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INTELLECTUAL PROPERTY
ORGANIZATION

PCT National Phase Information (PCT Rule 95.1)

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Introduction

The purpose of this page is to describe the technical requirements for provision of PCT national phase entry event information by Intellectual Property (IP) Offices to the International Bureau (IB) of WIPO.
As stated in PCT Rule 95.1, any designated or elected Office shall notify the International Bureau, within two months, or as soon as reasonably possible thereafter, of the occurrence of national phase events.
Offices are required to send event data for all national applications that are based on an international application (PCT) irrespective of the type of national application (data for all relevant types of application such as national Patent, Utility Model, Petty Patent, etc.).

List of National Phase Events

Event type	Description
E (Entry)	This event represents the effective entry of a PCT international application into national phase, following the international phase and consists in the processing of the international application before each Office of or acting for a Contracting State that has been designated in the international application. This should preferably be the date on which the actions required by Article 22 or 39 have been completed, even if this is prior to the expiration of the relevant time limit, and the applicant has not requested national processing to begin early. The IB considers the allocation of a national application number as the category E event irrespective of the possible national processing steps that remain to be effected (for example payment of fees, etc.).
P (Publication)	This event should represent the main national publication. Republications need not be notified unless to correct a major error, such that the original publication was not effective.
G (Grant)	In some Offices, grant involves several stages with distinct dates. For Offices, which formally publish the patent as granted, it is recommended that this date report the date of the publication of the granted patent. Where no publication occurs, it is recommended that the date reflect the most significant date notified to the public, such as publication of the notice of grant in the national gazette.
R (Refusal)	This event is intended to include any process where the Office takes an active decision not to grant a patent.
W (Withdrawal)	This event is intended to include both active withdrawal by the applicant and any case where the application has lapsed, for example due to failure to respond to an examiner's report or failure to pay a fee. The IB will not calculate implicit withdrawal as this implicit withdrawal is a function of national Office processes.
C (Continuation)	This event is intended to represent continuation of processing after an event type R or W has been sent, for example, because a decision to refuse has been successfully appealed or else fees have been paid to restore an application, which had lapsed due to failure to meet a time limit.
D (Divisional)	This is intended to represent the division of the initial PCT application, which has entered national phase (after a category E event has been

	submitted) into a second, or subsequent, application with a new national application number after a category E event has been submitted. For example, when a parent application does not satisfy the requirements as to the unity of invention. The application is divided for each of the described inventions. After such an entry, more events can be registered for both original and subsequent national applications.

Data requirements

PCT Rule 95.1 requires the data to be sent for event types E, P and G. Offices are encouraged also to send information about other event types (R, W, C and D).

Offices must provide one record for each event for each international application entering the National Phase. It should be noted that multiple rows for an application are allowed, i.e. in the case of an application that has entered national phase and has been published (but no grant, refusal or withdrawal has been processed), two rows are expected: one with event code E and one with event code P.

The data required for each event for each international application is described in the table below:

Field position	Data Item	Description	Example value
1	Office Code	WIPO Standard ST.3 code of the Office sending the data.	EP
2	PCT IA Number	PCT international application number in the format PCT/XXYYYY/NNNNNN where XX is the receiving office code, YYYY is the year of PCT filing and NNNNNN is the application number assigned by the receiving Office.	PCT/US2013/033682
3	National application number	Number attributed to the application at the time of national phase entry	2014715545
4	Event type	<E> – National Phase **E**ntry <P> – National **P**ublication <G> – **G**rant <R> – **R**efusal <W> – **W**ithdrawal <C> – **C**ontinuation of processing after a refusal (R) or withdrawal (W) <D> – **D**ivisional application	P
5	Event date	YYYYMMDD: where YYYY is the year, MM the month [01-12] and DD the day [01-31]	20160806

| 6 | National Publication or Grant number | The national publication number associated with event categories P or G (where relevant in the national system), without any WIPO ST.3 country code prefix. | 003001887 |
| 7 | Kind code of publication associated with event | The kind code of the publication number above, typically A or A1 for category P and B or B1 for category G. | A1 |

NOTE: Each record has seven (7) fields, all of which must be present in each record. Noting that while positions 6 and 7 may be empty they must always be present (see samples below).

File Formats

Offices are required to provide files containing PCT national phase entry information to the International Bureau in one of the following formats:

- Text file (.TXT)
- Comma Separated Values file (CSV)
- Extensible Markup Language (XML)

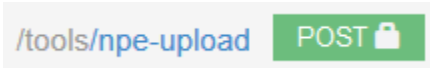Or as Zipped (compressed) file (.ZIP) of one of the abovementioned file formats.

File format	Description
.TXT Sample **[NPE-TXT]**	Each event related to a specific PCT international application should be transmitted to the IB as a separate entry. For example, when an application enters national phase in a specific Office the event would be represented as follows: ***EP,PCT/US2013/033682,2014715545,E,20140406,,*** In this example, the PCT application number ***PCT/US2013/033682*** entered national phase (hence the letter **E**) at the European Patent Office (ST.3 code **EP**) on April 6th, 2014 (***20140406***) and was given the national application number ***2014715545***. Later on, if the same PCT application is published, another entry should be transmitted to the IB as the following example shows: ***EP,PCT/US2013/033682,2014715545,P,20160806,003001887,A1*** In the example above, the PCT application ***PCT/US2013/033682*** was **published** (hence the letter **P**) by the EPO on August 6th, 2016 (***20160806***) under the publication number ***003001887*** and the document kind code ***A1***. See example of other events under .CSV.
.CSV Sample [NPE-CSV]	CSV is a file format used as a portable representation of a database. Each line is one entry or record, and the fields in a record are separated by commas (some rare cases use semicolons). Commas may be preceded or followed by arbitrary space and/or tab characters that are ignored. In CSV files it is possible to have **up to** seven fields in the same number of columns .

	Example using different events: *EP,PCT/US2013/033682,2013715545,**E**,20140406,,* *EP,PCT/US2013/033682,2013715545,**P**,20160406,003001887,A1* *EP,PCT/CN2013/069137,2013762058,**G**,20170607,003046631,B1* *EP,PCT/GB2013/069074,2013763046,**R**,20160820,,* *EP,PCT/GB2013/069074,2013763046,**C**,20160920,,* *EP,PCT/NL2011/043837,2011807444,**W**,20170725,,* *EP,PCT/JP2013/067137,2013763049,**D**,20140523,,* *EP,PCT/JP2013/067137,2013763050,**D**,20140523,,*
.XML Sample [NPE-XML]	The XML file should comply with the WIPO standard ST.36 DTD <?xml version="1.0" encoding="UTF-8"?> <!DOCTYPE wo-national-phase-information SYSTEM "wo-national-phase-information-v1-5.dtd"> <wo-national-phase-information country="EP" date-produced="15122017" file-name="EP-IB-npsd-201601.zip"> <wo-national-office-event office-code="EP" international-application="PCT/SG2013/000084" national-application="2013761931" event-type="E" event-date="20141013"/> <wo-national-office-event office-code="EP" international-application="PCT/US2011/043837" national-application="2011807444" event-type="P" event-date="20170419" publication-number="003155087" publication-kind-code="A2"/> <wo-national-office-event office-code="EP" international-application="PCT/IB2012/002129" national-application="2012787858" event-type="W" event-date="20170725"/> <wo-national-office-event office-code="EP" international-application="PCT/EP2013/068625" national-application="2017187391" event-type="D" event-date="20170823"/> <wo-national-office-event office-code="EP" international-application="PCT/EP2013/069137" national-application="2013763049" event-type="G" event-date="20170607" publication-number="003046631" publication-kind-code="B1"/> </wo-national-phase-information>

How to provide NPE files?

The files can be transmitted to the International Bureau (IB) by using one of the following methods:

Methods	Description	Prerequisites
PCT_EDI	Offices that are using PCT-EDI service to exchange data and documents with the IB can use the same service to transmit their NPE data to the IB.	Offices must have an PCT-EDI account created.

ePCT Web Services	A dedicated **ePCT web service** to POST NPE data to the IB /tools/npe-upload POST 🔒 Example of URL: https://pctws.wipo.int/api/office/v1/tools/npe-upload	Offices must have a valid ePCT Office user account associated with a WIPO digital certificate.
ePCT Office Function	• Use **Upload National Phase Entry Data** functionality in the ePCT web portal to upload bulk data (see file formats above), or • Use ePCT Office Action for specific International Applications (to record single events per international application). For more information, please see the ePCT User Guide for Offices (Chapter *DESIGNATED OFFICES FUNCTIONS*)	Offices must have at least one user account with DO role and the right authentication methods.
Email	• In the event that an Office cannot use one of the three aforementioned available methods, NPE data files can be sent by email to **pcticd@wipo.int**.	None. However, assistance can be provided to Offices to set up one of the three aforementioned methods.

Getting Support

For questions related to the preparation and transmittal of National Phase Entry data, please contact the PCT Technical Cooperation Section at pcticd@wipo.int.