

Minimal Specifications for Electronic PCT Document Exchange

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Changes from previous version (3.6)

1. Addition of type ttad for PCT translation file transmission with translation service providers [page 29].
2. Clarifications to 'asfiled' and 'biblio' document code usage for EASY and Electronic filings.
3. Clarifications to 'asfiled' and 'dpcf' (pre-conversion-files) document code usage in respect of the reception of electronic files from the applicant.
4. Clarification to 'a17t' that this code is to be used for translations into any required language (not only English).
5. Update to isaNNN example to not use the ISA203, but use the ISA209 for which there is no specific document code.
6. Added wotf document code for identifying translation fragments at the IB
7. Added r92m for 92bis notifications that affect multiple International Applications.
8. Correct example text for letter ('lett')
9. For clarity: simplification of Rule 3 by removing the part identified as Rule 3.1 and updating rules 3.2, 3.3.
10. For clarity: removal of Rule 5.2 (having updated rule 5.1)

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1. Executive summary

This minimal specification provides an easily implemented, temporary yet upward-extensible solution to the problem of electronic document exchange between the International Bureau, Patent Cooperation Treaty (PCT) member state intellectual property offices and PCT international authorities.

The use of this minimal specification will quickly provide benefits to the implementing PCT member state office or international authority and to the International Bureau both in terms of cost (through reductions in document printing, shipping, storage and disposal) and quality (fewer manual operations for the staff).

Electronic document exchange between PCT member states and the International Bureau is now a reality. The International Bureau has established the PCT-EDI Service to encourage member states to take immediate advantage of the cost savings and improved operational efficiencies potentially available through electronic data exchange with the International Bureau.

The following simple requirements were considered during the development of this minimal specification:

- (1) The specification should be sufficiently simple to both permit and encourage its implementation by any PCT member state office or international authority at a minimum cost.
- (2) The specification should be sufficiently flexible to allow the transmission of both scanned documents and electronically authored documents.
- (3) The specification should be “exchange media neutral”, e.g. it should make no assumptions as to the media used for electronic exchange.
- (4) The specification should be upward compatible with the new WIPO Standard ST.36 standard by using similar document structures.
- (5) The specification should facilitate efficient processing by the PCT Operations division at the International Bureau, reducing the administrative overhead and facilitating the creation of the electronic publication working copy.

Offices are strongly encouraged to transfer documents using Annex F format (compliant with the WIPO Standard ST.36 format) to the International Bureau as a first choice, using unstructured formats only when their internal systems are not yet capable of processing documents fully compliant with WIPO Standard ST.36.

2. Format Specification

The format specification is designed for simplicity and ease of implementation at the lowest possible cost. It consists of six (originally five) basic rules, based primarily upon existing WIPO standards and guidelines.

Rule 1 – Supported Document Formats

Each document is represented by a single file. The following file formats and types are supported by the International Bureau (listed in order of preference):

| <i>Format</i> | <i>Description</i> | <i>Extension</i> |
|---|--|--|
| PCT Annex F / WIPO Standard ST.36 | PCT Annex F / WIPO, Standard ST.36 documents stored as Wrapped Application Documents (WAD)s or Wrapped and Signed Packages (WASP)s as per Annex F of the PCT Administrative Instructions (Primarily PCT E-filing record copies as defined in Annex F of the PCT Administrative Instructions). | .wsp (signed) .wad (unsigned) |
| Adobe PDF Format | Adobe PDF representations of documents, without encryption or other security protections. PDF-format documents should be in accordance with Annex F of the PCT Administrative Instructions. Fonts should be embedded where possible because where they are not embedded the documents may not be correctly rendered to images (screen, paper, tiff). | .pdf |
| TIFF image based Documents (normally the result of scanning documents) | A set of black and white (ONE BIT PER PIXEL, not greyscale) TIFF V6, single strip, Intel encoded (little-endian) single A4 pages. Each page is represented by a single file, scanned at 300 dpi resolution and so identified in the TIFF header. Multi-page TIFF files are not supported. The set of document page files is transferred either: a) zipped into a wrapper file, the order of the pages being obtained by applying an alphabetic sort operation of the single page filenames, (e.g. TIFF page images, numbered 000001.tif – nnnnnn.tif) or b) in a PDF format file (TIFF images embedded in PDF) | .zip .pdf |
| Machine Readable Character-coded data as per Bilateral Agreement | Other electronically authored documents: in certain cases, a specific format may be transmitted under <u>bilateral agreement</u> with the International Bureau (e.g. Microsoft Word 97 and up, non Annex F compliant PDF formats, RTF, etc). These formats are not desirable and can lead to problems for both parties (the IB and the sending RO). | .doc |
| Sequence Listings | Sequence listings stored in ST.25 format, each contained in a zip file wrapper. | .zip |
| As-filed packages | A package containing files in any format, “as received” by the sending office, though expected to contain files in the formats mentioned on this page. | .wsp .wad .zip |
| Pre-conversion packages | A package containing files in any format, though expected to contain files in the formats mentioned on this page. | .wsp .wad .zip |

Rule 2 – Supported Document Types

The document types defined in detail in the Annex are supported.

Any document not exactly corresponding to one of those document types shall be sent with the document type designation of “other”. This means that the International Bureau will visually check the document and determine the associated PCT document type, potentially splitting the document into several sub documents or merging it with others, before examining it. The use of the “other” document type should be avoided whenever possible.

The document types were originally directly obtained from the set of electronic filing DTDs published on the WIPO web site (<http://www.wipo.int/>), and have subsequently been added to as required. This permits electronic documents sent to the International Bureau to be easily transferred later to other parties (Designated Offices, etc.) using WIPO Standard ST.36 data encoding, and allows the offices a migration path to full WIPO Standard ST.36 support.

Rule 3 – Document Wrapper Format

Rule 3.1 [removed]

Rule 3.2 Batch format

The documents are transmitted in batches and stored in a zip file containing folders

The zip file is named as follows:

RO-**{OO}**-yyyymmdd-nnnnnn{-ROLE-CODE}.zip

Where:

RO is the WIPO Standard ST.3 code of the transmitting office. Optionally “**{OO}**” may be included as destination e.g. “US-IB-...”.

yyyymmdd is the date of transmission in local office time, not the date that the package was put together (in this case 20070213)

nnnnnn is a sequential counter incremented with each wrapper file sent by the office,

And optionally ROLE-CODE (RO|DO|EO|COR|ISA|IPEA|IB) may be included to direct the package to the correct operational unit within the office.

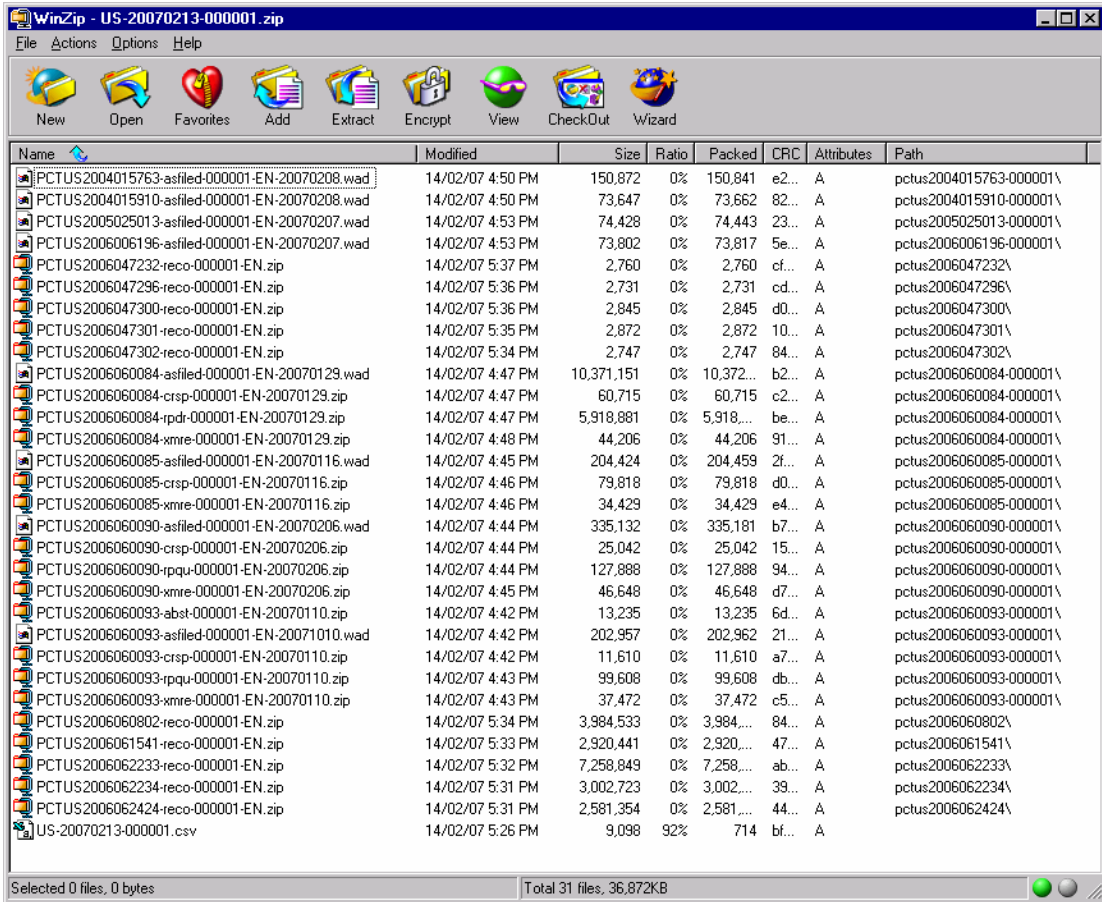
The Folders in the zip file are named using the PCT Number, including the ‘PCT’ prefix (ia_number below) with an optional series number appended to the PCT number:

<ia_number>[-<series-number>] Series number is optional

The naming structure allows for the grouping of documents into business transactions – where a letter is attached to another document etc. Thus in the case where the RO has one or more documents for an IA that has no known grouping they should be sent in a folder simply using the IA number (i.e pctKR2006123456); in the case where there are groups of documents for an IA they should be sent in a folder with the IA Number and a series number (i.e. pctKR2006123456-000001) – if there are 2 groups for an IA then a second folder would be expected (i.e. pctKR2006123456-000002) and if there is a single grouping plus some ‘other’ unrelated documents then we would expect folders pctKR2006123456 and pctKR2006123456-000001

A CSV file is in the root directory of the zip file (with the same name as the zip file (csv replacing zip).

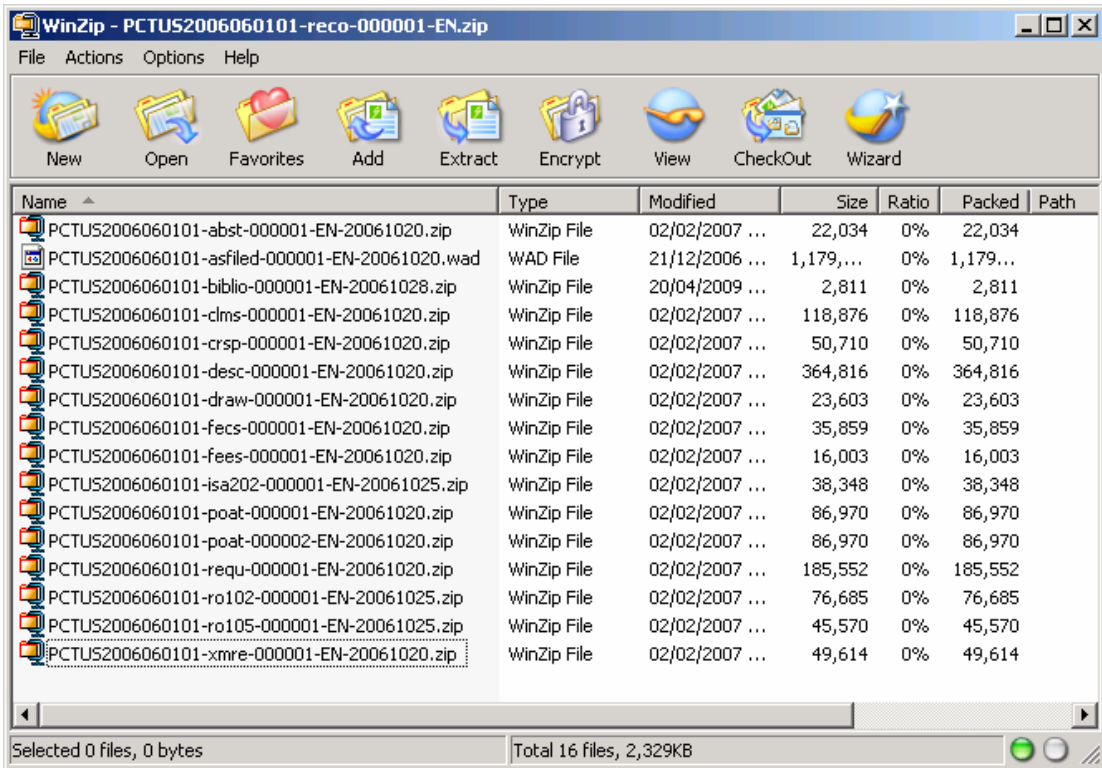
The image below shows a screen-shot of a package received from US.



Rule 3.3 Document Packaging for Scanned record copies

For scanned record copies, the collection of sub-documents, such as abstract or claims etc, may optionally be gathered together into a single zip file (see screenshot below) as an indication of the integrity of the record copy that is inserted into the batch transfer package to be sent by an office; alternatively the record copy sub-documents may simply be sent in their individual zip files.

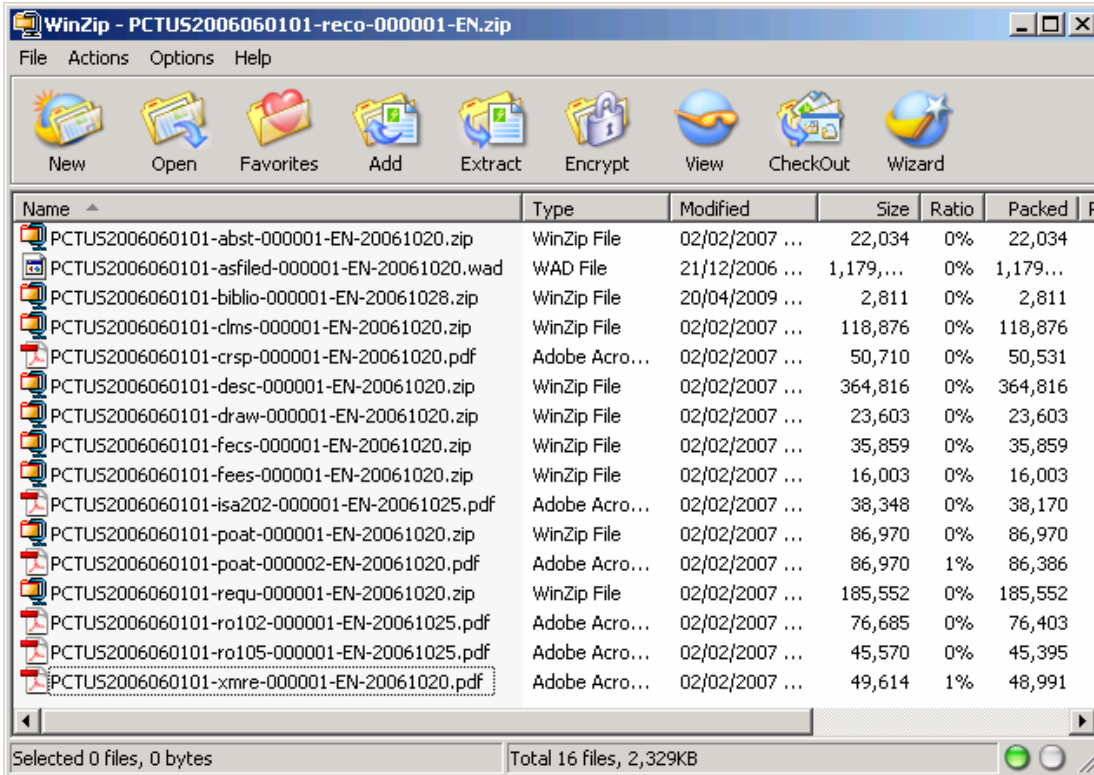
In EITHER case, all the contained documents must be named according to the minimum-specification [this document].



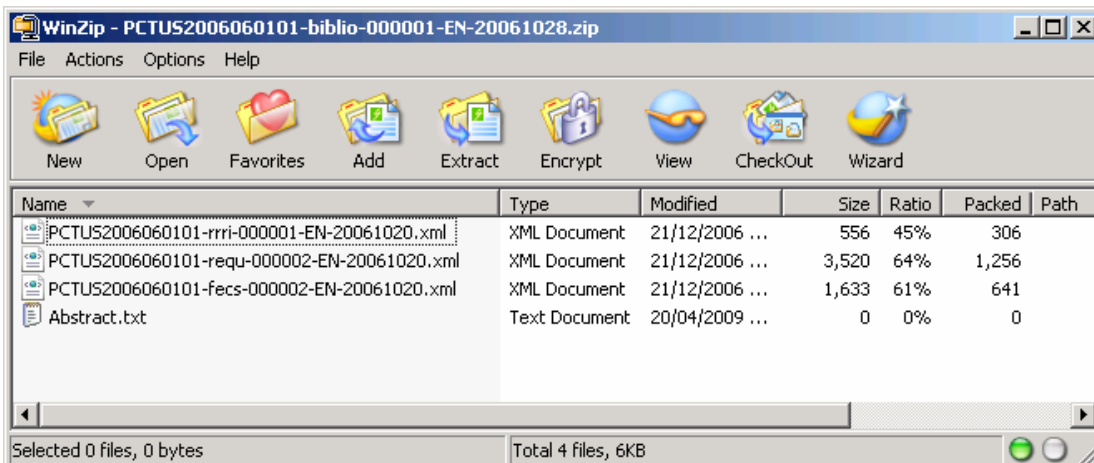
It should be noted that

- a) not all the contents, in the example above, have the same type of date specified by the last field value, thus the differing values above (defined by document type in the table in the Annex);
 - b) all the files included in the package, with the exception of the 'biblio' and 'asfiled' files may be included as ZIP or PDF format files that contain TIFF images;
 - c) the 'biblio' file must always be a ZIP file containing XML content files
- and d) the 'asfiled' package is optional and must be supplied as a WAD format file (where the scanned documents were submitted in electronic form to the receiving Office)

The following example shows the same application structure as above, having some of the files in PDF format:



The 'biblio' file included in the above example must contain all of the XML and text format contents shown in the screen-shot below ('rrri', 'requ', 'feces', 'abstract'):



Rule 4 – Document Wrapper Naming Convention

The name of a wrapper file is composed of either five or six consecutive parts separated by dashes (using an extended version of the Annex F File Naming Conventions; excluding the extension and including the optional part which may be empty):

- The PCT number including the prefix 'PCT'.
- The document type code in lower case (see the annex for the document types)
- A numeric string NNNNNN to make the filename unique within its directory
NNNNNN is a number right justified and padded with leading zeros
- The upper case ISO639 code representing the language of the document or XX if unknown
- Any optional additional bibliographic data information (format depending on the document type, see Annex)
- An optional document status code "-corrected" to be used where a corrected version document previously supplied is furnished (corrected in business terms).
- The appropriate file extension.

Note that for characters uppercase is preferred for readability, but the EDI service is character case independent for file and folder names.

Refer to the table in the Annex for examples.

Rule 5 – Document Index Data

Rule 5.1 Document index data - for offices where we have agreed transfers prior to 2007 we have used a packaging scheme where relationships between documents in a given batch are not retained and thus it is more difficult to create business transaction work items in the IB system. This scheme remains valid and supported by the IB. No date has been set for the deprecation of the use of this scheme, however it should be noted that, at the time of writing, the IB encourages offices following this scheme to consider migrating to the revised scheme 5.2.

Rule 5.2 Document index data (enhanced) - For offices where we have agreed transfers after 2006, we have encouraged the use of a packaging scheme where relationships (e.g. priority document plus accompanying letter) between documents in a given batch are retained.

Rule 5.1 Document index data

The transmitted documents are accompanied by an index file in Comma Separated Value (csv) format. This index file is saved under the level 1 directory. Its name is composed of the level 1 directory name with the extension .csv. The CSV file contains an entry for each transmitted document, with the first column containing the PCT number (and the optional sequence number i.e it is the folder name within the zip file) and the second column the name of the document file. This index allows confirmation that no documents were lost in the document's processing path.

Microsoft Excel - KR-20071212-000001.csv.xls

File Edit View Insert Format Tools Data Window Help

Type a question for help

Arial 10

Reply with Changes... End Review...

| | A | B | C |
|----|--------------|--|---|
| 1 | KR2005002476 | PCTKR2005002476-tapp-000001-EN-20050829.wsp | |
| 2 | KR2005002692 | PCTKR2005002692-tapp-000002-EN-20051014.wsp | |
| 3 | KR2005003539 | PCTKR2005003539-pdoc-000100-EN-KR-20050622-1020050053771-20051024.wad | |
| 4 | KR2006005414 | PCTKR2006005414-tapp-001605-EN-20070515.wsp | |
| 5 | KR2006005766 | PCTKR2006005766-tapp-001606-EN-20070510.wsp | |
| 6 | KR2007000926 | PCTKR2007000926-tapp-000001-EN-20070628.wsp | |
| 7 | KR2007001030 | PCTKR2007001030-tapp-001607-EN-20070511.wsp | |
| 8 | KR2007001632 | PCTKR2007001632-tapp-000002-EN-20070627.wsp | |
| 9 | KR2007001736 | PCTKR2007001736-tapp-000003-EN-20070626.wsp | |
| 10 | KR2007001864 | PCTKR2007001864-tapp-000004-EN-20070627.wsp | |
| 11 | KR2007002059 | PCTKR2007002059-tapp-000005-EN-20070626.wsp | |
| 12 | KR2007002063 | PCTKR2007002063-tapp-000006-EN-20070626.wsp | |
| 13 | KR2007002074 | PCTKR2007002074-tapp-000007-EN-20070627.wsp | |
| 14 | KR2007002095 | PCTKR2007002095-tapp-000008-EN-20070626.wsp | |
| 15 | KR2007002101 | PCTKR2007002101-tapp-000009-EN-20070627.wsp | |
| 16 | KR2007002162 | PCTKR2007002162-tapp-000010-EN-20070626.wsp | |
| 17 | KR2007004240 | PCTKR2007004240-tapp-000001-EN-20071002.wsp | |
| 18 | KR2007004617 | PCTKR2007004617-tapp-000001-EN-20071024.wsp | |
| 19 | KR2007004963 | PCTKR2007004963-tapp-000001-EN-20071121.wsp | |
| 20 | KR2007005201 | PCTKR2007005201-tapp-000001-EN-20071130.wsp | |
| 21 | KR2007005237 | PCTKR2007005237-reco-005536-KO.wsp | |
| 22 | KR2007005271 | PCTKR2007005271-pdoc-009248-EN-KR-20061025-1020060104007-20071122.wad | |
| 23 | KR2007005297 | PCTKR2007005297-tapp-000001-EN-20071126.wsp | |
| 24 | KR2007005502 | PCTKR2007005502-tapp-000001-EN-20071129.wsp | |
| 25 | KR2007005504 | PCTKR2007005504-tapp-000001-EN-20071129.wsp | |
| 26 | KR2007005512 | PCTKR2007005512-pdoc-009249-EN-KR-20070109-1020070002614-20071128.wad | |
| 27 | KR2007005513 | PCTKR2007005513-pdoc-009250-EN-KR-20071030-1020070109275-20071128.wad | |
| 28 | KR2007005646 | PCTKR2007005646-tapp-000001-EN-20071204.wsp | |
| 29 | KR2007005855 | PCTKR2007005855-reco-005537-KO.wsp | |
| 30 | KR2007005980 | PCTKR2007005980-reco-005590-EN.wsp | |
| 31 | KR2007006081 | PCTKR2007006081-pdoc-000001-EN-KR-20061201-1020060120604-20071129.wad | |
| 32 | KR2007006084 | PCTKR2007006084-pdoc-000002-EN-KR-20061201-1020060120479-20071129.wad | |
| 33 | KR2007006085 | PCTKR2007006085-pdoc-000003-EN-KR-20061130-1020060120190-20071130.wad | |
| 34 | KR2007006091 | PCTKR2007006091-pdoc-000004-EN-KR-20061129-1020060119271-20071129.wad | |
| 35 | KR2007006094 | PCTKR2007006094-pdoc-000005-EN-KR-20070420-10200701093791-20071129.wad | |

Sheet1 / Sheet2 / Sheet3

Ready

Rule 6 – Exceptional Document Uploads

This rule is applicable for documents satisfying the conditions below:

- Record copy filings subject to national security concerns
- Very large documents (e.g 1 gigabyte in size)

These document uploads require special handling and the provisions for their handling are as follows:

(a) Record copy filings subject to national security concerns

The security statement should be uploaded as part of a normal package with the document type 'secu' as specified in the Annex.

(b) Very large documents

either

Create a special batch containing only the very large document (or documents as appropriate;

or

Send individual files to the IB on DVD with an appropriate covering letter.

Name each file in accordance with Rule 2

Do package the documents in accordance with Rule 3

3. ANNEX

The International Bureau, notes following the specification in Annex F, that codes woXX are available for use at the International Bureau and thus the second table (Table 2) in this annex lists such codes in use at the International Bureau.

Please note that all dates follow the YYYYMMDD format.

Table 1 – document naming examples.

| <i>Document Type</i> | <i>Code</i> | <i>Description (E-Filing Tag name)</i> | <i>Wrapper file naming convention</i> |
|------------------------|-------------|---|---|
| abstract | abst | Abstract of the application (part of the application body) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-abst-000001-EN-20050531.zip |
| amend-claims | amcl | Amended claims under Article 19 . Normally expected from the Applicant. | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-amcl-000001-EN-20050531.wad |
| amend-statement | amst | Statement describing the amendment of the claims (PCT Article 19.1, PCT Rule 46.4). Normally expected from the Applicant. | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-amst-000001-EN-20050531.zip |

| | | | |
|---|---------|--|--|
| Applicant-request-for-publication-of-late-correction | rlpc | Applicant's request for publication of late furnished correction/addition of priority claim (Rule 26bis.2(e)). Normally expected from the Applicant. | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-rlpc-000001-EN-20050531.zip |
| Applicant-request-for-publication-relating-to-pdoc-discrepancy-or-void | rppc | Applicant's request for publication of info relating to priority claim declared void, discrepancy with priority document etc (Rule 26bis.2(d)). Normally expected from the Applicant. | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-rppc-000001-EN-20050531.zip |
| Applicant-request-for-publication-where-rectification-refused | aprr | Applicant request under Rule 91.3(d) to publish information concerning the request for the rectification of an obvious mistake where the International Searching Authority has refused to authorize the rectification. Normally expected from the Applicant. | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-aprr-000001-EN-20050531.zip |
| applicants-statement-of-reasons | stpr | Applicant's "Statement of Reasons" (may include Applicant's request for restoration of priority rights) (Rule 26bis.3) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-stpr-000001-EN-20050531.zip |
| application-body-document | appb | Application body document containing abstract, description, claims and drawings | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-appb-000001-EN-20050531.zip |
| as-filed-document | asfiled | Electronic filing with no transformations (from the applicant's submission of an electronic filing) applied. Note such documents are stored and not processed by the IB and should ALWAYS be wrapped in a zip file. | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-asfiled-000001-EN-20050531.zip |

| | | | |
|--|--------|--|---|
| Authorization -of- rectification- of-an- obvious- mistake | arom | Information concerning authorization of rectification of an obvious mistake under Rule 91.1 | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-arom-000001-EN-20050624.zip |
| bibliographic information contained on the Request Form RO/101 as input at the receiving Office | biblio | Document code for a package containing bibliographic information contained on the Request Form RO/101 that has been input at the receiving office, or by the applicant in the EASY mode of PCT-SAFE, and can be used as the basis of bibliographic data entry at the IB. Normally to contain the 3 xml files: requ, rri, fees. | Additional Biblio Data: Date of mailing of the package e.g.: PCTUS2004005602-biblio-000001-EN-20050531.zip |
| cited- documents- in-earlier- search | cdes | Cited-documents-in-earlier-search. Normally expected from the Applicant. | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-cdes-000001-EN-20050624.zip |
| claims | clms | Claims of the application (part of the application body) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-clms-000001-EN-20050531.pdf |
| conf-r20.6- incorp-by-ref | incr | Applicant's confirmation of request for incorporation by reference (Rule 20.6) including the sheets that are to be incorporated as a single document | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-incr-000001-EN-20050531.pdf |
| copy-of- earlier-filed- application | eapp | Copy of earlier application (for incorporation by reference) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-eapp-000001-EN-20050531.zip |
| corrected- priority-claim | cpcl | Corrected priority claim under rule 26bis.1(a). | Additional Biblio Data: Date of receipt at transmitting office e.g.: |

| | | | |
|--|------|--|--|
| | | | PCTUS2004005602-cpcl-000001-EN-20050531.zip |
| declaration | decl | Declaration where the specific declaration type is not known (Rule 4.17) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-decl-000001-EN-20050212.pdf |
| Declaration-in-support-of-request-for-restoration-of-priority-claim | rspr | Declaration/evidence filed in support of request for restoration of right of priority (Rule 26bis.3) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-rspr-000001-EN-20050531.zip |
| demand | dmnd | Chapter II demand | Additional Biblio Data: Date of receipt at the IPEA: YYYYMMDD or XXXXXXXX if not known e.g.: PCTUS2004005602-dmnd-000001-EN-20040202.zip |
| description | desc | Description of the application (part of the application body) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-desc-000001-EN-20050531.zip |
| drawings | draw | Drawings of the application (part of the application body) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-draw-000001-EN-20050531.zip |
| earlier-application-searched | eaps | Application for which earlier search was performed | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-eaps-000001-EN-20050624.zip |
| easy-file | easy | The bibliographic data file from the easy diskette (or file in the case of electronic receipt) | Additional Biblio Data: PCTUS2004005602-easy-000001-EN.zip |
| english-translation-of-iper | ipet | English translation of International Preliminary Examination Report | Additional Biblio Data: IPEA |

| | | | |
|--|------|---|--|
| | | | Date of establishment of the IPER (XXXXXXXX if unknown) e.g.: PCTUS2003000102-ipet-000001-EN- US-20031205.zip |
| english- translation-of- iprp1 | ippt | English translation of International Preliminary Report on Patentability (Chapter 1) | Additional Biblio Data: IPEA (e.g. EP) Date of establishment of the IPRP1(XXXXXXXX if unknown) e.g.: PCTUS2004000052-ippt-000001-EN- US-20041001.zip |
| english- translation-of- iprp2 | iprt | English translation of International Preliminary Report on Patentability (Chapter 2) | Additional Biblio Data: IPEA (e.g. EP) Date of establishment of the IPRP2(XXXXXXXX if unknown) e.g.: PCTUS2004000052-iprt-000001-EN- US-20041001.zip |
| translation-of- non- establishment -of – international- search-report | a17t | Translation of non- establishment of International Search Report under Article 17.2(a) from the ISA, normally this translation is in English or the language of filing | Additional Biblio Data: ISA (country code) Date of mailing of the Article 17.2a to the Applicant e.g.: PCTUS2004005602-a17t-000001- EN-US-20040810.zip |
| english- translation-of- international- application | tapp | English translation of the international application | Additional Biblio Data: Date of receipt at transmitting office PCTKR2004000602-tapp-000001- EN-20040808.wsp |
| english- translation-of- search-report | isrt | English translation of the International Search Report | Additional Biblio Data: ISA (country code) Date of mailing of the search report to the Applicant e.g.: PCTUS2004005602-isrt-000001-EN- US-20040810.zip |
| english- translation-of- wosa | ewos | English translation of the Written Opinion by International Search Authority | Additional Biblio Data: ISA (country code) Date of mailing of the wosa to the Applicant |

| | | | |
|--|------|---|---|
| | | | Date of completion of the WOSA e.g.: PCTUS2004005602-ewos-000001- EN-US-20041008-20040401.zip |
| entitlement- to-be- granted- patent | ebgp | Declaration of entitlement-to-be- granted-patent under Rule 4.17(ii) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-ebgp-000001- EN-20040808.zip |
| entitlement- to-claim- priority | etcp | Declaration of entitlement to claim- priority under Rule 4.17(iii) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-etcp-000001- EN-20040808.zip |

| | | | |
|-------------------------------|-------|--|---|
| ex-officio-correction | exoc | Ex-officio correction to bibliographic data of an IA | Additional Biblio Data: Date of mailing from transmitting office e.g.: PCTUS2004005602-exoc-000001-EN-20040808.zip |
| fax-copy | fcpy | Fax copy of an application for which a subsequent confirmation copy was received | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-fcpy-000001-EN-20040808.zip |
| fee-calculation-sheet | fecs | PCT fee calculation sheet | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-fecs-000001-EN-20040808.zip |
| fee-office-info | feei | Additional fee information in an office specific format | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-feei-000001-EN-20040808.zip |
| fee-xml | fees | fees data in XML format. | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-fees-000001-EN-20040808.zip |
| general-correspondence | crsp | general-correspondence | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-crsp-000001-EN-20040808.zip |
| IB forms | ibNNN | IB forms. Where general correspondence is machine generated the IB may use the form number to generate the type code e.g. for IB form 301 use ib301. Note these codes must only be used for forms not listed elsewhere in this document. | Additional Biblio Data: Date of mailing of the form Reason for transmission (orig copy) e.g.: PCTUS2004005602-ib306-000001-EN-20050212-copy.zip |

| | | | |
|--|-------------|---|---|
| Identity-and-entitlement-to-be-granted-patent | ideb | Combined declaration of identity of inventor under Rule 4.17(i) and Declaration of entitlement to be granted a patent under Rule 4.17(ii) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-ideb-000001-EN-20040808.zip |
| identity-of-inventor | idty | Declaration of identity of inventor under Rule 4.17(i) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-idty-000001-EN-20050212.pdf |
| indication-bio-deposit | biod | Indications relating to the deposit of biological material | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-biod-000001-EN-20050212.zip |
| inventorship | invp | Declaration of inventorship under Rule 4.17(iv) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-invp-000001-EN-20050212.zip |
| ipea-forms | ipeaNN N | IPEA forms. Where general correspondence is machine generated the IPEA may use the form number to generate the type code e.g. for IPEA404 use ipea form 404. Note these codes must only be used for forms not listed elsewhere in this document such as the iprp. | Additional Biblio Data: Date of mailing of the form e.g.: PCTUS2004005602-ipea203-000001-EN-20050212.zip |
| iper | iper | International Preliminary Examination Report (for IAs with an international filing date before 2004) | Additional Biblio Data: IPEA Date of establishment (XXXXXXXX if unknown) e.g.: PCTUS2003000102-iper-000001-EN-US-20031205.zip |
| iprp1 | ipp1 | International Preliminary Report on Patentability (Chapter 1) | Additional Biblio Data: IPEA (e.g. EP) Date of completion (XXXXXXXX if |

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| | | | unknown) e.g.: PCTUS2004000052-ipp1-000001-EN-US-20041001.zip |
| iprp2 | iprp | International Preliminary Report on Patentability (Chapter 2) including any amendment sheets | Additional Biblio Data: IPEA (e.g. EP) Date of completion (XXXXXXXX if unknown) e.g.: PCTUS2004000052-iprp-000001-EN-US-20041001.zip |
| isa-forms | isaNNN | ISA forms. Where general correspondence is machine generated the ISA may use the form number to generate the type code e.g for ISA form 209 use isa209. Note these codes must only be used for forms not listed elsewhere in this document such as the International Search Report (isre). | Additional Biblio Data: Date of mailing of the form e.g.: PCTUS2004005602-isa209-000001-EN-20031205.zip |
| isa-form-202 | Isa202 | ISA form 202 sent by the ISA on receipt of the search copy (additional entry to allow for the receipt of search copy date field). This date value where available is automatically input into the IB's bibliographic system (rather than having the date entered manually). | Additional Biblio Data: Date of mailing of the form Date of receipt of the search copy (XXXXXXXX if unknown or unavailable) e.g.: PCTUS2004005602-isa202-000001-EN-20031205-20031206.zip |
| lack-of-novelty | Inov | Declaration of lack of novelty under Rule 4.17(v) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-Inov-000001-EN-20031205.zip |
| lack-of-signature | lacs | Statement regarding lack of signature | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-lacs-000001-EN-20031205.zip |

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| letter | lett | Specific correspondence in the form of a letter | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-lett-000001-EN-20040808.zip |
| non-establishment -of – international-search-report | a17e | Non-establishment of International Search Report under Article 17.2(a) from the ISA | Additional Biblio Data: ISA (country code) Date of mailing of the Article 17.2a to the Applicant e.g.: PCTUS2004005602-a17e-000001-EN-US-20040810.zip |
| pdoc | pdoc | Priority document (including certification sheet) | Additional Biblio Data: Country of the Priority Document Date of filing of the Priority Document (XXXXXXXX if unknown) Serial number of the Priority document (XXXXXX if unknown) if it contains “/” characters, replace by @, if it contains “\” characters replace by #, if it contains “-“ characters, replace by “^” <u>IF under Rule 17.1(a) Date of Receipt from applicant otherwise XXXXXXXX</u> e.g.: PCTUS2004005602-pdoc-000001-EN-US-20040104-60@127,333-XXXXXXXX.zip |
| power-of-attorney | poat | Power of attorney document, including general power of attorney. | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-poat-000001-EN-20040131.pdf |
| pre-conversion-files | dpcf | Files forming part of the as-received package created by the filing software being furnished as reference copies of the original (e.g. word documents for storage (only) in the official file for later comparison with any conversions of the | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-dpcf-000001-EN-20040131.zip |

| original) | | | |
|----------------------------------|---------|--|---|
| record-copy | reco | Record copy of an International Application being transmitted by the Receiving Office to the International Bureau. | <p>Additional Biblio Data:</p> <p>Optional filing method for Paper and Easy scanned record copies (for E-Filings this entry should not be present)</p> <p>e.g.:</p> <p>PCTUS2004005602-reco-000001-EN.wsp (E-Filing)</p> <p>PCTUS2004005602-reco-000001-EN-EASYF.wad (Easy)</p> <p>PCTUS2004005602-reco-000001-EN-PAPER.wad (Paper filing)</p> |
| record-copy-19.4 | reco194 | Record copy being transmitted to RO/IB under Rule 19.4 | <p>Additional Biblio Data:</p> <p>Optional filing method for Paper and Easy scanned record copies (for E-Filings this entry should not be present)</p> <p>e.g.:</p> <p>PCTUS2004005602-reco194-000001-EN.wsp (E-Filing)</p> <p>PCTUS2004005602-reco194-000001-EN-EASYF.wad (Easy)</p> <p>PCTUS2004005602-reco194-000001-EN-PAPER.wad (Paper filing)</p> |
| rectified-sequence-list | rcql | Rectified versions of the sequence listing part of the application under Rule 91 (from the ISA) | <p>Additional Biblio Data:</p> <p>Date of receipt at transmitting office</p> <p>e.g.:</p> <p>PCTUS2004005602-rcql-000001-EN-20050624.zip</p> |
| rectified-sheets-abstract | rcab | Rectified sheets for the abstract under Rule 91 (from the ISA) | <p>Additional Biblio Data:</p> <p>Date of receipt at transmitting office</p> <p>e.g.:</p> <p>PCTUS2004005602-rcab-000001-EN-20050624.zip</p> |
| rectified-sheets-claims | rccl | Rectified sheets for the claims under Rule 91 (from the ISA) | <p>Additional Biblio Data:</p> <p>Date of receipt at transmitting office</p> <p>e.g.:</p> <p>PCTUS2004005602-rccl-000001-EN-20050624.zip</p> |

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| rectified-sheets-description | rcde | Rectified sheets for the description under Rule 91 (from the ISA) | Additional Biblio Data: Date of receipt at transmitting office e.g.: US2004005602-rcde-000001-EN-20050624.zip |
| rectified-sheets-drawings | rcdr | Rectified sheets for the drawings under Rule 91 (from the ISA) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-rcdr-000001-EN-20050624.zip |
| rectified-sheets-request | rcqu | Rectified sheets for the request under Rule 91 (from the RO) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-rcqu-000001-EN-20050624.zip |
| rectified-sheets-other | rcot | Rectified sheets of indeterminate type under Rule 91 (from the RO or ISA) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-rcot-000001-EN-20050624.zip |
| replacement sheets-abstract | rpab | Replacement sheets for the abstract under Rule 26 (from the RO) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-rpab-000001-EN-20040120.zip |
| replacement sheets-claims | rpcl | Replacement sheets for the claims under Rule 26 (from the RO) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-rpcl-000001-EN-20050624.zip |
| replacement sheets-description | rpde | Replacement sheets for the description under Rule 26 (from the RO) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-rpde-000001-EN-20050624.zip |
| replacement sheets-drawings | rpdr | Replacement sheets for the drawings under Rule 26 (from the RO) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-rpdr-000001- |

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| | | | EN-20050624.zip |
| replacement sheets-other | rpot | Replacement sheets of indeterminate type under Rule 26 (from the RO) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-rpot-000001-EN-20050624.zip |
| replacement sheets-request | rpqu | Replacement sheets for the request under Rule 26 (from the RO) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-rpqu-000001-EN-20050624.zip |
| replacement-sequence-list | rpql | Replacement sequence listing part of the application under Rule 26 (from the RO) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-rpql-000001-EN-20050624.zip |
| request | requ | RO/101 request form | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-requ-000001-EN-20050624.zip |
| ro-forms | roNNN | RO Forms. Where general correspondence is machine generated the RO may use the form number to generate the type code e.g for RO form 106 use ro106. Note these codes must only be used for forms not listed elsewhere in this document such as the record copy (or arom, secu etc.). | Additional Biblio Data: Date of mailing of the form e.g.: PCTUS2004005602-ro106-000001-EN-20050624.zip |
| results-of-earlier-search | resr | Results of earlier search | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-resr-000001-EN-20050624.zip |
| rule-92-bis-changes | r92b | Rule 92 bis changes | Additional Biblio Data: Date of receipt at transmitting office e.g.: |

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|--|------|---|---|
| | | | PCTUS2004005602-r92b-000001-EN-20050624.zip |
| rule-92-bis-changes (multiple) | r92m | Rule 92 bis changes that affect more than one IA | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-r92m-000001-EN-20050624.zip |
| search-copy | isco | Search copy of International Application | Additional Biblio Data: International Filing Date e.g.: PCTUS2004005602-isco-000001-EN-20050624.wad |
| search-report | isre | International Search Report | Additional Biblio Data: ISA (country code) Date of mailing of the search report to the Applicant e.g.: PCTUS2004005602-isre-000001-EN-US-20040810.zip |
| security-statement | secu | Statement from RO indicating that the International Application is pending security clearance | Additional Biblio Data: None e.g.: PCTUS2004005602-secu-000001-en.zip |
| sequence-list | seql | Sequence listing part of the application or tables relating to sequence listings | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-seql-000001-en-20040810.zip |
| sequence-list-information-sheet | seqi | Information sheet relating to the sequence listing part of the application. | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-seqi-000001-en-20040810.zip |
| sequence-list-statement | seqs | Statement relating to the sequence listing part of the application. | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-seqs-000001-en-20040810.zip |

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| sequence-list-international-search-13ter | seqn | Sequence not part of IA filing (e.g. listing only for the purposes of international search or supplementary search) (initially coded as issq) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-seqn-000001-en-20040810.zip |
| sequence-list-statement-13ter | iss | Statement relative to Seq List only for the purposes of international search | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-iss-000001-en-20040810.zip |
| supplementary-international-search-applicant's request for review | ssrr | Supplementary International Search Request from applicant for review | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-ssrr-000001-en-20040810.zip |
| supplementary-international-search-request | ssrq | Supplementary International Search Request from applicant (can include SIS fee sheet) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-ssrq-000001-en-20040810.zip |
| supplementary-international-search-fee-sheet | sisf | Supplementary International Search fee sheet (can be received separately from SIS Request for late fees) | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-sisf-000001-en-20040810.zip |
| supplementary-international-search-sisa-forms | sisXXX | Supplementary International Search (PCT/ISA/SS/503 etc) | Additional Biblio Data: Date of mailing of the form e.g.: PCTUS2004005602-sis503-000001-en-20040810.zip |
| supplementary-international-search-non-establishment | ssne | Supplementary International Search - Declaration of non-establishment of supplementary international search report (PCT/ISA/SS/502) | Additional Biblio Data: SISA (country code) Date of mailing of the declaration of non-establishment of supplementary international search report to the Applicant e.g.: PCTUS2004005602-ssne-000001-en-SE-20040810.zip |

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| supplementary-international-search-non-establishment-english-translation | ssnt | Supplementary International Search – English translation of the declaration of non-establishment of supplementary international search report (PCT/ISA/SS/502) | Additional Biblio Data: SISA (country code) Date of mailing of the English translation of the declaration of non-establishment of supplementary international search report to the Applicant e.g.: PCTUS2004005602-ssnt-000001-en-SE-20040810.zip |
| supplementary-international-search-translation-of-IA | sstr | Translation of IA for Supplementary International Search purposes | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-sstr-000001-en-20040810.zip |
| supplementary-international-search-report | ssre | Supplementary International Search Report from Supplementary International Search Authority (PCT/ISA/SS/501) | Additional Biblio Data: SISA (country code) Date of mailing of the search report to the Applicant e.g.: PCTUS2004005602-ssre-000001-en-SE-20040810.zip |
| supplementary-international-search-report-english-translation | sset | English translation of Supplementary International Search Report from Supplementary International Search Authority | Additional Biblio Data: SISA (country code) Date of mailing of the search report to the Applicant e.g.: PCTUS2004005602-sset-000001-en-SE-20040810.zip |
| Title-and-abstract-translation | ttad | Translation files for the title and abstract exchanged with translators | Additional Biblio Data: source language of the translation (JA in the example below) e.g.: pctjp2008000001-ttad-000001-EN-JA.rtf |
| translation of application-body-document | tapp | Translation of Application body document containing abstract, description, claims and drawings | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-appt-000001-EN-20050531.zip |
| translated- | teap | Copy of translation of | Additional Biblio Data: |

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| earlier-filed-application | | earlier application (for incorporation by reference) | Date of receipt at transmitting office e.g.: PCTUS2004005602-teap-000001-EN-20050531.zip |
| translated-earlier-searched-application | teas | Translation of application for which earlier search was performed | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-teas-000001-EN-20050624.zip |
| translated-results-of-earlier-search-report | tesr | Translation of results of earlier search | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-tesr-000001-EN-20050624.zip |
| translated-national-phase-document | tnap | Document that has been translated into the national language for a national application | Additional Biblio Data: none e.g.: PCTUS2004005602-tnap-000001-ES.zip |
| translated-priority-document | tpdc | Translated priority document (Rule 20.6) | Additional Biblio Data: Country of the Priority Document Date of filing of the Priority Document (XXXXXXXX if unknown) Serial number of the Priority document (XXXXXX if unknown) if it contains "/" characters, replace by @, if it contains "\" characters replace by #, if it contains "-" characters, replace by "^" Date of Receipt from applicant if under Rule 17.1(a) otherwise XXXXXXXX e.g.: PCTUS2004005602-tpdc-000001-EN-US-20040104-60@127,333-XXXXXXXX.zip |
| validation-log | vlog | Receiving office validation log | Additional Biblio Data: e.g.: PCTUS2004005602-vlog-000001-EN.zip |
| withdrawal | wdra | Withdrawal of application under Rule | Additional Biblio Data: |

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|---------------------|------|---|---|
| | | 90bis, or withdrawal of priority claim, or withdrawal of designation, or withdrawal of election. | Date of receipt at transmitting office e.g.: PCTUS2004005602-wdra-000001-ES-20041008.zip |
| wosa | wosa | Written Opinion by International Searching Authority | Additional Biblio Data: ISA (country code) Date of mailing of the wosa to the Applicant Date of completion of WOSA e.g.: PCTUS2004005602-wosa-000001-EN-US-20041008-20041008.zip |
| wosa-comment | wosc | Applicant's comments on the written opinion of the International Searching Authority. Normally expected from the Applicant. | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-wosc-000001-EN-20041008.zip |
| xml-receipt | xmre | XML receipt issued for transmission evidence | Additional Biblio Data: Date of creation at transmitting office e.g.: PCTUS2004005602-xmre-000001-EN-20041008.xml |

Table 2.

| <i>Document Type</i> | <i>Code</i> | <i>Description (E-Filing Tag name)</i> | <i>Wrapper file naming convention</i> |
|--------------------------------|-------------|---|---|
| wo-as-received-document | woar | Document received at the International Bureau in electronic form, forwarded to the recipient in its original electronic format. | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-woar-000001-EN-20050531.zip |
| wo-other-document | wood | Document transmitted by the International Bureau in Annex F format containing a document of a type for which there is no specific Annex F XML specification | Additional Biblio Data: Date of receipt at transmitting office e.g.: PCTUS2004005602-wood-000001-EN-20050531.wad |
| wo-Reference-drawing | word | Reference drawings used by the International Bureau in the translation | Additional Biblio Data: Figure number where known |

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|--------------------------------|------|--|--|
| | | process | e.g.: PCTUS2004005602-word-000001-EN-001.zip |
| wo-translation-fragment | wotf | Translation fragment used by the International Bureau in the translation process | Additional Biblio Data: The purpose of the translation fragment (expected to be ISR or WOSA or IPER) e.g.: PCTUS2004005602-word-000001-EN-001.zip |