



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: Modifications of XML DTDs for the E-PCT Standard (Annex F, Appendix I)		PROPOSED BY: EP, JP, US	
SUJET : Modification des DTD selon le XML pour la norme E-PCT (appendice I de l'annexe F)		PROPOSÉE PAR :	
HANDLING: Expedited consideration		PROPOSED DATE OF ENTRY INTO FORCE: 03.03	
TRAITEMENT : Examen accéléré		DATE PROPOSÉE D'ENTRÉE EN VIGUEUR :	
ANNEX/ ANNEXE	CONTENT/CONTENU	ORIGIN/ ORIGINE	DATE
1	Proposal/Proposition	EP, JP, US	01.07.02
2	Circular C. PCT 885/Circulaire C. PCT 885	IB	25.11.02
3	Comments/Commentaires	EP, JP, US	23.12.02

[Annex 1 follows/
L'annexe 1 suit]

NEXT ACTION:	Promulgation	BY:	March 2003
PROCHAINE ACTION :	Promulgation	POUR LE :	Mars 2003

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

Minor changes to DTDs

Description:

1.	Add orientation code attribute to the following elements: • doc-page • img for example, as follows: <pre><!ATTLIST doc-page orientation (portrait landscape) 'portrait' ></pre>
Items impacted	• DTDs: All
Reason	Processing and identification of images which may not be portrait will be made easier and machine processable. Portrait is the default.

2.	Add style attribute (ol-style) and values to ordered list as follows: <pre><!-- Ordered Lists: ol-style : office specific if used --></pre> <pre><!ELEMENT ol (li+)></pre> <pre><!ATTLIST ol id ID #IMPLIED compact (compact) #IMPLIED ol-style CDATA #IMPLIED ></pre> <pre><!--</pre>
Items impacted	DTDs: • amendment-request • application-body
Reason	The style of the list may be kept consistent for any post-processing and style-sheet rendering

3.	Add file reference attribute - file-reference-id - to route tag. eg. application-body element changes to: ... file-reference-id = applicant's or agent's file reference, if any --> <!ELEMENT application-body (doc-page+ (description , claims , abstract? , drawings?))> <!ATTLIST application-body lang CDATA #REQUIRED dtd-version CDATA #IMPLIED file CDATA #IMPLIED status CDATA #IMPLIED id ID #IMPLIED country CDATA #REQUIRED file-reference-id CDATA #IMPLIED >
Items impacted	DTDs: • amendment-request • application-body • declaration
Reason	Can be used in application software, eg. by applicant, to put in an internal file reference which they may also print on every page of the application document, for example.

4.	Add element <table-external> to content of <p> and <package-data>
Items impacted	• amendment-request • application-body • package-data
Reason	Applicant will need to reference a file holding 'bulk' table instances authored with stand-alone table DTD proposed by US in <u>PCT/EF/PFC 02/005</u>

[Annex 2 follows/
L'annexe 2 suit]

November 25, 2002

Madam,
Sir,

Proposed modifications of the Administrative Instructions under the PCT

Standard for the electronic filing and processing of international applications: Proposals for change (files PCT/EF/PFC 02/009 to 013)

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, 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. Those proposals are available on WIPO's Web site, together with previous proposals for change, as annexes to the following proposal for change (PFC) files (see http://www.wipo.int/pct/efiling_standard/en):
 - PCT/EF/PFC 02/009 “Electronic Packaging” (Annex F, sections 5 and 7) (proposal by the Korean Intellectual Property Office);
 - PCT/EF/PFC 02/010 “Modifications of XML DTDs for the E-PCT Standard” (Annex F, Appendix I) (proposal by the European Patent Office, the United States Patent and Trademark Office and the Japan Patent Office);
 - PCT/EF/PFC 02/011 “Modifications of XML DTDs for the E-PCT Standard” (Annex F, Appendix I) (proposal by the International Bureau);
 - PCT/EF/PFC 02/012 “New XML DTDs for the E-PCT Standard” (Annex F, Appendix I) (proposal by the International Bureau);
 - PCT/EF/PFC 02/013 “Paragraph Numbering” (Annex F, section 3.1.1.1.1) (proposal by the International Bureau).
3. The International Bureau would appreciate receiving any comments on the proposals by December 23, 2002. Comments should preferably be made by e-mail via the “Submit comments” facility on the Website, 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: song@wipo.int; phone: 41 (22) 338 9640; fax: 41 (22) 338 8040).

4. In Circular C. PCT 884, dated November 25, 2002, the International Bureau notifies the promulgation, with effect from December 12, 2002, of a new section 2.5 "Change procedure" in Annex F 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 new procedures.

5. The International Bureau intends to promulgate the present proposals for change, together with those set out in proposals for change files PCT/EF/PFC 02/002 to 02/013 (see Circular C. PCT 830 dated April 4, 2002), revised if necessary in the light of any comments received by December 23, 2002. It is envisaged that the modifications would be promulgated to enter into force on a date to be fixed in March 2003.

Sincerely yours,

Francis Gurry
Assistant Director General

OMPI CIRCULAIRE C. PCT 885

Le 25 novembre 2002

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/02/009 à 013)*

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

- PCT/EF/PFC 02/009 “Empaquetage électronique” (sections 5 et 7 de l'annexe F) (proposition de l'Office coréen de la propriété intellectuelle);
- PCT/EF/PFC 02/010 “Modification des DTD selon le XML pour la norme E-PCT” (appendice I de l'annexe F) (proposition de l'Office européen des brevets, de l'Office des brevets et des marques des États Unis d'Amérique et de l'Office des brevets du Japon);
- PCT/EF/PFC 02/011 “Modification des DTD selon le XML pour la norme E-PCT” (appendice I de l'annexe F) (proposition du Bureau international);
- PCT/EF/PFC 02/012 “Nouvelles DTD selon le XML pour la norme E-PCT” (appendice I de l'annexe F) (proposition du Bureau international);
- PCT/EF/PFC 02/013 “Numérotation des paragraphes” (section 3.1.1.1.1 de l'annexe F) (proposition du Bureau international).

3. Le Bureau international souhaiterait recevoir tout commentaire sur ces propositions le 23 décembre 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 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 (courrier électronique : song@wipo.int; téléphone : 41-22-338 9640; télécopie : 41-22-338 8040).

4. Dans la circulaire C. PCT 884, en date du 25 novembre 2002, le Bureau international notifie la promulgation, avec effet au 12 décembre 2002, d’une nouvelle section 2.5 de l’annexe F des instructions administratives du PCT, 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 électronique des demandes internationales. L’examen des propositions faisant l’objet de la présente circulaire n’est pas soumis à ces nouvelles procédures.

5. Le Bureau international a l’intention de promulguer les présentes propositions de modification, conjointement à celles qui figurent dans les dossiers PCT/EF/PFC 02/002 à 02/013 (voir la circulaire C. PCT 830 en date du 4 avril 2002), après les avoir révisées si nécessaire en fonction de tout commentaire jusqu’au 23 décembre 2002. Ces modifications seraient promulguées avec effet au mois de mars à une date qu’il reste à décider.

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

Francis Gurry
Sous-directeur général

Annex 3 follows/
L’annexe 3 suit]

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

5.	Add inline attribute to the following element: img as follows: <pre><!ELEMENT img EMPTY > <!ATTLIST img id ID #REQUIRED he NMTOKEN #REQUIRED wi NMTOKEN #REQUIRED file CDATA #REQUIRED alt CDATA #IMPLIED img-content (drawing photograph character dna undefined) "drawing" img-format (jpg tif st33 st35) #REQUIRED orientation (portrait landscape) "portrait" > inline (yes no) "no" ></pre>
Items impacted	DTDs: - amendment-request - application-body
Reason	Processing of images which must be inline, as part of a text line, rather than separate from the text, which is the norm, is made easier for application programs. These images tend to be very small images for undefined characters or the like. No is the default.

6.	Add dnum-type attribute to patcit as follows: <pre><!ELEMENT patcit (text (document-id,rel-passage*)) > <!ATTLIST patcit id ID #REQUIRED num CDATA #REQUIRED dnum CDATA #REQUIRED file CDATA #IMPLIED url CDATA #IMPLIED dnum-type CDATA #IMPLIED></pre>
Items impacted	DTDs: - amendment-request - application-body
Reason	Currently, in the DTDs above, it is impossible to determine whether or not the doc-number, for a patent citation, is an application or a publication number. This is important for verification and searching purposes.

7.	Remove the br (break) tag from tags: b, i, smallcaps
Items impacted	DTDs: • amendment-request • application-body • package-data • pkgheader • power-of-attorney • request • xmit-receipt
Reason	It is considered that it was an error in the above DTDs to include the br tag since it is not present in sup and sub tags. The inconsistency should be removed.

8.	In addressbook the following changes are proposed: • modify the name-group entity • the main name can be a last-name or orgname • first-name becomes implied not required • postcode becomes implied not required the DTDs change as follows <pre><!ENTITY % name-group "((name (prefix?,(last-name orgname), first-name?, middle-name?, suffix?, iid?, role?, orgname?, department?, synonym*)), registered-number?)" ></pre> <pre><!ELEMENT addressbook ((%name-group;, address, phone*, fax*, email*, url*, ead*, dtext?) text) ></pre> <pre><!ELEMENT address ((address-1?, address-2?, address-3?, mailcode?, pobox?, room?, address-floor?, building?, street?, city?, county?, state?, postcode?, country) text) ></pre>
Items impacted	DTDs: • amendment-request • application-body • declaration • pkgheader • power-of-attorney • request
Reason	The main name (eg. for applicants) can be a person or an organisation, this change in the syntax of the DTD makes it more explicit and less ambiguous. Practice has shown that It is not always possible to know the first-name or the postcode.