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DOCUMENT	File Specification Working List
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PURPOSE	File Specification
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Document Control

Amendment History

Version	Date	Reviser	Description
0.1	26 April 2005	J. Hondius	initial draft
0.2	2 May 2005	J. Hondius	changed the XML file structure after discussion with T. Watson
0.3	2 May 2005	J. Hondius	Updated with review comments P. Daeleman and T. Watson
0.4	4 May 2005	J. Hondius	Updated with review comments L. Sarasúa and T. Watson
0.5	1 June 2005	J. Hondius	Added short descriptions ep- tags
0.6	2 June 2005	J. Hondius	Made classifications-ipcr optional tag at family level Changed tag-name ep-classifications-ipc-to-revise to ep-classifications-ipcr-revision
0.7	28 April 2006	J. Hondius	Added attribute revision-to-date to <ep-working-list>
1.0	10 July 2006	J. Hondius	Final version. Updated references
1.1	6 Nov 2006	J. Hondius	Updated control-number description and filename

References

No.	Project	Product-id	Title	Author	Version
1	IPC Reform	T02.01	CONOPS	Pauwels, Wongel, Rampelmann	CE354
2	IPC Reform MCD	n/a	T04.05.02 EP Working List 1.0.DTD	EPO	1.0
3	n/a	n/a	http://www.wipo.int/scit/en/standards/st36-xml-dtd.htm ANNEX A - Document Type Definitions (DTDs) of model for publication xx-patent-document-v1-0-20050220.dtd	WIPO	
4	n/a		CLAIMS specification of IPC revision Concordance list	WIPO	1.0

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1 INTRODUCTION

1.1 PURPOSE OF THIS DOCUMENT

This document describes the Working List file structure.

1.2 PURPOSE OF WORKING LIST

The Working List is sent to Offices with all documents to reclassify and possibly received from offices with all reclassified documents

The list will first be used as part of the regular reclassification -as defined in [1] Ch. 2.5.4 'Creation of working Lists of Documents', it will not be used during Backfile processing.

The list follows the family structure as stored in DOCDB, unlike most other exchanges structured around publication documents.

The Working List file structure is based upon ST.36, see [3].

1.3 REQUIREMENTS TRACEABILITY

1.3.1. Functional user requirements

The functional specifications in this document support functional user requirements defined in [1].

1.3.2. Non-functional user requirements

N/A

2 INPUT - OUTPUT

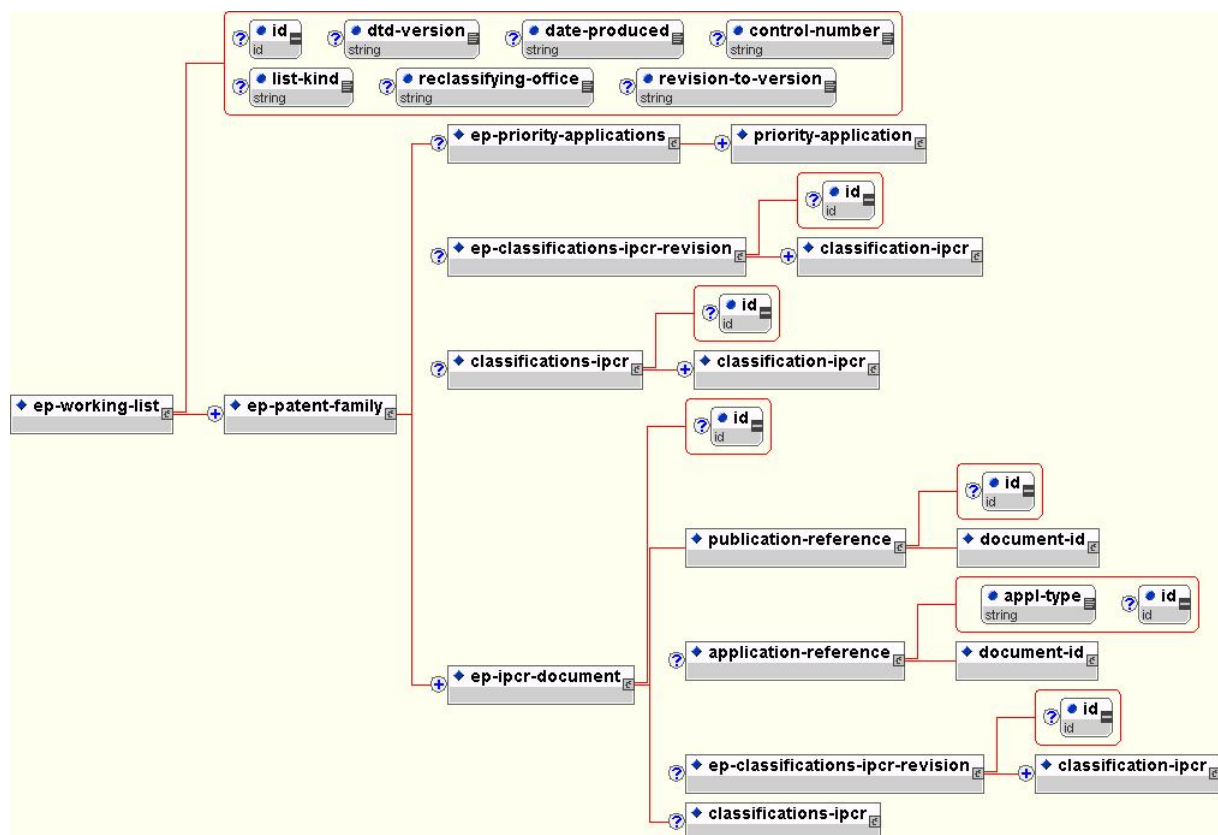
2.1 WORKING LIST

2.1.1. File Format

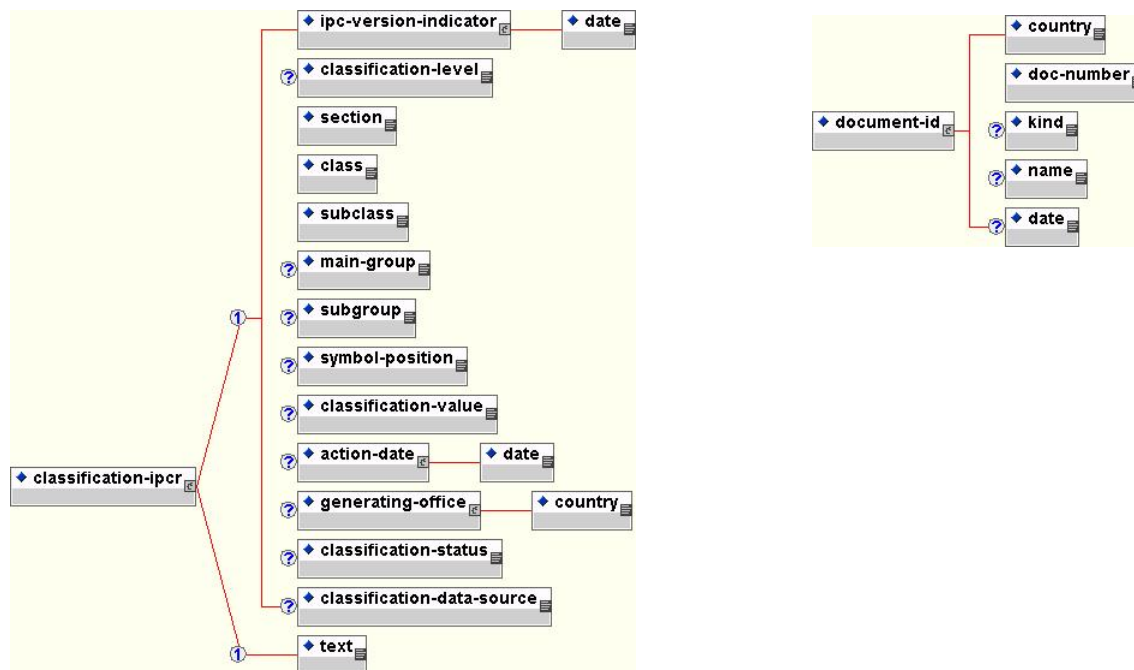
XML

2.1.2. File Structure

The Working List has the structure given below -see DTD [2] for full information:



with <classification-ipcr> and <document-id> structured as:



2.1.3. Element descriptions

The following elements are new (not already in ST.36):

- control-number : same as the sequential number included in the file names. Values ranging from 000000 to 999999
- ep-classifications-ipcr-revision : all IPC symbols that need reclassification
- ep-ipcr-document : all publication numbers within the family and their IPC symbols
- ep-patent-family : the family as stored within DOCDB: contains priority number(s), publication number(s) and classification(s)
- ep-priority-applications : all priority numbers of the family
- ep-working-list : highest level tag, which includes the working list
- list-kind : used to differentiate between types reclassification. Values are 'W', for working-lists (produced during reclassification projects) and 'M' for maintenance lists
- reclassifying-office : Country Code of the office receiving the working list and sending the reclassified documents
- revision-to-version : the next version of the IPC. With this attribute EPO indicates for what revision the workinglist was created. See also [4] in the description of RCL tags

File name:

IPC_CC_NNNN_WORKINGLIST_DDMMYY_HHMM

where NNNN refers to the sequence number of the file in case a working list is split, e.g. due to large volumes.

Appendix A - Example file

Raw data that goes into XML:

Data:

FAMILY1

PRIO **PR** - **WO2003JP04823** **20030416**; **JP20020113280** **20020416**

IPC1 **G02B** **6/132** **20060101ALI20050715RHEP**

IPC2 **G02B** **6/138** **20060101AFI20050715RHEP**

IPC3 **G02B** **27/01** **20060101ALI20050612RHEP**

IPC4 **G02B** **27/00** **20060101ALN20050612RHEP**

PUB1 **PN** - **EP1496023** **A1** **20050112**

APP1 **AN** - **EP20030723126** **20030416**

PUB2 **PN** - **EP1503231** **A1** **20050202**

APP2 **AN** - **EP20020783569** **20021119**

IPC1 **G02B** **6/132** **20060101ALI20050715RHEP**

IPC5 **G02B** **6/122** **20060101AFI20050715RHEP**

IPC6 **G02B** **6/12** **20060101ALN20050715RHEP**

PUB3 **PN** - **EP1500548** **A1** **20050126**

APP3 **AN** - **EP20030706976** **20030219**

IPC2 **G02B** **6/138** **20060101AFI20050715RHEP**

Bolded symbols must be revised

File Structure:

```
<ep-Working-list>
  <patent-family>      PRIO1
                        IPC1, IPC3, IPC2, IPC4
    <ep-ipcr-document>  PUB1
    <ep-ipcr-document>  PUB2
                        IPC1, IPC5, IPC6
    <ep-ipcr-document>  PUB3
                        IPC2
```


Expanded XML, as it appears in the Working List:

```
<?xml version = "1.0" encoding = "UTF-8"?>
<!DOCTYPE ep-working-list SYSTEM "file:///W:/DOCAREA/IPCRMCD/WIP/Backfile/ep-ipcr-working-
list%201.0.dtd">
<ep-working-list control-number = "" list-kind = "" reclassifying-office = "EP" revision-to-
version = "20060601">
  <ep-patent-family>
    <ep-priority-applications>
      <priority-application>
        <document-id>
          <country>WO</country>
          <doc-number>2003JP04823</doc-number>
          <date>20030416</date>
        </document-id>
      </priority-application>
      <priority-application>
        <document-id>
          <country>JP</country>
          <doc-number>20020113280</doc-number>
          <date>20020416</date>
        </document-id>
      </priority-application>
    </ep-priority-applications>
    <ep-classifications-ipcr-revision>
      <classification-ipcr>
        <ipc-version-indicator>
          <date>20060101</date>
        </ipc-version-indicator>
        <classification-level>A</classification-level>
        <section>G</section>
        <class class-type = "">02</class>
        <subclass>B</subclass>
        <main-group>6</main-group>
        <subgroup>132</subgroup>
        <symbol-position>L</symbol-position>
        <classification-value>I</classification-value>
        <action-date>
          <date>20050715</date>
        </action-date>
        <generating-office>
          <country>EP</country>
        </generating-office>
        <classification-status>R</classification-status>
        <classification-data-source>H</classification-data-source>
      </classification-ipcr>
      <classification-ipcr>
        <ipc-version-indicator>
          <date>20060101</date>
        </ipc-version-indicator>
        <classification-level>A</classification-level>
        <section>G</section>
        <class>02</class>
        <subclass>B</subclass>
        <main-group>27</main-group>
        <subgroup>01</subgroup>
        <symbol-position>L</symbol-position>
        <classification-value>I</classification-value>
        <action-date>
          <date>20050612</date>
        </action-date>
        <generating-office>
          <country>EP</country>
        </generating-office>
        <classification-status>R</classification-status>
        <classification-data-source>H</classification-data-source>
      </classification-ipcr>
    </ep-classifications-ipcr-revision>
  </classification-ipcr>
  <classification-ipcr>
    <ipc-version-indicator>
      <date>20060101</date>
    </ipc-version-indicator>
    <classification-level>A</classification-level>
    <section>G</section>
    <class>02</class>
```

```
<subclass>B</subclass>
<main-group>6</main-group>
<subgroup>138</subgroup>
<symbol-position>F</symbol-position>
<classification-value>I</classification-value>
<action-date>
  <date>20050715</date>
</action-date>
<generating-office>
  <country>EP</country>
</generating-office>
<classification-status>R</classification-status>
<classification-data-source>H</classification-data-source>
</classification-ipcr>
<classification-ipcr>
  <ipc-version-indicator>
    <date>20060101</date>
  </ipc-version-indicator>
  <classification-level>A</classification-level>
  <section>G</section>
  <class>02</class>
  <subclass>B</subclass>
  <main-group>27</main-group>
  <subgroup>00</subgroup>
  <symbol-position>L</symbol-position>
  <classification-value>N</classification-value>
  <action-date>
    <date>20050612</date>
  </action-date>
  <generating-office>
    <country>EP</country>
  </generating-office>
  <classification-status>R</classification-status>
  <classification-data-source>H</classification-data-source>
</classification-ipcr>
</classifications-ipcr>
<ep-ipcr-document>
  <publication-reference>
    <document-id>
      <country>EP</country>
      <doc-number>1496023</doc-number>
      <kind>A1</kind>
      <date>20050112</date>
    </document-id>
  </publication-reference>
  <application-reference appl-type = "">
    <document-id>
      <country>EP</country>
      <doc-number>20030723126</doc-number>
      <date>20030416</date>
    </document-id>
  </application-reference>
</ep-ipcr-document>
<ep-ipcr-document>
  <publication-reference>
    <document-id>
      <country>EP</country>
      <doc-number>1503231</doc-number>
      <kind>A1</kind>
      <date>20050202</date>
    </document-id>
  </publication-reference>
  <application-reference appl-type = "">
    <document-id>
      <country>EP</country>
      <doc-number>20020783569</doc-number>
      <kind/>
      <name/>
      <date>20021119</date>
    </document-id>
  </application-reference>
<ep-classifications-ipcr-revision>
  <classification-ipcr>
    <ipc-version-indicator>
      <date>20060101</date>
    </ipc-version-indicator>
    <classification-level>A</classification-level>
```

```
<section>G</section>
<class>02</class>
<subclass>B</subclass>
<main-group>6</main-group>
<subgroup>122</subgroup>
<symbol-position>F</symbol-position>
<classification-value>I</classification-value>
<action-date>
  <date>20050715</date>
</action-date>
<generating-office>
  <country>EP</country>
</generating-office>
<classification-status>R</classification-status>
<classification-data-source>H</classification-data-source>
</classification-ipcr>
<classification-ipcr>
  <ipc-version-indicator>
    <date>20060101</date>
  </ipc-version-indicator>
  <classification-level>A</classification-level>
  <section>G</section>
  <class>02</class>
  <subclass>B</subclass>
  <main-group>6</main-group>
  <subgroup>132</subgroup>
  <symbol-position>L</symbol-position>
  <classification-value>I</classification-value>
  <action-date>
    <date>20050715</date>
  </action-date>
  <generating-office>
    <country>EP</country>
  </generating-office>
  <classification-status>R</classification-status>
  <classification-data-source>H</classification-data-source>
</classification-ipcr>
</ep-classifications-ipcr-revision>
<classifications-ipcr>
  <classification-ipcr>
    <ipc-version-indicator>
      <date>20060101</date>
    </ipc-version-indicator>
    <classification-level>A</classification-level>
    <section>G</section>
    <class>02</class>
    <subclass>B</subclass>
    <main-group>6</main-group>
    <subgroup>12</subgroup>
    <symbol-position>L</symbol-position>
    <classification-value>N</classification-value>
    <action-date>
      <date>20050715</date>
    </action-date>
    <generating-office>
      <country>EP</country>
    </generating-office>
    <classification-status>R</classification-status>
    <classification-data-source>H</classification-data-source>
  </classification-ipcr>
</classifications-ipcr>
</ep-ipcr-document>
<ep-ipcr-document>
  <publication-reference>
    <document-id>
      <country>EP</country>
      <doc-number>1500548</doc-number>
      <kind>A1</kind>
      <name/>
      <date>20050126</date>
    </document-id>
  </publication-reference>
  <application-reference appl-type = "">
    <document-id>
      <country>EP</country>
      <doc-number>20030706976</doc-number>
      <kind/>
```

```

        <name/>
        <date>20030219</date>
    </document-id>
</application-reference>
<classifications-ipcr>
    <classification-ipcr>
        <ipc-version-indicator>
            <date>20060101</date>
        </ipc-version-indicator>
        <classification-level>A</classification-level>
        <section>G</section>
        <class>02</class>
        <subclass>B</subclass>
        <main-group>6</main-group>
        <subgroup>138</subgroup>
        <symbol-position>F</symbol-position>
        <classification-value>I</classification-value>
        <action-date>
            <date>20050715</date>
        </action-date>
        <generating-office>
            <country>EP</country>
        </generating-office>
        <classification-status>R</classification-status>
        <classification-data-source>H</classification-data-source>
    </classification-ipcr>
</classifications-ipcr>
</ep-ipcr-document>
</ep-patent-family>
</ep-working-list>
```

Appendix B - DTD Working List

```
<?xml version='1.0' encoding='UTF-8' ?>

<!--Generated by Turbo XML 2.3.1.100.-->

<!--the working list-->
<!ELEMENT ep-working-list (ep-patent-family+)>

<!--control-number : same as the sequential number included in the file names. Values ranging
from 000000 to 999999.
    list-kind : to differentiate between types reclassification. Values are 'W', for working-
lists (produced during reclassification projects) and 'M' for maintenance lists
    reclassifying-office : Country Code of the office receiving the working list and sending the
reclassified documents
    revision-to-version : the next version of the IPC. With this attribute EPO indicates for
what revision the workinglist was created -->

<!ATTLIST ep-working-list id                ID          #IMPLIED>

<!ATTLIST ep-working-list dtd-version        CDATA       #IMPLIED>

<!ATTLIST ep-working-list date-produced      CDATA       #IMPLIED>

<!ATTLIST ep-working-list control-number     CDATA       #IMPLIED>

<!ATTLIST ep-working-list list-kind          CDATA       #IMPLIED>

<!ATTLIST ep-working-list reclassifying-office CDATA      #IMPLIED>

<!ATTLIST ep-working-list revision-to-version CDATA      #IMPLIED>

<!--the family as stored within DOCDB: contains priority number(s), publication number(s) and
classification(s)-->
<!ELEMENT ep-patent-family (ep-priority-applications? , ep-classifications-ipcr-revision? ,
classifications-ipcr? , ep-ipcr-document+)>

<!--all priority numbers of the family-->
<!ELEMENT ep-priority-applications (priority-application+)>

<!--all IPC symbols that need reclassification-->
<!ELEMENT ep-classifications-ipcr-revision (classification-ipcr+)>

<!ATTLIST ep-classifications-ipcr-revision id ID          #IMPLIED >
<!--International Patent Classification (Reformed). For IPC's created 2006-01-01 +.-->
<!ELEMENT classifications-ipcr (classification-ipcr+)>

<!ATTLIST classifications-ipcr id ID          #IMPLIED >
<!--all publication numbers within the family and their IPC symbols-->
<!ELEMENT ep-ipcr-document (publication-reference , application-reference? , ep-classifications-
ipcr-revision? , classifications-ipcr?)>

<!ATTLIST ep-ipcr-document id ID          #IMPLIED >
<!ELEMENT priority-application (document-id)>

<!--Use sequence attribute to indicate the order in which the IPCR should be displayed.-->
<!ELEMENT classification-ipcr ((section , class , subclass , main-group? , subgroup? , ipc-
version-indicator , classification-level? , symbol-position? , classification-value? , action-
date? , classification-status? , classification-data-source? , generating-office?) | text)>

<!ATTLIST classification-ipcr id            ID          #IMPLIED
                                sequence CDATA       #IMPLIED >
<!--publication reference information: publication number, date, etc-->
<!ELEMENT publication-reference (document-id)>

<!ATTLIST publication-reference id ID          #IMPLIED >
<!--application reference information: application number, country-->
<!ELEMENT application-reference (document-id)>

<!ATTLIST application-reference appl-type CDATA #REQUIRED
                                id          ID          #IMPLIED >
<!--Document identification refers to patents (and patent applications) only. See WIPO ST.14-->
<!ELEMENT document-id (country , doc-number , kind? , name? , date?)>

<!ATTLIST document-id lang CDATA #IMPLIED >
```

```

<!--IPC section-->
<!ELEMENT section (#PCDATA)>

<!--In NPL, use this element for a classification code; e.g. ipc, dewey etc. In IPCR, use this
for the IPC class symbol.-->
<!ELEMENT class (#PCDATA)>

<!ATTLIST class class-type CDATA #IMPLIED >
<!--IPC subclass-->
<!ELEMENT subclass (#PCDATA)>

<!--IPC main group-->
<!ELEMENT main-group (#PCDATA)>

<!--IPC subgroup-->
<!ELEMENT subgroup (#PCDATA)>

<!--IPCR version is a date.-->
<!ELEMENT ipc-version-indicator (date)>

<!--IPCR levels: advanced-level, core-level, subclass-level-->
<!ELEMENT classification-level (#PCDATA)>

<!--Possible values: first-symbol-position, later-symbol-position.-->
<!ELEMENT symbol-position (#PCDATA)>

<!--Possible values: invention, non-invention-->
<!ELEMENT classification-value (#PCDATA)>

<!--The date of assigning the classification symbol (action date).-->
<!ELEMENT action-date (date)>

<!--Possible status values: original-classification, reclassified, various-classifications,
deleted-classification. This represents the status of the classifications assigned.-->
<!ELEMENT classification-status (#PCDATA)>

<!--Possible source values: human-generated-classification, machine-propagated-classification,
software-analysis-generated-classification. Machine propagated means that a classification
assigned to one family member is automatically assigned to other members of the family.
Software-analysis generated means that the choice of classification was made by automated
analysis of the document.-->
<!ELEMENT classification-data-source (#PCDATA)>

<!--Since part of the original data in the advanced level and the reclassified data can be
delivered by offices other than the publishing office, the information source of such data is
recorded.-->
<!ELEMENT generating-office (country)>

<!ELEMENT text (#PCDATA)>

<!--Country: use ST.3 country code, e.g. DE, FR, GB, NL, etc. Also includes EP, WO-->
<!ELEMENT country (#PCDATA)>

<!--the number of the referenced patent (or application) document-->
<!ELEMENT doc-number (#PCDATA)>

<!--document kind code; e.g. A1-->
<!ELEMENT kind (#PCDATA)>

<!--name: if no distinction or detail can be given. Also to be used for: personal (natural
person) and corporate (legal entity) names-->
<!ELEMENT name (#PCDATA)>

<!ATTLIST name name-type (legal | natural ) #IMPLIED >
<!--Recommended format: YYYYMMDD-->
<!ELEMENT date (#PCDATA)>

```