

## **XML4IP Task Force of the Committee on WIPO Standards (CWS)**

**Task Force Meeting**  
**Ottawa, September 18 to 22, 2017**

### MEETING REPORT

*prepared by the Task Force Leader*

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## INTRODUCTION

1. The XML4IP Task Force meeting took place in Ottawa from 18 to 22 September 2017. The following nine offices/organizations were represented at the meeting: the Austrian Patent Office (APO), the Canadian Intellectual Property Office (CIPO), the European Patent Office (EPO), the European Intellectual Property Office (EUIPO), the IP Australia (IPA), the Korean Intellectual Property Office (KIPO), the Rospatent, the United Kingdom Intellectual Property Office (UK IPO), the United States Patent and Trademark Office (USPTO) and the World Intellectual Property Organization (WIPO). The participants list is reproduced as Annex I to this report.

2. The meeting was opened by Martin Cloutier, Director General, Programs Branch, CIPO, who welcomed the participants on behalf of CIPO. Mr. Cloutier greeted participants and presented current CIPO modernization of IT systems and supporting the compliance of intellectual property treaties. He highlighted the importance of the work of the XML4IP Task Force as it supports cooperation amongst countries, from policy, business and data sharing perspectives.

3. Mr. Yun, as Task Force Leader, welcomed the participants for a productive week. The participants would like to extend their sincere thanks to CIPO for their excellent hospitality and wonderful facilities provided for the Task Force meeting.

## DISCUSSIONS, CONCLUSIONS, AND AGREEMENTS

### Agenda Item 2: Adoption of the Agenda

4. The agenda was adopted as proposed and is reproduced as Annex II to this report.

5. The Task Force Leader gave an overview of the items on the Agenda for discussion, which are listed in the XML4IP Task Force wiki for the meeting.

### Agenda Item 3: Progress Report by Task Force Leader

6. The Task Force Leader delivered a progress report; the presentation is available on the wiki page of the meeting. He informed the participants of the following points as the main results of the CWS/5:

- (a) Adopted ST.27 and ST.37
- (b) Approved the revised ST.26
- (c) Agreed transition from ST.25 to ST.26 in Jan 2022; software for supporting the transition will be provided by WIPO; and
- (d) Established six new CWS tasks/task forces

7. New tasks which are directly related to XML4IP TF are: M2M communication, patent legal status XML, geographical indications and a study for copyright XML. He also mentioned that several Online conferences via Webex had been organized to discuss the following topics:

- Search Reports
- Patent Record
- Hague IB to Office Transactions

8. The Task Force Leader recalled that several online meetings were organized to prepare this meeting and there were many proposals and comments posted by TF members. On the basis of the outcome of online meetings and the comments, version 3.0 D4 version was developed by the USPTO in collaboration with the International Bureau. He appreciated the USPTO's cooperation. Among others, he highlighted the following main objectives for this meeting:

- i) Confirmation on Madrid components
- ii) Confirmation on Hague components

- iii) Review of Search report components
- iv) Improvement of Patent record and Patent Legal Status
- v) Preparation for Version 3.0

(b) The Task Force Leader also suggested a discussion on the XML4IP Roadmap and workplan for 2017-18, including whether TF members prefer to have a fixed version release date for ST.96.

#### Agenda Item 4: General statements by Delegations

9. CIPO welcomed the participants to Ottawa for the XML4IP task force. CIPO is currently implementing IP treaties (Madrid, Hague, Singapore). CIPO's implementations of Madrid and Hague will use the new ST.96 transactions which CIPO collaborated with the taskforce to derive. CIPO has plans to modernize their IT systems and will be eventually using ST.96 for each product line. Currently CIPO disseminates Patent Data in ST.36, Industrial Designs data in ST.86, and for Trademark dissemination, which was recently redesigned, CIPO is using ST.96.

10. USPTO reported that their current focus is on the development and definitions of XML resources, to harmonize the implementation of ST.96 as they relate to web services both for XML and JSON.

11. UK IPO reported using ST.96 as the basis for its naming standard across all IP rights. The work relating to Legal Status and Patent Record is where most efforts are currently being directed. The UK IPO is due to join Hague next year and therefore the work on ST.96 communications for Hague is very important for the UK IPO.

12. IP Australia's efforts target International cooperation issues, data models and data, as well as supporting ST.96.

13. APO expressed its interests that are focused on learning the various IP standards.

14. ROSPATENT expressed that their focus was on the development of the ST.96 standard to focus on international exchange, including functions of new e-filing system, new office automatization, patent analytics, patents legal status and the formalization of patents data to provide patents analytics.

15. KIPO expressed its gratitude to CIPO and the IB on preparations and arrangements for this Task Force Meeting. KIPO started their standardization of IP data based on ST.96 from 2013 to support data dissemination to the public, completed conversion of bibliographic information on trial and opposition and historical information on classifications for trademark and design into XML. Current improvements focus on the existing IP database (or data products) in ST.96 by conducting a survey or holding seminars with relevant IP companies. KIPO has a plan to develop a Hague system in ST.96 and will test Hague transaction with system development from 2018 to 2020. Regarding machine to machine communications, KIPO provides API services for third parties with various IP data products (about 110 products) including publication data in ST.96. The API services of KIPO uses its own naming convention. Thus, if necessary, KIPO would like to share the current service and information on API services with other IP offices. Finally, KIPO thanked the XML4IP Task Force for the opportunity to host the 2019 XML4IP TF Meeting in Korea.

16. The WIPO-PCT noted that many IP Offices have the intention to implement ST.96 for patents in the coming years. WIPO-PCT reminded the participants about the importance of ST.96 compatibility with existing ST.36 which is currently used in production. Special attention should be given to important documents such as search reports and written opinions, documents and data for national phase entry. WIPO-PCT encouraged IP Offices to provide PCT search reports in XML format. With regard to web services, WIPO-PCT informed the participants that a pilot project is actively being used in production by the Chinese Patent Office and one large American company.

17. EPO has representation at the XML4IP TF as an observer. EPO is not planning to implement this Standard for internal processing as it has implemented its own standard, PDM, (based on Text Encoding Initiative).

Agenda Item 5: Common subject matter

Agenda item 5a. New WIPO standard supporting machine to machine communications

18. The Task Leader showed the working documents on the WIPO wiki and directed the group to the M2M document and 1<sup>st</sup> round discussion page – (proposed by USPTO for discussion on XML and JSON) and PCT to API services:

- (a) Machine to machine communication document
  - i) It was decided that the message format, data structure and data dictionary in JSON and/or XML will be based on existing WIPO standards, (e.g. ST.96)
  - ii) Naming convention for URI of resources

19. Task Force Leader canvassed representatives to define the objectives and scope of this discussion for the meeting.

- (a) USPTO commented that several web services have been developed and asked which WIPO standards to use in web services. USPTO chose ST.96. Naming convention in JSON and ST.96 are somewhat different (lower case/upper case; Bag, etc.). They use ST.36 for publication, ST.96 for internal/supporting examination for viewing. Claims, description and abstracts are being converted to ST.96. Other types of documents are being converted to XML and all documents have a corresponding image.

20. Task force leader – task force No. 56 summarized the outcome of CWS/5/15.

- (a) CWS/5/15
  - i) RESTful, SOAP
  - ii) Message Format, etc
  - iii) Security aspects (Authentication, authorization, certificates)
  - iv) Naming Conventions
  - v) Versioning of web services

21. ROSPATENT – In case of using services for sending confidential information they have to be protected e.g. using Secure Socket Layer (SSL).

22. USPTO indicated that the structure of XML/JSON is the current issue. They also find that Filename synchronization may be heavy if IPOs all have their own naming convention/standard.

23. IP Australia noted that every Office uses a different file naming convention, and flexibility in file naming should be encouraged. Ideally, we should not change the file name during the end-to-end transmission. Otherwise it might create confusion in customer support if the customer requests, for example, for the IP office to re-send a corrupted file named differently by the IP office.

24. ROSPATENT – Requirements for file name and format standardization depend on service type:

- SOAP names and types need to be in SOAP package
- In case of RESTful, type of the file needs to be known beforehand.

Conventions of file naming and file formats have to be described in documentation to services. Recommendation for such documentation could be added to the standard, e.g. the IP right identifier should be part of the filename.

25. EUIPO opinion is to define the resource model – relation to e.g. search between elastic search vs Solr – preference is XML, but could support JSON and others.
26. WIPO – e.g. in WIPO-PCT and other offices – File names are predefined in Minspec document and some headings are defined in Common Application Format (CAF) and currently used as part of Docx filing. Common delimitation content, for Patent, future standards needed or naming conventions – use same wording – (Claim vs claims, - when translated, may be different – so mapping to the same consistent name (e.g. description and descriptions are mapped as description).
27. USPTO indicated the issue is that there are several hundred types of documents – the volume is a challenge to agree on a common name for several types across multiple IPOs.
28. Delegates discussed Machine to machine communication. USPTO's document (PotentialM2MTopics.docx) was presented and discussed.
- (a) The Data Exchange Guidance was briefly discussed for (ST.36, ST.86, ST.96)
  - (b) Data Structure recommendation
  - (c) Naming Convention
    - XML- UpperCamelCase for element: PatentNumber
    - JSON – lowerCamelCase: patentNumber
    - Collections – Bag vs plural form
    - XML: InventorBag
    - JSON: Inventors
  - (d) USPTO use WIPO ST.96 as the authoritative source for JSON and EUIPO consider XML as the “Master” over JSON.
  - (e) Java/JSON classic convention is (lowerCamelCase), converting to adapt to XML is unlikely. It is not ‘enforced’ by the tools. It is considered a “Community of Practice” standard.
  - (f) Use of “Bag” vs the plural form.
29. EUIPO suggested that in relation to XML/JSON naming rules, it would be worth checking to see if they can be used with some widespread search engines such as Solr and Elasticsearch (Indexes in XML and JSON).
30. UK IPO mentioned that its practice for JSON was to use plurals and lower Camel Case. USPTO stated that it also used lower Camel Case for JSON.
31. USPTO mentioned that they have a list of standard abbreviations and acronyms that are maintained for database design and is reused for XML and JSON design and is used internally before ST.96 and to this day (not public) – abbreviations were used in a prototype system for patent family project, to support performance. USPTO has shared this list with CIPO.
- (a) **Agreement:** A consensus was reached that the message format, data structure and data dictionary for JSON and XML will be based on existing WIPO standard ST.96.
  - (b) **Agreement** – The agreement reached was to use “UpperCamelCase” for both XML and JSON. Rationale is that tools are not enforcing the “lowerCamelCase” and to facilitate the conversion from JSON to XML.
  - (c) **Agreement** – The agreement reached was to continue to use the “Bag” concept.
32. Versioning: USPTO proposed for discussion that, in a URI: ID must be unique and never change.
- (a) USPTO - the preferred versioning is V1, V2, V453.
    - i) <http://example.gov/api/v1/inventor/12345?fields=firstName>

- (b) EUIPO – following is the preferred versioning of web services
- i) The preferred versioning number format is Major.Minor e.g. version 1 or 1.0, 1.1, 1.2, 2, 2.1, etc.
  - ii) Minor versions should be backward compatible.
  - iii) URI examples:
    - o `http://example.com/patent/{ST13 Application number}?version=1`
    - o `http://example.com/inventor/{Inventor ID}`
  - iv) Resource names such as inventor should be in singular (Following rule [GD-25] of the ST.96 DRC)

33. Until now, EUIPO has always accepted only the last version for the web services so they are stable and no version management is needed. The http GET/UPDATE/DELETE methods can contain one parameter for the version of the content (it is optional with the last version as a default value). Three types of component versioning can be considered:

- Web service (URI, parameter and http header field),
- Content (Version for XML element or JSON property),
- Schema. (Do the new version of the schema always implies a new version of the Web Service?)

(a) **ACTION** – EUIPO will propose to define a GI Resource Model in order to identify the resources and their relationships which will give a global view useful for the naming of the web services and URIs. A prototype will be setup by the end of October.

(b) **ACTION** Participants are to provide comments on versioning, by the end of September 2017.

34. EUIPO stated that the difference of the Content version equates to the resource version. Content version is like a recordal, the XML and attachments would be a new version. Database changes will be versioned and will contain the latest version. There are 2 levels (1) Retrieving a document at the resource level, (2) retrieving at the database record. It depends on the web service requested.

Agenda item 5b. Other open issues on Common elements:

*IssueID-583 – Conflict between Common and Patent Components (IB)*

35. “*FigureNumber*” is defined as a string/alphanumeric, some IPOs use Figure 7a, 7.a, etc.

36. WIPO-IB proposal is:

- (a) *com:figureLabelNumber*
- (b) *com:figureReferenceNumber*
- (c) *com:figureIdentifier*

37. IP Australia could support any of these proposed options.

38. USPTO proposes to rename the attribute *com: figureNumber* to *referenceFigureNumber*.

- (a) *Element FigureReference* would be defined as below:  
*PublishFigure* contains *pat:FigureNumber* – *com:FigureReference*

- (b) *Pat:FigureNumber* is for an image in the document, *com:FigureReference* is used for an image outside of the document.
- (c) USPTO use the *pat:FigureNumber*.
- (d) USPTO believe that only JPO uses the *com:figureNumber* attribute.

39. UK IPO, ROSPATENT, USPTO only use *pat:FigureNumber*. They do not use *com:FigureReference* in the *PublishFigure* content model. No task force member present use *com:FigureReference*.

- (a) **Agreement:** WIPO proposed to rename it to *com:referencedFigureNumber* and participants agreed.

#### *IssueID-584 – Embedded binary images (IB)*

- 40. IP Australia, WIPO expressed security issues with this proposal.
- 41. APO mentioned that the size of embedded images may cause technical problems.
  - (a) **Agreement**– It was agreed to not allow embedding images in ST.96 XML. The rationale is that embedding images can cause security issues and file size/volume can cause performance issues. However, machine to machine communication could potentially benefit from embedding images – TBD in relation to M2M.
    - i) This issue is closed.

#### *IssueID-590 – Remove ‘other’ from enumeration value (IB)*

- 42. USPTO options 3 and 4 are prone to errors, because of the challenge to validate list elements.
- 43. Task Force Leader indicated that some IPOs will use a subset of the available list in their implementation of ST.96. The approach is to have a full list of available category components. It is not a good practice to have an “other” component category. It also is problematic as, typically, business process to manage “other” is not specified.
- 44. In the Hague implementation, some alternate perspectives (e.g. cross-section drawing) are needed. “Free text” can be used to support these cases.
- 45. ROSPATENT – the category component “Other” is needed for some offices to allow flexibility. However, this causes issues as validation is problematic.
- 46. CIPO proposes to have a strict list and felt a national list should be provided.
  - (a) **Agreement**– The decision/consensus was “Option 1 strict list”. Participating IPOs are required to provide or validate the descriptions of relevant elements and attributes for their category needs to XML4IP Task Force. It was agreed to add the following wording to the relevant elements and attributes’ descriptions; “A value can be added, on demand, if the required value is missing”.
    - i) This issue is closed.

#### *IssueID-591 – Reconsider concept of “Bag” in ST.96 naming (US)*

- 47. The issue was discussed in the morning session (cf. above) and it was agreed to continue the use of “Bag” to represent multiple entries and to avoid confusion.
  - (a) **Agreement** – The consensus was to continue the use of “Bag” to represent multiple entries.

- i) This issue is closed.

*IssueID-593 – PartyIdentifier (ES, IB)*

48. The proposal is to populate passport number, National Individual Identifier, Enterprise Identifier, Social Security Number to a new attribute, *partyIdentifierCategory*.

49. USPTO and UK IPO have restrictions on the use of data that can identify individuals (privacy data).

50. KIPO uses *CustomerId – ApplicantId*, USPTO uses *PatronIdentifier/ CustomerNumber, PartyIdentifier, RegisteredPractitioner*. These IDs are used without contexts (e.g. metadata) and does not enable the identification of the applicant. The *PartyIdentifier* and *CustomerNumber* are used in their model.

- (a) **PROPOSAL** - USPTO reported that when *PartyIdentifier* is used without context, it is difficult to understand the meaning of the number. *PartyIdentifier* and *CorrespondenceAddress* are used in their model. The standard may have to include enumeration values to identify the various types of parties in *partyIdentifierCategory*.

51. UK IPO is using Automated Data Processing Number (ADP) currently to be replaced by *CustomerNumber*. Each Customer can have more than one role, which increases the complexity. *PartyIdentifier* and *RoleCode* are connected. *PartyIdentifier* is probably adequate for UK IPO's use.

52. CIPO commented that some of these contact identifier categories are of a national use such as *BusinessNumber, ClientID, AgentID* and various other identifiers. Most IP offices will have similar identifier values needs though there will be identifier values that are unique in some IP offices. Therefore CIPO proposed that the enumeration values in *partyIdentifierCategory* should contain predefined values that are commonly known, though be extensible in that IP offices can provide national identifier values as required – for the permissible values that are not defined in *partyIdentifierCategory*.

53. This issue is related to the capability to uniquely identify customers, and is complex o conclusion.

54. IP Australia suggested that “entity” is a neutral term. *EntityIdentifierCategory* could be considered.

- (a) **Agreement** – This consensus was to continue using the existing generic *PartyIdentifier* by adding a new optional attribute called *partyIdentifierCategory*.

(b) **Action:** This issue is pending. A comprehensive enumeration list is required from the Task Force Members; they are required to provide the list of values of the *partyIdentifierCategory* needed for their Office. The IB will create a new IssueID to collect the various types of identifiers.

- i) **SPTO** – the list was posted in the WIKI.
- ii) **USPTO** - Customer number, Examiner employee number, Contractor worker number, Worker number, Registered practitioner registration number.
- iii) **CIPO** – *BusinessNumber, AgentID, EcommerceID, PersonCompanyID*.
- iv) **UK IPO** - does not require categories in this context.

55. IP Australia use a similar concept as USPTO and use 3 numbers, Australian Company Number, Australian Business Number and Australian Registered Body Number for business-related entities.

56. ST.96 uses *partyIdentifier* for a large number of cases, EUIPO only use 2 sequence lists, (1) for registered agents, (2) for Applicant. Passport numbers are not captured at EUIPO.

*IssueID-600 – OCRConfidenceData (US)*

57. The USPTO proposal centers on the *OCRConfidence* data element as an optional element and as a child of *com:PhraseType*. It is needed to quantify the confidence level of the automated OCR and is calculated when OCR is converted to TIFF. The scale is from 1 to 9, where 1 is low confidence. This data could render emphasis tags for low confidence OCR to assist on operational use (e.g. examination process). Low confidence data will be emphasized for the examination process.

(a) USPTO will confirm the level of their implementation of this proposal.

58. CIPO has expressed concerns about the use of different OCR software, algorithms etc. is hard across different IPOs. Additionally, there are some questions to standardize and the use across different IPOs. It is noted that emphasis tags are limited and seem reasonable.

59. Rospatent supported “Option 1” and proposed to add OCR confidence data. The use of *com:PhraseType* rather than string type elements requires further discussion because of the strong influence on standard in the future.

60. **Agreement** – The consensus was to support “Option 1” of the proposal which is the fifteen (15) common special character components:

- Common components: S, Small Capital, Sup, Sub, Sub2, B, I, O, U, Ins, Del, PType.xsd, PhraseType.xsd, FootnotType.xsd, EndnoteType.xsd, DDType, and IPOASISEntryType.
- Patent component: ClaimTextType

61. **Agreement** – Additionally, further analysis is needed to ensure that all OCR text supports the *OCRConfidenceData* element. Option 2 was to replace all of the textual data type elements with *phraseType* which would have a big impact on the existing ST.96 components. The impact was deemed too significant at this time to adopt “option 2”.

(a) **ACTION** - USPTO will provide an update of the proposal to the Task Force Leader and post to Issue ID 600.

i) This issue is closed.

*Issue on ST.3 code*

62. The Task Force Leader informed the meeting that an issue needed to be discussed in relation to *CountryCode* for Yemen and Syria. SY code for Yemen is missing in ST.96 former ST.3 CodeType. He raised a question whether SY code should be added.

63. APO used “BeforeYear” and “AfterYear” for the validation for CountryCode.

64. IP Australia and USPTO both maintain their CountryCode table as “Country+Date” with “country” and “Valid date”, “Invalid date”.

(a) **Agreement** – Participants agreed not to add the “SY” for Yemen code in the *FormerST3Code* because no Office requested its addition.

(b) **Agreement** – UK IPO proposed and participants agreed that ZR (Zaire) and BU (Burma) be added to the *ISOFormerCountryCodeType* as these countries are now included in the *ISOCountryCode* list under new names & codes.

Agenda Item 6: Patent XML

Agenda item 6 a. Patent Record: IssueID-606 (US)

65. Participants were presented with USPTO's proposal for *pat:PatentRecordBag*. The Task Force Leader walked the TF members through the model and the XML schema.

- (a) *pat:PatentRecordBag* (parent)
  - i) *pat:PatentRecord* (child)
    - o *uspat:ProsecutionHistoryBag* (grandchild) to describe *pat:StatusEventCodeBag* through 6 categories that are all optional, participants agreed to make it all mandatory.
    - o *pat:StatusStateCode*, *pat:PreviousStageCode*, *pat:CurrentStageCode*, *pat:KeyEventCode*, *pat:DetailedEventCode*, *pat:NationalEventCode*
  - ii) *pat:PatentRecord* (child)
    - o *uspat:ProsecutionHistoryBag* (grandchild) to describe *pat:ApplicationFilingCertificates* through 9 categories.
    - o *pat:EffectiveCountryBag*, *pat:GazetteNumber*, *com:CommentText*, *pat:RelatedDocumentbag*, etc.
  - iii) *pat:PatentRecord* (child)
    - o *pat:StatusEventCodeBag* (grandchild) through 21 categories.
- (b) *PatentData* (Parent) described is 6 categories.
  - i) *Pat:applicationBody* etc.

66. EPO enquired what the objective of the proposal was in relation to ST.27. EPO wishes to clarify the need to put ST.27 within ST.96.

(a) The Task Force Leader indicated that Patent record would benefit from increasing the categories in ST.27 to supplement them with more information. (Supplemental information in red in the XML viewer). *ApplicationBodyData*, *BibliographicData* is included in *PatentData*; the levels of the categories need to be determined or confirmed.

(b) UK IPO explained that *PatentData* is related to one Patent application, whereas *LegalStatus* is related to all Patents in a set.

67. Rospatent asked if root elements, such as, *PatentData* will be at the same level. Rospatent suggested the need to build a *PatentTransaction*. It was asked if *PublicationData* or searches are included in *PatentData* or not.

(a) Task Force Leader replied that the different IPOs have different practices and indicated that more discussions are required on this topic.

(b) Rospatent requires *BibliographicData* and *PatentRecord*. (he aim being to keep the register).

(c) IP Australia requires *BibliographicData* and *PatentRecord*.

(d) UK IPO, KIPO and CIPO require *ApplicationBody*, *BibliographicData* and *PatentRecord*.

(e) EPO has implemented its patent document model (PDM) in compliance with [TEI](#) (Text Encoding Initiative) model and included as part of a patent document:

- i) Family ID (this is the key field and the starting point within PDM of any new filed application)
- ii) Application (contains bibliographic data and application body. Patent registry information as such is not covered within PDM)

- iii) Publication of an application (contains the updates to the original application but XML wise the structure is not very different from application). The publication can have any of the publication levels, specified by an EPO kind code: A1, A2, A3, B1...)
- iv) Legal status information for the EP applications as currently available at INPADOC; and
- v) Although the EPO is not planning to implement ST.96 for internal processing, a structure similar to the one above makes sense for ST.96. Eventually Patent record (rather than Legal Status in the sense of ST. 27) would be useful.

68. Review of *pat:PatentRecord* – Task Force Leader asked, as an example, whether *pat:ApplicationFilingEventData* in the *PatentRegister* is complete, what supplement information is needed.

- (a) USPTO – The current content model of *BibliographicData* is sufficient for Patent. However, Record, renewal, patent term adjustment, etc. need to be mapped to new structures based on ST.27 supplementary event data.
- (b) **Action** - EPO – will confirm the use of *ValidationCountries*, which is different from *DesignatedCountries*.
- (c) Task Force Leader inquired if *BibliographicData* is the appropriate holder for all of the *ProsecutionHistory*; the participants indicated that the volume of *BibliographicData* would be unwieldy (UK IPO, USPTO).
  - i) In an EP patent (see example [EP3214927](#)), there are <designatedContractingStates and <designatedExtensionStates>. For compatibility with ST.96, “[EPO validation States](#)” will also need to be considered here. Currently we include those 3 mentioned type of “designated states” under inid code 84 from ST.9. (see example [EP3217716](#)).

69. Rospatent indicated that the *PatentRegister* is different for the *PatentRecord*. *PatentRecord* cover the lifecycle of the IP, whereas the *PatentRegister* captures the information after Granting the IP.

<i>PatentRecord</i>	<i>PatentRegister</i>	To confirm
RU, CA, AT, AU, KIPO, USPTO	GB	USPTO confirmed that there is no business terminology related to PatentRegistry.

- (a) **Agreement:** Participants agreed that the scope of this component is the *PatentRecord*, knowing that the *PatentRegister* will be a sub-set of *PatentRecord*.
- (b) **Agreement:** Participants agreed that *PatentData* needs to be renamed to *PatentRecord*.
- (c) **Agreement:** Participants agreed that no change for *BibliographicData* is required.

70. IP Australia suggested that *PatentData* will contain the following categories: *BibliographicData*, Prosecution/Publication/Ownership/Fee/Party Change History and other important EventData (e.g. Disputes, and Amendments). UK IPO, USPTO and CIPO commented in the same vein.

- (a) **Agreement** - Participants agreed that *PatentEventDataBag* (formerly known as PatentRecord) should be optional.

71. IP Australia stated that, for them, *BibliographicData* is mandatory.
72. In *pat:PaymentEventData*, there is no date associated, nor the *PaymentType*.
- (a) **Action** – Further development is needed on *pat:PaymentEventData* to complete elements.
- (b) **Action** - *Category* related elements will be reviewed for the completion of the child elements UK IPO sent input to USPTO. USPTO will update the schemas.

Agenda item 6 b. Patent Search Report: IssueID-605 (RU, WIPO-PCT)

73. There are two groups, with sub-groups: *SearchReport*:
- (a) Search – (1) *SearchAdmin*, (2) *SearchBasis*, (3) *SearchData*. Each sub-group has children, grandchildren, etc.
- (b) Rospatent commented that it would be useful to combine structure and unstructured report. (multiple choice).
- (c) E.g. *com:CorrespondenceAddressPartyCategory* has an enumeration containing, “Applicant”, “Representative” and “Breeder”. This list of specific roles should be extended. There was discussion to add the following to the enumeration list: “Examiner”, “IP office”, “Third party”, “Inventor”.
- i) IP Australia has Use Cases where correspondence from the IP office and the “Inventor” is needed (e.g. **disputes** about who is the actual **inventor** or who derives **entitlement**).
- ii) UK IPO does not communicate with inventors. The inclusion of “Inventor” will not be included.
- iii) *com:Contact* category would need to be mandatory if *com:CorrespondenceAddressPartyCategory* is populated.
- (d) **Agreement** – Participants agreed that the enumeration list of *com:CorrespondenceAddressPartyCategory* will be updated to include: “Examiner”, “IP office”, “Third party”.
- (e) **Agreement**- Participants agreed that *pat:AuthorizedOfficerBag* will be replaced with *com:SignatureBag*.
- (f) **OPEN ISSUE** –It was noted that the attribute *pat:searchDate* needs to be differentiated from *pat:SearchCompleteDate*, *pat:SearchFinishDate* and *pat:SearchStartDate*. However, the purpose of *pat:searchDate* should be clarified.
- i) IP Australia commented that *pat:searchDate* is the date that the search was carried-out, or without other more detailed information, the date when the search report was completed.
- ii) The attribute *pat:searchDate* needs to be an element on its own. (2) The attribute may be useful as a child element in *pat:SearchedData* OR *pat:ReferenceCitationBag* as an optional element.
74. WIPO-PCT commented that in a search report in ST.36, there are two (2) attributes: *search-type* and *srep-type*.
- (a) The enumeration values for *search-type* are: ISR, SISRetc.

(b) Value in *srep-type* is “WO-SR” meaning that the search report has a written opinion. KIPO is using *earlier-search-report/srep-type* with the same values as *search-type*.

(c) China provides search reports in XML format (ST.36) but does not provide *srep-type* in the XML stream.

(d) **ACTION**– WIPO-PCT commented that the category *pat:patentNationalClassification* is equivalent to ST.36’s category “*Scheme-name*” and is used by *srep-citations*. (comment posted on the WIKI). Task Force will review the relevant elements in ST.96 national classification.

(e) **Agreement** - *pat:SearchReportTypeText* will be removed and *pat:searchCategory* will be renamed to *pat:searchKindCategory*.

75. WIPO-PCT addressed the issue related to the mixture of ST.3 country codes with ISO mailing address information. WIPO-PCT discussed the need to differentiate between ‘Search Office’ and ‘Sending Office’. WIPO-PCT explained that they can receive a search report sent by an office member of a regional ISA (e.g. XV), though the Office that produced the search reports could be a different Office to that which the ISA mentioned in the request form by the applicant. WIPO-PCT showed an example of a Korean patent where the WIPO Office Name is provided in the address, though the address refers to the ISO Country Code.

76. The Task Force Leader explained that for ST.96, the practice as presented by WIPO-PCT is to be avoided: ISO Country Code is to be used only for mailing address, while the ST.3 code is to be used for IP-related business, e.g. indicating WIPO Members/Offices in a priority document. WIPO-PCT and EPO expressed that their practice should be accommodated.

(a) **Agreement:** *pat:SearchOffice* will be renamed to *pat:SearchOfficeContact* and be optional.

77. *pat:SearchStartDate* (optional), *pat:SearchFinishDate* (mandatory), *pat:SearchRequestDate* (mandatory), *pat:SearchFinishDate*, *com:MailDate* were discussed.

(a) **Agreement:** *pat:SearchRequestDate* is to be made optional as required by KIPO and CIPO. *pat:SearchFinishDate* to be renamed to *pat:SearchCompleteDate* – with appropriate description “The date **when** the search report was completed”.

(b) **Agreement:** The participants agreed where an element name in the past tense is to be adjusted to the present tense and the past tense (“ed”) in past form should remain. E.g. – “Received” should be “Receive”. In V3\_0, terms in the past tense that ends in “ed” just before the representation term should remain in the present tense. The descriptions of the component should be written in the past tense. This measure will be implemented for all components after Version 2.2.

(c) **ACTION** – USPTO will list the conditions and examples for the Task Force members to review.

(d) **Agreement:** Participants agreed that *com:MailDate* is to be made optional.

(e) **Agreement:** Participants agreed that *pat:SearchReportContractData* element and its children components are to be removed.

(f) **ACTION** - *pat:ApplicationModificationBasisBagType* – is used to explain the purpose / basis on which a modification was made. The *ApplicationModificationReasonCategory* enumeration list was reviewed. Typical reasons are a change requested by the applicant or for errors which may have been made. Participants are asked to review the enumeration list. EPO stated that from their experience some of these amendments/errors are discovered at

the formalities stage. Current category “correction of obvious mistakes”. Needed to correct obvious spelling mistakes.

(g) Task Force leader asked if the specific areas within a patent needed their own categories. Neither WIPO-PCT, the EPO, nor other participants need a category beyond “correction of obvious mistakes”.

(h) **Agreement** – The participants agreed to replace the value “Amendment to” with “Other reasons” in the *ApplicationModificationReasonCategory*.

(i) **ACTION:** EPO to verify that in pat:SEQLBasis element descriptions were reviewed. The Taskforce leader asked if AdditionalInformation needs to be simplified to simple text. EPO stated that today, ST.36 is using the com:P paragraph format. We will keep *additionalInformation* defined “as is”.

78. *SearchReportEstablishedIndicator* was discussed. This is expected to be used to differentiate between a search report and a supplementary search report. IP Australia has a need to identify if a new search is required. It might happen that an examiner may fully rely on previous search report(s) (without a further search) to create the current search report.

(a) The Task Force leader pointed out that *EarlierSearch* potentially covers this, and perhaps this indicator may not be required.

(b) WIPO-PCT believes that this element is required during the time of search request/filing.

(c) IP Australia states that their system records whether the Search Reports have been produced with new searches (or fully rely on previous searches). KIPO searchers have the concept of a 'subsequent/re-do/re-search'. The CIPO mentioned that its examiners are not concerned whether this is the first search or not.

(d) **Action** – WIPO-PCT will clarify the need for *SearchReportEstablishedIndicator*.

79. **Agreement** – Participants agreed to rename *FirstSearchReportIndicator* to *SearchReportReplacementIndicator* with the following description: “Indicate that this search report replaces a previous report that was deemed unsatisfactory”.

80. **Agreement:** Participants agreed to KIPO’s proposal to add *com:ExaminationRequestDate* as an optional element to search report.

81. **Agreement** – Description of *PreviousSearchIndicator*, remove the word ‘International’ and reword ‘taking due account of the report’ to ‘taking into account of a previous search report’.

82. *SupplementaryDocumentBag* was discussed. The purpose is for documents that are outside of those which are in the *RelatedDocumentBag*.

(a) **Agreement** – Participants agreed to rename to *AdditionalRelatedDocumentBag*.

(b) **Action** - Rospatent provided the following descriptions in relation to *AdditionalRelatedDocumentBag*, but participants did not discuss them at the meeting, which should be discussed in due course:

- *AdditionalRelatedDocumentBag* - Description: Information concerning the dates of receipt of additional documents related to the earlier filed applications.
- *AdditionalRelatedDocument* - Description: Information concerning the date of receipt of additional documents related to the earlier filed application.

- *AdditionalRelatedDocumentDate* - Description: Date of receipt of additional documents related to the earlier filed application by the Office.

83. *UnsearchableClaim/ClaimReasonCategory* was discussed. Current name is not specific to purpose.

- (a) **Agreement** – *ClaimReasonCategory* will be changed to *UnsearchableReasonCategory* Description “The reason why the claim has not been searched”.

84. *AmendedClaimsGrant* element was discussed. The word Grant is misleading.

- (a) **Agreement**: The participants agreed to rename it to *AmendedClaimConsiderationIndicator*.

- (b) **Action** – WIPO-PCT will confirm the usage of this element.

85. *ClaimRemark* – the element name is not specific.

- (a) **Agreement** – Rename to *UnsearchableClaimRemark* Description: “A remark explaining the reason why the claim has not been searched”. Must also rename *ClaimInfoType* to *UnsearchableClaimType*.

86. *EstablishedAbstract* and *EstablishedPublishFigure* are requested to be optional by Rospatent.

- (a) **Agreement** – these elements will be made optional.

87. *EstablishedInventionTitle* – is mandatory for WIPO-PCT.

- (a) **Agreement** – these elements will remain mandatory. Also agreement on changing the description “The details relating to the establishment of the invention title. The other elements with “Established” in their name will use the wording “... related to the establishment of..”.

88. *SearchData* was discussed, and it was agreed that it is not specific to its purpose.

- (a) **Agreement** – *SearchSystem* element will be renamed to *SearchSystemName*.

89. *ReferenceCitationSequenceNumber*: it was agreed on the following description.

- (a) **Agreement** Indication of which reference citation(s) have been searched in the database, i.e. the sequence number(s) assigned for each reference citation by *pat:ReferenceCitation*”.

90. *SearchTermBag* Description “List of terms used by examiner”. This is not to be confused with a phrase/sentence. The USPTO practice can include terms such as the status of the IP. IP Australia wishes to have the name of the searcher/examiner who was involved in deciding the term(s) to be optionally recorded. IP Australia normally has a team consisting of three examiners who work together for determining the Search Strategy. Once the Search is conducted using the agreed Search Strategy, a Search Information Statement (SIS) is recorded. IP Australia is to provide a proposal on recording this information on this practice. This is preferred to be an optional attribute using free text.

- (a) *SearchTermBag* requires a better description (currently it is “Keyword”) and must not use the past tense. Plus CIPO has a need for an element for “search phrases / sentences” – and this element is intended to be for that purpose.

(b) **Agreement** – Description will be “List of one or more terms, phrases, sentences or Boolean expressions”. The name will be changed to *SearchTermBag* so that it does not refer to past tense. The description of SearchTerm is “The terms used in prior art search”.

91. *SupplementarySearchScope* structure was discussed, in particular, whether its own content type is needed or not.

(a) **Agreement** - *ContentType* structure was suggested by USPTO and was agreed by participants.

92. *DeclarationComplianceCategory* is misspelled and description needs clarification.

(a) **Agreement** – typo will be corrected to ‘Compliance’.

(b) **ACTION** - WIPOPCT to provide description correction.

93. *NoSearchReportDeclaration* structure was discussed. WIPOPCT requires the structured format. PCT needs Heading (optional) and paragraph *com:P*.

USPTO explained that the structure is to allow multiple headings+paragraph combinations.

(a) **Agreement** - *CommentText* will be replaced with an *AdditionalInformationType* which permits a choice of Heading and *com:P*.

(b) **Agreement** - *SearchReportAppendixText* is using its own content type, while it is quite generic in nature it needs additional attributes. It was agreed to use *PhraseType*.

94. *AdditionalFeePartiallyPaidIndicator* – Has been defined in 4 separate areas.

(a) **ACTION** - WIPO-PCT and EPO will verify if this element is present in the appropriate subject matter locations.

#### Agenda item 6 c. Patent Legal Status XML

95. Task Force Leader displayed the structure for *PatentLegalStatusData*, the root element (Parent) to provide perspective on its overall structure.

96. UK IPO stated that there is no need to have a separate *pat:SPCNumber*. “SPC” stands for Supplementary Protection Certificate and is product rather than patent related. The SPC (related to product) comes into force, if filed, after the expiry of the Patent. A granted Patent must “precede” an SPC.

97. EPO commented that the Patent Legal Structure is content-heavy, if the intent is to simplify data exchange, a content-heavy structure will be a challenge to implement.

98. EPO questioned whether the *PatentLegalStatusData* should be independent or part of ST.96.

(a) Task Force Leader suggested that, at this stage, the data structure should be completed on the basis of ST.27 and ST.96. The best location for the components can be discussed at a later date

99. EPO commented that fee related data is not included in the presented schema. (USPTO will review as a previous action item).

(a) **ACTION** – EPO to inform what Supplementary Information data is missing. EPO informed that agrees with Supplementary Information data existing in the current Annex II of ST.27 as it is. The fee related data are already part of the ST.27, though not yet included in the XML.

100. **Agreement** – UK IPO confirmed that a separate SPC number is not needed and will be removed. Participants agreed on it.

101. **Agreement:** The participants agreed to rename *pat:PatentKindCategory* under PatentLegalStatus to *com:IPRightKindCategory*. The enumeration value list should be completed with Trademark and Industrial design data once this has been defined by the Legal Status task force.

102. KIPO presented 3 propositions:

- (a) Proposal 1: adding a new component – include relevant documents, related to CurrentLegalStatus
  - i) It can be included in *pat:RelatedDocument*. However it is agreed that it should be done later, if needed.
- (b) Proposal 2 adding missing information under *pat:SupplementaryEventData*
  - i) includes Opposition information, which contains opposition number, opposition date, etc.
  - ii) includes trial information, which contains, date of request of trial, type of trial, registration date, purpose of request, etc.
  - iii) Payment information of Annual Fee, which includes, start year, etc.
  - iv) Registration information for extension of term of Patent rights, which includes, application date to register extension, application number to register extension, etc.
- (c) Proposal 3: revising Description of *pat:DetailedEventCodeType*
- (d) **ACTION** – UK IPO/USPTO to review and add the proposed KIPO components in the XML Schema, and post it on the WIKI.
- (e) **ACTION** – Participants are asked to review the structure for PatentRecord – PatentLegalStatus and determine whether a common structure can be used for both needs.

#### Agenda item 6d. Update of ST.96 and Annex VI

103. It was noted that this agenda was proposed by the EPO. Task Force Leader stated the importance of compatibility between ST.96 and ST.36, in particular that it would be very important for EPO and WIPO-PCT to be present as they have extended/leveraged ST.36 in many ways. WIPO-PCT would like to obtain a commitment first from an IP Office to using ST.96. In the same sense as had been done for Hague and Madrid. A pilot project is required.

Considering the requirement for interoperability between ST.36 offices and ST.96 offices, the Task Force Leader suggested to give a priority to update ST.96 Annex VI and also reminded the meeting that it would require resources to work on.

#### Agenda Item 6 e. Other open issues: *IssueID-550 – License Of Right (GB)*

104. **Agreement** - The participants agreed to create the following 3 new components in ST.96 and associated abbreviation : Create new wrapper component, LORData to contain the following in BibliographicData.

- (a) “License of Right Date” to “LORDate” (Required)
- (b) “License of Right Cancellation Date” to “LORCancellationDate”
- (c) “License of Right Cancellation Indicator” to “LORCancellationIndicator”
- (d) This LOR acronym should be added to the ST.96, Annex I, Appendix C.

105. Rospatent stated that they have a similar concept called Open License. In this case, an Owner of a patent is ready to provide the right to anyone to use their patent.

106. KIPO also has a similar concept/known as *ApplicantIntent*.

*IssueID-575 – Supplementary Protection Certificate SPC (GB)*

107. **Agreement** – The participants agreed to modify *pat:SPCFirstAuthorization* to make the following components optional: *com:ProductDescriptionText* and *pat:LegalProvisionText*.

- (a) **Agreement** – The participants have provisionally agreed to replace the existing CountryCode in *pat:SPCAuthorization* and *pat:SPCFirstAuthorization* with a component named *pat:MarketingAuthorizationGeographicCodeType*. The description of this component is: “Codes of the country providing the marketing authorization for product(s) which are the subject of Supplementary Protection Certificate applications”.
- (b) **ACTION** - The new data type will be provided by UK IPO and will contain a limited country list consisting of ISO country codes and the code EU.

This issue is closed.

*IssueID-604 – BibliographicDataType (GB)*

108. **Agreement** – The participants agreed to UK IPO’s proposal to add the two (2) new elements and modify two (2) existing elements under BibliographicData in the next version of ST.96 V3.0, as common components. These components are optional in *pat:BibliographicData*:

- (a) New element - *com:TranslationReceiveDate*,
  - i) Description: Date on which a translated document was received.
- (b) New element - *com:SecurityReleaseDate*,
  - i) Description: Date on which the application was released from security.
- (c) Modify *com:SearchReportDate*, to be replaced with *com:SearchCompleteDate* which was defined in SearchReport.
- (d) Modify *pat:PatentRestorationIndicator*, to be added in PatentLegalStatus.
  - i) Description: Indication if a restoration was granted (similar to ‘revived’, ‘reinstatement’).
- (e) Modify *pat:PatentCurrentStatus* was withdrawn considering the component in LegalStatus.

This issue is closed.

#### Agenda Item 7: Trademark XML

##### Agenda Item 7 a. Madrid System XML components for the transactions from IPOs to the IB:

109. While producing sample data for CIPO via XML transformations WIPO- Madrid discovered some element issues which need to be resolved so that the existing Madrid data can be completely mapped for testing purposes.

- (a) In *tmk:ApplicantType* and *RepresentativeType*, the element *LegalEntityName* is required to be made optional. Taskforce leader believes that the decision was made during earlier taskforce work in order to make one of the elements mandatory as per design rules, though this causes an issue for Madrid. This is being investigated by USPTO. WIPO-Madrid is only interested in the name that is within the Contact structure, and so for their purposes there could potentially be duplication of the name of the Contact/Entity.

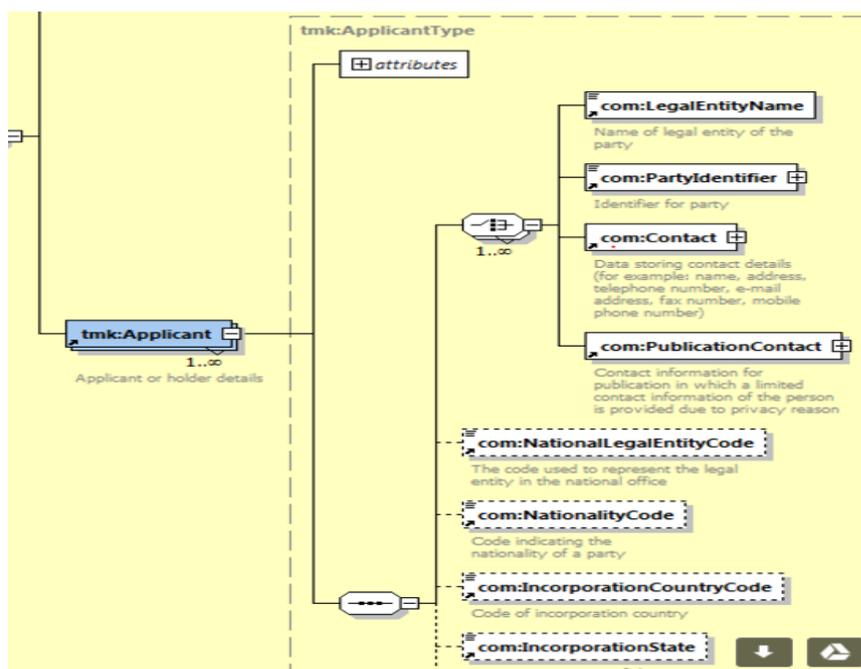
(b) *MadridInvalidationType* appears to have an extra *com:RecordIdentifier* which in the context of OfficeToIB should be for a reference to the IBToOffice record/transaction and so in this context is out of place.

(c) **Agreement** - Participants agreed to remove *com:RecordIdentifier* from the *MadridInvalidationType*.

(d) WIPO-Madrid would like us to explore removing the unused optional elements so that the Madrid transactions are tighter and more to the point of what WIPO-Madrid requires. The Task Force Leader suggested renaming components. If using the same tag names with the different data structure will cause problems. The USPTO confirmed his suggestion. It was also note that since these are optional, it does not harm anyway and it is good to use the same components for both national and international data exchange.

(e) **Agreement** – The participants agreed to remove the *LegalEntityType* and collapse its elements into the following content models: *tmk:ApplicantType* *tmk:AssigneeType* *tmk:AssignorType* *tmk:ClaimantType* *tmk:LicenseeType* *tmk:PlaintiffType* *com:RepresentativeType*. in the Trademark namespace and also the *RepresentativeType* in Common.

i) The agreed structure is following:



#### Agenda item 7b. Madrid System XML components for the transactions from the IB to IPOs: IssueID-610

110. **Agreement** – The participants agreed to the proposals illustrated below; there are 4 changes required to be made to MadridIBToOffice:

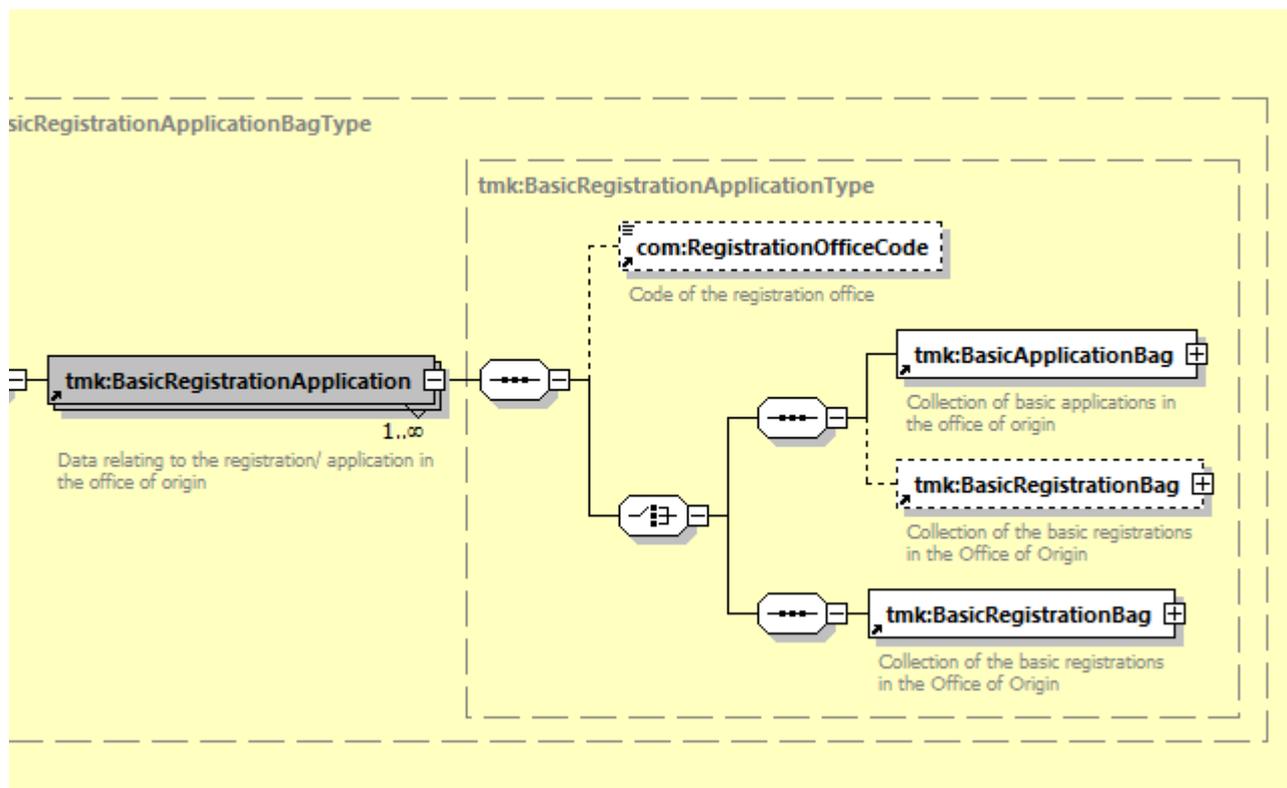
(a) *BasicRegistrationApplication* *BasicApplicationBag* is mandatory and *tmk:BasicApplicationBag* is optional. Madrid requires one, the other, or both.

111. **Agreement** – WIPO-Madrid has sent the agreed structure to USPTO based on the discussion and USPTO improved it for D5.

```

<xsd:sequence>
<xsd:element ref="com:RegistrationOfficeCode" minOccurs="0"/>
<xsd:choice>
  <xsd:sequence>
    <xsd:element ref="tmk:BasicApplicationBag"/>
    <xsd:element ref="tmk:BasicRegistrationBag"
minOccurs="0"/>
  </xsd:sequence>
  <xsd:element ref="tmk:BasicRegistrationBag"/>
</xsd:choice>
</xsd:sequence>

```



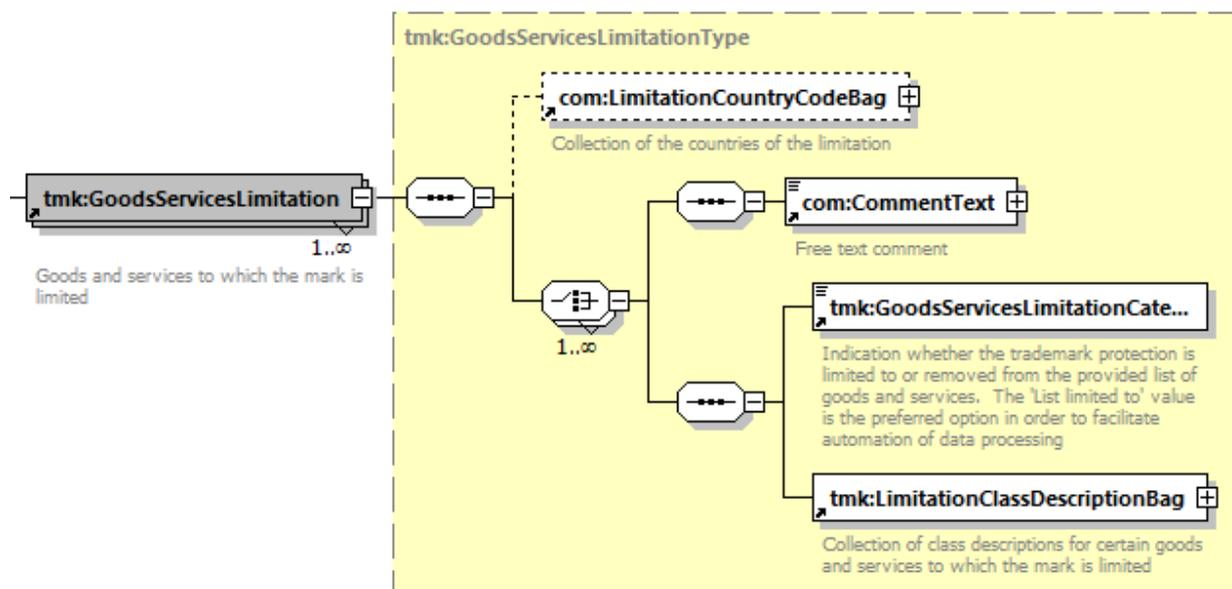
112. **Agreement:** WIPO-Madrid has sent the agreed structure to USPTO and USPTO updated it as follows for ST.96 Ver 3.0 D5:

(a) . In `GoodsServicesLimitationType`, make `com:LimitationCountryCodeBag` optional, (full text on wiki).

```

<xsd:sequence>
  <xsd:element ref="com:LimitationCountryCodeBag" minOccurs="0"/>
  <xsd:choice maxOccurs="unbounded">
    <xsd:element ref="com:CommentText"/>
    <xsd:sequence>
      <xsd:element ref="tmk:GoodsServicesLimitationCategory"/>
      <xsd:element ref="tmk:LimitationClassDescriptionBag"/>
    </xsd:sequence>
  </xsd:choice>
</xsd:sequence>

```



(b) **Agreement:** WIPO-Madrid proposed to use the following three values in enumeration list consistent across various *CategoryTypes* (*MadridDesignationTerminationCategory*) in *Madrid* transactions.

values "Partial ceasing of effect" (not "partial ceasing of effect of registration"), "Total ceasing of effect" (not "Total ceasing of effect of registration"), and "Total cancellation" (not Cancellation). The proposal was agreed upon. As examples:

- i) Define an enumeration list in the *MadridCompletedProcessingCategoryType*, there are 2 values to express the same action.
  - Replace values = "partial ceasing of effect of registration", with "partial ceasing of effect", and "Total ceasing of effect of registration" with "total ceasing of effect".
- ii) Define an enumeration list in the *MadridDesignationTerminationCategoryType* there are 2 values to express the same action.
  - Replace the value "Cancellation" with value of "Total cancellation".

(b) **Agreement:** Change the categories list in the *tmk:MarkTranslationText*; the element should be converted to *tmk:MarkTranslationTextBag*.

(c) **Agreement** : *tmkPriorityBag* should be optional, in *MadridInternationalRegistrationCreationType*.

(d) Allow some text element to repeat up to three times (required gets data in all 3 languages).

(e) **Agreement & ACTION:** IB to send structure to USPTO to reflect the following changes.

(f) Change *tmk:GoodsServicesLimitation* to *tmk:GoodsServicesLimitationBag* in *MadridProtectionRestrictionType*.

(g) In *MadridDesignationType* and *MadridInternationalRegistrationCreationType*

- *MarkImageColourClaimedText*

- MarkImageColourPartClaimedText
- MarkDescriptionText
- To becomeMarkImageColourClaimedTextBag
- MarkImageColourPartClaimedTextBag
- MarkDescriptionTextBag

113. **Agreement**: the proposal in IssueID 610 (Modifications to MadridIBToOfficeTransaction) is agreed to by participants.

- (a) Issue 610 is closed.

Agenda item 7c. Other open issues:

*IssueID-543 – OtherDate (IB)*

114. **Agreement**: The participants agreed on Option 1. “*OtherDate*”, but there is no need to create or add the correspondent element per enumeration value because the elements are already included in version 3.0 D4.

- (a) The issueID-543 is closed.

115. **ACTION** - In order to update the Task Force Leader proposed to create a new wiki page community forum (titled: **Enumeration Values**) where task force members can propose new enumeration values. The changes will be implemented, with members’ agreement.

*IssueID-608 – MadridHolderRepresentativeChange(IB)*

116. The initial description of the issue was to add *MadridHolderRepresentativeChange* – Schema V2\_2.

Option 1. Keep same transaction but add new components

Option 2. Create another separate component

- (a) CIPO stated that the current transactions in D4 are the way that Madrid currently transacted (multiple transactions).

(b) **ACTION**: The following proposal was submitted by WIPO-Madrid and will be further considered; it relates to “Option 2.” It would alter the Madrid Structure in order to resolve *MadridPartialChangeOwnership* issue.

```

<xsd:element name="MadridPartialChangeOwnership" type="tmk:MadridPartialChangeOwnershipType">
  <xsd:annotation>
    <xsd:documentation>Transaction to group the two international registrations which are involved in a partial change of Ownership</xsd:documentation>
  </xsd:annotation>
</xsd:element>

<xsd:complexType name="MadridPartialChangeOwnershipType">
  <xsd:sequence>
    <xsd:element ref="tmk:MadridDesignation"/>
  <xsd:choice>
    <xsd:element ref="tmk:MadridDesignationTermination"/>
    <xsd:element ref="tmk:MadridProtectionRestriction"/>
  </xsd:choice>
</xsd:sequence>
</xsd:complexType>

<xsd:complexType name="MadridBToOfficeBagType">
  <xsd:choice maxOccurs="unbounded">
    <xsd:element ref="tmk:MadridDesignation"/>
    <xsd:element ref="tmk:MadridDesignationTermination"/>
    <xsd:element ref="tmk:MadridRenewal"/>
    <xsd:element ref="tmk:MadridProtectionRestriction"/>
    <xsd:element ref="tmk:MadridHolderRepresentativeChange"/>
    <xsd:element ref="tmk:MadridPartialChangeOwnership"/>
    <xsd:element ref="tmk:MadridBasicRegistrationApplicationChange"/>
    <xsd:element ref="tmk:MadridInternationalRegistrationCreation"/>
    <xsd:element ref="tmk:MadridCompletedProcessing"/>
    <xsd:element ref="tmk:MadridCorrection"/>
    <xsd:element ref="tmk:RecordLicence"/>
    <xsd:element ref="tmk:MadridLicenseeRecordChange"/>
    <xsd:element ref="tmk:MadridSecondPartPayment"/>
    <xsd:element ref="tmk:MadridIrregularityNotification"/>
    <xsd:element ref="tmk:MadridAbandonmentNotification"/>
  </xsd:choice>
</xsd:complexType>

```

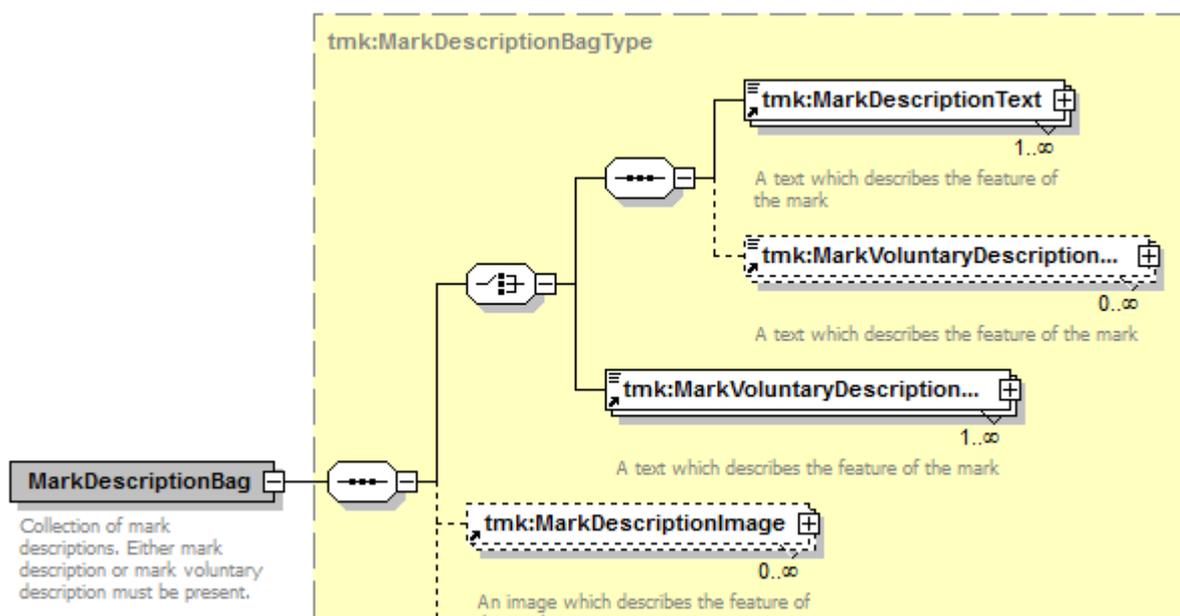
### IssueID-609 – Voluntary Description (IB – Madrid)

117. The initial description of the issue is that, according to ST.96 convention, element *MarkVoluntaryDescriptionBag* should be *MarkVoluntaryDescriptionTextBag*.

(a) This category includes *tmk:MarkDescriptionText*, *tmk:MarkDescriptionImage*, *tmk:NationalMarkDescription*.

(b) **Agreement** – Participants agreed to add a new element *MarkVoluntaryDescriptionText* in the existing *MarkDescriptionBag* as below.

#### Image and source view:



```

<xsd:complexType name="MarkDescriptionBagType">
  <xsd:sequence>
    <xsd:choice>
      <xsd:sequence>
        <xsd:element
ref="tmk:MarkDescriptionText" maxOccurs="unbounded" />
        <xsd:element
ref="tmk:MarkVoluntaryDescriptionText" minOccurs="0"
maxOccurs="unbounded" />
      </xsd:sequence>
      <xsd:element
ref="tmk:MarkVoluntaryDescriptionText" maxOccurs="unbounded" />
    </xsd:choice>
    <xsd:element ref="tmk:MarkDescriptionImage"
minOccurs="0" maxOccurs="unbounded" />
    <xsd:element ref="tmk:NationalMarkDescription"
minOccurs="0" />
  </xsd:sequence>
</xsd:complexType>

```

#### *IssueID-611 – OppositionType (CA)*

118. **Agreement:** The initial description of the issue is that, to add multiple plaintiffs in *tmk:Opposition* by having an *tmk:PlaintiffBag*. It was noted that the proposal has been already implemented in the D4 version.

(a) **Agreement**– *DefendantBag*, in *CancellationProceedings* will be optional to cover the case when a trademark registration holder does a “self-cancellation”, it is an administrative procedure. *CancellationProceedings* also covers the case for a non-administrative proceeding (it would be mandatory in this last case).

(b) There is a case where a national court could constrain a trademark registration holder to cancel the ownership.

119. The Task Force Leader asked if participants use the ST.96 *CancellationProceedings* component for Design. KIPO, CIPO, Rospatent, IP Australia, USPTO do not use the *CancellationProceedings* component for Designs.

#### Agenda Item 8: Industrial Design XML

Agenda item 8a. Hague System XML components for the transactions from IPOs to the IB: IssueID-570 (IB)

120. WIPO-Hague commented that mock decisions were created successfully using draft ST.96.

121. When an office sends an indirect filing, the current version only has one claim text and no indication of the Contracting Party. To make the element future proof, it is proposed to align the structure to *dgn:HagueRegistration* where there is a *dgn:ClaimBag*.

(a) **Agreement** – Participants agreed to implement a design change: in *dgn:HagueApplication*. The change in the design is to use the *dgn:DesignClaimBag* rather than *dgn:DesignClaim*.

(b) **Agreement:** Participants agreed to KIPO's Proposal to make element *com:DocumentIdentifier* mandatory in *dgn:PrincipleDesignRelation*.

122. **Agreement:** Participants concluded that Hague Office-to-IB transactions were well-defined enough to close IssueID-570 and incorporate the Hague Office-to-IB in the next published version of the standard.

Agenda Item 8b. Hague System XML components for the transactions from the IB to IPOs: IssueID-599 (IB)

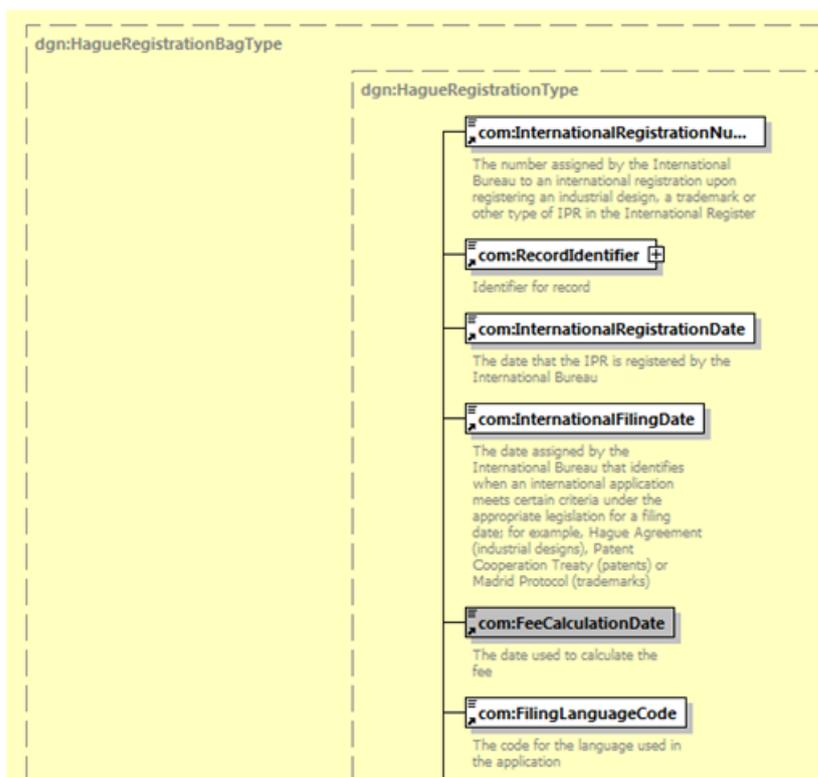
123. **Agreement** – Participants agreed to the WIPO-Hague for the following elements:

- (a) Topic *dgn:HagueDesign/ViewBag/View* element *dgn:ViewIdentifier* is optional; it should be mandatory.
- (b) Topic *dgn:HagueOwnershipChangeRefusalWithdrawal*, has a missing element, which is *dgn:HagueBulletinReference* that should be mandatory and be located under *com:OfficeReferenceIdentifier*.
- (c) For element *dgn:HolderChangeBag*, WIPO-Hague proposed to change the description from “Details of the previous and new holder of the design” to “Details of the previous and new holder of the design or of the previous name/address and the new name/address, in case of change in the name/address of the holder”.
- (d) In the enumeration list under *dgn:HagueIBTransactionCategory*, “Irregularity Notice” should be replaced by “Irregularity notification” to be closer to the domain language.
- (e) Enumeration in *MadridIBTransactionCategory* to be updated as well from “Irregularity” to “Irregularity notification” for consistency with *dgn:HagueIBTransactionCategory*.

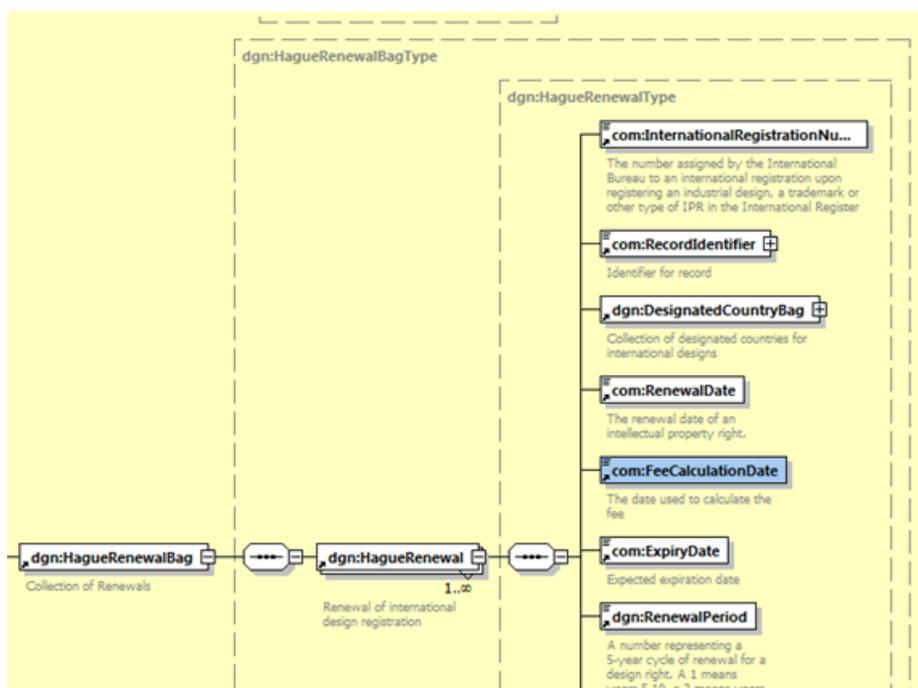
124. **Agreement** – Participants agreed to the proposal from IB-Hague to improve reconciliation with financial statements for Offices who consume Hague XML data.

The agreed changes are described as follow:

- (a) In *dgn:HagueRegistration*, add a mandatory element *com:FeeCalculationDate* after element *com:InternationalFilingDate*;



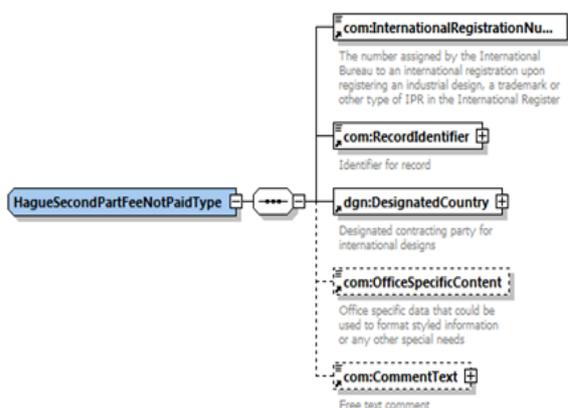
(b) In `dgn:Renewal`, add a mandatory element `com:FeeCalculationDate` after element `com:RenewalDate`;



(c) Update element `dgn:HagueSecondPartFeePaid` (currently only in Office-to-IB transactions) to add three mandatory elements: (i) `dgn:DesignatedCountry`, (ii) `com:PaymentDate` and (iii) `com:FeeCalculationDate`. Change the description of `dgn:HagueSecondPartFeePaid` to "Notification that the second part of the designation fee has been paid with respect to an international design registration"



- (d) Create element `dgn:HagueSecondPartFeePaidBag`, with a description of "Collection of notifications that the second part of the designation fee was paid". This element will hold multiple `dgn:SecondPartFeePaid` elements.
- (e) Copy element `dgn:HagueSecondPartFeePaidBag` under `dgn:HagueOfficeCopyBag`
- (f) Create new element `dgn:HagueSecondPartFeeNotPaid` with the description: "Notification that the second part of the designation fee has not been paid within the given deadline" using a complex type with the structure illustrated below:



- (g) Create a `dgn:HagueSecondPartFeeNotPaidBag` with the description: "Collection of notifications that the second part of the designation fee was not paid" to hold multiple `dgn:HagueSecondPartFeeNotPaid` elements.
- (h) Add the element `dgn:HagueSecondPartFeeNotPaidBag` in the `dgn:HagueOfficeCopyBag`

```

<xsd:element name="HagueOfficeCopyBag" type="dgn:HagueOfficeCopyBagType">
  <xsd:annotation>
    <xsd:documentation>Copies of international registrations, related changes and su
  </xsd:documentation>
</xsd:annotation>
</xsd:element>
<xsd:complexType name="HagueOfficeCopyBagType">
  <xsd:choice maxOccurs="11">
    <xsd:element ref="dgn:HagueRegistrationBag"/>
    <xsd:element ref="dgn:HagueOwnershipChangeBag"/>
    <xsd:element ref="dgn:HagueMergerBag"/>
    <xsd:element ref="dgn:HagueHolderNameAddressChangeBag"/>
    <xsd:element ref="dgn:HagueCreatorNameAddressChangeBag"/>
    <xsd:element ref="dgn:HagueRenunciationBag"/>
    <xsd:element ref="dgn:HagueLimitationBag"/>
    <xsd:element ref="dgn:HagueCorrectionBag"/>
    <xsd:element ref="dgn:SecondPartFeePaidBag"/>
    <xsd:element ref="dgn:SecondPartFeeNotPaidBag"/>
    <xsd:element ref="dgn:HaguePublicationCancellationBag"/>
  </xsd:choice>
</xsd:complexType>

```

125. **Agreement:** Participants concluded that Hague IB-to-Office transactions were well-defined enough to close IssueID-599 and incorporate the Hague IB-to-Office in the next published version of the standard.

#### Agenda Item 8c. High-level Roadmap for Hague IB-Office transaction (Draft)

126. WIPO-Hague presented the strategy used for testing ST.96. An extensive mapping has been created using the tool Altova MapForce. Existing bulletins were fed into transformation sheet (XSL) and the output generated was readily viewable in an ST.96 XML document.

- (a) The presentation offered a good demonstration of the usefulness of the testing approach, as well as proving that existing data can be mapped to the ST.96 XML Standard.
- (b) **ACTION** – WIPO- Hague will post the mapping on the wiki when it is aligned on version D5 of the ST.96 XML schema that will be updated as a result of the Ottawa meeting.

127. WIPO-Hague explained the High-Level Roadmap for Hague System electronic data exchange with Offices.

128. Task Force Leader mentioned the ST.96 version 3.0 may need to be delayed to account for the impact on the development of the Patent implementation. WIPO-Madrid/Hague stated that if there is a delay, the latest draft D5 will be available for testing, but did mention that having the transactions as an actual published standard helps in other communication activities.

- (a) KIPO commented that they wish to test as soon as possible, if the resources can be secured to use ST.96 to implement it. KIPO plans to update its IT system to send Office-to-IB transactions using ST.96.
- (b) UK IPO commented that obtaining the mapping will facilitate the evaluation of ST.96 towards its implementation.
- (c) CIPO commented that it will implement ST.96, in alignment with its development scheduled.
- (d) Rospatent commented that they will confirm the implementation of ST.96 in 2019.

#### Agenda Item 8d. Other open issues

##### *IssueID-574 – DesignBibliographicData (GB)*

129. **ACTION** – UK IPO will update the XML schema and post on the WIKI according to the discussion. Task Force Leader mentioned that there is a concept in Patent called BibliographicData which is similar to the MarkRecord and DesignRecord, respectively, in Trademark and Design.

- (a) UK IPO will review DesignRecord whether it can be reused instead of creating a new DesignBibliographicData. If UK IPO determines that a schema is needed, it will update the schema.
- (b) Rospatent and CIPO will conduct the 1<sup>st</sup> review.

*IssueID-546*

130. **ACTION** – UK IPO will propose a structure as it will relate to post registration invalidation based on the pre-registration opposition schema for Industrial Designs. UK IPO could provide an early/initial proposal in a two week period and IP Australia will conduct the 1<sup>st</sup> review of the proposal.

- (a) **Agreement** – The participants agreed to create a new ISSUEID to replace opponent, Claimant with the pair of plaintiff and defendant. The model should refer to trademark's structure, e.g. *CancellationProceedings*.

Agenda Item 9. Geographical Indication XML: GEO: 1st Round

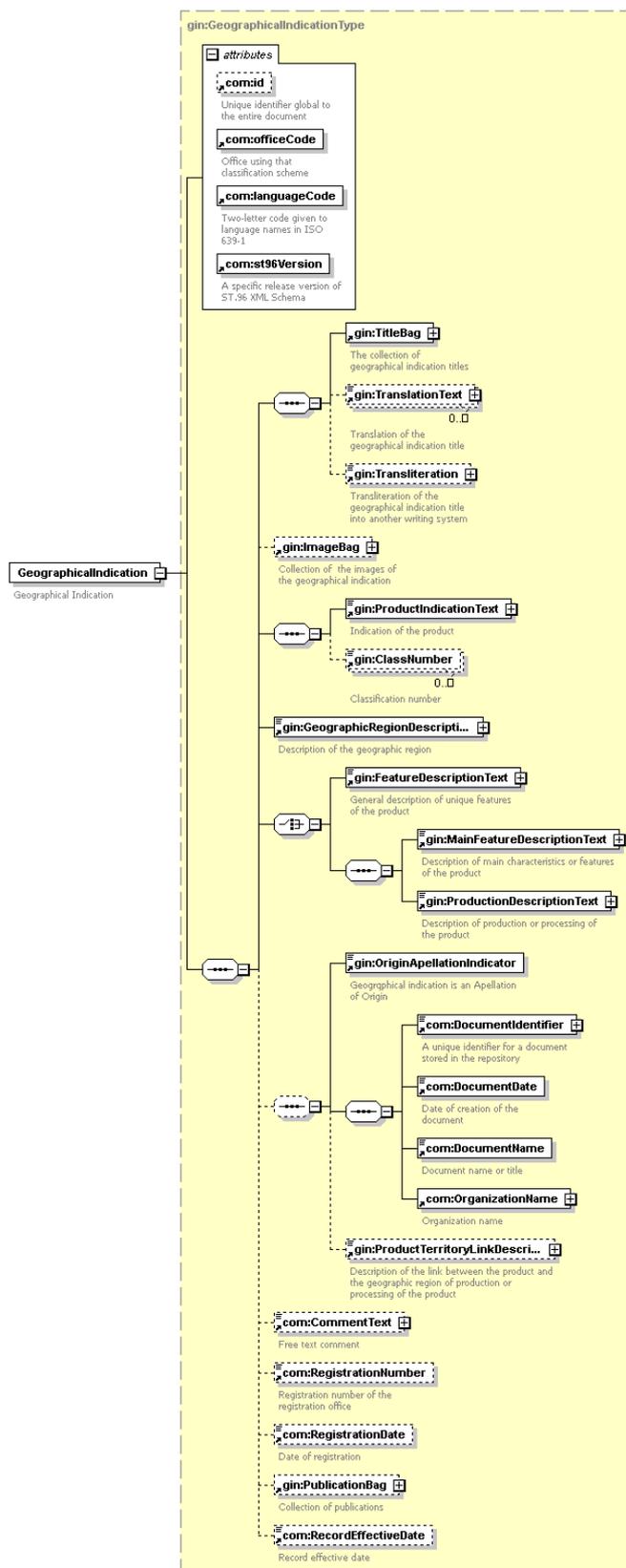
131. Rospatent proposed to add three main entities, based on an earlier study on the structure of its national and national State Register, as well as Lisbon and ASEAN GIDatabase.

The first entities selected are:

- (a) "Application"
- (b) "Geographical Indication"
- (c) "Certificate of right to use the Geographical Indication"

132. Rospatent presented the proposed XML schema for *GeographicalIndication*.

- (a) Geographical Indication



133. Discussion on GIs:

- (a) Rospatent indicated that a GI is a specific IP type.
- (b) CIPO/ IPA stated that a GI can be included as a part of a trademark application.

- (c) The Task Force Leader mentioned that the GI should be connected/included/adapted in Trademark. Rospatent agreed to this approach.
- (d) USPTO mentioned that a GI is treated as a trademark and could not be considered a separate IP right application. They have to file as a “certification mark” or “collective mark”.
- (e) UK IPO does not consider GIs as trademarks. Their practice is to search PGIs for conflicts to marks.
- (f) IB-Madrid mentioned that the relevant GIs are in the relevant TM classes, as a use of GI. Lisbon is a completely different system from Madrid.
- (g) EUIPO indicated there are around 2800 GIs in the EU and more than 10000 worldwide (there are 28 signatory countries for Lisbon) and could be implemented in one of two ways:
- i) Create a separate GI domain (i.e. Rospatent proposal)
    - o Pro – most countries have GIs and managed by a separate office
  - ii) Adapt the TM components for GI
- (h) IB-Madrid indicated that the proposal would need to be reviewed as not all cases in the international market.
- (i) EUIPO proposed the following types of GIs –
- i) GI - Geographical Indication,
  - ii) PDO - Protected Designation of Origin,
  - iii) PGI - Protected Geographical Indication,
  - iv) TSG - Traditional Specialty Guaranteed
  - v) AO - Appellation of Origin
    - o and ~ 20 product categories for PGI and TSG
    - o Rospatent’s practice is to name the product, and not have product category.
- (j) EUIPO indicated that the given categories in the wiki of PDO, PGI, and TSG are mainly used in Europe. ASEAN and China may use different categories..
- (k) **ACTION** - EUIPO proposed to have product categories, which they will provide to the Task Force Members with a link to Nice classes including those for ASEAN countries having currently registered GIs: Cambodia, Indonesia, Malaysia, Thailand, Vietnam. (noted that the Philippines and Singapore, which are not part of ASEAN GIs).
- (l) **ACTION** – EUIPO will provide more details on the different types of GIs and examples for each type. The Task Force Leader asked to obtain more information for GI types to for PDO, PGI and TSG. The Task Force Leader will reach out to canvas for other GI types.
- (m) **ACTION** the IB will provide Product Category in relation to AO based on the Lisbon agreement.
- (n) **Agreement** – The types of GIs will be listed as enumeration values in ST.96.
- (o) **ACTION** - CIPO, USTPO, EUIPO and Rospatent will propose to evaluate common component between GI and Trademark.
- (p) CIPO presented its practices related to Geographical Indication to the ST.96 dissemination structure. Needed elements are:
- i) tmk:NationalTrademarkInformationType



- ii) USPTO found it to indicate the match to ST.96 and is satisfactory.
- (k) **ACTION** - UK IPO have reviewed and indicated that some elements in ST.14 were found missing. The missing elements related to CitationTypes → NPLCitations would be useful. UK IPO will review and provide feedback.
  - i) IP Australia have not tested the context of Citations, they did review the structure and seems satisfactory.

135. Participants discussed several issues related to the topic of Patent Legal Status

- i) **Agreement** – USPTO presented the schema and Supplementary Data Item table. UK IPO indicated that the information is mostly accurate and will assist USPTO to review and finalize the information.
- ii) **ACTION** – LicenseCategory needs to be reviewed as it may not cover all of the necessary information. UK IPO to provide to USPTO.
- iii) **ACTION** - UK IPO will provide all enumerated lists in ST.27 to USPTO on the basis of the table below.
- iv) **ACTION** – USPTO will follow the “start and end date” conventions in ST.96.

**Patent Record and Patent Legal Status XML**

Nbr	Supplementary Data Item	ST.96 Element	Category
1	Effective Country or Region	EffectiveCountryBag	All
2	Gazette Issue Number	GazetteNumber	All
3	Comment (i.e. free text)	CommentText	All
4	Related Document Identification (e.g. parent document ID)	RelatedDocumentBag	A
5	Priority Date	PriorityClaimBag	A
6	PCT Filing Date	InternationalFilingData	A
7	Regional Filing Date	RegionalFilingData	A
8	Name of Applicants	PartyBag	A
9	Divided Applications	RelatedDocumentBag	A
10	Discontinuation Date	DiscontinuationDate	C
11	Search Category (e.g. first, further invention, additional search due to shift in scope of claims)	SearchCategory - needs better definition and perhaps be an enumerated list.	D
12	Requester of Search (e.g. applicant, third party, or independently by the IPO)	PartyBag – insufficient to identify requester of search	D
13	Requester of Examination (e.g. applicant, third party, or independently by the	PartyBag – insufficient to identify requester of examination	D

Nbr	Supplementary Data Item	ST.96 Element	Category
	IPO)		
14	Details of Court/Tribunal (e.g. name of court, tribunal, IPO body)	Uspat:CourtData	E
15	Representative's Name(s) & Contact Details	PartyBag or RepresentativeBag?	E
15b	Party Name(s)	PartyBag – not sure this will include all relevant parties?	E
16	Name of Registered Owner	OwnerBag (not RegisteredPractionerBag)	F, L
17	Reference to Pre-grant Review Decision (e.g. court or tribunal order following pre-grant review)	Uspat:CourtData	F
18	Extension Date (e.g. end date of PTA, PTE, or SPC extension)	<b><i>ExtensionAuthorisationDate- see more detailed information re SPCs below.</i></b>	G
19	<i>Ex tunc</i> or <i>Ex nunc</i> Indicator	ExTunclndicator Also need ExNunclndicator (from now on) Should we use the Latin?	H
20	Decision Authority Category (e.g. national court, tribunal, IPO)	DecisionAuthorityCategory	H
21	Reinstatement Reason Category (e.g. following payment of fee)	ReinstatementReasonCategory – needs to be an enumerated list and better definition	K, M
22	Cessation Date	CessationDate	K
23	Expiry Date	ExpiryDate	K
24	IP Right Review Details (i.e. information about the IP right review, including court order details for example)	ReviewData – does this need to be structured rather than free text?	M
25	Publication identification	PatentPublicationIdentification	P, Q
26	Modified Part of Document Category (e.g. bibliographic information, priority claim, specification, claims, drawings)	ModifiedPartCategory – enumerated list needed	P
27	Modification Category (e.g. amendment or correction)	ModificationCategory – typo „ammendment“ in enumerated list	P
28	Previously Published	PatentDocumentRepublication	P

Nbr	Supplementary Data Item	ST.96 Element	Category
	(erroneous) Content		
29	New (corrected) Content	PatentDocumentRepublication	P
30	Patent Document Category (ST.16)	DocumentContentCategory – should this be PatentDocumentKindCode? Also need PatentPublicationIdentification	Q
31	Party Data Change Category (e.g. owner change, inventor change, representative change, owner contact information change, inventor contact information change, representative contact information change)	PartyChangeCategory	R
32	Previous Party Name/Contact Information	PreviousPartyBag	R
33	Previous Party Country Code (EA)	PreviousPartyBag	R
34	New Party Name/Contact Information	NewPartyBag	R
35	New Party Country Code (EA)	NewPartyBag	R
36	Assignment Document Number (e.g. number associated with transfer of IP right)	DocumentNumber	R
37	Ownership Transfer Date	OwnershipTransferDate	R
38	Legal Proceedings Details (if applicable)	PatentLegalProceedingsData (free text)	R
39	License Registration Number	LicenceNumber	S
40	License Record Category (e.g. initial record, amendment, cancellation)	New enumerated list needed licence record category	S
41	License Status (e.g. active, inactive, terminated)	Add existing element LicenceStatusCategory – new values may be needed in enumerated list	S
42	License Start Date	Add existing element LicenceDate	S
43	Term of License (i.e. duration of license) / License End Date	Need new element LicenceEndDate	S

<b>Nbr</b>	<b>Supplementary Data Item</b>	<b>ST.96 Element</b>	<b>Category</b>
44	Name of Licensor(s)	Need equivalent of pat:LicenceDataBag	S
45	Country Code of Licensor	Need equivalent of pat:LicenceDataBag	S
46	Name of Licensee(s)	Add existing element pat:LicenceDataBag	S
47	Country Code of Licensee	See pat:LicenceDataBag	S
48	Licensing Information Amendment Category (i.e. which terms were amended)	Need new element LicenceAmendmentCategory	S
49	Territory of License Validity	Need new element LicenceValidityTerritory	S
50	Legal Proceeding Details (if applicable)	PatentLegalProceedingsData (free text)	S
New	License Of Right Date	<b>LORDate</b>	S
New	License Of Right Cancellation Date	<b>LORCancellationDate</b>	S
51	Adjustment Category (e.g. time extension, suspension, stay, resumption, interruption, delay in communication services, as-of-right extension granted, IPO disruption, IPO irregularity)	AdjustmentCategory	T
52	Reason for Adjustment (e.g. natural disaster, IPO delay, court delay, applicant/patentee delay)	AdjustmentReasonCategory	T
53	Start and End Date (e.g. date at which the adjustment starts and date at which the adjustment ends)	AdjustmentStartDate  AdjustmentEndDate (follow ST.96 standard for date)	T
54	Fee Category (e.g. registration fee, maintenance fee, renewal fee, designation fee)	FeeCategory	U
55	Paid to Date (i.e. the date up to which the fees have been paid, e.g. no renewal fees will be required until that date)	Add existing element PaymentDate	U
56	Next Fee Due Date (i.e. date at which the next fee	Add existing element PaymentDueDate	U

<b>Nbr</b>	<b>Supplementary Data Item</b>	<b>ST.96 Element</b>	<b>Category</b>
	becomes due)		
57	Year of Fee Payment	New element needed FeePaymentYearNumber	U
58	Appellate body	FeeCategory component incorrectly included in AppealCategory <b>New component needed</b>	V
59	Decision Being Appealed	New component needed	V
60	Appellate Decision Details	New component needed	V
61	Decision Citation	New component needed	V
62	National/regional Event Description	New component needed	W
63	Status Event Identification (Status Event Code and Date; or Unique Identifier)	New component needed	Y
64	Previously Published Erroneous Content	New component needed	Y
65	New Corrected Content	New component needed	Y
<b>SPC Data Requirements by Category</b>			
66	Filing Date of the Supplementary Protection Certificate	<b><i>SPCFilingDate</i></b>	A
67	Reason an SPC application is no longer in force	<b><i>ReasonNotInForceCategory</i></b>	B, H, N, U
68	Date an SPC application was granted	<b><i>GrantDate</i></b>	F
69	Date an SPC application is no longer in force	<b><i>NotInForceDate</i></b>	B, H, N, U
70	Date an SPC Entered Into Force	<b><i>EnteredIntoForceDate</i></b>	F
71	Examination Date	<b><i>ExaminationDate</i></b>	D
72	Maximum Expiry Date	<b><i>LatestExpiryDate</i></b>	F
73	Expiry Date	<b><i>ExpiryDate</i></b>	H
74	Product Description	<b><i>ProductDescriptionText</i></b>	A, B, F, K,U
75	Extension Filing Date	<b><i>ReceivingOfficeDate</i></b>	G
76	Extension Authorization Date	<b><i>ExtensionAuthorizationDate</i></b>	G
77	Extension Authorization Number	<b><i>ExtensionAuthorizationNumber</i></b>	G
78	Extension Grant Date	<b><i>ExtensionGrantDate</i></b>	G

Gbpat:RenewalData – This is covered by Category U (Payment). (Research to determine if existing payment components can be reused)

- RenewalDueDate – The date due for the renewal (make optional as this is not needed by USPTO. USPTO uses the 3 dates below.
- PaymentPeriod.StartDate – The date on which the payment can be made. (Is PaymentPeriodStartDate more clearer)
- PaymentPeriod.SurchargeStartDate – The date on which the higher fee payment starts. Note: This date is after the payment period start date and is before payment period end date.
- PaymentPeriod.EndDate – The last date on which the payment can be made.
- LastRenewalYearNumber
- RenewalBlockIndicator

Uspat:PatentTermData (Adjustment and Extension)– should these elements be included under category G for Protection Beyond IP Right Term? Add additional components as needed.

Pat:SupplementaryEventData – was deleted from the current structure.

136. **Action item:** UKIPO will provide categories that require enumeration lists by 2017-09-29 and USPTO will update patent record by 2017-10-06.

(a) **ACTION** - UK IPO will provide an enumeration list to USPTO by September 29<sup>th</sup>, 2017 and based on the LegalStatusSupData.docx.

(b) **ACTION** – USPTO will update the schema defined in the LegalStatusSupData.docx by October 6<sup>th</sup>, 2017.

i) GbPat:RenewalData - This is covered by Category U (payment) (Research to determine if existing payment components can be reused). It is defined by six (6) sub-categories in the presented schema.

- RenewalDueDate – The date due for the renewal.

Uspat:RenewalPaymentStartDate – The date from which the applicant can pay for a renewal.

- Uspat:RenewalPaymentEndDate – The last date from which the applicant can pay for a renewal without a surcharge.
- PaymentPeriod.EndDate – The last date from which the applicant can pay without a surcharge.
- Uspat:SurchargePaymentStartDate – the date by which the applicant will be billed a surcharge to renew.
- Gbpat:LastRenewalYearNumber
- Gbpat:RenewalBlockIndicator
- New Optional element, uspat:RenewalStatusCategory with values of Open, Closed, Not open

Description: The category of renewal status. USPTO has 3 renewal periods (3.5 year, 7.5 Year, and 11.5 year) and thus 3 records. Refer to below for further information.

Component mapping:

Business Data	ST.96 Component
---------------	-----------------

First Day to Pay	PaymentPeriod.StartDate
Surcharge Starts	SurchargePaymentPeriod.StartDate
Last Day to Pay	RenewalDueDate

Payment Window Status

WINDOW	STATUS	FEES
7.5 Year	Open	Due

Window	First Day to Pay	Surcharge Starts	Last Day to Pay	Status	Fees	Statement
3.5 Year	05/18/2013	11/19/2013	05/19/2014	Closed	Paid	<a href="#">Statement</a>
7.5 Year	05/18/2017	11/21/2017	05/18/2018	Open	Due	
11.5 Year	05/18/2021	11/19/2021	05/18/2022	Not Open	Not Due	

- Optional com:PaymentStatusCategory with additional values of Paid, Due, Unpaid, Not due. Current ST.96 V2.2 enumerations values are: Done, Attached, To follow, Bank transfer to follow, Undefined.

- Description – The status of fee payment

Agenda Item 11. Future Work

137. **ACTION** - Participants agreed the Roadmap elements, summarize in the table below: The Task Force Leader will present a Roadmap in the next formal meeting.

Area	Topic	Schedule	Comments
Common	M2M Update Annex VI		EM-GI
Patent	SPC Bibliographic Data Search Report Written Opinion/Examination Report Patent Record Legal Status Patent Transaction Other PCT forms (???)		ST.96 V3.0
Trademark	Madrid Transactions: Creation of sample data Trademark Legal Status XML		CIPO, WIPO- Madrid
Design	Hague Transactions – (High level roadmap:testing)		CIPO,

	<p>Replace certain party types, e.g. Opponent, Claimant with Plaintiff and Defendant</p> <p>Design bibliographic Data</p> <p>Invalidation</p> <p>Design Legal Status XML</p>		Rospatent, WIPO-Hague
Geographical Indications	New Component – Scope, Product Category, Common Components, Asean GI database, EM's GI XML, Lisbon XML		IB, EM, RU, and US
Copyright	Study		EM, GB and IB

Legend:

- Deployed in ST.96 V 3.0

- May be deployed in ST.96 V 3.0

138. **ACTION** - HK in the ISOCountryCode will be updated in line ST.3 code.

139. **ACTION** – IB will follow up to include Kosovo “XK” in the ISOCountryCode.

Agenda Item 12. Summary of the discussions

140. This was done collectively by reviewing the meeting notes.

Agenda Item 13. Closing of the session

141. Agreement – Participants agreed with the Task Force Leader’s proposal to close the session.

[Annex I follows]

## ANNEX I: PROPOSED AGENDA

## XML4IP TF 2017 Ottawa Meeting

1. Opening of the meeting
2. Adoption of the agenda.
3. Progress report by the Task Force Leader
4. General statements by Delegations
5. Common subject matter
  - (a) New WIPO standard supporting machine to machine communications
  - (b) Other open issues on Common elements:
    - IssueID-583
    - IssueID-584
    - IssueID-590
    - IssueID-591
    - IssueID-593
    - IssueID-600
6. Patent XML
  - (a) Patent Record: IssueID-606
  - (b) Patent Search Report: IssueID-605
  - (c) Patent Legal Status XML: Patent Legal Status XML
  - (d) Other open issues:
  - (e) IssueID-550 (GB)
  - (f) IssueID-574 (GB)
  - (g) IssueID-575 (GB, SPC Bib Data)
  - (h) IssueID-604
7. Trademark XML
  - (a) Madrid System XML components for the transactions from IPOs to the IB:
  - (b) IssueID-539, IssueID-577
  - (c) Madrid System XML components for the transactions from the IB to IPOs: IssueID-538, IssueID-579, IssueID-610
  - (d) Other open issues:
    - IssueID-543
    - IssueID-608
    - IssueID-609
    - IssueID-611

8. Industrial Design XML
  - (a) Hague System XML components for the transactions from IPOs to the IB: [IssueID-570](#)
  - (b) Hague System XML components for the transactions from the IB to IPOs: [IssueID-599](#)
  - (c) [High-level Roadmap for Hague IB-Office transaction](#) (Draft)
  - (d) Other open issues:
    - [IssueID-574](#) (GB)
    - [IssueID-546](#) (GB)
9. Geographical Indication XML: [GEO: 1st Round](#)
10. WIPO Standard ST.96 version 3.0
11. Future work
12. Summary of the discussions
13. Closing of the session

[Annex II follows]

## ANNEX II: PARTICIPANTS LIST

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Joo	A Ra	KIPI	<a href="mailto:jooara@kipi.or.kr">jooara@kipi.or.kr</a>
Tith	Narith	USPTO	<a href="mailto:Narith.Tith@uspto.gov">Narith.Tith@uspto.gov</a>
Auduong	Tyle	USPTO	<a href="mailto:Tyle.Auduong@uspto.gov">Tyle.Auduong@uspto.gov</a>
Tran	Alexandre	EUIPO	<a href="mailto:Alexandre.tran@euipo.europa.eu">Alexandre.tran@euipo.europa.eu</a>
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[End of Annex II and of document]