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ПРЕДЛОЖЕНИЕ О ПЕРЕСМОТРЕ СТАНДАРТА ВОИС ST.37

Документ подготовлен Секретариатом

РЕЗЮМЕ

1. Целевая группа по ведомственному досье предлагает пересмотреть стандарт ВОИС ST.37, представляющий собой набор рекомендаций, касающихся необходимых элементов досье патентного органа, а также допустимых форматов, в которых оно может быть представлено. Пересмотр стандарта ВОИС ST.37 призван внести уточнения в его текущую версию 2.2 и оказать поддержку применению стандарта международными поисковыми органами в их усилиях по соблюдению новых требований, изложенных в Административной инструкции к Договору о патентной кооперации (PCT).

СПРАВОЧНАЯ ИНФОРМАЦИЯ

2. Целевая группа по ведомственному досье возобновила свою работу по итогам двенадцатой сессии Комитета по стандартам ВОИС (КСВ) после получения от государств-членов отзывов относительно необходимых обновлений стандарта ВОИС ST.37 (см. пункты 171 и 172 документа CWS/12/29).

3. Кроме того, поскольку новая Инструкция PCT вступит в силу 1 января 2026 года, многие новые ведомства готовят свое первое ведомственное досье, чтобы соответствовать новым требованиям в отношении минимума документации PCT, изложенным в новом приложении H к Административной инструкции PCT (см. документ C.PCT 1660).

4. На своей двенадцатой сессии КСВ одобрил пересмотр задачи № 66, описание которой гласит:

«Мотивировать ведомства ИС представлять свои ведомственные досье в соответствии с требованиями стандарта ВОИС ST.37 путем оказания им всей необходимой технической поддержки и организации подготовки с учетом имеющихся ресурсов, а также осуществить необходимый пересмотр и обновление стандарта ВОИС ST.37».

5. В рамках выполнения задачи № 66 Целевая группа провела один семинар в гибридном формате и два совещания Целевой группы в режиме онлайн. В ходе этих мероприятий Целевая группа работала над проектом пересмотренного стандарта ВОИС ST.37, стремясь улучшить удобочитаемость стандарта, прояснить все несоответствия и представить все недостающие рекомендации. Более подробная информация о работе, проделанной Целевой группой после последней сессии КСВ, представлена в документе CWS/13/13.

ПРЕДЛАГАЕМЫЕ ИЗМЕНЕНИЯ К СТАНДАРТУ ВОИС ST.37

6. Целевая группа по ведомственному досье подготовила предложение о пересмотре стандарта ВОИС ST.37 для рассмотрения и, при необходимости, утверждения КСВ. Предложение по пересмотру стандарта ВОИС ST.37 воспроизводится в приложении I к настоящему документу, где зачеркнутый текст означает, что его предлагается исключить, а подчеркнутый — добавить. Приложение II к настоящему документу представляет собой обновленную XML-схему, а приложение III к настоящему документу — обновленное определение типа документа (DTD). Приложение IV к настоящему документу представляет собой обновленный XML-экземпляр (дополнение к приложению III к стандарту ВОИС ST.37), а приложение V к настоящему документу представляют собой обновленный XML-экземпляр (дополнение к приложению IV).

7. Предлагаемые изменения, согласованные Целевой группой для внесения в стандарт ВОИС ST.37, можно резюмировать нижеследующим образом.

(a) Разделить содержание основной части стандарта ВОИС ST.37 на четыре новых раздела: первый раздел — обязательные элементы ведомственного досье, второй — необязательные элементы ведомственного досье, третий — формат досье и правила именования, четвертый — применение стандарта ВОИС ST.37.

(b) Включить содержание и подробные сведения об обозначениях, используемых в стандарте ВОИС ST.37, которые обычно включаются в стандарты ВОИС.

(c) Включить дополнительные определения в пункт 4, в том числе определения для «доступности для поиска по тексту» и «кода исключения публикации».

(d) Обновить список допустимых кодов исключения и улучшить соответствующие описания, чтобы обеспечить их последовательное использование.

(e) Исключить код вида как один из подэлементов, допустимых в рамках идентификации приоритетной заявки, определенной в новом пункте 19(c).

(f) Исключить «U» как допустимый индикатор доступности для поиска по тексту, определенной в новом пункте 19(d).

(g) Обновить приложение I, чтобы убрать ссылки на устаревшие коды исключений.

(h) Обновить приложение IV (DTD) и соответствующее дополнение, чтобы привести его в соответствие и устранить любые несоответствия с приложением III (XML-схема).

(i) Включить ссылку на Руководство ВОИС по подготовке материалов для Портала ведомственных досье.

(j) Прояснить все несоответствия в стандарте и при необходимости устранить их в тексте.

8. Помимо изменений, указанных выше в пункте 7, Секретариат предлагает далее внести нижеследующие изменения.

(a) Обновить стандарт, чтобы сделать представление файла определений обязательным.

(b) Обновить приложение III (XML-схема) для указания диапазона дат, в течение которых действителен тот или иной диапазон номеров публикаций.

(c) Обновить приложение III (XML-схема), чтобы включить в документацию в верхней части перечень изменений, внесенных в стандарт ВОИС ST.37 после выхода версии 2.2.

НОМЕР ВЕРСИИ И ПЕРЕХОД К ЕЕ ИСПОЛЬЗОВАНИЮ

9. Новая редакция стандарта ВОИС ST.37 предлагается в качестве версии 3.0. Это связано с изменениями, вносимыми в приложения III и IV, которые не считаются обратно совместимыми с версией 2.2, поэтому данное обновление считается существенным.

10. КСВ следует принять к сведению, что при создании ведомственного досье или обновлении существующего ведомственного досье может быть использована любая версия стандарта ВОИС ST.37. При этом Международное бюро всегда рекомендует использовать самую последнюю версию любого стандарта ВОИС. Версия 3.0 вступает в силу с даты публикации стандарта. Ведомства, которые хотят включить свои фонды патентов и полезных моделей в минимум документации PCT, должны использовать версии 2.2 или 3.0.

11. Ведомствам, которым требуется помощь в связи с применением стандарта ВОИС ST.37, следует обратиться к Руководству по ведомственному досье, размещенному на странице https://www.wipo.int/en/web/standards/authority-file-guidelines, или связаться с Международным бюро по адресу эл. почты standards@wipo.int.

12. КСВ предлагается:

(a) принять к сведению содержание настоящего документа и приложений к нему;

(b) рассмотреть и утвердить предложение по пересмотру стандарта ВОИС ST.37, как указано в пунктах 6 и 8 выше и подробно представлено в приложениях к настоящему документу; и

(c) утвердить новый номер версии в качестве версии 3.0 стандарта ВОИС ST.37, как указано в пункте 9 выше.

[Приложение I (пересмотренный стандарт ВОИС ST.37) следует]

STANDARD ST.37

RECOMMENDATION FOR AN AUTHORITY FILE OF PUBLISHED PATENT DOCUMENTS

Version ~~2.2~~3.0

Proposal presented for approval by the Committee on WIPO Standards (CWS)
at its Thirteenth Session

~~*Editorial Note by the International Bureau*~~

~~Annexes III and IV to the present Standard, which define XML schema (XSD) and Data Type Definition (DTD), are under preparation by the Task Force. They are planned to be presented for consideration and adoption by the Committee on WIPO Standards (CWS) at its sixth session in 2018.~~

~~Until the said Annexes are adopted by the CWS, the only recommended format for the purpose of this Standard is text.~~

TABLE OF CONTENTS

STANDARD ST.37 1
INTRODUCTION 2
DEFINITIONS 2
NOTATIONS 2
MANDATORY DATA ELEMENTS 3
Publication authority 4
Publication number 4
Kind code 4
Publication date 4
DEFINITION FILE 5
OPTIONAL DATA ELEMENTS 6
Priority application identification 6
Application Identification 6
Publication exception code 7
Text-searchable indicators 7
FILE FORMATS 7
FILE NAME 8
IMPLEMENTATION OF THE AUTHORITY FILE 9
REFERENCES 9

ANNEXES

Annex I – Example of a definition file
Annex II – Text file for authority file
Annex III – XML Schema definition (XSD) for authority file
Appendix to Annex III
Annex IV – Document Type Definition (DTD) for authority file
Appendix to Annex IV

STANDARD ST.37

RECOMMENDATION FOR AN AUTHORITY FILE OF PUBLISHED PATENT DOCUMENTS

Version 3.0~~2.2~~

Proposal presented for approval by the Committee on WIPO Standards (CWS)
at its Thirteenth Session

INTRODUCTION

1. This Standard defines data elements to constitute an authority file of patent documents, as well as its structure and format.

2. The primary purpose of the authority file generated by an industrial property office (IPO) is to allow other IPOs and other interested parties to assess the completeness of the available patent documentation. An authority file may also be used to capture bibliographic information for patents which form part of the PCT Minimum Documentation set[1].

3. In order to allow consistency checks, the authority file should contain the list of all publication numbers assigned by the ~~IP office~~IPO. This ~~may~~should include publication numbers for which no published document is available – this can be the case for applications withdrawn shortly before the publication or for destroyed documents – as well as publication numbers for which the publication contains only bibliographic data.

DEFINITIONS

4. For the purposes of this Standard:

(a) the term “patent documents” includes patents for inventions, plant patents, design patents, inventors’ certificates, utility certificates, utility models, patents of addition, inventors’ certificates of addition, utility certificates of addition, and published applications therefor. “Documents” means patent documents, unless otherwise stated;

(b) the terms “publication” and “published” are used in the sense of making available:

(i) a patent document to the public for inspection or supplying a copy on request; and

(ii) multiple copies of a patent document produced on, or by, any medium (e.g., paper, film, magnetic tape or disc, optical disc, online database, computer network, etc.); and

(c) according to certain national industrial property laws or regulations or regional or international industrial property conventions or treaties, the same patent application may be published at various procedural stages. For the purpose of this standard, a “publication level” is defined as the level corresponding to a procedural stage at which normally a document is published under a given national industrial property law or under a regional or international industrial property convention or treaty.

(d) the term “machine-readable” indicates that the contents of the document can be extracted by a machine. It is considered interchangeable with the term “electronically available”. Included within the scope of this term are images and PDF documents.

(e) the term “text-searchable” indicates that a particular component of the document can be identified. For example, the value of the abstract can be identified and extracted automatically by a machine. Included within the scope of this term are XML and JSON documents.

(f) the term “publication exception code” refers to a one-letter code which classifies why the particular complete patent publication is not available in machine-readable form at that time.

NOTATIONS

5. The following notations are used throughout this document:

– <>: Indicates a placeholder descriptive term that, in implementation, will be replaced by a specific instance value;

– “ ”: Indicates that the text included in quotes must be used verbatim in implementation;

– { }: Indicates that the items are optional in implementation; and

– `Courier New font`: Indicates keywords or source code

[1] See Part 4.1 of the WIPO Handbook on ~~Industrial~~Intellectual Property Information and Documentation

~~REFERENCES~~

~~1. References to the following Standards are of relevance to this Recommendation:~~

~~WIPO Standard ST.1 Recommendation Concerning the Minimum Data Elements Required to Uniquely Identify a Patent Document~~

~~WIPO Standard ST.2 Standard Manner for Designating Calendar Dates by Using the Gregorian Calendar~~

~~WIPO Standard ST.3 Recommended Standard on Two-Letter Codes for the Representation of States, Other Entities and Intergovernmental Organizations~~

~~WIPO Standard ST.6 Recommendation for the Numbering of Published Patent Documents~~

~~WIPO Standard ST.10/C Presentation of Bibliographic Data Components~~

~~WIPO Standard ST.16 Recommended Standard Code for the Identification of Different Kinds of Patent Documents~~

~~WIPO Standard ST.36 Recommendation for the Processing of Patent Information Using XML (eXtensible Markup Language)~~

~~WIPO Standard ST.96 Recommendation for the Processing of Intellectual Property Information Using XML (eXtensible Markup Language)~~

~~RECOMMENDATIONS~~

MANDATORY DATA ELEMENTS

6. An authority file is generated by the IPO and contains a list of all patent documents published by that IPO from the first publication onwards. It should ~~also~~ include ~~document~~ the numbers of documents which were ~~allocated but for~~ published but for which no ~~published~~ document is currently available ~~(see paragraphs 23 to 26~~and may include numbers within otherwise used ranges for which no document was ever published, indicating the appropriate exception codes below~~)~~.

~~2. For practical reasons, an authority file may not include documents published during a certain period (not longer than two months) before the date when the authority file was generated by the IPO. This period depends on the document processing practices of the Office and, should an IPO submit a definition file as laid down in paragraphs 36 and 37 below, then it is recommended to indicate there the date of the publication of the latest document listed in the authority file.~~

~~DATA ELEMENTS~~

~~3.~~ 7. For each publication, the authority file ~~should~~ must contain the following minimum data elements to uniquely identify all types of patent documents as originally published by the IPO:

(a) two-letter alphabetic code of the IPO publishing the document (publication authority);

(b) publication number;

(c) kind code of the patent document ~~(kind-of-document code)~~; and

(d) publication date.

~~4. In addition to the elements listed above, the authority file may contain the following data elements:~~

~~(a) publication exception code (for example to identify withdrawn or missing documents);~~

~~(b) priority application identification of the corresponding publication, which should contain the following sub-elements:~~

~~i. two-letter alphabetic code of the IPO publishing the priority application;~~

~~ii. priority application number;~~

~~iii. kind-of-document code of the priority application; and~~

~~iv. filing date of the priority application.~~

~~(c) application identification of the corresponding publication, which should contain the following sub-elements:~~

~~i. two-letter alphabetic code of the IPO publishing the application;~~

~~ii. application number; and~~

~~iii. filing date.~~

~~(d) indication of whether the abstract, description, claims of a publication are text-searchable, through selection of one of the following codes:~~

- ~~"N" – Not available~~
- ~~"U" – Unknown~~
- ~~two-letter language code(s) in which the searchable text is available, either in the original language or as an official translation~~

~~5. Publication exception code (as per paragraph 9(a) above) should be always included for the documents, for which the complete publication in machine-readable form is not available (see paragraphs 23 to 26 below). Otherwise, the data element "publication exception code" should not be populated.~~

~~6. The provision of the optional data elements indicated in paragraphs 9(b) to 9(d) above remains within the discretion of the IPO generating the authority file.~~

~~7. The list of documents in the authority file should be sorted firstly by publication number, secondly by type of document (kind code), thirdly by publication date and (optionally) fourthly by publication exception code and fifthly by priority number.~~

~~8. For the cases where a publication number has been allocated but no document has been published, data elements "kind code" and "publication date" may not be populated.~~

~~Field formatting~~

~~9.~~ 8. All elements and sub-elements listed in paragraph ~~8 and 9 above~~7 above must be recorded in separate fields.

~~10. Examples of text format and XML file structures are provided in Annexes II to IV.~~

Publication authority

9. The two-letter alphabetic code for the publication authority – country or region of the IPO generating the authority file – ~~should~~ must follow the recommendations of WIPO Standard ST.3.

Publication number

10. Any non-alphanumeric characters – for example, those used as separators, such as dots, commas, dashes, slashes, spaces – should preferably be removed from the publication number, while generally the publication number should follow~~be following~~ the recommendations of WIPO Standard ST.6.

Document k~~K~~ind code

~~11.~~ 11. Different kinds of patent documents should be identified following the recommendations of WIPO Standard ST.16. If the IPO uses ~~kind-of-~~document kind codes which do not follow the recommendations of WIPO Standard ST.16, the definitions of such codes should be provided in the definition file ~~(see paragraphs 36 and 37 below)~~.

~~12.~~ 12. If no ~~kind of patent~~ document kind code was allocated or it is unknown, the corresponding data element "kind code" ~~may~~should not be populated.

~~Language code~~

~~13. The two-letter code which identifies the language that the text is provided in should follow the recommendations of WIPO Standard ST.96, ExtendedISOLanguageCodeType, which is based on International Standard ISO 639-1 "Codes for the representation of names of languages – Part 1: Alpha2-code";~~

Publication date

~~14.~~ 13. The publication date should be presented in accordance with paragraph 7(a) of WIPO Standard ~~ST.2.~~ST.2. For example, '2017-06-02' for 'June 2, 2017', except for authority files created in accordance with Annex IV, where WIPO Standard ST.36 expects the format '20170602'.

~~15.~~ 14.If the publication date of a patent document is unknown to the IPO generating the authority file or a publication number is not used, the corresponding data element "publication date" component may not be populated.

15. The list of documents in the authority file~~Publication exception code~~

~~16. The publication exception code~~ should be ~~used for~~sorted by publication ~~numbers for which the complete~~number, type of document (kind code), and by publication ~~is not available in machine-readable form.~~date.

~~17. The following single-alphabetic letter codes should be used to indicate the reason why the complete published document, for which the corresponding number is assigned, is not available:~~

~~C~~	~~Defective documents.~~
~~D~~	~~Documents deleted after the publication.~~
~~E~~	~~Publication number allocated by the IPO representing a PCT national/regional phase entry (for example Euro-PCT). No corresponding document published. A Euro-PCT application is an international (PCT) patent application that entered the European regional phase.~~
~~M~~	~~Missing published documents.~~
~~N~~	~~Not used publication number,~~ ~~for example, when publication numbers have been issued, but for some reason have not been allocated to any publication. See also paragraph 26 below.~~
~~P~~	~~Documents available on paper only.~~
~~R~~	~~Reissued publications.~~
~~U~~	~~Unknown publication numbers.~~ ~~For example, when during compilation of the authority file certain publication numbers have been found in the database, but the corresponding documents are missing without known cause. Typically this code can indicate a database error that requires further analysis.~~
~~W~~	~~Applications (or patents), which were withdrawn before the publication;~~ ~~this can include lapsed or ceased patents and might depend on national patent law regulations.~~
~~X~~	~~Code available for individual or provisional use by an IPO.~~

~~18. It is recommended to list only the numbers assigned by the IPO, but in case of small gaps in the numbering sequence (less than 1000 consecutive publication numbers), the IPO may use the publication exception code "N" to identify the numbers, which were not used.~~

~~19. The use of codes "N", "W" and "X" should be described in the definition file (see paragraphs 36 and 37 below).~~

~~Priority application identification~~

~~20. The recommendations for data elements, as indicated in paragraphs 17 to 22 above, should be applied mutatis mutandis to all sub-elements of "priority application identification" element.~~

~~21. Priority application numbers should be indicated in accordance with paragraphs 12 and 13 of WIPO Standard ST.10/C.~~

~~Application Identification~~

~~22. The recommendations for data elements, as indicated in paragraphs 17 to 22 above, should be applied mutatis mutandis to all sub-elements of "application identification" element.~~

~~23. Application numbers should be provided in the same format as it appeared on the original patent publication issued by the IPO. If the IPO uses application number formats in the authority file that are different from those used on the original publication, an explanation of the format should be provided in the definition file.~~

~~Availability of a publication in a text-searchable format~~

~~24. The availability of the abstract, description and/or, claims of a publication in a text-searchable format may be indicated in the authority file using the appropriate codes.~~

~~25. The availability in text-searchable format of each section of a publication must be identified in the authority file with a code "N" for Not available, or a "U" for Unknown (availability) or the two-letter language code(s) for each corresponding language made available by the Office, either as the original language or an official translation.~~

~~RECOMMENDED STRUCTURE AND FORMAT OF THE AUTHORITY FILE~~

DEFINITION FILE

~~26.~~ 16. It is ~~recommended~~ required that IPOs~~to~~ provide a ~~single file for all publication numbers listed in the authority file.~~

~~27. If generating a single file proves impractical due to the resulting file size, the IPO may generate several files, dividing the list of publication numbers based on one of the following criteria:~~

~~(a) Publication date (file per year or several years);~~

~~(b) Publication level (applications, granted IP rights); and~~

~~(c) Types of patent documents (file per kind-of-document code).~~

~~28. To improve file handling, IPO may generate an update file which includes data for the current year and the last calendar year and a static file including all older data.~~

~~Definition File~~

~~29. If some of the records included in the authority file contain information, which is not evident or easily understandable, it is recommended to provide a definition file~~definition file, as part of or in addition to, the authority file. Information which is not evident or easily understandable should be provided within the definition file. For example, in the definition file the IPO may:

(a) describe specific criteria for building the authority file(s);

(b) describe the use of publication exception codes~~, in particular codes "N", "W" or "X";~~.;

(c) describe the use of document kind~~ of documents~~ codes~~ (see paragraph 18 above)~~ or provide a reference to Part 7.3 of the WIPO Handbook if up-to-date information on document kind~~ of documents~~ codes is already described in Part 7.3 of the WIPO Handbook;

(d) indicate the date of the most recent document listed~~ (see paragraph 7 above);~~ ; and

(e) ~~describe~~define the numbering systems~~ used~~ or provide a reference to Parts 7.2.6 and 7.2.7 of the WIPO Handbook if up-to-date information on the numbering systems used is already described in Parts 7.2.6 and 7.2.7 of the WIPO Handbook~~; and~~.

~~(f) describe the codes used to indicate the availability of sections of the publication in text-searchable format.~~

~~30.~~ 17.To assist other IPOs and interested parties in a first assessment of the completeness of the available patent documentation, the definition file ~~may~~should also include an overview of the data coverage, for example indicate the number of publications per year by kind code or by publication level. ~~Annex I contains an example of a definition file to assist IPOs in drafting their definition files.~~

18. Annex I contains an example of a definition file to assist IPOs in drafting their definition files.

OPTIONAL DATA ELEMENTS

19. In addition to the mandatory data elements listed above~~ in paragraph 7~~, the authority file may contain the following data elements:

(a) publication exception code;

(b) application identification of the corresponding publication, which typically contains the following sub-elements:

i. two-letter alphabetic code of the IPO publishing the application;

ii. application number; and

iii. filing date.

(c) priority application identification of the corresponding publication, which typically contain the following sub-elements:

i. two-letter alphabetic code of the IPO publishing the priority application;

ii. priority application number; and

iii. filing date of the priority application.

(d) indication of whether the abstract, description, claims of a publication are text-searchable, through selection of one of the following:

– "N" – Not available; and

– two-letter language code(s) in which the searchable text is available, either in the original language or as an official translation.

20. The provision of the optional data elements indicated ~~in paragraphs 19(a) to 19(d)~~ above remains within the discretion of the IPO generating the authority file and if data is not available then IPOs may provide incomplete or any necessary modifications to sub-elements for these optional data elements.

Priority application identification

~~21. The recommendations for data elements, as indicated in paragraphs 19(c) i to 19(c) iii above, should be applied with any necessary modifications to all sub-elements of "priority application identification" element.~~

21~~2~~. Priority application numbers should be indicated in accordance with paragraph 12 of WIPO Standard ST.10/C.

Application Identification

22. An application number should be provided in the same format as it appeared on the original patent publication issued by the IPO. If the IPO uses application number formats in the authority file that are different from those used on the original publication, an explanation of the format should be provided in the definition file.

Publication exception code

23. When the complete publication in machine-readable format is not available, a publication exception code should be always be included. Otherwise, the data element "publication exception code" should not be populated.

24. The following single–alphabetic letter codes should be used to indicate the reason why the complete published document, for which the corresponding number is assigned, is not available:

Publication exception code letter	**Code description**
C	Publication document which is corrupted so that not all of the text is searchable
D	Publication document which was deleted after the publication
E	Publication number allocated by the IPO representing a PCT national/regional phase entry (for example Euro-PCT). No corresponding document published. A Euro-PCT application is an international (PCT) patent application that entered the European regional phase
M	Published document which is considered missing
N	Publication number range for which a publication document was never produced
P	Publication document which is available only on paper
W	Publication number which was assigned but withdrawn before publication of the document.
X	The use of code 'X' must be described in the IP Office's Authority Definition File

25. It is recommended to list only the numbers assigned by the IPO, but in case of small gaps in the numbering sequence (less than 1,000 consecutive publication numbers), the IPO may use the publication exception code "N" to identify the numbers, which were not used.

Text-searchable indicators

26. The availability of the abstract, description and/or claims of a publication in a text-searchable format may be indicated in the authority file using the appropriate text-searchable indicators.

27. The availability in text-searchable format of each section of a publication must be identified in the authority file with a code "N" for "Not available", or the two-letter language code(s) for each corresponding language made available by the ~~generating Office~~IPO, either as the original language or an official translation.

28. The two-letter code, which identifies the language the text is provided in, should follow the recommendations of WIPO Standard ST.96, `ExtendedISOLanguageCodeType`, based on International Standard ISO 639-1 "Codes for the representation of names of languages – Part 1: Alpha2-code".

~~File Format~~FILE HANDLING

29. If an IPO finds it necessary to generate the authority file as comprising several files, it is recommended that the list of publication numbers ~~are~~is split based on one or more of the following criteria:

(a) Publication date (file per year or several years);

(b) Publication level (applications, granted IP rights); and

(c) Types of patent documents (file per document kind code).

30. To improve file handling, an IPO may generate an update file which includes only data for the current year and a static file including all older data. The Office would then indicate using the update category, that the new file is the delta only.

FILE FORMAT

~~31.~~ 31. The file must be encoded using Unicode UTF-8.

~~32.~~ 32. With the aim to harmonize, as much as possible, the current practices to exchange and ~~parsing of~~parse authority files, two file formats are recommended:

(a) XML (eXtensible Markup Language) format – to identify the content of minimum data elements~~fields~~ of an authority file (see ~~paragraphs 8 and 9 above~~paragraph 7) using XML tags within an instance, either in an XML schema (as defined in Annex III) or a Document Type Definition (DTD) (see Annex IV) format; and

(b) Text format (file extension TXT or CSV) – to identify the content of minimum data elements~~fields~~ and the optional publication exception code element using a single text coded list, where the elements are separated by commas (preferred), tabs or semicolons and a "Carriage Return and Line Feed" (CRLF character) to represent the end of each record ~~(as defined in Annex II). Text files are smaller in size than XML files.~~ However, IPOs may also include application identification information optionally as long as the content of each data field is clear and obvious. Examples showing minimum data fields and optional elements are shown in Annex II.

~~33. XML is the preferred format for the purpose of this Standard, as it provides clear data element contents and allows automatic validation of its structure and type. IPOs may use text format for simple authority files, which contain minimum data elements (as per paragraph 8 above) and, if applicable, publication exception code only; the content of each data field should be obvious.~~

33. Examples of text format and XML file structures are provided in Annexes II to IV.

~~File name~~FILE NAME

~~34.~~ 34. The file name of the authority file generated by an IPO should be structured as follows:

(a) ~~for a~~A single ~~file (see paragraph 33 above) – CC_AF_YYYYMMDD, where "CC" is the~~filename should consist of a generating Office ST.3 code ~~of~~, the ~~IPO,~~string "AF"~~ means "authority" file"~~ and ~~"YYYYMMDD" – date of~~ the generation ~~of the authority file.~~
date in format YYYMMDD followed by the file extension i.e., `<generating Office ST.3 code> AF YYYYMMDD.<file extension (xml or txt or csv)>`
For example,
`EP_AF_20160327.txt` – single authority file generated by the EPO on March 27, 2016~~;~~ in text format; and

(b) The filename for each one of multiple files ~~(see paragraph 34 above) CC_AF_{~~of which an authority file is comprised of should consist of generating Office ST.3 code, the string "AF", criterion information~~}_KofN_YYYYMMDD, where "CC" is the ST.3 code of the IPO, "AF" means "authority file", {criterion information} is a place-holder and K is~~, the index number of ~~this file, N is~~the file in relation to the total number of files following by the string "of" with the total number of files generated and ~~"YYYYMMDD" –~~ the file generated date followed by the file extension i.e., `<generating Office ST.3 code>_AF_{criterion information}_<index of number of the ~~generation of~~file in relation to the ~~authority file.~~total number of files>of<total number of files generated>_YYYYMMDD.<file extension (xml or txt or csv)>.`

For example,

- `EP_AF_A-documents_1of2_20160327.txt` – first of two parts of the authority file generated by the EPO on March 27, 2016 in text format, this part covers applications only;
- `EP_AF_B-documents_2of2_20160327.txt` – second of two parts of the authority file generated by the EPO on March 27, 2016 in text format, this part covers granted patents only.

~~(b)~~
(c) for the instance where multiple files are provided, and each covers a different time period, please refer to the table below for an example of recommended file naming:

Example file name	Related comment

~~-~~`<generating Office ST.3 code>"_"<authority file acronym "AF">"_"gazette"<NNXXX>"_"<file generation date>"."<file extension (xml or txt or csv).`
 	
`For example,`
`CC_AF_gazetteNNXXXX_YYYYMMDD.~~ff~~txt`
	Example contains the authority file for ~~publication~~authority CC produced in time period NNXXXX where NN is the week number, XXXX is the year~~ and ff is the~~, in text file format ~~(XML or TXT)~~

`<generating Office ST.3 code>"_"<authority file acronym "AF">"_"year"<XXXX>"_"<file generation date>"."<file extension (xml or txt or csv).`
 	
`For example,`
	Example contains the authority file for authority CC in the year XXXX~~-~~, in text file format

CC_AF_yearXXXX_YYYYMMDD.~~ff~~ txt	
<generating Office ST.3 code>" "<authority file acronym "AF">" "<file generation date>"."<file extension (xml or txt or csv). For example, CC_AF_YYYYMMDD.txt	Example contains the authority file with for authority CC in text file format
<generating Office ST.3 code>" "<authority file acronym "AF">" "<authority file year>" "<kind code>"DOCUMENTS" "<file generation date>"."<file extension (xml or txt or csv). For example, CC_AF_~~YYYYMMDD.ff~~YYYY_K_DOCUMENTS.txt	Example contains the authority file for authority CC in the year YYYY with text file format ~~ff~~and containing documents of kind code K
<generating Office ST.3 code>" "<authority file acronym "AF">"."<file extension (xml or txt or csv). For example, CC_AF.zip	~~A~~Example is a zipped file which contains any of the ~~three~~ files above

IMPLEMENTATION OF THE AUTHORITY FILE

~~35.~~ 35. In order to ensure efficiency of the data exchange, authority files in XML format must be structured according to the XML schema (XSD) or the data type definition (DTD) file as specified in Annex III and Annex IV, respectively. Text files must be structured according to the data structures provided in Annex II.

~~36.~~ 36. The update frequency for the authority file should be at least annual. An authority file that is complete for all publications to the end of the previous calendar year should be provided by the IPO by March 1 of the following year~~The date the annual update should be provided by IPOs is March 1 each year~~.

~~37. It is recommended that IPOs generate and make available authority files covering all assigned document numbers, no later than two months after the last covered publication date. For example, an authority file with data coverage until the end of 2017 should be made available before March 1, 2018.~~

~~38.~~ 37. If an error is discovered in an authority file, a replacement file should be provided by the IPO as soon as possible.

38. A set of guidelines for authoring the authority file by an IPO ~~Office~~ is available here: https://www.wipo.int/standards/en/authority-file-guidelines.html

REFERENCES

39. References to the following documents are of relevance to this Recommendation:

WIPO Standard ST.1	Recommendation Concerning the Minimum Data Elements Required to Uniquely Identify a Patent Document
WIPO Standard ST.2	Standard Manner for Designating Calendar Dates by Using the Gregorian Calendar
WIPO Standard ST.3	Recommended Standard on Two–Letter Codes for the Representation of States, Other Entities and Intergovernmental Organizations
WIPO Standard ST.6	Recommendation for the Numbering of Published Patent Documents

WIPO Standard ST.10/C	Presentation of Bibliographic Data Components
WIPO Standard ST.16	Recommended Standard Code for the Identification of Different Kinds of Patent Documents
WIPO Standard ST.36	Recommendation for the Processing of Patent Information Using XML (eXtensible Markup Language)
WIPO Standard ST.96	Recommendation for the Processing of Intellectual Property Information Using XML (eXtensible Markup Language)

[Annex I of ST.37 follows]

ANNEX I

EXAMPLE OF A DEFINITION FILE

Version 3.0~~2.2~~

Proposal presented for approval by the Committee on WIPO Standards (CWS)
at its Thirteenth Session

Definition File for XX Authority File

This definition file relates to the following authority file: XX_AF_20170322

Date of production

2017-03-22

Data coverage

Public XX documents from 1974-01-01 to 2016-12-31.

The XX authority file lists all XX patent and, if applicable, XX utility model publications.

Coverage according to document type and kind-of-document code (see ~~Part 7.3 of the WIPO Handbook~~Part 7.3.2 of the WIPO Handbook for details on kind codes):

Type	Kind Code	Total
Patent Application	A1	125.568
Patent Application	A2	96.430
Patent Granted	B1	144.879
Utility Model Application	U	24.332
Utility Model Examined	Y1	18.445

A detailed (annual) data-coverage can be found online at http://www.XX-office.org/coverage.

Used options

- Application information is provided where available
- Priority data not included
- Availability of abstract, description and claims of the publication in text-searchable format is provided
- ~~Publication Exception Codes~~Additional publication exception codes used are the following:

Publication Exception Code	Definition
D	Documents deleted after the publication.
E	PCT applications which have not been republished
M	Missing published documents
~~R~~	~~Reissued publications~~
~~U~~N	~~Unknown publication~~Publication numbers not used
X	~~Bibliographic details of filed patent applications, as announced in the Gazette published by the office~~Publication or application numbers have been modified
W	Applications (or patents), which were withdrawn before the publication

Remark:

X~~R~~ – ~~Reissued publication~~Publication/application number modified

~~Before~~ Between 1939~~2001-01-01~~ until 1950 ~~correction requests from applicants and proprietors at the XX office were registered and executed, but not recorded in necessary electronic formats. Therefore these so-called reissued publications are only available with bibliographic data but not as published documents~~certain patent publications or patent applications were published with the same publication or application number. To address this problem, the publication or application number was corrected after the initial publication to ensure uniqueness in the authority file.

Numbering Formats:

For details on the numbering systems used by XX office see the corresponding entries in Parts 7.2.6 and 7.2.7 of the WIPO Handbook.

[Annex II of ST.37 follows]

ANNEX II

TEXT FILE (TXT)

Version ~~2.2~~3.0

Proposal presented for approval by the Committee on WIPO Standards (CWS)
at its Thirteenth Session

1. The authority file text structure lists the minimum data elements, the optional publication exception code element, and the optional text-searchable indicators for abstract, description and claims ~~indication code~~ elements (see ~~paragraphs 8 and 9~~paragraph 7 of Main Body) for each publication record in one line, separated by a comma (preferred), ~~tab~~ or semicolon and a "Carriage Return and Line Feed" ~~(CRLF character)~~or equivalent end of line character to ~~represent~~ signal the end of each record.

2. Data structure for mandatory components with optional text searchable indicators: `<publication authority>,<publication number>,<kind-of-document code>,<publication date>,<publication exception code~~>,<~~>, <searchable abstract code (language codes or N~~ or U~~)>, <searchable description code (language codes or N ~~or U~~)>, <searchable claims code (language codes or N ~~or U~~)> <CRLF>.`

3. Data structure including all allowable optional components: `<publication authority>,<publication number>,<kind-of-document code>,<publication date>,<publication exception code>, <application authority>,<application number>,<filing date>, <searchable abstract code (language codes or N)>, <searchable description code (language codes or N)>, <searchable claims code (language codes or N)> <CRLF>.`

~~1.~~4. The code~~s~~ "N" ~~and "U"~~ in the elements <searchable description code>, <searchable claims code> <searchable abstract code> mean "Not available~~" and "Unknown~~", respectively. The codes "language code" e.g., "en" and~~,~~ "N~~" and "U~~" are represented as a suffix of the corresponding element of the publication using one of the following options, following by a dash:

i. ABST - Abstract
ii. DESC - Description
iii. CLMS – Claims

5. If there are multiple languages available for these elements, the language indications must be separated by spaces instead of the separator referred to in paragraph 1 above. For example: ~~ABST-en ABST-de ABST-fr, DESC-N, CLMS-N~~

```
ABST-en ABST-de ABST-fr, DESC-N, CLMS-N
```

6. This first example illustrates an authority file, produced with only the mandatory elements, represented using a TXT structure with comma separators:

```
…

UA,1,C2,1993-04-30 <CRLF>
UA,1,U,1995-06-30 <CRLF>
UA,2,C2,1993-04-30 <CRLF>
UA,2,U,1995-06-30 <CRLF>
UA,3,C2,1993-04-30 <CRLF>
```

7. This second example illustrates an authority file, produced with the optional text-searchable abstract, description and claims ~~indication code~~indicator elements again represented using a TXT structure where the data elements are separated by a comma:

```
…

EP,2363052,A1,20110907,W,~~-~~ABST-~~U~~N, DESC-~~U~~N, CLMS-~~U~~N <CRLF>
EP,2363053,A2,20110907,M, ABST-en, DESC-N, DESC-N<CRLF>
EP,2540632,A1,20130102,P,~~-~~ABST-N, DESC-N, CLMS-N<CRLF>
EP,2540632,B1,20151202,,ABST-en ABST-fr ABST-de, DESC-en, CLMS-en<CRLF>
```

[Annex III of ST.37 follows]

ANNEX III

XML SCHEMA DEFINITION (XSD) FOR AUTHORITY FILE

Version 3.0~~2.2~~

Proposal presented for approval by the Committee on WIPO Standards (CWS)
at its Thirteenth Session

Editorial Note by the International Bureau:

Annex III of WIPO Standard ST.37 is the set of XML schema components to represent the minimum and extended data elements of an Authority File of patent documents issued by a Patent Office. Annex III is based on WIPO Standard ST.96, including the naming convention used to identify the names of the specific data components for Authority File. Annex III includes an Appendix which is a sample XML instance of an Authority File structured according to the XML schema of ~~, according to~~ WIPO Standard ST.96 V~~v~~ersion 8.0 ~~V4_0.~~[2]

~~<?~~ The complete XSD can be downloaded from here but its contents are also included for reference below:
https://www.wipo.int/standards/XMLSchema/AFPatent/V3_0/PatentAuthorityFile_V3_0.xsd

```
<?xml version="1.0" encoding="UTF-8"?>
<xsd:schema xmlns:xsd="http://www.w3.org/2001/XMLSchema"
xmlns:afp="http://www.wipo.int/standards/XMLSchema/AFPatent"
xmlns:com="http://www.wipo.int/standards/XMLSchema/ST96/Common"
xmlns:pat="http://www.wipo.int/standards/XMLSchema/ST96/Patent"
targetNamespace="http://www.wipo.int/standards/XMLSchema/AFPatent"
elementFormDefault="qualified" attributeFormDefault="qualified" version="V32_20">
        <xsd:import namespace="http://www.wipo.int/standards/XMLSchema/ST96/Patent"
schemaLocation="http://www.wipo.int/standards/XMLSchema/AFPatent/V2_1/ST96_Patent_V4PatentPublication_V8_0.xsd"/>
        <xsd:import namespace="http://www.wipo.int/standards/XMLSchema/ST96/Common"
schemaLocation="http://www.wipo.int/standards/XMLSchema/AFPatent/V2_1/ST96_Common_V4_0PatentPublication_V8_0_Common.xsd"/>
        <xsd:annotation>
                <xsd:appinfo>
                        <com:SchemaLastModifiedDate>2021-11-052025-1103-096</com:SchemaLastModifiedDate>

        <com:SchemaContactPoint>xml.standards@wipo.int</com:SchemaContactPoint>
        <com:SchemaReleaseNoteURL>http://www.wipo.int/standards/XMLSchema/AFPatent/V2_2/ReleaseNotes.pdf</com:SchemaReleaseNoteURL>
                        <xsd:documentation>Changes introduced since version 2.2 comprise:
            (i)   Adding a new bag to capture multiple number ranges in
            AuthorityFileDataCoverageType - PublicationNumberRangeBag
            (ii)  Adding a date range for which the number range is effective - StartDate and
            EndDate added to PublicationNumberRangeType
            (iii) Created new definition for PriorityApplicationIdentificationBag which
            allows the application number to be optionally provided
            (iv)  Updating AuthorityFileEntry to refer to the new priority application
            component
            (v)   Removed codes R and U from the list of allowable exception codes
            (vi)  Included new component DocumentTotalQuantity and DocumentCoverageURI and
            updateAFCategory as no longer present in ST.96
                        </xsd:documentation>
```

```
                </xsd:appinfo>
        </xsd:annotation>
        <xsd:element name="PatentAuthorityFile" type="afp:PatentAuthorityFileType">
                <xsd:annotation>
                        <xsd:documentation>Authority file for patent documents provided by
patent offices according to WIPO Standard ST.37</xsd:documentation>
                </xsd:annotation>
        </xsd:element>
        <xsd:element name="AuthorityFileDataCoverage"
type="afp:AuthorityFileDataCoverageType">
                <xsd:annotation>
                        <xsd:documentation>List of patent documents published by industrial
property offices grouped according to their ST.16 kind-of-document codes for a given date
range</xsd:documentation>
                </xsd:annotation>
        </xsd:element>
        <xsd:complexType name="AuthorityFileDataCoverageType">
                <xsd:sequence>
                        <xsd:element ref="~~com~~afp:PublicationDateRange"/>
                        <xsd:element ref="afp:~~PublicationNumberRange~~PublicationNumberRangeBag"
minOccurs="0"/>
                        <xsd:element ref="afp:KindCodeCoverageBag" minOccurs="0"/>
                        <xsd:element ref="afp:ExceptionCodeCoverageBag" minOccurs="0"/>
                        <xsd:element ref="afp~~com~~:DataCoverageURI" minOccurs="0"/>
                </xsd:sequence>
        </xsd:complexType>
        <xsd:element name="AuthorityFileDefinition" type="afp:AuthorityFileDefinitionType">
                <xsd:annotation>
                        <xsd:documentation>Provide definition file information relating to
this associated authority file, including file coverage</xsd:documentation>
                </xsd:annotation>
        </xsd:element>
        <xsd:complexType name="AuthorityFileDefinitionType">
                <xsd:choice maxOccurs="unbounded">
                        <xsd:element ref="afp:ExceptionCodeDefinitionBag"/>
                        <xsd:element ref="pat:PatentDocumentKindCodeDefinitionBag"/>
                        <xsd:element ref="~~com~~afp:MostRecentDocument"/>
                        <xsd:element ref="afp:AuthorityFileDataCoverage"/>
                        <xsd:element ref="com:CommentText"/>
                        <xsd:element ref="com:DocumentLocationURI"/>
                </xsd:choice>
                <xsd:attribute ref="com:id"/>
                <xsd:attribute ref="afp:groupedAFIndicator" use="required"/>
                <xsd:attribute ref="afp:groupAFCategory"/>
                <xsd:attribute ref="com:updateAFCategory" use="required"/>
        </xsd:complexType>
        <xsd:element name="AuthorityFileEntry" type="afp:AuthorityFileEntryType">
                <xsd:annotation>
                        <xsd:documentation>An authority file entry consists of data required
to uniquely identify a patent publication according to WIPO ST.37</xsd:documentation>
                </xsd:annotation>
        </xsd:element>
        <xsd:element name="DataCoverageURI" type="xsd:anyURI">
                <xsd:annotation>
                        <xsd:documentation>
                                Provides the URI for where details regarding the data coverage
can be found online
                        </xsd:documentation>
                </xsd:annotation>
        </xsd:element>
        <xsd:element name="~~SearchableDescriptionCode~~PublicationDateRange"
type="afp:~~TextSearchableCodeType~~PublicationDateRangeType">
                <xsd:annotation>
                        <xsd:documentation>~~A code~~Publication date range over which ~~indicates~~
the ~~language of the description if a text searchable description~~authority file is
~~available, or otherwise the code values N (not available) or U (unknown)~~
valid</xsd:documentation>
                </xsd:annotation>
        </xsd:element>
```

```
        <xsd:complexType name="PublicationDateRangeType">
                <xsd:sequence>
                        <xsd:element ref="com:StartDate"/>
                        <xsd:element ref="com:EndDate"/>
                </xsd:sequence>
        </xsd:complexType>
        <xsd:element name="SearchableDescriptionCode" type="afp:SearchableCodeType">
                <xsd:annotation>
                        <xsd:documentation>A code which indicates the language if a text-
searchable description is available, or otherwise indicated with 'N' if not
available</xsd:documentation>
                </xsd:annotation>
        </xsd:element>
        <xsd:complexType name="SearchableCodeType">
                <xsd:choice>
                        <xsd:element ref="afp:NotSearchableCode"/>
                        <xsd:element ref="afp:SearchableLanguageCode" minOccurs="1"
maxOccurs="unbounded"/>
                </xsd:choice>
                <xsd:attribute ref="com:id"/>
        </xsd:complexType>
        <xsd:element name="NotSearchableCode" type="afp:NotSearchableCodeTypexsd:string"
default="N">
                <xsd:annotation>
                        <xsd:documentation>Where the text is not available, the searchable,
this indicator is the codeset to N if the information is not available or the code U if it
is unknown whether this information is available</xsd:documentation>
                </xsd:annotation>
        </xsd:element>
        <xsd:element name="SearchableLanguageCode" type="com:ISOLanguageCodeType">
                <xsd:annotation>
                        <xsd:documentation> A two2-letter language code indicates, for
searchable text,indicating the language made available by the text-searchable abstract,
claims if a text-searchable claimsor description is available, or otherwise the code values
N (not available) or U (unknown) in</xsd:documentation>
                </xsd:annotation>
        </xsd:element>
        <xsd:element name="SearchableClaimsCode" type="afp:SearchableCodeType">
                <xsd:annotation>
                        <xsd:documentation>A code which indicates the language of the claims
if a text-searchable claims is available, or otherwise the code values 'N'(not available)
or U (unknown)</xsd:documentation>
                </xsd:annotation>
        </xsd:element>
        <xsd:element name="SearchableAbstractCode"
type="afp:TextSearchableCodeTypeSearchableCodeType">
                <xsd:annotation>
                        <xsd:documentation>A code which indicates the language of the abstract
if a text-searchable abstract is available, or otherwise the code values N (not available)
or U (unknown) as defined in WIPO ST.37 value 'N'</xsd:documentation>
                </xsd:annotation>
        </xsd:element>
        <xsd:simpleType name="NotSearchableCodeType">
                <xsd:restriction base="xsd:token">
                        <xsd:enumeration value="N">
                                <        </xsd:annotation>
                                        <xsd:documentation>Not available</xsd:documentation>
                                </xsd:annotation>
                        </xsd:enumeration>
                        <xsd:enumeration value="U">
                        </xsd:element        <xsd:annotation>
                                        <xsd:documentation>Unknown if
available</xsd:documentation>
                                </xsd:annotation>
                        </xsd:enumeration>
                </xsd:restriction>
        </xsd:simpleType>
        <xsd:complexType name="AuthorityFileEntryType">
                <xsd:sequence>
                        <xsd:element ref="pat:PatentPublicationIdentification"/>
```

```
                        <xsd:element ref="afp:ExceptionCode" minOccurs="0"/>
                                                <xsd:element ref="pat:ApplicationIdentification"
                minOccurs="0"/>
                        <xsd:element ref="patafp:PriorityApplicationIdentificationBag"
minOccurs="0"/>
                        <xsd:element ref="afp:SearchableAbstractCode" minOccurs="0"
maxOccurs="1"/>


                        <xsd:element ref="afp:SearchableDescriptionCode" minOccurs="0"
maxOccurs="1"/>
                        <xsd:element ref="afp:SearchableClaimsCode" minOccurs="0"
maxOccurs="1"/>
                </xsd:sequence>
                <xsd:attribute ref="com:id"/>
        </xsd:complexType>
        <xsd:complexType name="PatentAuthorityFileType">
                <xsd:sequence>
                        <xsd:element ref="afp:AuthorityFileDefinition" minOccurs="0"/>
                        <xsd:element ref="afp:AuthorityFileEntry" maxOccurs="unbounded"/>
                </xsd:sequence>
                <xsd:attribute ref="com:id"/>
                <xsd:attribute ref="com:officeCode" use="required"/>
                <xsd:attribute ref="com:creationDate"/>
                <xsd:attribute ref="afp:st37Version" use="required"/>
                <xsd:attribute ref="com:ipoVersion"/>
        </xsd:complexType>
        <xsd:attribute name="groupedAFIndicator" type="xsd:boolean">
                <xsd:annotation>
                        <xsd:documentation>Indicates that the authority file has been grouped,
or not, according to one of the defined categories</xsd:documentation>
                </xsd:annotation>
        </xsd:attribute>
        <xsd:element name="DocumentTotalQuantity" type="xsd:nonNegativeInteger">
                <xsd:annotation>
                        <xsd:documentation>Total number of documents available or
provided</xsd:documentation>
                </xsd:annotation>
        </xsd:element>
        <xsd:element name="ExceptionCode" type="afp:ExceptionCodeType">
                <xsd:annotation>
                        <xsd:documentation>A one-letter code which classifies why the
particular complete patent publication is not available in machine-readable form at that
time ExceptionAn exception code as indicateddefined in WIPO ST.37</xsd:documentation>
                </xsd:annotation>
        </xsd:element>
        <xsd:element name="ExceptionCodeCoverage" type="afp:ExceptionCodeCoverageType">
                <xsd:annotation>
                        <xsd:documentation>Data coverage summary by exception code including
total quantity of documents</xsd:documentation>
                </xsd:annotation>
        </xsd:element>
        <xsd:complexType name="ExceptionCodeCoverageType">
                <xsd:sequence>
                        <xsd:element ref="afp:ExceptionCode"/>
                        <xsd:element ref="comafp:DocumentTotalQuantity"/>
                </xsd:sequence>
        </xsd:complexType>
        <xsd:element name="ExceptionCodeCoverageBag"
type="afp:ExceptionCodeCoverageBagType">
                <xsd:annotation>
                        <xsd:documentation>Collection of data coverage summary by exception
code</xsd:documentation>
                </xsd:annotation>
        </xsd:element>
        <xsd:complexType name="ExceptionCodeCoverageBagType">
                <xsd:sequence maxOccurs="unbounded">
                        <xsd:element ref="afp:ExceptionCodeCoverage"/>
                </xsd:sequence>
        </xsd:complexType>
        <xsd:element name="ExceptionCodeDefinition" type="afp:ExceptionCodeDefinitionType">
```

```
            <xsd:annotation>
                <xsd:documentation>A set of Exception codes, particularly the codes N,
W and X, and their descriptions as defined by the IP Office, which are different from
definitions in WIPO ST.37</xsd:documentation>
            </xsd:annotation>
        </xsd:element>
        <xsd:complexType name="ExceptionCodeDefinitionType">
            <xsd:sequence>
                <xsd:element ref="afp:ExceptionCode"/>
                <xsd:element ref="afp:ExceptionCodeDescriptionText"/>
            </xsd:sequence>
        </xsd:complexType>
        <xsd:element name="ExceptionCodeDescriptionText" type="xsd:string">
            <xsd:annotation>
                <xsd:documentation>A different or specific description of an exception
code, which an IP Office uses in their authority file</xsd:documentation>
            </xsd:annotation>
        </xsd:element>
        <xsd:element name="ExceptionCodeDefinitionBag"
type="afp:ExceptionCodeDefinitionBagType">
            <xsd:annotation>
                <xsd:documentation>List of exception codes that have a different or
specific definition in use by the IP Office rather than the definitions of exception codes
defined in WIPO ST.37</xsd:documentation>
            </xsd:annotation>
        </xsd:element>
        <xsd:complexType name="ExceptionCodeDefinitionBagType">
            <xsd:sequence maxOccurs="unbounded">
                <xsd:element ref="afp:ExceptionCodeDefinition"/>
            </xsd:sequence>
        </xsd:complexType>
        <xsd:simpleType name="ExceptionCodeType">
            <xsd:restriction base="xsd:token">
                <xsd:enumeration value="C">
                    <xsd:annotation>
                        <xsd:documentation>Defective publication
documentsPublication document which is corrupted so that not all of the text is
searchable</xsd:documentation>
                    </xsd:annotation>
                </xsd:enumeration>
                <xsd:enumeration value="D">
                    <xsd:annotation>
                        <xsd:documentation>ThePublication document waswhich
deleted after the publication</xsd:documentation>
                    </xsd:annotation>
                </xsd:enumeration>
                <xsd:enumeration value="E">
                    <xsd:annotation>
                        <xsd:documentation>Publication number allocated by the
IPO representing a PCT national/regional phase entry (for example Euro-PCT). No
corresponding document published. A Euro-PCT application is an international (PCT) patent
application that entered the European regional phase</xsd:documentation>
                    </xsd:annotation>
                </xsd:enumeration>
                <xsd:enumeration value="M">
                    <xsd:annotation>
                        <xsd:documentation>Published document which is
considered missing</xsd:documentation>
                    </xsd:annotation>
                </xsd:enumeration>
                <xsd:enumeration value="N">
                    <xsd:annotation>
                        <xsd:documentation>ThisThe use of code is for Office
internal-use and the code description for 'N' must be provided using
ExceptionCodeDefinition, for instancedescribed in the IP Office's Authority Definition
File</xsd:documentation>
                    </xsd:annotation>
                </xsd:enumeration>
                <xsd:enumeration value="P">
                    <xsd:annotation>
```

```
                                        <xsd:documentation>~~Document~~Publication document which
available only on paper</xsd:documentation>
~~                                      </xsd:annotation>~~
~~                                  </xsd:enumeration>~~
~~                                  <xsd:enumeration value="R">~~
~~                                      <xsd:annotation>~~
~~                                          <xsd:documentation>Reissued~~
~~publication</xsd:documentation>~~
~~                                      </xsd:annotation>~~
~~                                  </xsd:enumeration>~~
~~                                  <xsd:enumeration value="U">~~
~~                                      <xsd:annotation>~~
~~                                          <xsd:documentation>Unknown publication number, for~~
~~example, when during compilation of the authority file one or a list of publication~~
~~number(s) has been found in the database, but the corresponding document(s) is(are) missing~~
~~without known cause. Typically this code can indicate a database error that requires~~
~~further analysis</xsd:documentation>~~
                                      </xsd:annotation>
                                  </xsd:enumeration>
                                  <xsd:enumeration value="W">
                                      <xsd:annotation>
                                          <xsd:documentation>~~This code is for Office internal use~~
~~and~~Publication number which was assigned but withdrawn before publication of the ~~code~~
~~description for 'W' must be provided using ExceptionCodeDefinition, for instance in the IP~~
~~Office's Authority Definition File~~document</xsd:documentation>
                                      </xsd:annotation>
                                  </xsd:enumeration>
                                  <xsd:enumeration value="X">
                                      <xsd:annotation>
                                          <xsd:documentation>The use of code 'X' must be described
in the IP Office's Authority Definition File</xsd:documentation>
                                      </xsd:annotation>
                                  </xsd:enumeration>
                          </xsd:restriction>
                  </xsd:simpleType>
                  <xsd:attribute name="groupAFCategory" type="afp:GroupCategoryType">
                          <xsd:annotation>
                                  <xsd:documentation>Identifies how the authority files has been grouped
i.e., by date, publication-level or document-kind code</xsd:documentation>
                          </xsd:annotation>
                  </xsd:attribute>
                  <xsd:simpleType name="GroupCategoryType">
                          <xsd:restriction base="xsd:token">
                                  <xsd:enumeration value="date">
                                      <xsd:annotation>
                                          <xsd:documentation>Date</xsd:documentation>
                                      </xsd:annotation>
                                  </xsd:enumeration>
                                  <xsd:enumeration value="publication-level">
                                      <xsd:annotation>
                                          <xsd:documentation>Publication level</xsd:documentation>
                                      </xsd:annotation>
                                  </xsd:enumeration>
                                  <xsd:enumeration value="document-kind">
                                      <xsd:annotation>
                                          <xsd:documentation>Document kind</xsd:documentation>
                                      </xsd:annotation>
                                  </xsd:enumeration>
                          </xsd:restriction>
                  </xsd:simpleType>
                  <xsd:element name="KindCodeCoverage" type="afp:KindCodeCoverageType">
                          <xsd:annotation>
                                  <xsd:documentation>Data coverage summary by kind code including
document total quantity</xsd:documentation>
                          </xsd:annotation>
                  </xsd:element>
                  <xsd:complexType name="KindCodeCoverageType">
                          <xsd:sequence>
                                  <xsd:element ref="com:PatentDocumentKindCode"/>
                                  <xsd:element ref="afp:DocumentTotalQuantity"/>
```

```
            </xsd:sequence>
        </xsd:complexType>
        <xsd:element name="KindCodeCoverageBag" type="afp:KindCodeCoverageBagType">
            <xsd:annotation>
                <xsd:documentation>Collection of data coverage summary by kind
code</xsd:documentation>
            </xsd:annotation>
        </xsd:element>
        <xsd:complexType name="KindCodeCoverageBagType">
            <xsd:sequence maxOccurs="unbounded">
                <xsd:element ref="afp:KindCodeCoverage"/>
            </xsd:sequence>
        </xsd:complexType>
        <xsd:element name="MostRecentDocument" type="afp:MostRecentDocumentType">
            <xsd:annotation>
                <xsd:documentation>The most recent document information available or
provided in the authority file</xsd:documentation>
            </xsd:annotation>
        </xsd:element>
        <xsd:complexType name="MostRecentDocumentType">
            <xsd:sequence>
                <xsd:element ref="com:DocumentIdentifier"/>
                <xsd:element ref="com:DocumentDate"/>
            </xsd:sequence>
            <xsd:attribute ref="com:id"/>
            </xsd:complexType>
        <xsd:complexType name="PriorityApplicationIdentificationType">
            <xsd:sequence>
                <xsd:element ref="com:IPOfficeCode"/>
                <xsd:element ref="com:ApplicationNumber" minOccurs="0"/>
                <xsd:element ref="pat:FilingDate"/>
            </xsd:sequence>
            <xsd:attribute ref="com:id"/>
            <xsd:attribute ref="com:sequenceNumber" use="required"/>
        </xsd:complexType>
        <xsd:element name="PriorityApplicationIdentification"
type="afp:PriorityApplicationIdentificationType">
            <xsd:annotation>
                <xsd:documentation>Identification of the priority
application.</xsd:documentation>
            </xsd:annotation>
        </xsd:element>
        <xsd:complexType name="PriorityApplicationIdentificationBagType">
            <xsd:sequence>
                <xsd:element ref="afp:PriorityApplicationIdentification"
maxOccurs="unbounded"/>
                <xsd:element ref="pat:IncorporationByReferenceIndicator"
minOccurs="0"/>
            </xsd:sequence>
            <xsd:attribute ref="com:id"/>
        </xsd:complexType>
        <xsd:element name="PriorityApplicationIdentificationBag"
type="afp:PriorityApplicationIdentificationBagType">
            <xsd:annotation>
                <xsd:documentation>Collection of priority applications which are used
to claim priority. Refers to ST.9 INID Code 30.</xsd:documentation>
            </xsd:annotation>
        </xsd:element>
        <xsd:element name="PublicationNumberRange" type="afp:PublicationNumberRangeType">
            <xsd:annotation>
                <xsd:documentation>A range of patent publication numbers which are
included within this authority file</xsd:documentation>
            </xsd:annotation>
        </xsd:element>
        <xsd:complexType name="PublicationNumberRangeType">
            <xsd:sequence>
                <xsd:element ref="pat:BeginRangeNumber"/>
                <xsd:element ref="pat:EndRangeNumber"/>
                <xsd:element ref="com:StartDate"/>
                <xsd:element ref="com:EndDate"/>
            </xsd:sequence>
```

```
        </xsd:complexType>
        <xsd:element name="PublicationNumberRangeBag"
type="afp:PublicationNumberRangeBagType">
                <xsd:annotation>
                        <xsd:documentation>A collection of patent publication number ranges
which are included within this authority file</xsd:documentation>
                </xsd:annotation>
        </xsd:element>
        <xsd:complexType name="PublicationNumberRangeBagType">
                <xsd:sequence>
                        <xsd:element ref="afp:PublicationNumberRange" minOccurs="1"
maxOccurs="100"/>

                </xsd:sequence>
        </xsd:complexType>
        <xsd:attribute name="st37Version" type="xsd:token" fixed="V32_02">
                <xsd:annotation>
                        <xsd:documentation>A specific release version of ST.37 XML
Schema</xsd:documentation>
                </xsd:annotation>
        </xsd:attribute>
<xsd:attribute name="updateAFCategory" type="afp:UpdateAFCategoryType">
                <xsd:annotation>
                        <xsd:documentation>
                                Determines how updates to the authority file will be performed
e.g., incremental versus full.
                        </xsd:documentation>
                </xsd:annotation>
        </xsd:attribute>
        <xsd:simpleType name="UpdateAFCategoryType">
                <xsd:restriction base="xsd:token">
                        <xsd:enumeration value="full">
                                <xsd:annotation>
                                        <xsd:documentation>
                                                A complete new authority file is provided at each
update period.
                                        </xsd:documentation>
                                </xsd:annotation>
                        </xsd:enumeration>
                        <xsd:enumeration value="incremental">
                                <xsd:annotation>
                                        <xsd:documentation>
                                                Only the new authority file entries published
since the last update period are provided.
                                        </xsd:documentation>
                                </xsd:annotation>
                        </xsd:enumeration>
                        <xsd:enumeration value="differential">
                                <xsd:annotation>
                                        <xsd:documentation>
                                                Only the records which have changed or are
required to be updated since the last update period are provided.
                                        </xsd:documentation>
                                </xsd:annotation>
                        </xsd:enumeration>
                </xsd:restriction>
        </xsd:simpleType>
</xsd:schema>
```

[Appendix to Annex III of ST.37 follows]

~~**Appendix**~~

APPENDIX TO ANNEX III

The Appendix is available at:

~~https://www.wipo.int/standards/en/st37/annexIII_appendix_V2_2.xml~~
https://www.wipo.int/standards/en/st37/annexIII_appendix_V3-0.xml

[Annex IV of ST.37 follows]

ANNEX IV

DOCUMENT TYPE DEFINITION (DTD) FOR AUTHORITY FILE

Version 3.0~~2.2~~

Proposal presented for approval by the Committee on WIPO Standards (CWS)
at its Thirteenth Session

Editorial Note by the International Bureau:

Annex IV of WIPO Standard ST.37 is the set of XML DTD components to represent the minimum and extended data elements of an Authority File of patent documents issued by a Patent Office. Annex IV is based on WIPO Standard ST.36, including the naming convention used to identify the names of the specific data components for Authority File. Annex IV includes an Appendix which is a sample XML instance of an Authority File structured according to the XML DTD.

The complete DTD can be downloaded from here: ~~https://www.wipo.int/standards/dtd/ST37AuthorityFile_V2-2.dtd~~
https://www.wipo.int/standards/dtd/ST37AuthorityFile_V3-0.dtd

```
<?xml version='1.0' encoding='UTF-8' ?>
<!--Annex IV of WIPO Authority File Standard ST.37, XML Data Type Definition (DTD) for
Authority Files

This entity may be identified by the PUBLIC identifier:
*****************************************************************************************
*
PUBLIC "-//WIPO//XSD AUTHORITY FILE 3~~2~~.~~2~~0//EN" "AuthorityFile_~~V2~~V3_~~2~~0.dtd"
*****************************************************************************************


*****************************************************************************************
* 2025-11-14:
(i) Update not-searchable-code to be a fixed value of "N"
(ii) For priority-claims: kind should be removed from here and application number made
optional so that it matches the Schema
(iii) Remove reference to priority-claim-kind
(iv) For publication-number-range, start-date and end-date added
(iv) Corrected document-kind-code-definition to remove cardinality as each kind should only
have one document-kind-code-description
*
* 2021-08-24: Revision of the main body, annexes and appendixes of ST.37 approved by the
Committee on WIPO Standards (CWS) at its ninth session comprising:
* (i) added elements: <searchable-abstract-code?>, <searchable-description-code?>,
<searchable-claims-code?>
* (ii) added attributes @code to be used with <not-searchable-indicator>, referenced by
elements listed in (i)
* (iii) added element <searchable-language-code>, referenced by the elements listed in (i)
* (iii) changed values of grouped-af-indicator to 'true' and 'false' which are true boolean
values
*
* 2019-07-02: Revision of Annex IV was approved by the Committee on WIPO Standards (CWS) at
its seventh session comprising:
* (i) group-category renamed grouped-af-indicator and is now a list of boolean values 'yes'
and 'no'
* (ii) backup-category renamed update-af-category
* (iii) additional-comment renamed comment-text
*
* 2018-10-19: Revision of Annex IV was approved by the Committee on WIPO Standards (CWS) at
its sixth session.
*
```

```
*************************************************************

* PUBLIC DTD URL

* http://www.wipo.int/standards/dtd/ST37PatentAuthorityFile_V3~~2~~ ~~2~~0.dtd

~~*****************************************************************************~~



*****************************************************************************
* CONTACTS
*****************************************************************************
~~xml.~~standards@wipo.int

Date first draft created: 2018-09-19
Date last modified: ~~2021-08-24~~2025-11-14

-->
<!ELEMENT authority-file (authority-file-definition? , authority-file-entry+)>

<!ATTLIST authority-file  country       CDATA  #REQUIRED
                          date-produced CDATA  #REQUIRED >
<!ELEMENT authority-file-definition (exception-code-list | document-kind-code-list | most-
recent-document | data-coverage | comment-text | document-location-uri)+>


 <!ATTLIST authority-file-definition  grouped-af-indicator  (yes | no )  #REQUIRED
                                      group-af-category (date |
                                                         publication-level |
                                                         document-kind )  #IMPLIED
                                      update-af-category (full |
                                                         incremental |
                                                         differential )  #REQUIRED >

<!ELEMENT document-location-uri (#PCDATA)>

<!ELEMENT exception-code-list (exception-code-definition)+>

<!ELEMENT exception-code-definition (exception-code, exception-code-description)>

<!ELEMENT exception-code-description (#PCDATA)>


<!--Publication exception code; single-alphabetic letter code to indicate the reason why
the complete published document, for which the corresponding number is assigned, is not
available:
    C=Defective documents;
    D= Documents deleted after the publication;
    E=Publication number allocated by the IPO representing a PCT national/regional phase
entry (for example Euro-PCT). No corresponding document published.  A Euro-PCT application
is an international (PCT) patent application that entered the European regional phase;
    M=Missing published documents;
    N=Not used publication number: e.g. publication numbers have been issued, but finally
have not been allocated to any publication;
    P=Document available on paper only;
    ~~R=Reissued publications;~~
~~    U=Unknown publication numbers: e.g. when during compilation of the authority file~~
~~certain publication number(s) has been found in the database, but the corresponding~~
~~document(s) is(are) missing without known cause. Typically this code can indicate a~~
~~database error that requires further analysis;~~
    W=Applications (or patents) which were withdrawn before the publication;
         this can include lapsed or ceased patents and might depend on national patent law
regulations;
    X=Code available for individual or provisional use by an IPO;
-->

<!ELEMENT exception-code (#PCDATA)>
~~-->~~
```

```
<!ELEMENT document-kind-code-list (document-kind-code-definition)+>

<!ELEMENT document-kind-code-definition (kind, document-kind-code-description)+>

<!ELEMENT document-kind-code-description (#PCDATA)>

<!ELEMENT most-recent-document EMPTY>

<!ATTLIST most-recent-document  publication-number CDATA  #REQUIRED
                                publication-date   CDATA  #REQUIRED >
<!ELEMENT data-coverage (publication-date-range? , publication-number-range? , kind-code-
coverage? , exception-code-coverage? , data-coverage-uri?)>

<!ELEMENT publication-date-range EMPTY>

<!ATTLIST publication-date-range  start-date CDATA  #REQUIRED
                                  end-date   CDATA  #REQUIRED >
<!ELEMENT publication-number-range EMPTY>

<!ATTLIST publication-number-range  begin-range-number  CDATA  #REQUIRED
                                    end-range-number CDATA  #REQUIRED
                                   start-date CDATA #REQUIRED
                                   end-date CDATA #REQUIRED>
<!ELEMENT kind-code-coverage (kind, document-total-quantity)*>

<!ELEMENT document-total-quantity (#PCDATA)>

<!ELEMENT exception-code-coverage (exception-code, document-total-quantity)*>

<!ELEMENT data-coverage-uri (#PCDATA)>



<!ELEMENT authority-file-entry (publication-reference , exception-code?, application-
reference? , priority-claims?, searchable-abstract-code?, searchable-description-code?,
searchable-claims-code?)>

<!ELEMENT publication-reference (document-id)>

<!-- document-id tag as defined in ST.36 -->
<!ELEMENT document-id (country , doc-number , kind? , date?)>

<!--Two-letter alphabetic codes which represent the names of states, other entities
and intergovernmental organizations the legislation of which provides for the protection of
IP rights or which organizations are acting in the framework of a treaty in the field of
IP. e.g. "XX".
Always in upper case.-->
<!ELEMENT country (#PCDATA)>

<!--Doc-number: The number of the referenced patent (or application) document-->
<!ELEMENT doc-number (#PCDATA)>

<!--Document kind code; e.g., A1 (WIPO ST.16)-->
<!ELEMENT kind (#PCDATA)>

<!--Date: components of a date. Format: YYYYMMDD (WIPO ST.2)-->
<!ELEMENT date (#PCDATA)>



<!--Application reference information: application number, country.
In case of a filing reference, the kind code is empty and the date refers to the filing
date.
-->
<!ELEMENT application-reference (country , doc-number , filing-date?)>

<!--Filing Date: components of a date. Format: YYYYMMDD (WIPO ST.2)-->
<!ELEMENT filing-date (#PCDATA)>

<!--Priority application identification (priority-claim)-->
<!ELEMENT priority-claims (priority-claim+)>
```

```
<!ELEMENT priority-claim (country, doc-number?, kind ,?, date)>

<!ATTLIST priority-claim  sequence  CDATA  #REQUIRED>

<priority-claim-kind (national | regional | international )  #REQUIRED >

<!ELEMENT comment-text (#PCDATA)>


<!-- Series of two-letter language codes that indicate, for searchable description,
abstract and claim text, the language made available by the Office either as the original
language or an official translation or alternatively 'N' if this text is not searchable or
'U' if it is unknown whether this text is searchable and the language it is available in
→



-->

<!ELEMENT searchable-abstract-code (not-searchable-code | searchable-language-code+)>


<!ELEMENT searchable-description-code (not-searchable-code | searchable-language-code+)>

<!ELEMENT searchable-claims-code (not-searchable-code | searchable-language-code+)>

<!ELEMENT searchable-abstract-code (not-searchable-code | searchable-language-code+)>

<!ELEMENT not-searchable-code EMPTY >

<!-- N means the information is not available at this timeN means the information is not
available and U indicates that it is unknown whether this information is available or not--
>
<!ATTLIST not-searchable-code code CDATA #FIXED (“N” | U ) #REQUIRED>

<!-- WIPO ST.96 language code, e.g., en, de, ja, etc.-->
<!ELEMENT searchable-language-code (#PCDATA)>
```

[Appendix to Annex IV of ST.37 follows]

~~Appendix~~

APPENDIX TO ANNEX IV

The Appendix is available at:

~~https://www.wipo.int/standards/en/st37/annexiv_appendix_V2_2.xml~~
http://www.wipo.int/standards/en/st37/annexiv_appendix_V3_0.xml

[End of Annex IV and of Standard]

[Annexes II to V follow]

Annex II (revised WIPO ST.37 Annex III)

Annex III (revised WIPO ST.37 Annex IV)

Annex IV (appendix to revised WIPO ST.37 Annex III)

Annex V (appendix to revised WIPO ST.37 Annex IV)

[End of Annexes and of document]