



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	
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SUBJECT: File Naming Convention (Annex F, addition)		PROPOSED BY:	
SUJET : Règle de nommage des dossiers (Annexe F, addition)		PROPOSÉE PAR : US	
HANDLING: Annual cycle		PROPOSED DATE OF ENTRY INTO FORCE:	
TRAITEMENT : Cycle annuel		DATE PROPOSÉE D'ENTRÉE EN VIGUEUR : 03.03	
ANNEX/ ANNEXE	CONTENT/CONTENU	ORIGIN/ ORIGINE	DATE
1	Proposal/Proposition	US	28.02.02
2	Circular C. PCT 830/Circulaire C. PCT 830	IB	04.04.02
3	Comments/Commentaires	AU	09.05.02
4	Comments/Commentaires	KR	17.05.02
5	Comments/Commentaires	EP, JP, US	01.07.02

[Annex 1 follows/
L'annexe 1 suit]

NEXT ACTION: Promulgation PROCHAINE ACTION : Promulgation	BY: March 2003 POUR LE : Mars 2003
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PROPOSAL BY THE UNITED STATES PATENT AND TRADE MARK OFFICE

Recommended File Naming*Description:*

An electronic filing of a patent application will have multiple files associated with it. To enhance automation of server, establish client side software workflow and to establish good work practice for user understanding; filing name conventions need to be established. These are recommended, not required, file name conventions and client side software should automatically produce the suffixes and extensions of the file.

The below is a set of tables for the standards of the file naming convention. Each of the tables addresses a level of the standard with a final table of examples to follow.

Table 0

<i>Codes used in the descriptions below</i>	
A	Exactly 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 or two or three characters from the following set: {ABCDEFGHIJKLMNOPQRSTUVWXYZabcdefghijklmnopqrstuvwxyz0123456789}
NNNNNN	Any combination of exactly six characters from the following set: {0123456789}

Table 1

Each instance of a document type		
A...	Applicant's identifier, not to exceed 50 positions	Recommended
-	Separator (dash)	
A...	Document type (<i>see Table 5</i>)	
.	Separator (period)	
AAA	File type (<i>see table 4</i>)	

Table 2

External entities referenced from within document instances		
A...	Applicant's identifier, not to exceed 50 positions	Recommended
-	Separator (dash)	
A...	Document type (<i>see Table 5</i>)	

-	Separator (dash)	
A	Entity type (<i>see Table 6</i>)	
NNNNNN	Entity sequence number, right-justified, left-padded with zero	
-	Separator (dash)	Optional
NNNNNN	Page sequence number, right-justified, left-padded with zero	
.	Separator (period)	Recommended
AAA	File type (<i>see Table 4</i>)	

Table 3

Files NOT referenced from within document instances		
A...	Applicant's identifier, not to exceed 50 positions	Recommended
-	Separator (dash)	
A...	Document name as provided by applicant, not to exceed 50 positions	
.	Separator (period)	
AAA	File type (<i>see Table 4</i>)	

Table 4

<i>File name extensions accepted</i>	
txt	Text file, that is, its contents are limited to the characters of the ASCII character set, regardless of the encoding used
xml	A text file encoded to conform to an XML document type definition or schema
tif	TIFF, Adobe TIFF specification version [??] or above-need to clarify the filing extensions
jpg	JPEG, version [??] or above-need to clarify the file extensions
zip	Archive file containing one or more files that might or might not be compressed
app	ST.25 CRF from PatentIn
pdf	Portable document format (Adobe)

Table 5

<i>Document types currently accepted for initial ePCT filing</i>	
<i>Document type</i>	<i>Code</i>
amendment-request	amnd
application-body	appb
bio-deposit	biod
declaration	decl
package-data	pkda

fee-sheet	fees
power-of-attorney	poat
priority-doc	pdoc
request	requ
ro-request-receiving-info	rrri
xmit-receipt	xmre
pkgheader	pkhd
Office-specific document types	[2-position country code]AAAA
ST.25 CRF	seq1
Table exceeding fifty printed pages	mtbl

Table 6

<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 (exactly one image page)
P	Document page

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.

Examples:

<i>File</i>	Contents
dupont003340-appb.xml	Application
dupont003340-appb-C000001.CDX	First chemical structure, ChemDraw format
dupont003340-appb-C000001.MOL	First chemical structure, MOL format
dupont003340-appb-C000001.TIF	First chemical structure, TIFF image format
dupont003340-pkda.xml	Package Data
dupont003340-fees.xml	Fee sheet
dupont003340-poat.xml	Power of attorney
dupont003340-requ.xml	Request
dupont003340-appb-T000001.TIF	First table, TIFF format
dupont003340-appb-T000002-000001.TIF	Second table, first page, TIFF format
dupont003340-appb-T000002-000002.TIF	Second table, second page, TIFF format
dupont003355-appb.xml	Application
dupont003355-appb-D000001.TIF	First drawing page, TIFF format
dupont003355-pkda.xml	Package Data
dupont003355-fees.xml	Fee sheet
dupont003355-appb-M000001.TIF	First mathematical formula, TIFF format
dupont003355-appb-M000002.TIF	Second mathematical formula, TIFF format
dupont003355-requ.xml	Request
dupont003355-appb-T000001.TIF	First table, TIFF format

[Annex 2 follows/
L'annexe 2 suit]

April 4, 2002

Madam,
Sir,

*Standard for the electronic filing and processing of
international applications: Proposals for change*

Proposed modifications of the Administrative Instructions under the PCT

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 Part 7 and 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, 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 a number of proposals for change to the standard for the electronic filing and processing of international applications which, if adopted, would result in modifications of Annex F of the Administrative Instructions under the PCT, together with related proposals for amendment to certain provisions of Part 7 of the Administrative Instructions.

3. The proposals are available on WIPO's Web site (see http://www.wipo.int/pct/efiling_standard/en) as annexes to the following "Proposal for Change" (PFC) files:

- PCT/EF/PFC 02/001 relating to Part 7, Section 709 "Means of Communication" (proposal by the Japan Patent Office);
- PCT/EF/PFC 02/002 relating to Annex F, section 4 "IA Documents Packaging" (proposal by the Japan Patent Office);
- PCT/EF/PFC 02/003 relating to Annex F, section 5 "Transmission" (proposal by the Japan Patent Office);
- PCT/EF/PFC 02/004 relating to Annex F, Appendix I, section 4.1 "Package header" (proposal by the Japan Patent Office);

- PCT/EF/PFC 02/005 relating to Annex F, Appendix I, section 3 “DTDs for new PCT applications (E-PCT)” (proposal by the United States Patent and Trademark Office);
- PCT/EF/PFC 02/006 relating to Annex F would add a recommendation on a file naming convention (proposal by the United States Patent and Trademark Office);
- PCT/EF/PFC 02/007 relating to Annex F, Appendix I, section 4.1 “Package header” (proposal by the United States Patent and Trademark Office);
- PCT/EF/PFC 02/008 relating to Part 7, Section 703 “Filing Requirements; Basic Common Standard” (proposal by the United States Patent and Trademark Office).

4. The International Bureau would appreciate receiving any comments on the proposed modifications by May 15, 2002. Comments should preferably be made by e-mail via the “Submit comments” facility on the Web site, 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 PFCs. 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: song@wipo.int; phone: 41 (22) 338 9640; fax: 41 (22) 338 8040).

5. In Circular C. PCT 827, which is also dated April 4, 2002, the International Bureau proposes other modifications of the Administrative Instructions which would add to Annex F a new section 2.5 “Change procedure” dealing with special procedures for the proposal, consideration and implementation of future modifications of the standard for electronic filing and processing of international applications. It is intended that consideration of the proposals referred to in the present Circular will proceed independently of those other proposals.

6. The International Bureau intends to promulgate by June 30, 2002, the modifications proposed in the present Circular, revised if necessary in the light of comments received. It is envisaged that the modifications would enter into force on January 1, 2003.

Sincerely yours,

Francis Gurry
Assistant Director General

OMPI CIRCULAIRE C. PCT 830

Le 4 avril, 2002

Madame,
Monsieur,

*Norme concernant le dépôt et le traitement électroniques
des demandes internationales : propositions de modification*

Propositions de modification des instructions administratives selon le PCT

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 la septième partie et 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, 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 un certain nombre de propositions de modification de la norme concernant le dépôt et le traitement électroniques des demandes internationales qui, si elles étaient adoptées, entraîneraient des modifications de l'annexe F des instructions administratives du PCT, ainsi qu'un certain nombre de propositions concernant les changements correspondants à apporter à certaines dispositions de la septième partie des instructions administratives.

3. Ces propositions peuvent être consultées sur le site Web de l'OMPI (voir http://www.wipo.int/pct/efiling_standard/fr) en tant qu'annexes des dossiers de propositions de modification suivants :

- PCT/EF/PFC 02/001 concernant l'instruction 709 de la septième partie, intitulée "Moyens de communication" (proposition de l'Office des brevets du Japon);
- PCT/EF/PFC 02/002 concernant la section 4 de l'annexe F, intitulée "Empaquetage des documents constitutifs de demandes internationales" (proposition de l'Office des brevets du Japon);
- PCT/EF/PFC 02/003 concernant la section 5 de l'annexe F, intitulée "Transmission" (proposition de l'Office des brevets du Japon);
- PCT/EF/PFC 02/004 concernant la section 4.1 de l'appendice I de l'annexe F, intitulée "En-tête du paquet" (proposition de l'Office des brevets du Japon);
- PCT/EF/PFC 02/005 concernant la section 3 de l'appendice I de l'annexe F, intitulée "DTD pour de nouvelles demandes PCT présentées sous forme

électronique” (proposition de l’Office des brevets et des marques des États-Unis d’Amérique);

- PCT/EF/PFC 02/006 concernant l’annexe F, visant à ajouter une recommandation relative à une convention de dénomination des fichiers (proposition de l’Office des brevets et des marques des États-Unis d’Amérique);
- PCT/EF/PFC 02/007 concernant la section 4.1 de l’appendice I de l’annexe F, intitulée “En-tête du paquet” (proposition de l’Office des brevets et des marques des États-Unis d’Amérique);
- PCT/EF/PFC 02/008 concernant l’instruction 703 de la septième partie, intitulée “Exigences de dépôt, norme commune de base” (proposition de l’Office des brevets et des marques des États-Unis d’Amérique).

4. Le Bureau international souhaiterait recevoir tout commentaire sur ces propositions de modification pour le 15 mai 2002 au plus tard. Les commentaires doivent de préférence être envoyés par courrier électronique grâce à la fonction “envoyer un commentaire” prévue sur le site Web, mais peuvent aussi être envoyés par courrier postal ou par télécopie (41-22-338 8040). Les commentaires éventuels seront inclus dans les annexes des différentes 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 (courrier électronique : song@wipo.int; téléphone : 41-22-338 9640; télécopie : 41-22-338 8040).

5. Dans la circulaire C. PCT 827, qui est aussi datée du 4 avril 2002, le Bureau international suggère d’autres modifications des instructions administratives visant à ajouter à l’annexe F une section 2.5 intitulée “Procédure de modification”, qui prévoit des procédures spéciales pour la proposition, l’examen et la mise en œuvre des futures modifications de la norme concernant le dépôt et le traitement électroniques des demandes internationales. L’examen des propositions faisant l’objet de la présente circulaire doit s’effectuer indépendamment de celui de ces autres propositions.

6. Le Bureau international a l’intention de promulguer les modifications proposées dans la présente circulaire le 30 juin 2002, après les avoir révisées si nécessaire en fonction des commentaires reçus. Ces modifications devraient entrer en vigueur le 1^{er} janvier 2003.

Veuillez agréer, Madame, Monsieur, l’assurance de ma considération distinguée.

Francis Gurry
Sous-directeur général

[Annex 3 follows/
L’annexe 3 suit]

COMMENTS BY IP AUSTALIA

PCT/EF/PFC 02/006

IP Australia supports the introduction of a recommended file naming convention and recognises the practical need for this change.

The file naming convention proposed is generally adequate except that it does not allow for multiple applications in a single package. [See our comments in **PCT/AI/1 Add.32** re the need for dtd's to accommodate batch filings.] IP Australia recommends the inclusion of an additional element within Table 1 to allow for a transaction identifier in conjunction with the document type.

[Annex 4 follows/
L'annexe 4 suit]

COMMENTS BY THE KOREAN INTELLECTUAL PROPERTY OFFICE

Comments on PCT/EF/PFC 02/006 relating to Annex F, proposed amendment "File Naming Convention" (proposal by the USPTO)

We accept that file naming conventions need to be established for more efficient management. However, the process should be automated and there are likely to be some difficulties for each applicant assigning file names.

This proposal is considered a good idea and we agree with it. But, there should be more discussion on the file name and the size of each element.

In the case of the KIPOnet system, an applicant's file is named in the format of 'applicant's identifier.extension'. This is done for each applicant without limitation and the extension of the file is determined by the nature of each file.

[Annex 5 follows/
L'annexe 5 suit]

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

The Trilateral Offices accept the proposal with the modifications introduced at the Trilateral/WIPO XML Working Group meeting in Barcelona, May 2002, as follows:

1. Change pkhd to pkgh in file name.
2. Change text for I entity type to "one or more image pages"
3. Add table for subdocument types, similar to table 5, so that subdocuments can be in separate files (doc-page).

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