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PCT/EF/PFC 17/005
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SITUATION AT: MAY 29, 2017
SITUATION AU : 29 MAI 2017

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

SUBJECT: Modifications of Annex F of the PCT Administrative Instructions to add the formats DOCX OOXML and PNG **SUJET : Modification de l'annexe F des Instructions administratives du PCT à ajouter les formats DOCX OOXML et PNG**	PROPOSED BY: EP PROPOSÉES PAR : EP
HANDLING: Expedited cycle TRAITEMENT : Cycle accéléré	PROPOSED DATE OF ENTRY INTO FORCE: DATE PROPOSÉE D'ENTRÉE EN VIGUEUR : 01.11.2017

Annex/ Annexe	Content/Contenu	Origin/ Origine	Date
1	Modifications of Annex F of the PCT Administrative Instructions to add DOCX OOXML as a possible filing format for the patent specification and add PNG to list of supported image formats Modification de l'annexe F des Instructions administratives du PCT visant à ajouter le format DOCX OOXML comme format possible pour le dépôt de la description du brevet et à ajouter le format PNG à la liste des formats d'images qui sont pris en charge	EP	24.5.2017

Next action: Prochaine action :	Comment Commentaires	By: Pour le :	14.7.2017

[Annex I follows/
L'annexe I suit]

To summarize the proposal for change:

- the main objective of this proposal for change is to introduce DOCX OOXML as an (optional) electronic document format for documents in electronic form that are prepared or exchanged under the PCT in accordance with Annex F, notably for the filing of the international application with any receiving Office which decided to accept such document format (Applicant to Office sector);
- any receiving Office which decided to accept international applications in the DOCX OOXML format would, after receipt of the application, convert the application from the DOCX OOXML format into the XML format referred to in Section 3.1.1.1 (including any images as references);
- the receiving Office would send both the DOCX OOXML file and the converted XML format file to the International Bureau in the record copy package. All further processing (including international search and international publication) would be carried out on the basis of the converted XML file, in the same way as is done at present for applications originally filed in that XML format; and,
- the second objective of this change proposal is to introduce PNG as an additional optional image file format. PNG would be treated in exactly the same way as JPEG/JFIF at present; that is, Offices would be permitted to accept images in this format, but the images would (for the moment) subsequently be converted to monochrome TIFF.

While this proposed change to permit PNG as an additional optional image file format is not consequential on the proposed inclusion of DOCX OOXML as an electronic document format for the filing of international applications, it would appear useful to introduce such change simultaneously, as PNG is one of the most commonly used file formats for general purposes at present and applicants may not always be aware of the specific file formats of images which are embedded within a DOCX OOXML file.

The following items have been extracted from the track changes change markup of Annex F provided by EPO as the substantive changes; there are a number of further editorial changes that have also been made in relation to the naming of JPEG/ JFIF and the numbering of sections; these changes are not fully reflected here, but can be found in the track changes document also provided.

Item 1	
Location:	Annex F Section 3 [insertion of new 3.1.1.2]
Change:	**FROM:** **TO:** 3.1.1.2 Office Open XML (DOCX OOXML) All documents in Office Open XML format (DOCX OOXML) must conform to the DOCX markup strict variant of OOXML as specified in ISO/IEC 29500-1:2008-2016 Standard for the category of “wordprocessing”, represented by the file extension “.docx”. In addition, valid DOCX OOXML documents must fulfil the requirements laid down in paragraph 3.1.1.2.1 below. For the Applicant-Office (international phase)

communication sector, receiving Offices shall notify the International Bureau whether they will accept documents in this format. In order to accommodate Offices that do not accept documents in Office Open XML format, any Office that chooses to accept documents in this format must also convert the documents (that is, text, tables, formulas and drawings) to XML format as specified in 3.1.1.1 (in line with WIPO Standard ST36) and transmit the documents in both formats to the International Bureau.

For the Office-Office communication sector, Offices receiving DOCX OOXML from the applicant shall convert the documents to XML format as specified in 3.1.1.1 and use this converted XML for transmitting to other Offices in addition to the DOCX OOXML within the applicant’s package.

3.1.1.2.1 Application document

Any file in this format, if present, must be included as a referenced document. Any DOCX OOXML file used in filing an application shall contain only features that are supported by the XML features allowed for description, claims, abstract and drawings by the DTD specified for the application-body (application-body.dtd) in appendix I; this ensures that any such file is transformable into an XML document conforming to that DTD without the need for page images.

In particular, all documents in DOCX OOXML format must meet the following requirements:

(a) Office Open XML marked up according to the strict variant of OOXML for the category of “wordprocessing” (ISO/IEC 29500-1:2008-2016 Standard);

(b) The headings and sections within the application document must adhere to the Common Application Format (CAF) standard using a paragraph style that adheres to the Office Open XML naming standards, as follows:

- Paragraphs including compliant paragraph numbering as specified in 3.1.1.1.1

- Titles of the main sections of the application as specified in 3.1.1.2.2

- Description sub-sections as specified in 3.1.1.2.2 (recommended)

- Claim lists as specified in 3.1.1.2.2

- Figure lists as specified in in 3.1.1.2.2

- Reference numbers

	• Patent and non-patent citations • Bio-deposit • Citation list (c) no encrypted text; (d) no encrypted signatures; (e) no hidden text; (f) No annotations (e.g. comments, ink annotations, etc.) ; (g) No tracking changes; (h) no embedded OLE objects; (i) embedded images must be in TIFF, JPEG or PNG format (j) No bookmarks (k) No headers and footers; (l) No watermarks; (m) No content controllers; (n) color of the text is black; (o) Typographical text highlighting effects are limited to the ones defined in the “application-body.dtd” (e.g. underline, bold, italic, etc.) (p) all text in the document must be typed using any unicode font, preferably the following ones: - Unicode Arial MS; - MS-Gothic; - MS-Simsun; (q) Preferably font size 11 for plain text within the application body. This is the font size on which the number of pages of the document shall be counted; 3.1.1.2.2 Application headings and sections The headings and sections of the application must comply to the CAF guidelines (see example at http://www.wipo.int/pct/en/filing/caf_example.html) including the corresponding order of appearance. For a EN application the following is required: Headings of the application body (mandatory): - Description - Claims

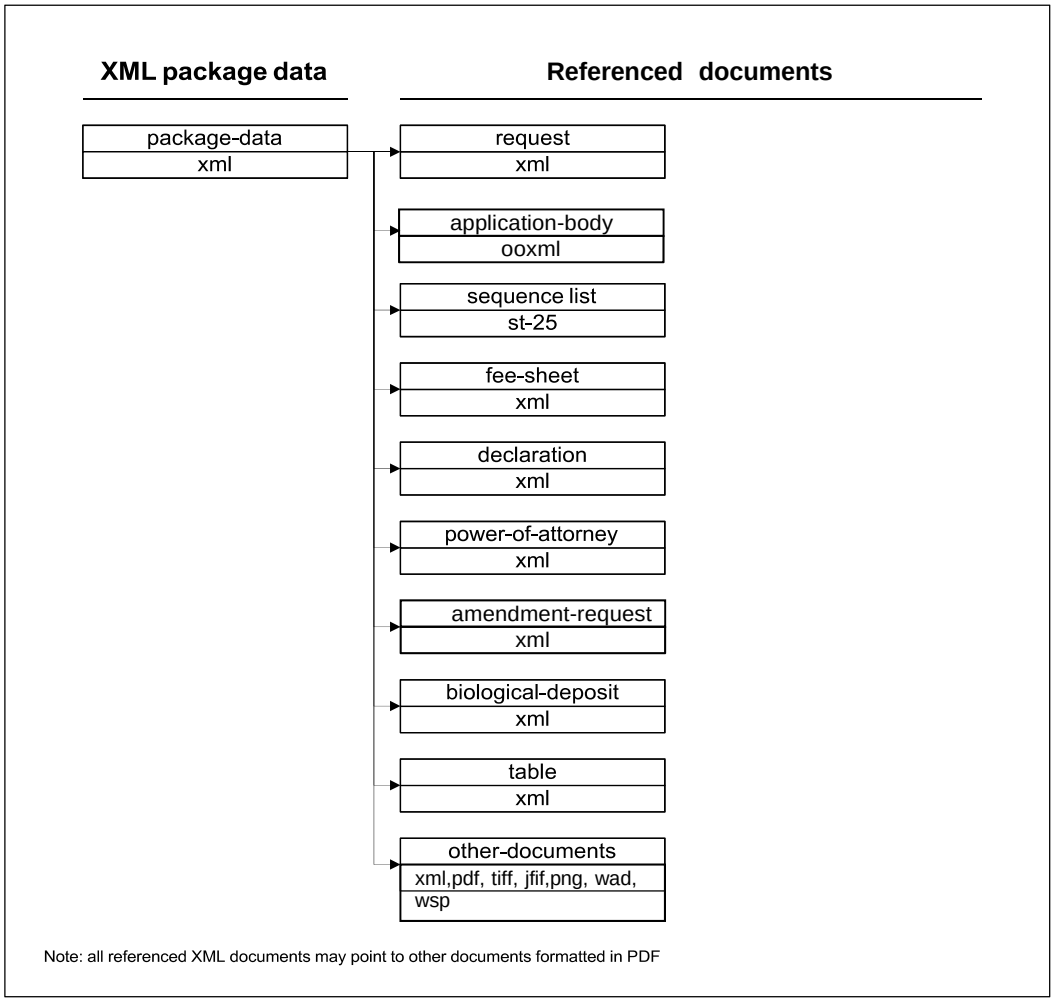
	- Abstract - Drawings (where required) Sections and sub-sections in a description (recommended): - Title of Invention or Title - Technical Field or Field - Background Art or Background - Summary of Invention or Summary • Technical Problem • Solution to Problem • Advantageous Effects of Invention - (Brief Description of Drawings) - Description of Embodiments • Examples - Industrial Applicability - Reference Signs List - Reference to Deposited Biological Material - (Sequence Listing Free Text) - Citation List • Patent Literature • Non Patent Literature List of claims (mandatory): The claims must be listed in numbered sequence, as follows: Claim 1 Claim 2 To Claim N Drawings (mandatory where required): The figures must be listed in numbered sequence, as follows: Fig. 1 Fig. 2 To Fig. N
Reason:	

Item 2	
Location:	Annex F Section 3 [insertion of new 3.1.3.3]
Change:	**FROM:** **TO:** 3.1.3.3 Portable Network Graphics (PNG) Any file in this format, if present, must be included as a referenced document. PNG images for use in IA document exchange must meet the following requirements: (a) Resolution of either 300 or 400 dpi (b) Maximum size of 255mm by 170mm. (c) No transparent pixels For the Applicant-Office (international phase) communication sector, receiving Offices shall notify the International Bureau whether they will accept images in this format. Images may be used for drawings, figures, equations or other illustrations. This format is not intended to be used as a replacement for character-coded document formats. For the Office-Office communication sector, Offices shall notify the International Bureau whether they will transmit or accept images in this format.
Reason:	

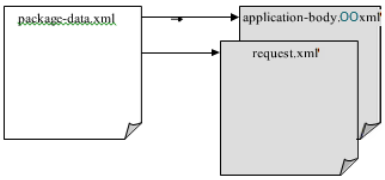
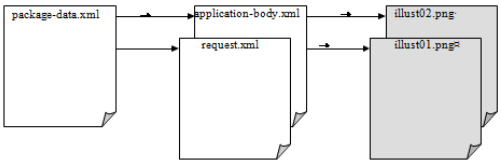
Item 3	
Location:	Annex F Section 3.2

Change:	**FROM:**
	
	`TIFF or JPG`
	
	AND FROM:
	
	`tiff, jfif, pdf`
	
	TO:
	
	`TIFF, JFIF or PNG`
	
	AND TO:
	
	`tiff, jfif, pdf, png`

Reason:	

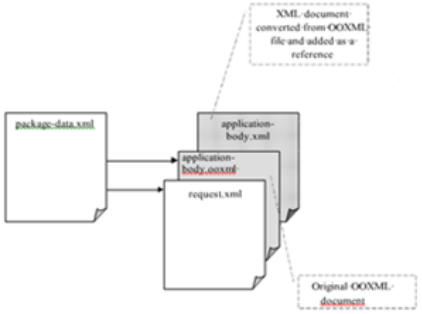
Item 4	
Location:	Annex F Section 3.2 [new Diagram Inserted]
Change:	**FROM:** **TO:**  Figure 2ter - Example of E-PCT IA structure where the text of the description, claims and abstract is in character coded format (in DOCX OOXML format)
Reason:	

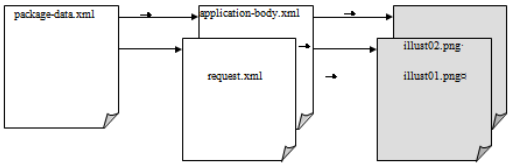
Item 5	
Location:	Annex F Section 3.4 [new Diagrams Inserted] Applicant to Office Sector
Change:	**FROM:** **TO:**

DOCX OOXML See section 3.1.1.2	A receiving Office shall notify the IB whether it will accept documents in this format. Any Office that chooses to accept documents in this format must also convert the documents in XML (see section 3.1.1.1) and transmit those documents in both formats to the IB.	
PNG See section 3.1.3.3	A receiving Office shall notify the IB whether it will accept images in this format.	

Reason:	Additional possibilities for the transfer of files in the Applicant to Office Sector

Item 6	
Location:	Annex F Section 3.4 [new Diagrams Inserted] Office to Office Sector
Change:	**FROM:** **TO:**

DOCX OOXML See section 3.1.1.2	Offices shall notify the IB whether they will transmit or accept documents in this format. For documents originally submitted in DOCX OOXML format, Offices must transmit the original DOCX OOXML documents in addition to the document converted in XML (see section 3.1.1.1) and transmit those documents in both formats to the IB.	

PNG See section 3.1.3.3	An Office shall notify the IB whether it will transmit or accept images in this format.	

Reason:	Additional possibility for Offices to transfer files in the Office to Office Sector

Item 7	
Location:	Annex F Table 5 *File name extensions accepted*
Change:	**FROM:**

File name extensions accepted

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

TO:

File name extensions accepted	
txt	Text file, see section 3.1.1.4.
xml	XML file, see section 3.1.1.1.
docx	**OOXML file, see section 3.1.1.2.**
tif	TIFF file, see section 3.1.3.1.
jpg	JFIF file, see section 3.1.3.2.
png	**PNG file, see section 3.1.3.3.**
pdf	Portable document format (PDF) file, see section 3.1.2.
app	ST.25 file, see section 3.1.1.3.
zip	Archive file containing one or more files

Reason:	PNG is requested as an additional image format

Item 8	
Location:	Annex F REFERENCES {insertion of additional reference
Change:	**FROM:** **TO:** ISO/IEC 29500-1:2011 Information technology -- Document description and processing languages -- Office Open XML File Formats
Reason:	This reference is required to specify OOXML

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