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Administrative Instructions Under the Patent Cooperation Treaty (PCT)
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Instructions administratives du Traité de coopération en matière de brevets (PCT)
Norme concernant le dépôt et le traitement électroniques

PROPOSAL FOR CHANGE FILE/
DOSSIER RELATIF A LA PROPOSITION DE MODIFICATION

SUBJECT: Changes to Annex F, Appendix I, section 3.6 (modification of the DTDs for the search report and written opinion) **SUJET :** Modifications de la section 3.6 de l'appendice I de l'annexe F (modifications des DTD du rapport de recherche et l'opinion écrite)	PROPOSED BY: IB PROPOSÉES PAR : IB	
HANDLING: Expedited cycle TRAITEMENT : Cycle accéléré	PROPOSED DATE OF ENTRY INTO FORCE: DATE PROPOSÉE D'ENTRÉE EN VIGUEUR :	01.07.2017

Annex/ Annexe	Content/Contenu	Origin/ Origine	Date
1	Modifications of the DTDs for the search report and written opinion to make the DTDs currently used in production official Modification des DTD du rapport de recherche et de l'opinion écrite pour officialiser les DTD actuellement utilisées dans la production	IB	10.3.2017

Next action: Comment		By:	30.4.2017
Prochaine action : Commentaires		Pour le :	

[Annex I follows/
L'annexe I suit]

Item 1	
Location:	Annex F, Appendix I, section 3.6, search-report, written-opinion DTD
Change:	**FROM:** search-report-v1-2.dtd (available at http://www.wipo.int/pct-safe/en/resources/1.11/search-report-v1-2.dtd) **TO:** search-report-v1-2-4.dtd, renamed with backwardly compatible changes described below to search-report-v2-0.dtd (available at http://www.wipo.int/export/sites/www/pct-safe/en/resources/1.13/search-report-v1-2-4.zip) And add Written-opinion-v0-96.dtd, renamed with backwardly compatible changes described below to written-opinion-v1-0.dtd (available at http://www.wipo.int/export/sites/www/pct-safe/en/resources/1.13/written-opinion-v0-96.zip)
Reason:	Search-report-v1-2.dtd has never entered live use. Search-report-v1-2-4.dtd and written-opinion-v0-96.dtd represent the results of development work by several International Searching Authorities seeking to deliver valid reports which can be used across the full range of possible business needs. The most fundamental change is that, while the original DTD required the international search report and the written opinion of the International Searching Authority to be delivered together as a single unit, the proposal expects the search report and the written opinion in separate XML files. Preparing them in separate files overcomes some difficulties in the preparation of reports as a single XML file, when in exceptional cases one document needed to be established without the other; in particular a single XML file made it difficult for the documents to be separated, noting that in practice they are frequently translated at different times and published in different ways. A number of more detailed changes have been made to the structure, but this does not affect the definitions of the international common elements which are used in other DTDs. In principle, consequential changes should be made to the iprp-v1-2 DTD in order to maximize the ease of reuse of data between stages of processing. However, no International Preliminary Examining Authorities are yet ready to deliver Chapter II reports in XML format and it is proposed to wait and propose updates to that DTD based on the experience gained during preparations for this next phase of the move towards XML processing.

Item 2	
Location:	Annex F, Appendix I, section 3.6, written-opinion, search-report DTD

Change:	**FROM:**
	`<!--application-info`
	`This tag provides a container for any general information concerning an`
	`application.`
	`-->`
	`<!ELEMENT application-info  (file-reference-id?, application-reference,`
	`                date-of-earliest-priority?, applicant-name,`
	`classifications-ipcr) >`
	
	TO:
	`<!--application-info`
	`This tag provides a container for any general information concerning an`
	`application.`
	`-->`
	`<!ELEMENT application-info  (file-reference-id?, application-reference,`
	`                date-of-earliest-priority?, applicant-name,`
	`classifications-ipcr, `**`classification-national*`**`) >`
	
	`<!--`
	`  Domestic or national classification.`
	`    (INID 52,  ST.32:B520)`
	
	`@scheme-name:`
	`This attribute is used when it is necessary to distinguish between different classification schemes`
	`which may be in use at the same Office.  In general, abbreviated forms should be used where they`
	`are widely recognized, for example scheme-name="CPC" for the Cooperative Patent Classification.`
	
	`-->`
	`<!ELEMENT classification-national (country , edition? , main-classification , further-classification* , (additional-info | linked-indexing-code-group | unlinked-indexing-code)* , text?)>`
	
	`<!ATTLIST classification-national  id ID  #IMPLIED`
	`                              scheme-name CDATA #IMPLIED>`
	`<!--`
	`  Main classification.`
	`    (ST.32:B511/B521)`
	
	`-->`

```
<!ELEMENT main-classification (#PCDATA)>

<!--
  Further/secondary classification
    (ST.32:B512/B522)

-->
<!ELEMENT further-classification (#PCDATA)>

<!ATTLIST further-classification  id      ID    #IMPLIED
                                   sequence CDATA  #IMPLIED
>

<!--
  Linked indexing code.
    (ST.32:B514/B524)

-->
<!ELEMENT linked-indexing-code-group (main-linked-indexing-
code , sub-linked-indexing-code+)>


<!--
  Sub/further Linked Indexing Code.

-->
<!ELEMENT sub-linked-indexing-code (#PCDATA)>


<!--
  Main Linked Indexing Code.

-->
<!ELEMENT main-linked-indexing-code (#PCDATA)>

<!--
  Unlinked indexing code.
    (ST.32:B515/B525)

-->
<!ELEMENT unlinked-indexing-code (#PCDATA)>
```

Reason:	This change is proposed to make this element in the written opinion DTD consistent with the corresponding element in the search-report DTD This change is backwardly compatible. Note the current search-report and written-opinion DTDs have a slightly different starting point for application-info ; the section above highlights all the changes

Item 3	

Location:	Annex F, Appendix I, section 3.6, search-report written-opinion DTD

Change:	**FROM:**
	```<!--*****************************```
	```CITATIONS```
	```*****************************```
	```Grouping tag for patent literature (patcit)```
	```or non-patent literature (nplcit) plus data related to those```
	```citations.```
	
	```Recommended id='cit0001', 'cit0002', etc.```
	```For the SR: id='sr-cit0001', 'sr-cit0002'```
	```For the WO: id='wo-cit0001"```
	
	```reference```
	```Identification given by the party to the document, e.g. A1.```
	
	```exam-reference```
	```Identification given by the search or examining division to```
	```the document,```
	```e.g. D1.```
	
	```Removed:```
	```- classification-ipc```
	```- classification-national```
	
	```-->```
	```<!ELEMENT citation ((patcit | nplcit),(rel-```
	```passage*,category*,rel-claims*)*,```
	``` corresponding-docs*,classifications-```
	```ipcr?,doi?) >```
	
	```<!ATTLIST citation```
	``` id ID #IMPLIED```
	``` cited-phase (application | search |```
	```international-search-report |```
	``` supplementary-international-search-report |```
	``` international-type-search-report | national-```
	```search-report |```
	``` supplementary-national-search-report |```
	```examination |```
	``` international-examination | national-```
	```examination | opposition |```
	``` limitation) #IMPLIED```
	``` cited-by (applicant | examiner | opponent |```
	```third-party) #IMPLIED```
	``` reference CDATA #IMPLIED```
	``` exam-reference CDATA #IMPLIED >```
	
	TO:
	```<!--*****************************```
	```CITATIONS```
	```*****************************```

```
Grouping tag for patent literature (patcit)
or non-patent literature (nplcit) plus data related to those
citations.

Recommended id='cit0001', 'cit0002', etc.
For the SR: id='sr-cit0001', 'sr-cit0002'
For the WO: id='wo-cit0001"

@reference
Identification given by the party to the document, e.g. A1.

@exam-reference
Identification given by the search or examining division to
the document,
e.g. D1.

@has-equivalent :
The expected usage of this attribute is that it will only be
present in the circumstances where the examiner explicitly
chooses to express the fact that the cited document has no
equivalent document / patent family members in the
rendered search report citation; in other words the attribute
when present and having the value "no" will result in the
text
"No patent family" or "No equivalent documents" in the
relevant language being displayed on the search report.

-->
<!ELEMENT citation  ((patcit | nplcit),(rel-
passage*,category*,rel-claims*)*,
                corresponding-docs*, classification-ipc?,
classifications-ipcr?, classification-national?, doi?) >

<!ATTLIST citation
                id ID    #IMPLIED
                cited-phase (application | search |
international-search-report |
                supplementary-international-search-report |
                international-type-search-report | national-
search-report |
                supplementary-national-search-report |
examination |
                international-examination | national-
examination | opposition |
                limitation)   #IMPLIED
                cited-by (applicant | examiner | opponent |
third-party)   #IMPLIED
                reference  CDATA    #IMPLIED
                exam-reference  CDATA    #IMPLIED
                has-equivalent        (yes | no)  #IMPLIED >

<!--
  International Patent Classification (IPC) data;
    (INID 51,  ST.32:B510)
```

```
-->
<!ELEMENT classification-ipc (edition , main-classification ,
further-classification* , (additional-info | linked-indexing-
code-group | unlinked-indexing-code)* , text?)>

<!ATTLIST classification-ipc  id ID  #IMPLIED >
```

Reason:	This change is proposed to make this element in the written opinion DTD consistent with the corresponding element in the search-report DTD
	This change is backwardly compatible.
	Note the current search-report and written-opinion DTDs have a slightly different starting point for citation ; the section above highlights all the changes

Item 4	
Location:	Annex F, Appendix I, section 3.6, written-opinion DTD

Change:	**FROM:**
	`<!ELEMENT nplcit (text | article | book | online | othercit) >`
	
	`<!ATTLIST nplcit`
	`            id ID    #IMPLIED`
	`            num CDATA    #IMPLIED`
	`            lang CDATA    #IMPLIED`
	`            file CDATA    #IMPLIED`
	`            npl-type CDATA    #IMPLIED`
	`            medium CDATA    #IMPLIED`
	`            url CDATA    #IMPLIED >`
	
	TO:
	`<!ELEMENT nplcit ((text | article | book | online | othercit)` **`, rel-passage*`**`)>`
	
	`<!ATTLIST nplcit`
	`            id ID    #IMPLIED`
	`            num CDATA    #IMPLIED`
	`            lang CDATA    #IMPLIED`
	`            file CDATA    #IMPLIED`
	`            npl-type CDATA    #IMPLIED`
	`            medium CDATA    #IMPLIED`
	`            url CDATA    #IMPLIED >`

Reason:	This change is proposed to make this element in the written opinion DTD consistent with the corresponding element in the search-report DTD

Item 5	
Location:	Annex F, Appendix I, section 3.6, written-opinion DTD
Change:	**FROM:** `<!ELEMENT patcit (text	(document-id))>`  `<!ATTLIST patcit` ` id ID #IMPLIED` ` num CDATA #IMPLIED` ` dnum CDATA #IMPLIED` ` dnum-type CDATA #IMPLIED` ` file CDATA #IMPLIED` ` url CDATA #IMPLIED >`  **TO:** `<!ELEMENT patcit (text	(document-id , `**`rel-passage*`**`))>`  `<!ATTLIST patcit` ` id ID #IMPLIED` ` num CDATA #IMPLIED` ` dnum CDATA #IMPLIED` ` dnum-type CDATA #IMPLIED` ` file CDATA #IMPLIED` ` url CDATA #IMPLIED >`
Reason:	This change is proposed to make this element in the written opinion DTD consistent with the corresponding element in the search-report DTD This change is backwardly compatible.

Item 6	
Location:	Annex F, Appendix I, section 3.6, search-report DTD

Change:	**FROM:**
	`<!--`
	`  Patent family.`
	`    (ST.32:B345)`
	
	`-->`
	`<!ELEMENT family-member (document-id)>`
	TO:

```
<!--
  Patent family.
    (ST.32:B345)


-->
<!ELEMENT family-member (document-id, rel-passage?)>
```

Reason:	This change is proposed to make this element in the written opinion DTD consistent with the corresponding element in the search-report DTD This change is backwardly compatible.

Item 7	
Location:	Annex F, Appendix I, section 3.6, search-report DTD
Change:	**FROM:** ``` <!-- Priority application number. (INID 31, ST.32:B310) --> <!ELEMENT priority-application (document-id)> ``` **TO:** ``` <!-- Priority application number. (INID 31, ST.32:B310) This element normally represents a priority application. However, under <patent-family> this element may be used to represent a patent document which is cited in the search report, which may not necessarily be a priority application which links the family members. --> <!ELEMENT priority-application (document-id)> ```
Reason:	This change is proposed to make this element in the written opinion DTD consistent with the corresponding element in the search-report DTD This change is backwardly compatible.

Item 8	
Location:	Annex F, Appendix I, section 3.6, package-data DTD

Change:	**ADD:**
	
	``
	<!--
	  Written Opinion of a searching authority
	
	-->
	<!ELEMENT written-opinion EMPTY>
	<!ATTLIST written-opinion
	                    id ID #IMPLIED
	                    file CDATA #REQUIRED
	                    lang CDATA #IMPLIED
	                    carriers (internal-electronic |
	                            external-electronic |
	                            paper) #IMPLIED
	                    status CDATA #IMPLIED >
	``

Reason:	This new element required to support written opinion in package-data This change is backwardly compatible.

Item 9	
Location:	Annex F, Appendix I, section 3.6, package-data DTD

Change:	**FROM:**
	``
	<!ELEMENT package-data (transmittal-info , signatories ,
	dtext? , (application-request | application-body-doc | table-
	external | chapter2-demand | fee-calculation-sheet |
	declaration-doc | lack-of-signature | biological-material |
	separate-power-of-attorney | general-power-of-attorney |
	copy-general-power-of-attorney | bib-changes | notification |
	amendment | priority-document | translation-of-application |
	search-report-doc | trans-search-report | preliminary-
	examination-report | trans-preliminary-examination-report |
	published-application | sequence-list | correspondence |
	other-documents | wrapped-document | restore-rights-reason |
	xmit-receipt-doc | ro-request-receiving-info-doc | pre-
	conversion-files-package)+)>
	
	<!ATTLIST package-data lang CDATA #REQUIRED
	                        dtd-version CDATA #IMPLIED
	                        file CDATA #IMPLIED
	                        produced-by (applicant |
	                                        RO |
	                                        ISA |
	                                        IPEA |
	                                        IB |
	                                        DO |
	                                        EO |
	                                        national-office |
	``

```
                                                     regional-office )
            #REQUIRED
                                        date-produced CDATA  #IMPLIED
                                        country        CDATA  #IMPLIED
                                        status         CDATA  #IMPLIED >
```

TO:

```
<!ELEMENT package-data (transmittal-info , signatories ,
dtext? , (application-request | application-body-doc | table-
external | chapter2-demand | fee-calculation-sheet |
declaration-doc | lack-of-signature | biological-material |
separate-power-of-attorney | general-power-of-attorney |
copy-general-power-of-attorney | bib-changes | notification |
amendment | priority-document | translation-of-application |
search-report-doc | written-opinion | trans-search-report |
preliminary-examination-report | trans-preliminary-
examination-report | published-application | sequence-list |
correspondence | other-documents | wrapped-document |
restore-rights-reason | xmit-receipt-doc | ro-request-
receiving-info-doc | pre-conversion-files-package)+)>
```

```
<!ATTLIST package-data   lang          CDATA  #REQUIRED
                         dtd-version   CDATA  #IMPLIED
                         file          CDATA  #IMPLIED
                         produced-by          (applicant |
                                 RO |
                                 ISA |
                                 IPEA |
                                 IB |
                                 DO |
                                 EO |
                                 national-office |
                                 regional-office )
#REQUIRED
                                        date-produced CDATA  #IMPLIED
                                        country        CDATA  #IMPLIED
                                        status         CDATA  #IMPLIED >
```

Reason:	This new element required to support written opinion in package-data
	This change is backwardly compatible.

Item 10	
Location:	Annex F, Appendix I, section 3.6, package-data DTD
Change:	**FROM:** `<!ELEMENT copy-general-power-of-attorney EMPTY>`

```
<!ATTLIST copy-general-power-of-attorney
        id          ID      #IMPLIED
        file        CDATA   #REQUIRED
        lang        CDATA   #IMPLIED
        carriers            (internal-electronic |
                            external-electronic |
                            paper )  #IMPLIED
        ref-number  CDATA   #REQUIRED
        status      CDATA   #IMPLIED >
```

TO:

```
<!ELEMENT copy-general-power-of-attorney EMPTY>

<!ATTLIST copy-general-power-of-attorney
        id          ID      #IMPLIED
        file        CDATA   #REQUIRED
        lang        CDATA   #IMPLIED
        carriers            (internal-electronic |
                            external-electronic |
                            paper )  #IMPLIED
        ref-number  CDATA   #IMPLIED
        status      CDATA   #IMPLIED >
```

| Reason: | This new element required to support written opinion in package-data |
| | This change is backwardly compatible. |

[End of Annex I and of document/
Fin de l'annexe I et du document]