



WORLD INTELLECTUAL PROPERTY ORGANIZATION
ORGANISATION MONDIALE DE LA PROPRIÉTÉ INTELLECTUELLE
GENEVA/GENÈVE

ADMINISTRATIVE INSTRUCTIONS UNDER THE
PATENT COOPERATION TREATY (PCT)
STANDARD FOR THE ELECTRONIC FILING AND PROCESSING
OF INTERNATIONAL APPLICATIONS

INSTRUCTIONS ADMINISTRATIVES DU
TRAITÉ DE COOPÉRATION EN MATIÈRE DE BREVETS (PCT)
NORME CONCERNANT LE DÉPÔT ET LE TRAITEMENT ÉLECTRONIQUES
DES DEMANDES INTERNATIONALES

PROPOSAL FOR CHANGE FILE DOSSIER RELATIF À LA PROPOSITION DE MODIFICATION	
--	--

SUBJECT: Corrections and additions to the recommended file naming convention and to Appendix I		PROPOSED BY: IB	
SUJET : Corrections et adjonctions apportées à la convention recommandée de nommage des dossiers et à l'appendice I		PROPOSÉE PAR :	
HANDLING: Expedited consideration		PROPOSED DATE OF ENTRY INTO FORCE: 02.04	
TRAITEMENT : Examen accéléré		DATE PROPOSÉE D'ENTRÉE EN VIGUEUR :	
ANNEX/ ANNEXE	CONTENT/CONTENU	ORIGIN/ ORIGINE	DATE
1	Proposal/Proposition	IB	30.10.03
2	Circular C. PCT 959/Circulaire C. PCT 959	IB	05.11.03
3	Comments/Commentaires	EP, JP, US, IB	16.12.03

[Annex 1 follows/
L'annexe 1 suit]

NEXT ACTION: For recommendations PROCHAINE ACTION : Pour recommandations	BY: 26.01.04 POUR LE :
---	---

PROPOSAL BY THE INTERNATIONAL BUREAU OF THE
WORLD INTELLECTUAL PROPERTY ORGANIZATION

Modification of Annex F, section 4.3

Description:

4.3 Recommended file naming convention

An electronic filing of a patent application will have multiple files associated with it. Filing name conventions need to be established in order to enhance server automation, as well as to establish a client side software workflow and a good work practice for user understanding. The following set of tables constitutes the recommended file naming convention and the client side software should automatically produce the suffixes and extensions accordingly. Each of these tables addresses a level of the standard with a final table of examples to follow.

4.3.1 Tables

Table 1

<i>Codes used in the descriptions below</i>	
A	One character from the following set: {ABCDEFGHIJKLMNOPQRSTUVWXYZabcdefghijklmnopqrstuvwxyz}
A...	Any combination of at least two characters from the following set: {ABCDEFGHIJKLMNOPQRSTUVWXYZabcdefghijklmnopqrstuvwxyz0123456789}
AAA	Any combination of one to three characters from the following set: {ABCDEFGHIJKLMNOPQRSTUVWXYZabcdefghijklmnopqrstuvwxyz0123456789}
NNNNNN	Any combination of six characters from the following set: {0123456789}

Table 2

<i>Each instance of a document type</i>		
A...	Applicant's or Office's identifier, not to exceed 50 positions	Mandatory
-	Separator (dash)	
A...	Document type (<i>see Table 6</i>) or Subdocument type (<i>see Table 7</i>)	
-	Separator (dash)	Optional
A	Entity type (<i>see Table 8</i>), in case of image file	
NNNNNN	Document sequence number, right justified, left padded with zero	
.	Separator (period)	Mandatory
AAA	File type (<i>see Table 5</i>)	

Table 3

<i>External entities referenced from within document instances</i>		
A...	Applicant's or Office's identifier, not to exceed 50 positions	Mandatory
-	Separator (dash)	
A...	Document type (<i>see Table 6</i>) or Subdocument type (<i>see Table 7</i>)	
-	Separator (dash)	
A	Entity type (<i>see Table 8</i>)	
NNNNNN	Entity sequence number, right-justified, left-padded with zero	Optional
-	Separator (dash)	
NNNNNN	Page sequence number, right-justified, left-padded with zero	Mandatory
.	Separator (period)	
AAA	File type (<i>see Table 5</i>)	

Table 4

<i>Files not referenced from within document instances</i>		
A...	Applicant's or Office's identifier, not to exceed 50 positions	Mandatory
-	Separator (dash)	Optional
A...	Document name as provided by applicant, not to exceed 50 positions	
.	Separator (period)	Mandatory
AAA	File type	

Table 5

<i>File name extensions accepted</i>	
txt	Text file, see section 3.1.1.3.
xml	XML file, see section 3.1.1.1.
tif	TIFF file, see section 3.1.3.1.
jpg	JFIF file, see section 3.1.3.2.
pdf	Portable document format (PDF) file, see section 3.1.2.
app	ST.25 file, see section 3.1.1.2.
zip	Archive file containing one or more files

Table 6

<i>Document and package types currently accepted for initial ePCT filing</i>	
<i>Document type</i>	<i>Code</i>
record-copy (package)	reco
home-copy (package)	home
package header	pkgh
package data	pkda
request	requ
receiving office information	rrri
declarations	decl
application body	appb
fee sheet	fees
original separate power of attorney	poat
original general power of attorney	gpoa
copy of general power of attorney	cgpa
statement explaining lack-of-signature	lacs
priority documents	pdoc
translation of application	tapp
biological deposit	biod
sequence listing (ST.25)	seq1
sequence listing table	seqt
table external	tabx
record copy	reco
home copy	hoco
transmission receipt	xmre
amendment request	amnd
change of bibliographic material	bibc
ex-officio correction	exoc
correspondence	crsp
notification	noti

demand	dmnd
IPEA demand receiving information	idri
fee-sheet-chapter2	fee2
international search report (ISR)	isre
international preliminary examination report (IPER)	iper
international search opinion (ISO)	isop
translation of international search report	isrt
translation of preliminary examination report	ipet
translation of international search opinion	isot
published application	papp
office specific document types	[2-position country code]AA
Table exceeding fifty printed pages	mtbl

Table 7

<i>Subdocument types currently accepted for initial ePCT filing</i>	
<i>Subdocument type</i>	<i>Code</i>
description	desc
claims	clms
abstract	abst
drawings	draw

Table 8

<i>Entity types</i>	
T	Table
M	Mathematical formula
C	Chemical structure or formula
S	Sequence listing
D	Drawing page (contains one or more figures per image page and one or more image pages)
F	Figure (exactly one figure on exactly one image page)
I	Embedded image (one or more image pages)
P	Document page

4.3.2 Applicant's identifier

The applicant's identifier is determined by the applicant with or without the help of the filing tool. The name of every file that is part of a submission will begin with the same applicant's identifier. Applicant's identifier might be a name or a docket number or some other string that has significance to the applicant. An applicant's identifier is not necessarily unique to each submission, that is, it might be used for another submission associated with prosecution of the same application; it could even be used by the applicant for all submissions for all his applications. The applicant's identifier is placed first so that in a directory listing, all the files for a particular submission or application or applicant will sort together.

Example of Applicant's WASP

<i>File</i>	<i>Contents</i>
dupont0340-pkda.xml	Package Data
dupont0340-requ.xml	Request
dupont0340-fees.xml	Fee sheet
dupont0340-biod.xml	Biological deposit
dupont0340-decl-000001.xml	First declaration
dupont0340-decl-000002.xml	Second declaration
dupont0340-poat-000001.xml	First power of attorney
dupont0340-poat-I000001.tif	First image of first power of attorney
dupont0340-poat-I000002.tif	Second image of first power of attorney
dupont0340-poat-000002.xml	Second power of attorney
dupont0340-poat-I000003.tif	First image of Second power of attorney
dupont0340-lacs-I000001.tif	First lack of signature
dupont0340-lacs-I000002.tif	Second lack of signature
dupont0340-seql.app	Sequence-listing (ST.25)
dupont0340-appb.xml	Application
dupont0340-appb-C000001.tif	First chemical structure, TIFF image format
dupont0340-appb-C000001.cdx	First chemical structure, ChemDraw format
dupont0340-appb-C000001.mol	First chemical structure, MOL format
dupont0340-appb-M000001.tif	First mathematical formula, TIFF format
dupont0340-appb-M000002.tif	Second mathematical formula, TIFF format
dupont0340-appb-T000001.tif	First table, TIFF format
dupont0340-appb-T000002-000001.tif	Second table, first page, TIFF format
dupont0340-appb-T000002-000002.tif	Second table, second page, TIFF format

4.3.3 Office's identifier

The office's identifier is determined by each office with or without the help of their system. The name of every file should begin with 'pct | RO-code | IA-number', for example 'pctib2004012345'.

Example of RO's WASP (pctib2004012345-reco.wsp)

<i>File</i>	<i>Contents</i>
pctib2004012345-pkda.xml	Package Data
pctib2004012345-requ.xml	Request
pctib2004012345-rrri.xml	Receiving office information
pctib2004012345-fees.xml	Fee sheet
pctib2004012345-biod.xml	Biological deposit
pctib2004012345-decl-000001.xml	First declaration
pctib2004012345-decl-000002.xml	Second declaration
pctib2004012345-poat-000001.xml	First power of attorney
pctib2004012345-poat-I000001.tif	First image of first power of attorney
pctib2004012345-poat-I000002.tif	Second image of first power of attorney
pctib2004012345-poat-000002.xml	Second power of attorney
pctib2004012345-poat-I000003.tif	First image of Second power of attorney
pctib2004012345-lacs-I000001.tif	First lack of signature
pctib2004012345-lacs-I000002.tif	Second lack of signature
pctib2004012345-seql.app	Sequence-listing (ST.25)

pctib2004012345-exoc.xml	Ex-officio-correction
pctib2004012345-appb.xml	Application
pctib2004012345-appb-C000001.tif	First chemical structure, TIFF image format
pctib2004012345-appb-M000001.tif	First mathematical formula, TIFF format
pctib2004012345-appb-M000002.tif	Second mathematical formula, TIFF format
pctib2004012345-appb-T000001.tif	First table, TIFF format
pctib2004012345-appb-T000002-000001.tif	Second table, first page, TIFF format
pctib2004012345-appb-T000002-000002.tif	Second table, second page, TIFF format

Modification of Annex F, Appendix I :

Description:

The International Bureau proposes the addition of sections 2.4 and 2.5 to Appendix I of Annex F, the text of which is to read:

2.4 DTD Versioning

The file name of a DTD shall indicate its version. The file name with version number shall be a string resulting from concatenating the document type followed by a hyphen followed by the literal 'v' followed by a digit signifying the major version followed by an optional section consisting of a dash followed by a minor revision number digit.

Example: request-v1-2.dtd

2.5 XML Document Prolog

XML document instances shall begin with a prolog section. The prolog should contain an XML processing instruction that specifies the version of XML and the encoding scheme. The prolog shall also contain a document type declaration, also known as a DOCTYPE statement. The document type declaration may optionally include a public identifier (prefaced with the keyword 'PUBLIC') and must contain a system identifier (prefaced by the keyword 'SYSTEM', unless a PUBLIC keyword has been used), which specifies a URI (Uniform Resource Identifier) referencing the DTD that the document instance can be validated against. Public identifiers may be found in the comments at the start of each DTD file.

Example - prolog with Public identifier:

```
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE request PUBLIC "-//WIPO//DTD REQUEST 1.1//EN" "request-v1-1.dtd">
```

Example - prolog with System identifier:

```
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE request SYSTEM "request-v1-1.dtd">
```

[Annex 2 follows/
L'annexe 2 suit]



C. PCT 959
– 07.2

November 5, 2003

Madam,
Sir,

*Proposed modifications of Annex F
of the Administrative Instructions under the PCT*

*Standard for the electronic filing and processing of international applications:
Proposals for change (files PCT/EF/PFC 03/001 to 005)*

1. This circular concerns proposals for change to the standard for the electronic filing and processing of international applications under the Patent Cooperation Treaty (PCT) which will, if adopted, result in modifications of Annex F of the Administrative Instructions under the PCT. It is being sent, for the purposes of consultation pursuant to Rule 89.2(b) of the Regulations under the PCT, and under the change procedure provided for in section 2.5.5 of Annex F (expedited consideration of proposals for change), to the national and regional patent Offices of, or acting for, all PCT Contracting States, including all receiving Offices, International Searching Authorities, International Preliminary Examining Authorities, and designated and elected Offices, and to interested intergovernmental organizations, as well as to certain non-governmental organizations representing users of the PCT system.
2. The International Bureau has received and prepared a number of proposals for change to the standard for the electronic filing and processing of international applications relating to corrections and additions to the DTDs in view of the entering into force of a number of changes to the PCT Regulations on January 1, 2004 (see http://www.wipo.int/pct/reform/en/measures_adopted.htm). Those proposals are available on WIPO's Website as annexes to the following proposal for change (PFC) files (see http://www.wipo.int/pct/efiling_standard/en):

/...

- PCT/EF/PFC 03/001 “Corrections to the DTDs consequential to the modifications of the PCT Regulations which enter into force on January 1, 2004” (Annex F, Appendix I) (proposal by the International Bureau, the European Patent Office, the United States Patent and Trademark Office and the Japan Patent Office);
- PCT/EF/PFC 03/002 “Corrections to version 1.1 DTDs” (Annex F, Appendix I) (proposal by the International Bureau);
- PCT/EF/PFC 03/003 “New DTD on priority documents” (Annex F, Appendix I) (proposal by the International Bureau);
- PCT/EF/PFC 03/004 “Corrections and additions to the recommended file naming convention and to Appendix I” (Annex F, section 4.3, and Appendix I) (proposal by the International Bureau);
- PCT/EF/PFC 03/005 “Corrections to version 1.2 DTDs” (Annex F, Appendix I) (proposal by the International Bureau).

3. The International Bureau would appreciate receiving any comments on the proposals by December 15, 2003. Comments should preferably be made via the “Submit comments” facility on the Website

(at http://www.wipo.int/pct/efiling_standard/en/submit_comment.htm), but may alternatively be made in writing by letter or by fax to 41-22-338 8040.

Comments will be included as Annexes to the relevant PFC files. Copies of the proposals on paper are available from the International Bureau on request.

Inquiries concerning the proposals should be directed to Mr. Thiam Ming Song (e-mail: thiam ming.song@wipo.int; phone: 41-22-338 9640;

fax: 41-22-338 8040). Please note that, in order for the International Bureau to update the electronic filing systems in view of the entry into force of modifications to the PCT Regulations on January, 1, 2004, the Consultative Group has also been asked to make its recommendations on the proposals contained in PCT/EF/PFC 03/001, 002 and 005 files by December 15, 2003.

4. The International Bureau intends to promulgate the proposals contained in the PCT/EF/PFC 03/001, 002 and 005 files, revised if necessary in the light of any comments received, by December 2003, with effect from January 1, 2004. The International Bureau intends to promulgate the proposals contained in PCT/EF/PFC 03/003 and 004 files, revised if necessary in the light of any comments received, by February 2004, with immediate effect.

Sincerely yours,



Francis Gurry
Assistant Director General



C. PCT 959
– 07.2

Le 5 novembre 2003

Madame,
Monsieur,

*Propositions de modification de l'annexe F
des instructions administratives selon le PCT*

*Norme concernant le dépôt et le traitement électroniques
des demandes internationales :
Propositions de modification (dossiers PCT/EF/PFC 03/001 à 005)*

1. La présente circulaire concerne des propositions de modification de la norme concernant le dépôt et le traitement des demandes internationales selon le Traité de coopération en matière de brevets (PCT) qui, si elles étaient adoptées, aboutiraient à la modification de l'annexe F des instructions administratives du PCT. Elle est adressée, aux fins de la consultation prévue à la règle 89.2.b) du règlement d'exécution du PCT, et conformément à la procédure de modification prévue à la section 2.5.5 de l'annexe F (examen accéléré des propositions de modification), aux offices de brevets nationaux et régionaux de tous les États contractants du PCT ou agissant pour eux, notamment l'ensemble des offices récepteurs, des administrations chargées de la recherche internationale, des administrations chargées de l'examen préliminaire international et des offices désignés et élus, ainsi qu'aux organisations intergouvernementales intéressées et à certaines organisations non gouvernementales représentant les utilisateurs du système du PCT.

2. Le Bureau international a reçu et préparé un certain nombre de propositions de modification de la norme concernant le dépôt et le traitement électroniques des demandes internationales relatives à des corrections et à des adjonctions apportées aux DTDs en vue de l'entrée en vigueur au 1^{er} janvier 2004 d'un certain nombre de modifications du Règlement d'exécution du PCT (voir http://www.wipo.int/pct/reform/fr/measures_adopted.htm). Ces propositions peuvent être consultées sur le site Web de l'OMPI en tant qu'annexes des dossiers de propositions de modification suivants (voir http://www.wipo.int/pct/efiling_standard/fr) :

/...

- PCT/EF/PFC 03/001 “Corrections apportées aux DTDs en rapport avec les modifications du Règlement d'exécution du PCT avec effet le 1^{er} janvier 2004” (appendice I de l'annexe F) (proposition du Bureau international, de l'Office européen des brevets, de l'Office des brevets et des marques des Etats-Unis d'Amérique et de l'Office des brevets du Japon);
- PCT/EF/PFC 03/002 “Corrections apportées à la version 1.1 des DTDs” (appendice I de l'annexe F) (proposition du Bureau international);
- PCT/EF/PFC 03/003 “Nouvelle DTD relative aux documents de priorité” (appendice I de l'annexe F) (proposition du Bureau international);
- PCT/EF/PFC 03/004 “Corrections apportées à la version 1.2 des DTDs” (section 4.3 et appendice I de l'annexe F) (proposition du Bureau international);
- PCT/EF/PFC 03/005 “Corrections apportées à la version 1.2 des DTDs” (appendice I de l'annexe F) (proposition du Bureau international).

3. Le Bureau international souhaiterait recevoir tout commentaire sur ces propositions le 15 décembre 2003 au plus tard. Les commentaires doivent de préférence être envoyés grâce à la fonction “envoyer un commentaire” prévue sur le site Web (voir http://www.wipo.int/pct/efiling_standard/fr/submit_proposal-fr.htm), mais peuvent aussi être envoyés par courrier postal ou par télécopie (41-22-338 8040). Les commentaires éventuels seront inclus dans les annexes des différents dossiers de propositions de modification. Des copies de ces propositions sous forme imprimée sont disponibles auprès du Bureau international sur demande. Les demandes de renseignements concernant ces propositions sont à adresser à M. Thiam Ming Song (courriel : thiam ming.song@wipo.int; téléphone : 41-22-338 9640; télécopie : 41-22-338 8040). Veuillez noter que, afin que le Bureau international mette à jour les systèmes de dépôt électronique en vue de l'entrée en vigueur des modifications du Règlement d'exécution du PCT avec effet le 1^{er} janvier 2004, il a également été demandé au groupe consultatif de présenter ses recommandations portant sur les propositions qui figurent dans les dossiers PCT/EF/PFC 03/001, 002 et 005, le 15 décembre 2003 au plus tard.

4. Le Bureau international a l'intention de promulguer les propositions qui figurent dans les dossiers PCT/EF/PFC 03/001, 002 et 005 en décembre 2003, si nécessaire après les avoir révisées en fonction des commentaires reçus, avec effet le 1^{er} janvier 2004. Le Bureau international a l'intention de promulguer les propositions qui figurent dans les dossiers PCT/EF/PFC 03/003 et 004 en février 2004, si nécessaire après les avoir révisées en fonction des commentaires reçus, avec effet immédiat.

Veillez agréer, Madame, Monsieur, l'assurance de ma considération distinguée.



Francis Gurry
Sous-directeur général

ANNEX 3/ANNEXE 3

COMMENTS BY THE EUROPEAN PATENT OFFICE, THE JAPAN PATENT
OFFICE, AND THE UNITED STATES PATENT AND TRADEMARK OFFICE
(THE TRILATERAL OFFICES) AND THE INTERNATIONAL BUREAU

The revisions to the file-naming convention are endorsed by the Trilateral Offices.

[End of Annex and of file/
Fin de l'annexe et du dossier]