

**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**

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

<b>SUBJECT: Changes to Annex F, Appendix I, section 3.6 (modification of the DTDs for the search report and written opinion)</b>		PROPOSED BY: IB	
<b>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)</b>		PROPOSÉES PAR : IB	
HANDLING: Expedited cycle TRAITEMENT : Cycle accéléré		PROPOSED DATE OF ENTRY INTO FORCE: 01.07.2017 DATE PROPOSÉE D'ENTRÉE EN VIGUEUR :	
<b>Annex/ Annexe</b>	<b>Content/Contenu</b>	<b>Origin/ Origine</b>	<b>Date</b>
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
2	Comments	DE	11.4.2017
3	Comments	CH	19.4.2017
4	Comments	CN	24.4.2017
5	Comments	CL	24.4.2017
6	Comments	SK	25.4.2017
7	Comments	CR	25.4.2017

8	Comments	AU	27.4.2017
9	Comments	CO	3.5.2017
10	Comments	EP	12.5.2017
11	Comments	JP	24.5.2017
12	Comments	IB	30.5.2017

Next action:	Entry into force	By:	1.7.2017
Prochaine action :	Entrée en vigueur	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:	<p><b>FROM:</b> search-report-v1-2.dtd (available at <a href="http://www.wipo.int/pct-safe/en/resources/1.11/search-report-v1-2.dtd">http://www.wipo.int/pct-safe/en/resources/1.11/search-report-v1-2.dtd</a>)</p> <p><b>TO:</b> search-report-v1-2-4.dtd, renamed with backwardly compatible changes described below to search-report-v2-0.dtd (available at <a href="http://www.wipo.int/export/sites/www/pct-safe/en/resources/1.13/search-report-v1-2-4.zip">http://www.wipo.int/export/sites/www/pct-safe/en/resources/1.13/search-report-v1-2-4.zip</a>)</p> <p>And add</p> <p>Written-opinion-v0-96.dtd, renamed with backwardly compatible changes described below to written-opinion-v1-0.dtd (available at <a href="http://www.wipo.int/export/sites/www/pct-safe/en/resources/1.13/written-opinion-v0-96.zip">http://www.wipo.int/export/sites/www/pct-safe/en/resources/1.13/written-opinion-v0-96.zip</a>)</p>
Reason:	<p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p>

Item 2	
Location:	Annex F, Appendix I, section 3.6, written-opinion, search-report DTD
Change:	<p><b>FROM:</b>  &lt;!--application-info  This tag provides a container for any general information concerning an application.  --&gt;  &lt;!ELEMENT application-info (file-reference-id?, application-reference,  date-of-earliest-priority?, applicant-name,  classifications-ipcr) &gt;</p> <p><b>TO:</b>  &lt;!--application-info  This tag provides a container for any general information concerning an application.  --&gt;  &lt;!ELEMENT application-info (file-reference-id?, application-reference,  date-of-earliest-priority?, applicant-name,  classifications-ipcr, <b>classification-national*</b>) &gt;</p> <p>&lt;!--  Domestic or national classification.  (INID 52, ST.32:B520)</p> <p><b>@scheme-name:</b>  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.</p> <p>--&gt;  &lt;!ELEMENT classification-national (country , edition? , main-classification , further-classification* , (additional-info   linked-indexing-code-group   unlinked-indexing-code)* , text?)&gt;</p> <p>&lt;!ATTLIST classification-national id ID #IMPLIED  scheme-name CDATA #IMPLIED&gt;</p> <p>&lt;!--  Main classification.  (ST.32:B511/B521)</p> <p>--&gt;  &lt;!ELEMENT main-classification (#PCDATA)&gt;</p>

	<pre> &lt;!--   Further/secondary classification     (ST.32:B512/B522)  --&gt; &lt;!ELEMENT further-classification (#PCDATA)&gt;  &lt;!ATTLIST further-classification id          ID          #IMPLIED                                 sequence CDATA  #IMPLIED &gt;  &lt;!--   Linked indexing code.     (ST.32:B514/B524)  --&gt; &lt;!ELEMENT linked-indexing-code-group (main-linked-indexing- code , sub-linked-indexing-code+)&gt;  &lt;!--   Sub/further Linked Indexing Code.  --&gt; &lt;!ELEMENT sub-linked-indexing-code (#PCDATA)&gt;  &lt;!--   Main Linked Indexing Code.  --&gt; &lt;!ELEMENT main-linked-indexing-code (#PCDATA)&gt;  &lt;!--   Unlinked indexing code.     (ST.32:B515/B525)  --&gt; &lt;!ELEMENT unlinked-indexing-code (#PCDATA)&gt; </pre>
Reason:	<p>This change is proposed to make this element in the written opinion DTD consistent with the corresponding element in the search-report DTD</p> <p>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</p>

Item 3	
Location:	Annex F, Appendix I, section 3.6, search-report written-opinion DTD
Change:	<b>FROM:</b>

```
<!--*****  
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)
```

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-->
```

```
<!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:	<p>This change is proposed to make this element in the written opinion DTD consistent with the corresponding element in the search-report DTD</p> <p>This change is backwardly compatible.</p> <p>Note the current search-report and written-opinion DTDs have a slightly different starting point for citation ; the section above highlights all the changes</p>
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Item 4	
Location:	Annex F, Appendix I, section 3.6, written-opinion DTD
Change:	<p><b>FROM:</b></p> <pre>&lt;!ELEMENT nplcit (text   article   book   online   othercit) &gt;  &lt;!ATTLIST nplcit             id ID          #IMPLIED             num CDATA      #IMPLIED             lang CDATA     #IMPLIED             file CDATA     #IMPLIED             npl-type CDATA #IMPLIED             medium CDATA   #IMPLIED             url CDATA      #IMPLIED &gt;</pre> <p><b>TO:</b></p> <pre>&lt;!ELEMENT nplcit ((text   article   book   online   othercit) , rel-passage*)&gt;  &lt;!ATTLIST nplcit             id ID          #IMPLIED             num CDATA      #IMPLIED             lang CDATA     #IMPLIED             file CDATA     #IMPLIED             npl-type CDATA #IMPLIED             medium CDATA   #IMPLIED             url CDATA      #IMPLIED &gt;</pre>
Reason:	<p>This change is proposed to make this element in the written opinion DTD consistent with the corresponding element in the search-report DTD</p>

Item 5	
Location:	Annex F, Appendix I, section 3.6, written-opinion DTD

<p>Change:</p>	<p><b>FROM:</b> &lt;!ELEMENT patcit (text   (document-id))&gt;</p> <pre>&lt;!ATTLIST patcit       id ID #IMPLIED       num CDATA #IMPLIED       dnum CDATA #IMPLIED       dnum-type CDATA #IMPLIED       file CDATA #IMPLIED       url CDATA #IMPLIED &gt;</pre> <p><b>TO:</b> &lt;!ELEMENT patcit (text   (document-id , <b>rel-passage*</b>))&gt;</p> <pre>&lt;!ATTLIST patcit       id ID #IMPLIED       num CDATA #IMPLIED       dnum CDATA #IMPLIED       dnum-type CDATA #IMPLIED       file CDATA #IMPLIED       url CDATA #IMPLIED &gt;</pre>
<p>Reason:</p>	<p>This change is proposed to make this element in the written opinion DTD consistent with the corresponding element in the search-report DTD</p> <p>This change is backwardly compatible.</p>

<p>Item 6</p>	
<p>Location:</p>	<p>Annex F, Appendix I, section 3.6, search-report DTD</p>
<p>Change:</p>	<p><b>FROM:</b> &lt;!-- Patent family. (ST.32:B345) --&gt; &lt;!ELEMENT family-member (document-id)&gt;</p> <p><b>TO:</b> &lt;!-- Patent family. (ST.32:B345) --&gt; &lt;!ELEMENT family-member (document-id, <b>rel-passage?</b>)&gt;</p>
<p>Reason:</p>	<p>This change is proposed to make this element in the written opinion DTD consistent with the corresponding element in the search-report DTD</p> <p>This change is backwardly compatible.</p>

Item 7	
Location:	Annex F, Appendix I, section 3.6, search-report DTD
Change:	<p><b>FROM:</b>  &lt;!--  Priority application number.  (INID 31, ST.32:B310)  --&gt;  &lt;!ELEMENT priority-application (document-id)&gt;</p> <p><b>TO:</b>  &lt;!--  Priority application number.  (INID 31, ST.32:B310)  --&gt;  &lt;!ELEMENT priority-application (document-id)&gt;</p> <p><b>This element normally represents a priority application. However, under &lt;patent-family&gt; 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.</b></p>
Reason:	<p>This change is proposed to make this element in the written opinion DTD consistent with the corresponding element in the search-report DTD</p> <p>This change is backwardly compatible.</p>

Item 8	
Location:	Annex F, Appendix I, section 3.6, package-data DTD
Change:	<p><b>ADD:</b>  &lt;!--  Written Opinion of a searching authority  --&gt;  &lt;!ELEMENT written-opinion EMPTY&gt;  &lt;!ATTLIST written-opinion  id ID #IMPLIED  file CDATA #REQUIRED  lang CDATA #IMPLIED  carriers (internal-electronic    external-electronic  </p>

	<b>paper ) #IMPLIED</b> <b>status CDATA #IMPLIED &gt;</b>
Reason:	<p>This new element required to support written opinion in package-data</p> <p>This change is backwardly compatible.</p>

Item 9	
Location:	Annex F, Appendix I, section 3.6, package-data DTD
Change:	<p><b>FROM:</b></p> <pre>&lt;!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)+)&gt;</pre> <pre>&lt;!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 &gt;</pre> <p><b>TO:</b></p> <pre>&lt;!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   <b>written-opinion</b>   trans-search-report  </pre>

	<pre> 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)+&gt;  &lt;!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 &gt; </pre>
Reason:	<p>This new element required to support written opinion in package-data</p> <p>This change is backwardly compatible.</p>

Item 10	
Location:	Annex F, Appendix I, section 3.6, package-data DTD
Change:	<p><b>FROM:</b></p> <pre> &lt;!ELEMENT copy-general-power-of-attorney EMPTY&gt;  &lt;!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 &gt; </pre> <p><b>TO:</b></p> <pre> &lt;!ELEMENT copy-general-power-of-attorney EMPTY&gt;  &lt;!ATTLIST copy-general-power-of-attorney   id          ID          #IMPLIED   file       CDATA       #REQUIRED   lang       CDATA       #IMPLIED   carriers   (internal-electronic   </pre>

	<pre>external-electronic   paper ) #IMPLIED ref-number CDATA #IMPLIED status CDATA #IMPLIED &gt;</pre>
Reason:	<p>This new element required to support written opinion in package-data</p> <p>This change is backwardly compatible.</p>

[Annex II follows /  
L'annexe II suit]

**Comments by the German Patent and Trade Mark Office**

Comments made with respect to PCT/EF/PFC 17/001 only.

[Annex III follows /  
L'annexe III suit]

**Comments from the Swiss Federal Institute of Intellectual Property**

L'Institut Fédéral de la Propriété Intellectuelle a consenti à cette façon de procéder concernant la circulaire C.PCT 1505.

The Swiss Federal Institute of Intellectual Property has consented to proceed with circular C.PCT 1505.

[Annex IV follows /  
L'annexe IV suit]

**Comments from the State Intellectual Property Office of the P.R.C (SIPO)**

1. Only considering the system, even if our CEPCT system is not updated and continues to use the old form, it can still exchange documents with the International Bureau in a normal way; however, if the use of the new form is required, we need to update the CEPCT system accordingly.

2. If the International Bureau updates SAFE to a new version and the applicant submits an application using the new version of SAFE, the CEPCT system of the SIPO must be modified, otherwise it will not be able to process the application submitted through the new version of SAFE. Unfortunately this modification would involve many procedures and modules, and would take some time.

[Annex V follows /  
L'annexe V suit]

**Comments from the National Institute of Industrial Property of Chile**

Please find below the comments of INAPI to Circular C. PCT 1505 dated 03/22/2017 on a series of proposals for changes to the standard for the electronic filing and processing of (Annex F of the Administrative Instructions of the PCT) concerning the PCT request form (PCT / RO / 101), the declarations, the search report and the written opinion.

In this regard, having reviewed all proposals made by the International Bureau, and taking into consideration that INAPI uses the ePCT system for the electronic filing of PCT international applications, we have no comments on them and we agree on their content.

[Annex VI follows /  
L'annexe VI suit]

**Comments from the Industrial Property Office of the Slovak Republic**

The Industrial Property Office of the Slovak Republic (hereafter "the IPO SR") in its capacity as a receiving Office, International Search Authority, International Examining Preliminary Authority and designated or elected Office under the Patent Cooperation Treaty would like to inform you, that the proposals prepared by International Bureau were discussed with internal IT experts and the IPO SR has no comments on changes concerning the Standard for the Filing and Processing in Electronic Form of International Applications, declarations, search report and written opinion mentioned in the Circular C.PCT 1505.

We would like to thank the International Bureau for the prepared documents.

[Annex VII follows /  
L'annexe VII suit]

**Comments by the Register of Industrial Property of Costa Rica**

For the moment, Costa Rica does not allow electronic filing of international applications.

However, by communication dated February 10, 2017, we reiterated to WIPO our interest in obtaining access to the e-PCT system for the reception, sending and consultation of international applications, which is in the process of authorization.

In accordance with the above, we currently have no comments or queries regarding the requirements of Circular C. PCT 1505 of March 22, 2017.

[Annex VIII follows /  
L'annexe VIII suit]

**Comments by IP Australia**

Comments made with respect to PCT/EF/PFC 17/001 and PCT/EF/PFC 17/003 only.

[Annex IX follows /  
L'annexe IX suit]

**Comments from the Superintendencia de Industria y Comercio**  
**Ministerio de Industria, Comercio y Turismo of Colombia**

The SIC applauds the new DTDs of the search report and the written opinion, taking into account that in these new versions it is possible to specify the databases that were used to perform the searches and the written opinion.

[Annex X follows /  
L'annexe X suit]

**Comments from the European Patent Office**

In reply to Circular C. PCT 1505, and particular in view of the PFC-17-003, for the EPO it is not totally clear what would be the exact workflow of a color filing at the RO/EP in terms of publication.

Further, the EPO suggest not encouraging a systematic use of color in filings but clearly indicating that those filings shall be made in color where necessary for a better understanding of the application.

At present the EPO could receive electronic filings including color but not process the color. However, it is a future goal to be able also to process color.

[Annex XI follows /  
L'annexe XI suit]

**Comments from the Japan Patent Office**

As to the changes to the Annex F, we do not have any comments on any of the suggested modifications. However, as our internal IT system needs some adjustments, please note that the complete implementation by our Office of the modified DTDs is expected to be within 2019, at the earliest.

[Annex XII follows /  
L'annexe XII suit]

**Comments from The International Bureau**

The International Bureau would like to express its thanks to the Offices that have reviewed the proposal and provided comments.

Considering the comments received from PCT member states and with no controversial comments outstanding the International Bureau will adopt the proposal for entry into force on July 1, 2017.

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