

# WIPO



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**(PCT UNION)**

**ASSEMBLY**

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**PCT-SAFE PROJECT STATUS REPORT**

*Document prepared by the International Bureau*

## INTRODUCTION

1. In September 2001 the Assemblies of the Member States of WIPO approved the Program and Budget for 2002 - 2003 which contained, under Main Program 15, Information Technology, a project plan and budget for the PCT Electronic Filing project for the biennium. This document contains a status report on the project, which has since been renamed PCT-SAFE (Secure Applications Filed Electronically).

2. The previous PCT -SAFE status report to the PCT Assembly is contained in document PCT/A/31/4 Rev. which was discussed at the Assembly's thirty -first session, held in September 2002.

## PCT-SAFE HIGH LEVEL PROJECT PLAN

3. The High Level Project Plan which has formed the definitive basis for PCT -SAFE project implementation was published on the WIPO website and revised in August 2001 (see [http://pcteasy.wipo.int/efiling\\_standards/PCT-EF-HLPP1.doc](http://pcteasy.wipo.int/efiling_standards/PCT-EF-HLPP1.doc)).

4. The Annex to this document contains a detailed summary of progress against the High Level Project Plan.

## PROJECT STATUS

5. Overall, the status of the Project is the following:

(a) the project is expected to be completed and to deliver PCT -SAFE as an operational system at the end of 2003, as planned; and

(b) the project expenditure is expected to be 30% below the budget level of 18.3 million Swiss francs contained in the Program and Budget for 2002 -2003.

6. A number of notable developments that are not mentioned expressly in the Annex are outlined in the following paragraphs:

(a) Annex F of the Administrative Instructions under the PCT (containing the technical standard for electronic filing and processing of international applications) was modified with effect from June 19, 2003 taking into account twelve proposals for change.

(b) A security test of the PCT -SAFE Pilot system (see paragraphs 7 and 8, below) was completed in November 2002.

(c) Training workshops were delivered in Tokyo, Washington D.C. and Geneva to the PCT-SAFE Pilot participants.

(d) A revision of Part 7 of the Administrative Instructions has been initiated with a view to enabling the exchange and processing of scanned image copies of documents such as international applications and priority documents instead of on paper. The revision will also provide for the incorporation into Part 7 of provisions dealing with the filing of sequence listings, replacing the present Part 8.

(e) The International Bureau is evaluating bids to a request for proposal (RFP) for the provision of low level Public Key Infrastructure (PKI) certification authority services under PCT-SAFE.

(f) The International Bureau has started implementation of Annex F compliant high level certification authority services for Office to Office exchange under the PCT using existing PKI services under WIPO NET.

(g) Following successful testing under the PCT -SAFE Pilot based on filing of applications on paper together with a copy in electronic form, testing under the Pilot of fully electronically filed applications is expected to commence in August 2003.

## PCT-SAFE PILOT

7. The PCT -SAFE Pilot became operational in February 2003. The objective of the Pilot is to take the electronic filing legal framework and technical standard (contained in Part 7 and Annex F of the Administrative Instructions), as well as associated computer developments, through a proof -of-concept process. This will enable further development of the software and

operational procedures in preparation for full implementation of electronic filing at the end of 2003.

8. At mid-July 2003, 44 pilot filings had been received from eight Pilot participants from five different countries of origin.

9. *The Assembly of the PCT Union is invited to take note of the status report on the progress of the PCT -SAFE Project contained in this document.*

[Annex follows]

## ANNEX

**PROGRESS OF THE PCT -SAFE PROJECT AGAINST MILESTONES PUBLISHED IN  
THE HIGH LEVEL PROJECT PLAN OF AUGUST 2001**

1. Following is a table summarizing the status of the PCT -SAFE Project milestones contained in the PCT Electronic Filing (now PCT -SAFE) Project High Level Project Plan, published in August 2001. The table reflects status as of the end of July 2003 and uses the same sequences and descriptions as contained in the Plan. All milestones from the Plan are included in the table; those which are already completed are marked with a checkmark (✓) in the "Comment" column, and those which were already shown as completed in the previous report to the Assembly (see document PCT/A/31/4 Rev.) are also marked with an asterisk (\*).

**STEP 1: PCTE -FILING PILOT**

<i>Milestone</i>	<i>Estimated date</i>	<i>Percent complete<sup>1</sup></i>	<i>Comment</i>
1. Scope definition document made available for comment.	Jan 2001	100	✓*
2. Core team for E -filing finalized.	Jul 2001	100	✓*
3. DTD for international application published.	Jul 2001	100	✓*
4. DTD for power of attorney published.	Jul 2001	100	✓*
5. USPTO and EPO electronic filing software installed for prototyping, and evaluation for possible customization.	Sep 2001	100	✓*
6. Contents of Part 7 and Annex F finalized.	Oct 2001	100	✓*
7. E -filing prototyped database for RO/IB available.	Oct 2001	100	✓*
8. Extended PCT -EASY prototype software ready.	Oct 2001	100	✓*
9. RO/IB prototype server ready to receive electronically filed international applications.	Oct 2001	100	✓*
10. RO/IB ready to issue prototype Low-Level digital certificates.	Oct 2001	100	✓*
11. System requirements document made available for comment.	Nov 2001	100	✓*

<sup>1</sup> Based on the following: 0% = Not started, 10% = Started, 50% = Ongoing, 100% = Complete

<i>Milestone</i>	<i>Estimated date</i>	<i>Percent complete<sup>1</sup></i>	<i>Comment</i>
12.Contractsinplaceforthirddparty developers.	Dec2001	50	Finalizingtwo contracts
13.DetailedplanforPCTelectronic filingfinalized.	Dec2001	100	✓*
14.DTD(imagebased)for internationalpreliminaryexamining reportpublished.	Dec2001	100	✓
15.DTDforPCTpamphlet published.	Dec2001	100	✓*
16.DTD(imagebased)forpriority documentspublished.	Dec2001	100	✓*
17.DTD(imagebased)for translationsofinternational preliminaryexaminingreport published.	Dec2001	100	✓
18.DTDforde mandform published.	Dec2001	100	✓*
19.DTDforinternationalsearch reportpublished.	Dec2001	100	✓
20.Inputsdeliveredtothirdparty developers(conformingtoquality procedurese.g.specificationof requirements,usecasescenarios, implementationplan).	Dec2001	100	✓
21.Part7andAnnexF[ <i>oftheAIs</i> ] inforce( <i>receivingOfficeswith technicalcapacitymayaccept applicationsinelectronicform</i> ).	Dec2001	100	Majormilestone completed*
22.Prototypingcompleted: LifecycleArchitecture document available.	Dec2001	100	✓*
23.Thirdpartydevelopersstart.	Dec2001	50	Awaiting completionofRFP forlowlevelCA services <sup>2</sup>
24.IMPACTelectronicfiling trainingforformalitiesexaminers completed.	Jan2002	50	Ongoing

<sup>2</sup> See paragraph 6(e), above.

<i>Milestone</i>	<i>Estimated date</i>	<i>Percent complete<sup>1</sup></i>	<i>Comment</i>
25.Participation of pilot applicants finalized.	Jan2002	100	✓
26.Scoped definition document finalized.	Feb2002	100	✓*
27.System requirements document finalized.	Feb2002	100	✓*
28.Extended PCT -EASY software ready for beta testing by applicants.	Apr2002	100	✓
29.IM PACTE -filing database for RO/IB available for beta testing by formalities examiners.	Apr2002	100	✓
30.RO/IB ready to issue Low -Level digital certificates for beta testing by applicants.	Apr2002	100	✓
31.RO/IB server ready to receive electronically filed international applications by beta test applicants.	Apr2002	100	✓
32.Beta system verified, validated and signed -off.	Jun2002	100	✓
33.E -filing database for RO/IB available for pilot testing by formalities examiners.	Sep2002	100	✓
34.Extended PCT -EASY software ready for pilot testing by applicants.	Sep2002	100	✓
35.RO/IB commences receipt of international applications in paper form with parallel electronic submission, prepared using extended PCT-EASY software.	Sep2002	100	✓
36.RO/IB ready to issue Low -Level digital certificates for pilot testing by applicants.	Sep2002	100	✓
37.RO/IB server ready to receive electronically filed international applications by pilot test applicants.	Sep2002	100	✓

<i>Milestone</i>	<i>Estimated date</i>	<i>Percent complete<sup>1</sup></i>	<i>Comment</i>
38. Part 7 and Annex F reviewed (in view of step 1 experience) and revised if necessary.	Dec 2002	100	First revision of Annex F effective June 19, 2003; Part 7 review in progress and annual change management cycle for Annex F implemented
39. PCT -EASY enterprise inputs delivered to third party developers.	Dec 2002	100	✓
40. Pilot system verified, validated and signed off.	Dec 2002	50	Fully electronic filing to be tested under an extended Pilot expected August 2003 <sup>3</sup>
41. Step 1 closed.	Dec 2002	50	

#### STEP 2: PCT -SAFE IMPLEMENTATION MILESTONES

<i>Milestone</i>	<i>Estimated date</i>	<i>Percent Complete<sup>1</sup></i>	<i>Comment</i>
1. Prototype of enterprise version of PCT-EASY available.	Dec 2002	100	✓
2. Beta version of RO server software available to other receiving Offices for deployment into their own environments.	Dec 2002	100	✓
3. Annex F referred to SCIT for development into a WIPO Standard.	Dec 2002	50	ST.36 drafting in preparation under SCIT task force
4. DTDs for other PCT documents published.	Jan 2003	50	Modifications to DTDs for Jan 1 2004 PCT rule changes in preparation; DTD for PCT General Correspondence in preparation

<sup>3</sup> See paragraph 6(g), above.

<i>Milestone</i>	<i>Estimated date</i>	<i>Percent Complete<sup>1</sup></i>	<i>Comment</i>
5. RO/IB server ready to receive electronically filed IAs on other physical media including DVD -R, Iomega Zip disk and Imation Superdisk diskette.	Feb 2003	50	Generic solution is in place to extend to any physical media but supported hardware will initially be CD -R and DVD -R
6. Extended PCT -EASY ready to electronically file the demand form.	Feb 2003	50	Awaiting modifications to PCTAIs
7. Enterprise version of PCT -EASY available for testing by applicants.	Feb 2003	100	Beta testing
8. E -filing database for RO/IB integrated with IMPACTRO/IB staged delivery.	Mar 2003	50	PCT-SAFE will initially integrate with RO/IB's CASPRO system and the IMPACTIB staged delivery
9. RO/IB server integrated with IMPACTRO/IB staged delivery.	Mar 2003	50	PCT-SAFE will initially integrate with RO/IB's CASPRO system and the IMPACTIB staged delivery
10. RO/IB prepared to receive international applications in electronic form (without paper).	Mar 20 03	50	Expected August 2003 for registered pilot users
11. RO/IB ready to pilot test interoperability of digital certificates.	Mar 2003	50	Expected October 2003
12. Pilot version of RO server software available to other receiving Offices for deployment into their own environments.	Mar 2003	50	Experience with the Beta version of RO server software, hosted by the International Bureau, may lead to the inclusion of hosting in this Pilot
13. Enterprise version of PCT-EASY available for pilot testing by applicants.	May 2003	50	Expected September 2003



<i>Milestone</i>	<i>Estimated date</i>	<i>Percent Complete<sup>1</sup></i>	<i>Comment</i>
14. Pilot version of RO server software verified, validated and signed-off.	Jun 2003	10	Delivery date dependent on activities under 12
15. RO server software available to other receiving Offices for deployment into their own environments.	Jul 2003	10	Delivery date dependent on activities under 12
16. Enterprise version of PCT - EASY verified, validated and signed-off.	Sep 2003	10	Expected November 2003
17. Enterprise version of PCT - EASY released.	Oct 2003	10	Expected December 2003
18. Step 2 closed.	Nov 2003	50	

[End of Annex and of document]