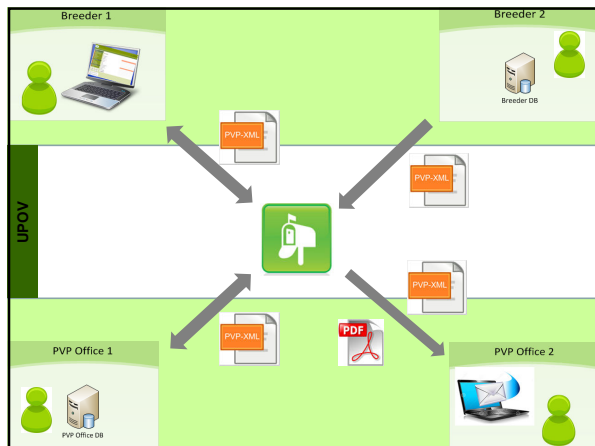
Please be notified that the applicant AU; Name of applicant; Applicant; RZ has submitted an application for *Lactuca sativa* L. to Canada as following:

International Reference Number	UI_3020150000649
Proposed Denomination	AU; Proposed name for the variety new; Denomination: RZ new
Breeder's reference (if applicable)	MYVAR_CA
Date of Submission	26/10/2015

Please find here attached the application data.

Best Regards,
UPOV Electronic Application System

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Bulk Retrieve

The screenshot shows a file explorer window with the path 'd > AppData > Local > Temp > Retrieve_All.zip'. It displays a list of files with columns 'Name' and 'Type'. The files listed are 'XU_30201500000542.zip' and 'XU_30201500000635.zip', both of type 'Compressed (zipped) Fol...'. Below the file explorer, there is a small icon for 'PVP Office 1' and its database.

Bulk Retrieve

The screenshot shows the UPOV Bulk Retrieve interface. It has a header with the UPOV logo and the text 'International Reference System'. Below this, there is a form with the following fields: 'Select Crop/Species' (set to 'Lactuca sativa L.') and 'International Reference Number(s)' (set to 'XU_30201500000542, XU_30201500000635'). There are 'Retrieve' and 'Cancel' buttons. At the bottom, there is a small icon for 'PVP Office 1' and its database.

Pending Issues to be addressed in PV2

Bulk Retrieve

The screenshot shows the UPOV Bulk Retrieve interface with an 'Export Web Service Response' dialog box open. The dialog box contains a table with columns 'IDN', 'Status', and 'Information'. It lists two entries: 'XU_30201500000542' and 'XU_30201500000635'. There are 'Retrieve All' and 'Close' buttons. At the bottom, there is a small icon for 'PVP Office 1' and its database.

- ## OVERVIEW
- Background
 - Presentation of the prototype 1 (PV1)
 - Scope of the prototype 2 (PV2)
 - Other matters for consideration
 - Next steps and Timetable

Questionnaire

- On line Questionnaire has been sent, addressing the following:
 - Legal aspects:
 - Payment modalities
 - Filing/Priority Date
 - Data Confidentiality
 - Technical aspects:
 - Payment authorization and user authentication
 - Electronic signature
 - High Availability
 - Integration with external systems: Genie DB/WIPO Accounts
 - Maintenance and support
- 13 feedback received (US, CH, NZ, CL, NL, KR, JP, AU, EC, QZ, MX, PY) (ISF)
- See Document EAF/6/3



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Next steps

Agreement by EAF/6 meeting on the prototype V.2 (PV2)

To be included in PV2 (agreement from EAF/5 meeting)	New Proposal on the scope/ functionalities to be added to PV2
Different languages	Different languages: EN, FR, DE, ES and other
New crops: Apple, Rose and Potato	New crops: Apple, Rose and Potato
Payment authorization and user authentication	Payment modes and user authentication/authorization
Possibility to introduce or modify questions (update of the form)	Possibility to introduce or modify questions (update of the form) and routine maintenance
Confidentiality of data	Confidentiality of data and Security policies in terms of data transfer.
View application in Word/ Excel format	View application in XML/ PDF format (possibility to generate Excel/Word from XML)
High availability of the system	High availability of the system
Interaction with existing and external systems (Genie DB, WIPO Accounts)	Interaction with external systems (Genie DB, WIPO Accounts, PVP Office)

Questionnaire

- The purpose of the questionnaire was to make sure all issues will be addressed in the next Prototype (PV2)
- Proposals for PV2 have been made on the basis of the comments/ replies received for the development of an electronic application form

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Prototype 2 - Target

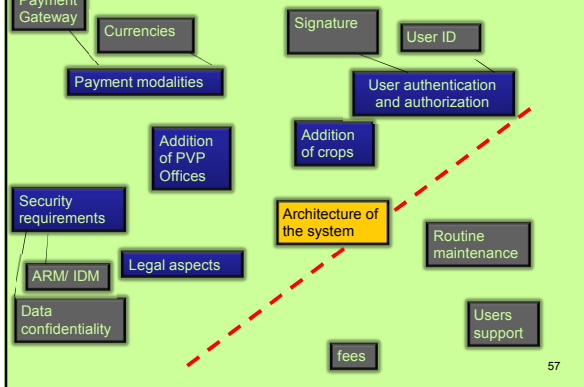
Functioning system by October 2016

=

The system will cover the whole **application process** (filing, authorization, payment, submission as appropriate for each participating member) for the selected crops

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Items to be addressed in PV2



57

(a) Payment modalities

- Payment for PVP Offices**
 - payment to PVP Offices via UPOV;
 - direct payment to PVP Offices.
 - Payment for UPOV service charge**
- Payment gateway, currency accepted and method(s)
- In PCT (CHF, USD, EUR) :**
 - Credit card
 - Debit from current account established in WIPO
 - Direct bank transfer
 - Check

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(a) user authentication and authorization

- Authentication: The system should know who you are.
 - Username and password (WIPO Authentication System)
 - Electronic signature
 - » entrusted by Breeders and PVP offices
- Authorization: The system should make sure that you can perform only actions you are allowed to (roles).
 - Signature
 - » The person who can sign an application should be authorized by the PVP office
 - » Before application data transfer:
 - » A communication channel should be established to get the approval from the PVP office : e.g. Web service
 - » After application data transfer
 - » The person who can sign an application is set by the breeder via EAF

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(c) Addition of other crops or other PVP Office

It was proposed at the EAF/5 meeting, to extend the prototype to cover potato, rose and apple (see document EAF/5/4 "Report")



Application and Technical Questionnaire information of new crops to be included in PV2, would need to be provided by participating members to the Office of the Union by **November 30, 2015**

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(b) Different languages

For the Questions:

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 (see document CAJ/66/8)

For the answers:

Each participating PVP Office would be requested to provide information on the language(s) in which answers could be provided

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

- P2 will be developed on the basis that questions can be added or modified once a month
- Functionalities will be tested in PV2 for editing via PVP office admin interface
- For addition of new PVP Office, it should be provided before **November 30, 2015** to be included in the scope after March 2016

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(b) Different languages

The screenshot shows a form titled 'APPLICANT(S)' with sections for 'ANTRAGSTELLER' and 'DEMANDEUR(S)'. It includes fields for 'SOLICITANTE(S)', 'El solicitante es', 'Una persona física', 'Número de cliente (internacional)', 'Nombre', 'Dirección', 'Código postal', 'Ciudad', 'País', 'Teléfono', 'Fax', 'Correo electrónico', and 'Indique su nacionalidad'. There are also fields for 'Nombre', 'Cargo', 'Dirección', 'Código postal', 'Ciudad', 'País', and 'Teléfono' for the representative.

63

(e) Legal aspects [and disclaimers]

- EAF would need to respect national or regional legislation (e.g. disclaimer, communication, correspondence route)
- Terms and conditions
 - At System level:
 - » UPOV EAS Terms and Conditions
 - » PVP office Terms and Conditions
 - At Application level
 - » PVP office Terms and Conditions : included in the application form (i.e. specific to each application and completed in the declaration chapter)

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(g) Security requirements in terms of Data confidentiality and Access rights management

- EAF would need to comply with WIPO and PVP offices' security policies
 - Specific security constraints in relation to the transfer and receipt of application data should be communicated by **November 30, 2015**
- Data should be encrypted and processed as highly confidential

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(j) Architecture of the system

- The architecture of the system will be elaborated on the basis of all requirements by participating members in the scope of the implementation of an operational system

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(h) High availability (HA) of the system

- The system would work continuously, with a tolerance of 1 day for the system to be out of operation.

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

- A unique IRN be allocated to a particular variety.
- Technical questionnaire data could only be copied when the same IRN is 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 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.
- Copy of a pending application

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(i) Communication with existing and external systems

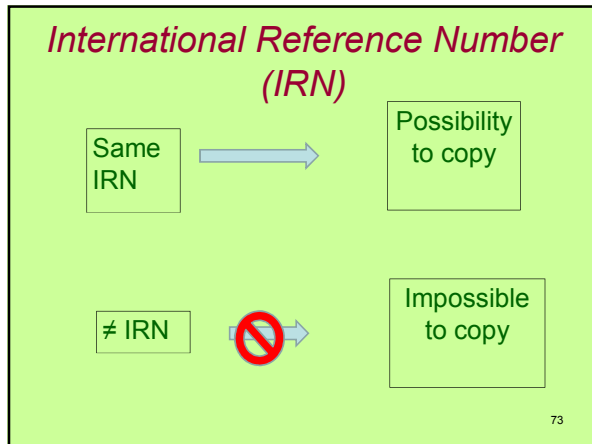
- It would be possible to use different communication channels as specified by the receiving PVP Office
 - Web service
 - Email
 - SFTP: Secure File Transfer Protocol
 - Other

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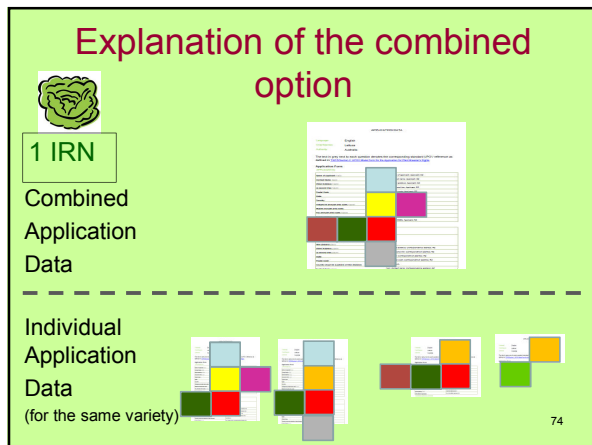
International Reference Number (IRN)



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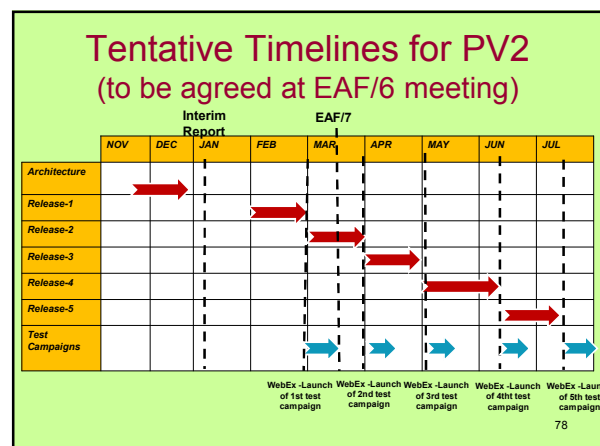


- ### Other matters to be considered in parallel of the development of PV2
- (a) Agreement on fees;
 - (b) Operations such as:
 - application support;
 - routine maintenance provisions;
 - (c) Support for final users (e.g. training, guidelines)
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- ### OVERVIEW
- Background
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 - Other matters for consideration
 - Next steps and Timetable
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- ### OVERVIEW
- Background
 - Presentation of the prototype 1 (PV1)
 - Scope of the prototype 2 (PV2)
 - Other matters for consideration
 - Next steps and Timetable
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Timetable for PV2

Test Campaign	Web Ex	From/To	Milestone Release (MR) Contents/ Functionalities to be tested
Test Release 1	29/02/2016	29/02/2016 to 11/03/2016	New Architecture (Security, High availability), Multi-language feature, TQ schema for Crop 2
Test Release 2	30/03/2016	30/03/2016 to 15/04/2016	Manage forms, TQ schema for Crop 3, user feedback from MR1
Test Release 3	02/05/2016	02/05/2016 to 20/05/2016	Import/Export Crop 2 applications, authentication, user feedback from MR2
Test Release 4	13/06/2016	13/06/2016 to 24/06/2016	Import/Export Crop 3 Applications, Payment, user feedback from MR3
Test Release 5	11/07/2016	11/07/2016 to 12/08/2016	Reuse TQ, user feedback from MR4

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Expected Inputs from participating members in the EAF by November 30, 2015

Input	Condition
Translated questions	Only when original language different from EN, FR, DE, ES
New forms	Only for new crops and new PVP offices
Payment procedure	Only if the existing payment system as used in PCT does not fit the PVP office requirements
Authorization procedure	All
Security requirements in terms of data transfer and receipt	Only if the office have specific requirements stricter than WIPO Security policies.
Communication protocol	Only if the PVP office has already developed Web services or client interface to communicate with UPOV EAS.

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