

Fee-payment-data.dtd – Usage (v1.7)

Document updated to clarify transmission practice and the signing (positive and negative) of fee values (section 3 below)

Changes since version 1.6 – inclusion of comments in XML instance header for use when reviewing files manually, additional comments in the DTD and correction of currency code in examples from EURO to EUR.

Changes since version 1.5 – correction of example for minimum optional element (addition of ro-receiving-date attribute to fee-pay element)

1. Introduction

The International Bureau receives fees for International Applications through periodic payments from receiving Offices. As a result each payment normally includes funds associated with many International Applications. The International Bureau wishes to receive the information as to the assignment of funds from the consolidated payment to the individual International Application fees in XML format according to the fee-payment-data.dtd. The DTD is designed to validate the structure of XML files to ensure that they meet a minimum standard for processing into the computer systems at the International Bureau.

2. Intended transmission frequency

A fee-payment-data XML file is expected to be transmitted at the same time as a payment is made to the International Bureau and its total value must correspond to the value of the actual payment.

Most offices transmit one payment and one file per month. Any corrections to amounts previously transmitted for IAs are shown as records in subsequent transmissions, noting that each fee-payment breakdown file should always indicate a the same total amount as the value of the actual transmitted payment. This ensures that the total value for the breakdowns is consistent with the total value for actual payments while allowing corrections to be made to the data for each IA to ensure that at the IA level the values are also correct.

Please refer to Appendix B example 3 for a practical example.

3. XML file naming convention

The naming convention preferred is one that is consistent in structure with the “Minimal specification for the transfer of documents to the international Bureau”,

The required naming is as follows;

RO-IB-yyyymmdd-fpay-nnnnn-en.xml where

RO is the ST.3 code for the sending office

IB is the ST.3 code for the destination office (will always be IB)

yyyymmdd is the date of transfer

fpay is a fixed string identifying the type of transfer

nnnnn is the sequence number (may be reset annually)

en is the language code (always en as currency codes always expressed in English).

The XML file should be sent uncompressed to the PCT-EDI ‘upload’ directory (optionally compressed as a zip file containing the fees file only). It is also possible to send the file by email to: support.pctedi@wipo.int.

Example file name sequence (using RO Australia as the example sending office):

AU-IB-20090127-fpay-00001-en.xml

AU-IB-20090224-fpay-00002-en.xml

AU-IB-20090325-fpay-00003-en.xml

4. Structure of XML

The structure of the XML file is specified by the DTD and it should be noted that:

- All fee data elements are optional. Each national office can choose these elements for producing XML data.
- Fee-pay element Identification information is Application number within a bank transfer
- Each fee has attribute of kind of currency
- In fee-payment-data XML instances attributes are named such that the values for the normal case should be all positive; in the case of a refund all values should be all negative (including the value for fee reduction).
- Fees should be specified in full and where there is a reduction applied for an International Application, the reduction and its value should be a positive number.

There are two possibilities for the implementation of fee reductions namely 'integrated' or 'separate'. The default is 'separate' where a separate fee-reduction element is used to indicate the value of the reduction from the IA. The alternate is 'integrated' where the value of the reduction is integrated into the value of the other fee elements for the IA. This choice is denoted in the value of the optional attribute of fee-payment-data '

Comments are required in the XML header to aid manual identification of files because automatic matching of fee-payment-breakdown instances to actual bank transfers received at WIPO is not possible; this task is done manually. These comments, inserted immediately after the DOCTYPE entry, should be formatted as in the following example of a bank transfer from EPO to WIPO of 4553000 Euros sent on May 1st 2004, with the bank transfer comment 'APRIL 2004':

```
<!-- EPO transferred to WIPO -->  
<!--bank-transfer-total 4553000 -->  
<!--bank-transfer-date 20040501 -->  
<!--bank-transfer-currency EUR -->  
<!--bank-transfer-comment APRIL 2004 -->
```

5. Kinds of fee

Corresponding with the range fees available to applicants there are XML elements available for each kind of fee attributable to an International Application. These are:

- **International fee**
 - International filing fee (fee of first 30 sheets)
 - Supplement fee (fee of more than 30 sheets)
 - Additional fee (additional component for AI 801(a))
 - Reduction (EASY filing reduction, electronic filing (image/full) reduction, developing country fee reduction and electronic filing(image based request form))
 - Designation fee (Before January 2004)
- **Handling fee** (Chapter 2 fee)

- **Total fee amount for application**

6. Specification of elements in DTD.

<fee-payment-data> (*root element*)

@dtd-version : dtd version of the XML. (*option*)
@file : file name. (*option*)
@status : status of the XML data, (*option*)
(payment for Initial, Secondary/Subsequent, Correction)
@country : country code of receiving office or IPEA for the payment data.
@date-produced : produced date of the XML data.
@total-handling-fee: total amount of handling fee. (*option*)
@reduction-type(integrated | separate) : reduction style (*option*)

<fee-pay> (*fee transaction*)

@ia-number : international application number of the fee data.
Expected as ROYYYY/NNNNNN e.g. FR2008/123456
@ro-receiving-date: date of receipt of international application at RO (not the applicant payment date)
@international-filing-date (*optional*): filing date of International Application
@applicant-name: applicant name of the fee data. (*optional*)
@pay-date : date of payment for the application from the applicant to the RO.
@currency : kind of currency of the payment of the application. (*optional*)
@status : status of the payment transaction, (*optional*)
(payment for Initial, Secondary/Subsequent, Correction)

<international-fee-data>

@currency : kind of currency of the international fee, if currency of the international fee is not same to handling fee in same transaction. (*optional*) (ISO 3 letter code)
@amount : amount of the international fee for the transaction.

<handling-fee-data>

@currency : kind of currency of the handling fee, if currency of the handling fee is not same to international fee in same transaction. (*optional*) (ISO 3 letter code)
@amount : amount of the handling fee for the transaction.

<basic-fee-data>

@amount : total amount of the international fee for the transaction.

<designation-fee-data>

@amount : amount of the designation fee for the transaction.

<base-fee>

@amount : amount of the international fee for the transaction.

<supplement-fee>

@amount : amount of the supplemental fee for the transaction.

<additional-fee>
 @amount : amount of the additional fee for the transaction.

<fee-reduction-data>
 @amount : amount of the basic fee for the transaction.
 @kind-reduction: kind of fee reduction. (*optional*)
 1. EASY filing fee reduction
 2. Electronic filing (image) fee reduction
 3. Electronic filing (full) fee reduction
 4. Developing Country reduction
 5. Electronic Filing with image based request form reduction
 NOTE type 5 is intended for initial use with USPTO EFS-Web PDF filings

<fee-total>
 @currency : kind of currency of total of the fee transaction, if currency of the international fee and handling fee are not same in the transaction. (*optional*) (ISO 3 letter code)
 @amount : amount of total of the fee transaction – this is a signed integer as it is possible that for a transaction to contain only the reduction information and that a separate transaction will be sent holding the other fee elements

Sample attribute value: (credit / debit)

<international-fee-data currency="EUR" amount="300">

<fee-total currency="SFR" amount="-100">

Appendix A. Sample XML

(1) Sample for full elements

```
<?xml version = "1.0" encoding = "UTF-8"?>
<!DOCTYPE fee-payment-data SYSTEM "fee-payment-data-v1-3.dtd">
<!-- EPO transferred to WIPO -->
<!--bank-transfer-total 3000 -->
<!--bank-transfer-date 20040601 -->
<!--bank-transfer-currency EUR -->
<!--bank-transfer-comment MAY 2004 -->
<fee-payment-data date-produced = "20040601" country = "EP" total-handling-fee = "300"
reduction-type = "separate">
  <fee-pay ia-number = "EP2004/003456" pay-date = "20040505" currency = "EUR"
applicant-name = "John SMITH" ro-receiving-date = "20040505">
    <international-fee-data currency = "EUR" amount = "1000">
      <basic-fee-data amount = "1100">
        <base-fee amount = "900"/>
        <supplement-fee amount = "200"/>
      </basic-fee-data>
      <fee-reduction-data amount = "100" kind-reduction = "1"/>
    </international-fee-data>
    <handling-fee-data currency = "EUR" amount = "100"/>
    <fee-total currency = "EUR" amount = "1100"/>
  </fee-pay>
  <fee-pay ia-number = "EP2004/003457" pay-date = "20040505" currency = "EUR"
applicant-name = "Paul Delloi" ro-receiving-date = "20040505">
    <international-fee-data currency = "EUR" amount = "900">
      <basic-fee-data amount = "1100">
        <base-fee amount = "900"/>
        <supplement-fee amount = "200"/>
      </basic-fee-data>
      <fee-reduction-data amount = "200" kind-reduction = "2"/>
    </international-fee-data>
    <handling-fee-data currency = "EUR" amount = "100"/>
    <fee-total currency = "EUR" amount = "1000"/>
  </fee-pay>
  <fee-pay ia-number = "EP2004/003458" pay-date = "20040505" currency = "EUR"
applicant-name = "John SMITH" ro-receiving-date = "20040505">
    <international-fee-data currency = "EUR" amount = "800">
      <basic-fee-data amount = "1100">
        <base-fee amount = "900"/>
        <supplement-fee amount = "200"/>
      </basic-fee-data>
      <fee-reduction-data amount = "300" kind-reduction = "3"/>
    </international-fee-data>
    <handling-fee-data currency = "EUR" amount = "100"/>
    <fee-total currency = "EUR" amount = "900"/>
  </fee-pay>
</fee-payment-data>
```

(2) example for minimum optional element

```
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE fee-payment-data SYSTEM "fee-payment-data-v1-3.dtd">
<!-- FR transferred to WIPO -->
<!--bank-transfer-total 4000 -->
<!--bank-transfer-date 20040601 -->
<!--bank-transfer-currency EUR -->
<!--bank-transfer-comment MAY 2004 -->

<fee-payment-data date-produced="20040601" country="FR">
  <fee-pay ia-number="FR2004/001234" pay-date="20040505" currency="EUR" ro-receiving-
date="20040505" >
    <international-fee-data amount="1000">
      <basic-fee-data amount="1000"/>
    </international-fee-data>
  </fee-pay>
  <fee-pay ia-number="FR2004/001235" pay-date="20040505" currency="EUR" ro-receiving-
date="20040505" >
    <international-fee-data amount="900">
      <basic-fee-data amount="900"/>
    </international-fee-data>
  </fee-pay>
  <fee-pay ia-number="FR2004/001236" pay-date="20040505" currency="EUR" ro-receiving-
date="20040505" >
    <international-fee-data amount="800">
      <basic-fee-data amount="800"/>
    </international-fee-data>
  </fee-pay>
  <fee-pay ia-number="FR2003/012345" pay-date="20031212" currency="EUR" ro-receiving-
date="20040505" >
    <international-fee-data amount="900">
      <basic-fee-data amount="600"/>
      <designation-fee-data amount="300"/>
    </international-fee-data>
  </fee-pay>
</fee-payment-data>
```

(3) Example corrections

The following example shows a case where an office sends payment, including an overpayment of 500 Euros, for one International Application in its May transmission and in June corrects the payment value (along with a payment for a separate International Application).

(a) May payment Total value = 1400

```
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE fee-payment-data SYSTEM "fee-payment-data-v1-3.dtd">
<!-- EPO transferred to WIPO -->
<!--bank-transfer-total 1500 -->
<!--bank-transfer-date 20040601 -->
<!--bank-transfer-currency EUR -->
<!--bank-transfer-comment MAY 2004 -->

<fee-payment-data date-produced="20040602" country="FR">
  <!--original overpayment of 1400 EUR for FR2004/001234 -->
  <fee-pay ia-number="FR2004/001234" pay-date="20040505" currency="EUR" ro-receiving-
date="20040505">
    <international-fee-data amount="1400">
      <basic-fee-data amount="1400"/>
    </international-fee-data>
    <fee-total amount="1400"/>
  </fee-pay>
</fee-payment-data>
```

(b) June payment Total value = 400 (= 900 + -500)

```
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE fee-payment-data SYSTEM "fee-payment-data-v1-3.dtd">
<!-- EPO transferred to WIPO -->
<!--bank-transfer-total 400 -->
<!--bank-transfer-date 20040701 -->
<!--bank-transfer-currency EUR -->
<!--bank-transfer-comment JUNE 2004 -->
<fee-payment-data date-produced="20040710" country="FR">
  <!-- correction of -500 EUR for FR2004/001234 -->
  <fee-pay ia-number="FR2004/001234" pay-date="20040505" currency="EUR" ro-receiving-
date="20040505" >
    <international-fee-data amount="-500">
      <basic-fee-data amount="-500"/>
    </international-fee-data>
    <fee-total amount="-500"/>
  </fee-pay>
  <!-- another IA transmitted in the June payment -->
  <fee-pay ia-number="FR2004/001235" pay-date="20040505" currency="EUR" ro-receiving-
date="20040505">
    <international-fee-data amount="900">
      <basic-fee-data amount="900"/>
    </international-fee-data>
    <fee-total amount="900"/>
  </fee-pay>
</fee-payment-data>
```

When the fee-payment-breakdown totals are calculated, for each international application, the sum of the values of these payments must be equal to the value of the calculated totals for the fees required for each International Application.

(4) Payment total value miss-match correction

In the DTD it is foreseen that in the case where the total values of the IA fee-payment elements do not match the bank transfer value, that the receiving Office will furnish a replacement breakdown XML file setting the status attribute to 'replacement'.

Appendix B. XML DTD

```
<?xml version='1.0' encoding='UTF-8' ?>

<!--
*****
* fee-payment-data v1.3 2009 October
*
*****
* PUBLIC "-//WIPO//DTD FEE PAYMENT DATA 1.3//EN" "fee-payment-data.dtd" *
*****
* contacts: *
* WIPO:Peter WARING; peter.waring@wipo.int *
* WIPO: Murray LEACH; murray.leach@wipo.int *
*****
* revision history *
*****
PW: 27/10/09
.. RETAINED version number from v1.3
.. COMMENTS UPDATED ONLY
PW: 17/06/08
.. changed version number from v1.2 to v1.3
.. added 5: Reduction-type attribute to fee-payment-data
.. corrected spelling of additional (from additional)
PW: 16/04/08
.. changed version number from v1.1 to v1.2
.. added 5: Reduction for Electronic Filing with image based request form
HT: 01/11/04
..changed version number from v1.0 to v1.1
..added attribute 'ro-receiving-date', 'international-filing-date' to fee-pay
April 2004
..released version number as v1.0
*****
-->
<!--
INTENDED TRANSMISSION FREQUENCY
A fee-payment-data XML file is expected to be transmitted at the same time as a
payment is made to the International Bureau and its total value must correspond
to the value of the actual payment.

Most offices transmit one payment and one file per month. Any corrections to
amounts previously transmitted for IAs are shown as records in subsequent
transmissions, noting that each fee-payment breakdown file should always
indicate a the same total amount as the value of the actual transmitted payment.
This ensures that the total value for the breakdowns is consistent with the
total value for actual payments while allowing corrections to be made to the
data for each IA to ensure that at the IA level the values are also correct.
-->
<!--
FILE NAMING
The naming convention preferred is one that is consistent in structure with the
Minimal specification for the transfer of documents to the international Bureau,
The required naming is as follows;
RO-IB-yyyymmdd-fpay-nnnnn-en.xml where
    RO is the ST.3 code for the sending office
    IB is the ST.3 code for the destination office (will always be IB)
    yyyymmdd is the date of transfer
    fpay is a fixed string identifying the type of transfer
```

nnnnn is the sequence number (may be reset annually)
 en is the language code (always en as currency codes always expressed in English).
 The file is expected to be transferred as an uncompressed xml file to the PCT-EDI 'upload' directory.

Example file name sequence (using RO Australia as the example sending office):

```
AU-IB-20090127-fpay-00001-en.xml
    AU-IB-20090224-fpay-00002-en.xml
AU-IB-20090325-fpay-00003-en.xml
```

```
-->
```

```
<!--
```

```
HEADER COMMENTS
```

Comments are required in the XML header to aid manual identification of files because automatic matching of fee-payment-breakdown instances to actual bank transfers received at WIPO is not possible; this task is done manually. These comments, inserted immediately after the DOCTYPE entry, should be formatted as in the following example of a bank transfer from EPO to WIPO of 4553000 Euros sent on May 1st 2004, with the bank transfer comment 'APRIL 2004':

```
-->
```

```
<!-- EPO transferred to WIPO -->
<!--bank-transfer-total 4553000 -->
<!--bank-transfer-date 20040501 -->
<!--bank-transfer-currency EUR -->
<!--bank-transfer-comment APRIL 2004 -->
<!--
```

```
Attributes of fee-payment-data:
```

```
  dtd-version = dtd version number
  file = filename containing the XML instance
  status = status of the file ( n - new, c - correction (or replacement))
  country = Receiving office code (ST.3)
  date-produced = YYYYMMDD e.g, 20011230
  total-handling-fee = the total value of all handling fees transmitted in the
  reduction-type = flag to advise how fee reductions have been applied to the
  payment values (integrated or separate )
```

There are two possibilities for the implementation of fee reductions namely 'integrated' or 'separate'. The default is 'separate' where a separate fee-reduction element is used to indicate the value of the reduction from the IA. The alternate is 'integrated' where the value of the reduction is integrated into the value of the other fee elements for the IA. This choice is denoted in the value of the optional attribute of fee-payment-data `

```
-->
```

```
<!ELEMENT fee-payment-data (fee-pay+)>
```

```
<!ATTLIST fee-payment-data  dtd-version      CDATA #IMPLIED
                             file            CDATA #IMPLIED
                             status          CDATA #IMPLIED
                             country         CDATA #REQUIRED
                             date-produced   CDATA #REQUIRED
                             total-handling-fee CDATA #IMPLIED
                             reduction-type  (integrated | separate )
```

```
#IMPLIED >
```

```
<!ELEMENT fee-pay (international-fee-data? , handling-fee-data? , fee-total*)>
<!--
```

```
Attributes of fee-pay:
```

```
  ia-number = The International Application Number (IA) (e.g. FR2004/001234)
  ro-receiving-date = The date of reception of the IA (YYYYMMDD e.g, 20011230)
```

international-filing-date = The international filing date of the IA (YYYYMMDD e.g, 20011230)

applicant-name = The applicant name for the IA (e.g. John SMITH)

pay-date = The date the applicant paid the RO (YYYYMMDD e.g, 20011230)

currency = The ISO three letter code for the currency of payment (e.g. JPY)

status = set to replacement in the case the file is a replacement for an earlier transmission.

-->

<!ATTLIST fee-pay ia-number CDATA #REQUIRED>

<!ATTLIST fee-pay ro-receiving-date CDATA #REQUIRED>

<!ATTLIST fee-pay international-filing-date CDATA #IMPLIED>

<!ATTLIST fee-pay applicant-name CDATA #IMPLIED>

<!ATTLIST fee-pay pay-date CDATA #REQUIRED>

<!ATTLIST fee-pay currency CDATA #IMPLIED>

<!ATTLIST fee-pay status CDATA #IMPLIED>

<!--

International fee

-->

<!--

ATTRIBUTES OF FOLLOWING ELEMEMENTS

currency : kind of currency (ISO 3 letter code)

amount : value amount of the fee element.

-->

<!ELEMENT international-fee-data (basic-fee-data , designation-fee-data? , fee-reduction-data*)>

<!ATTLIST international-fee-data currency CDATA #IMPLIED
amount CDATA #REQUIRED >

<!ELEMENT basic-fee-data (base-fee , supplement-fee? , additional-fee?)?>

<!ATTLIST basic-fee-data amount CDATA #REQUIRED >

<!ELEMENT base-fee EMPTY>

<!ATTLIST base-fee amount CDATA #REQUIRED >

<!ELEMENT supplement-fee EMPTY>

<!ATTLIST supplement-fee amount CDATA #REQUIRED >

<!ELEMENT additional-fee EMPTY>

<!ATTLIST additional-fee amount CDATA #REQUIRED >

<!ELEMENT designation-fee-data EMPTY>

<!ATTLIST designation-fee-data amount CDATA #REQUIRED >

<!ELEMENT fee-reduction-data EMPTY>

<!--

kind-of-reduction

1: Reduction for EASY filing

2: Reduction for Electronic filing (image)

3: Reduction for Electronic filing (full)

4: Reduction for developing country
5: Reduction for Electronic Filing with image based request form
-->
<!ATTLIST fee-reduction-data amount CDATA #REQUIRED>

<!ATTLIST fee-reduction-data kind-reduction (1 | 2 | 3 | 4 | 5) #IMPLIED>

<!ELEMENT handling-fee-data EMPTY>

<!ATTLIST handling-fee-data currency CDATA #IMPLIED
amount CDATA #REQUIRED >

<!--
the total amount of all fees. Note that more than one grand total amount
may be permitted, as there may be multiple currencies in which payment is due.
-->
<!ELEMENT fee-total EMPTY>

<!ATTLIST fee-total currency CDATA #IMPLIED
amount CDATA #REQUIRED >

[End of file and document]