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# **PCT International Cooperation Division**

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## **Data Format Specifications for documents delivered by the International Bureau to Offices through PCT- EDI (FTP) for Supplementary Search**

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## References

1. PCT EDI Cooperation Project.
2. The Minimal Specification for Transmitting Documents to the IB (MINSPEC).
3. WIPO Standard ST.36 (ST.36).
4. Annex F of the PCT Administrative Instructions (ANNEX F)
5. Data Format Specifications for documents delivered by the International Bureau to Offices through PCT-EDI (FTP)

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## **1. Introduction**

The purpose of this document is to describe the technical specification of the formatting of batches of documents transmitted as part of the PCT process by FTP from the International Bureau (IB) to Offices for the purposes of supplementary Search.

This transfer is within the scope of the PCT Electronic Data Exchange Project (PCT-EDI) in order to facilitate the internet-based exchange of a wide range of electronic documents and data between WIPO and IP Offices.

This document describes the technical format of batches of documents transmitted by the IB to offices in their role of International Searching Authority for the purposes of Supplementary Search under the Patent Cooperation Treaty (PCT). It should be read in conjunction with “The Minimal Specification for Transmitting Documents to the IB” (MINSPEC).

It should be noted that the DVD, paper and any other media based formats used for the transmission of documents are not within the scope of this document.

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## 2. Batch files and their naming

All batches are transmitted as a single ZIP file with the extension “.zip”. It should be noted that prior to January 1, 2009 batches were split into 100MB chunks and that this is no longer the case.

All batches are named according to the following pattern:

IB-{office}-{date}-{6 digits office iterator}-{extra}.zip:

Where the following rules apply to the codes, separated by the “-” character, specified between the brackets “{}”:

{office}	is the WIPO Standard ST.3 code of the office to which the batch is being transmitted
{date}	in format “yyyymmdd” is the date of transmission in local office time, not the date that the package was put together (in this case 20070213)
{6 digits office iterator}	is a sequence specified as six numeric characters incremented from “000001” per office, and is not intended to be reset to zero;
{extra}	is an additional field provided to address specific needs in the general specification. In the case of batches destined to the office in its role as Authority specified for the purposes of Supplementary Search the value will be “SISA”.

A maximum of two batches may be received on a given day, one containing documents relating Supplementary International Search for international applications (including the SIS request form), and another containing Forms from the International Bureau relating to Supplementary International Search for international applications.

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### 3. Content file formats

Content files, representing documents or forms contained within the batch ZIP file, are transmitted in the WAD format.

#### 3.1. WAD format

The specification of the WAD files is taken from ANNEX F, and specifically contains a structure of files accessed via an index file called:

packagedata-pkda.xml

This file contains references to all other content within the WAD. The main content will normally take the form of XML-indexed TIFF page image files where the TIFF image files contain CCITT group 4 300dpi reverse bit order black and white images. The principle exception is sequence listings in ST.25 text format.

Typically the content page files are named in their page order sequence, e.g.:

000001.TIF  
000002.TIF  
000003.TIF  
... etc.

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#### 4. Documents to be transmitted to SISAs

Copies of International Applications, along with associated documents as prescribed in the regulations are transmitted from the IB to the International Searching Authorities for the purpose of Supplementary International Search.

The documents are transmitted in batches named according to MINSPEC, for example:

IB-SE-20080717-000003-SISA.zip

Documents are dispatched using one batch per office per role per day where there are documents to be sent on a given day; the contents of each batch file are as follows:

a CSV index file listing the contents;

sub-directories, named with the complete IA number format, one per IA;

transmitted documents, each as ANNEX F WAD files.

For example a batch, the fourth in the sequence, transmitted on July 17<sup>th</sup> 2008 to the International Searching Authority in Sweden (IB-SE-20080717-000003-ISA.zip ) the content listing might appear as follows:

```
IB-SE-20080717-000004-SISA.csv
PCTUS2008000951/PCTUS2008000951-ssrq-000036-EN-20080716.wad
PCTUS2008000951/PCTUS2008000951-sisf-000037-EN-20080716.wad
PCTUS2008000951/PCTUS2008000951-sstr-000042-EN-20080716.wad
PCTUS2008000951/PCTUS2008000951-appb-000002-EN-20080716.wad
PCTCN2008001108/PCTCN2008001108-wosa-000016-EN-20080716.wad
PCTCN2008001108/PCTCN2008001108-ssrq-000019-EN-20080701.wad
PCTCN2008001108/PCTCN2008001108-sisf-000020-EN-20080716.wad
PCTCN2008001108/PCTCN2008001108-sstr-000021-EN-20080701.wad
PCTCN2008001108/PCTCN2008001108-appb-000002-EN-20080717.wad
PCTCN2008001108/PCTCN2008001108-rpot-000017-EN-20080717.wad
.....
```

Each WAD file typically contains an entry in the packagedata-pkda.xml file to identify the document transmitted. For example:

```
<other-documents>
  <other-doc file="wo-other-doc.xml" file-type="xml" lang="en" >
    <document-name>SIS Request</document-name>
      <document-code>ssrq</document-code>
  </other-doc>
</other-documents>
```

These entries constitute references to the ANNEX F XML files that contain the references that identify the pages of the document transmitted.

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The first batch of documents relating to an international application for which the Authority is specified for supplementary international search should contain at least a supplementary search request (document code ssrq) and the application body (document code appb). Other necessary documents may either be included in that batch, or else sent on later when they become available.

The naming of documents transmitted is in accordance with the MINSPEC, and the expected range of documents to be transmitted is listed in the table below:

<b>Document Type</b>	<b>Description</b>	<b>MINSPEC Type</b>	<b>Comments</b>
SIS Request	SIS Request from applicant (can include SIS fee sheet)	ssrq	
Correspondence	Correspondence related to the SIS Request	crsp	Stored as 'SIS Correspondence' in the internal document system
SIS Fee sheet	SIS fee sheet	sisf	"SIS Fee Sheet" could be received separately from SIS Request
SIS IA trans	Translation of IA for SIS purposes	sstr	
Sequence List 13ter	Sequence listing only for the purposes of international search (not part of IA)	seqn	
Sequence List statement 13ter	Statement relative to Sequence List only for the purposes of international search	iss	Applicant's statement that seq listings furnished for search are identical to those filed in the IA
Sequence List	Sequence listing part of international application	seql	
Sequence List statement	Statement relative to Sequence List	seqs	Applicant's statement that seq listings furnished for search are identical to those filed in the IA
IA Body	Body document for International application including description, claims and drawings	appb	
IA Body trans	Translation of body document for International application including description, claims and drawings	tapp	
RO101	International Application request form	requ	
Replacement	Replacement sheets of	rpot	

sheets	indeterminate type under Rule 26 (from the RO)		
Rectification sheets	Rectified sheets of indeterminate type under Rule 91 (from the RO or ISA)	rcot	
WOSA	Written Opinion by International Searching Authority	wosa	
WOSA ET	Written Opinion by International Searching Authority – English Translation	ewos	
ISR	International Search Report	isre	
ISR ET	International Search Report – English Translation	isrt	
Art 17.2	Non-establishment of International Search Report under Article 17.2(a) from the ISA	a17e	
Art 17.2 ET	English translation of non-establishment of International Search Report under Article 17.2(a) from the ISA	a17t	

## 5. Daily forms to be transmitted to SISAs

Daily forms are transmitted from the IB to offices in their capacity of International Searching Authority for the purposes of Supplementary Search under the Patent Cooperation Treaty (PCT). The supplementary search request form (PCT/IB/375) is a special case, which is sent as part of the daily batch which contains documents other than forms, described in section 4, above.

The forms are transmitted in batches named according to MINSPEC, for example:

IB-SE-20080717-000003-SISA.zip

Daily forms are dispatched using one batch per office per role per day where there are forms to be sent on a given day; the contents of each batch file are as follows:

a CSV index file listing the contents;

sub-directories, named with the complete IA number format, one per IA;

transmitted documents, each as ANNEX F WAD files.

For example a batch, the third in the sequence, transmitted on July 17<sup>th</sup> 2008 to the International Searching Authority in Sweden (IB-SE-20080717-000003-ISA.zip ) the content listing might appear as follows:

```
IB-SE-20080717-000003-SISA.csv
PCTUS2008000951/PCTUS2008000951-ib307-000002-EN-20080717-SISA^SE-copy.wad
PCTGB2008000969/PCTGB2008000969-ib306-000037-EN-20080717-SISA^SE-copy.wad
PCTKR2008000970/PCTKR2008000970-ib317-000042-EN-20080717-SISA^SE-copy.wad
PCTFR2008000989/PCTFR2008000989-ib325-000002-EN-20080717-SISA^SE-copy.wad
PCTCN2008001108/PCTCN2008001108-ib345-000057-EN-20080717-SISA^SE-copy.wad
```

It should be noted that the "SISA^SE" translates to SISA-SE using the MINSPEC substitution rule and refers to the destination.

Each WAD file typically contains the following entry in the packagedata-pkda.xml file:

```
<notification file="pct-form-subset.xml" notf-type="ib317"/>
```

These entries constitute references to the ANNEX F XML files that contain the references that identify the pages of the document transmitted.

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The naming of forms (documents) transmitted is in accordance with the MINSPEC, and the expected range of forms (documents) to be transmitted is listed in the table below:

<b>Document Type</b>	<b>Description</b>	<b>MINSPEC Type</b>	<b>Comments</b>
IB/306	Notification of the Recording of a Change	ib306	
IB/307	Notification of Withdrawal of International Application or Designations	ib307	
IB/317	Notification of Withdrawal of Priority Claim	ib317	
IB/318	Notification Relating to Priority Claim	ib318	
IB/319	Notification Concerning Representation	ib319	
IB/325	Notification that International Application Considered to be Withdrawn	ib325	
IB/339	Notification of Withdrawal of Demand or Elections	ib339	
IB/345	Communication in Cases for Which No Other Form is Applicable	ib345	
ISA/212	Decision of the main ISA on applicant's petition against fees for lack of unity of invention + copy of applicant's protest	isa212	Copy of applicant's protest is usually attached and indexed together as "ISA/212"
IB/377	Invitation to pay fees + late payment fee (50% of SIS handling fee) within 1 month from mailing date	ib377	

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## **6. Specific COR documents**

No documents are transmitted to ISAs for the purposes of processing Supplementary Search through the PCT Communication on Request (COR) system.

[end of document, annex follows]

## Appendix I - examples

### A. Example transmissions of SIS documents to SISA

IB-SE-20080717-000004-SISA.zip, containing WAD files for two IAs for which the criteria for sending the documents has just been satisfied (initial sending):

PCTUS2008000951/PCTUS2008000951-ssrq-000036-EN-20080716.wad  
PCTUS2008000951/PCTUS2008000951-sisf-000037-EN-20080716.wad  
PCTUS2008000951/PCTUS2008000951-sstr-000042-EN-20080716.wad  
PCTUS2008000951/PCTUS2008000951-appb-000002-EN-20080716.wad  
PCTCN2008001108/PCTCN2008001108-wosa-000016-EN-20080716.wad  
PCTCN2008001108/PCTCN2008001108-isre-000016-EN-20080716.wad  
PCTCN2008001108/PCTCN2008001108-ssrq-000019-EN-20080701.wad  
PCTCN2008001108/PCTCN2008001108-sisf-000020-EN-20080716.wad  
PCTCN2008001108/PCTCN2008001108-sstr-000021-EN-20080701.wad  
PCTCN2008001108/PCTCN2008001108-appb-000002-EN-20080717.wad  
PCTCN2008001108/PCTCN2008001108-rpot-000017-EN-20080717.wad

And

IB-SE-20080717-000004-SISA.csv

IB-SE-20080717-000005-SISA.zip, containing WAD files for one IAs for which subsequent documents have arrived at the IB for transmission (subsequent sending) to the SISA and one IA for which the criteria for sending the documents has just been satisfied (initial sending):

PCTUS2008000951/PCTUS2008000951-isre-000043-EN-20080716.wad  
PCTUS2008000951/PCTUS2008000951-wosa-000044-EN-20080716.wad  
PCTCN2008001118/PCTCN2008001118-ssrq-000010-EN-20080701.wad  
PCTCN2008001118/PCTCN2008001118-sisf-000011-EN-20080716.wad  
PCTCN2008001118/PCTCN2008001118-sstr-000013-EN-20080701.wad  
PCTCN2008001118/PCTCN2008001118-appb-000002-EN-20080717.wad  
PCTCN2008001118/PCTCN2008001118-rcot-000012-EN-20080717.wad

And

IB-SE-20080717-000005-SISA.csv

***B. Example transmission of IBFORMs to SISA***

IB-SE-20080717-000006-SISA.zip, containing WAD files:

PCTUS2008000951/PCTUS2008000951-ib307-000002-EN-20080717-SISA^SE-copy.wad  
PCTGB2008000969/PCTGB2008000969-ib306-000037-EN-20080717-SISA^SE-copy.wad  
PCTKR2008000970/PCTKR2008000970-ib317-000042-EN-20080717-SISA^SE-copy.wad  
PCTFR2008000989/PCTFR2008000989-ib325-000002-EN-20080717-SISA^SE-copy.wad  
PCTCN2008001108/PCTCN2008001108-ib345-000057-EN-20080717-SISA^SE-copy.wad

And

IB-SE-20080717-000003-SISA.csv

[end of annex and file]