WIPO Application Body Converter (for ePCT) User Guide

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WIPO Application Body Converter (for ePCT) – User Guide

What is the Application Body Converter?

WIPO's Application Body Converter is an online service that converts a document containing an international application body in DOCX format into an XML format that is compliant with Annex F of PCT Administrative Instructions (Standard for Filing and Processing in Electronic Form): https://www.wipo.int/pct/en/texts/pdf/ai_anf.pdf

DOCX is a file extension created with Microsoft Word as of 2007 that is based on XML.

The converter can only process files with the ".docx" extension. Other formats will be rejected.

Prepare an application body in DOCX format according to the guidelines below for upload to ePCT-Filing. Template files are available in all publication languages (also accessible via https://pct.wipo.int/DocConverter/pages/templateFiles.xhtml) and you may also consult the sample files (https://pct.wipo.int/DocConverter/pages/sampleFiles.xhtml) that will help you format the document for optimized processing by the converter.

Sample files
Sample DOCX files are examples in all publication languages of a pre-filled application body to show the format expected by the converter.

Template files
Template files are pre-formatted .docx files already including all the available CAF (Common Application Format) headings where the user simply needs to add the text and images (if any) and remove the non-necessary sections and/or headings.

If you want to make use of a template file, you can simply copy and paste the text and images into the relevant language file where all the headings and sections are ready for use and where you will be able to add or remove headings if needed.

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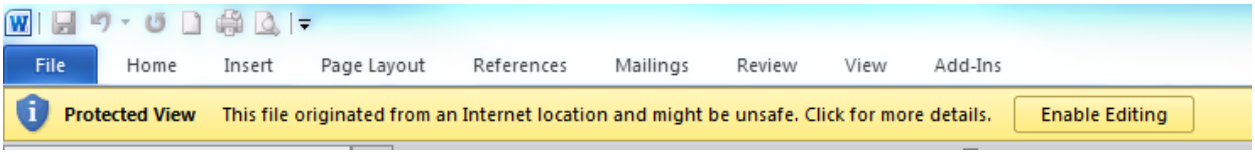
In order to be able to work on any template, download it first and open it. If required, click the button on the yellow banner at the top of the MS Word window ‘Enable Editing’ to be able to modify the document.

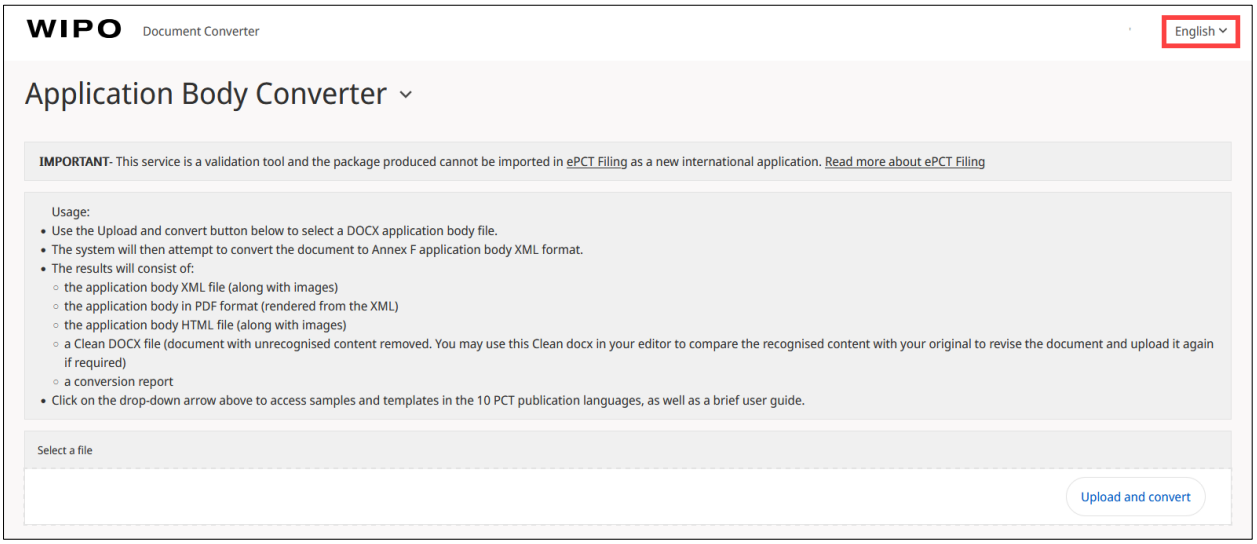


Practice with the standalone Application Body Converter

For practice purposes, the Application Body Converter is also available externally from ePCT at: https://pct.wipo.int/DocConverter or from the ‘Help’ link in the navigation bar of ePCT under ‘Other PCT eServices’ > ‘Document conversion and validation tools’

When using the standalone Application Body Converter, no data is saved to ePCT. To file the application body, you will then have to log into ePCT with strong authentication (see section on ‘How to attach your docx application body in ePCT-Filing’).

You can change the language of the converter interface to any of the languages of publication by clicking the language dropdown menu in the top right-hand corner of the page (as shown in the screenshot below).



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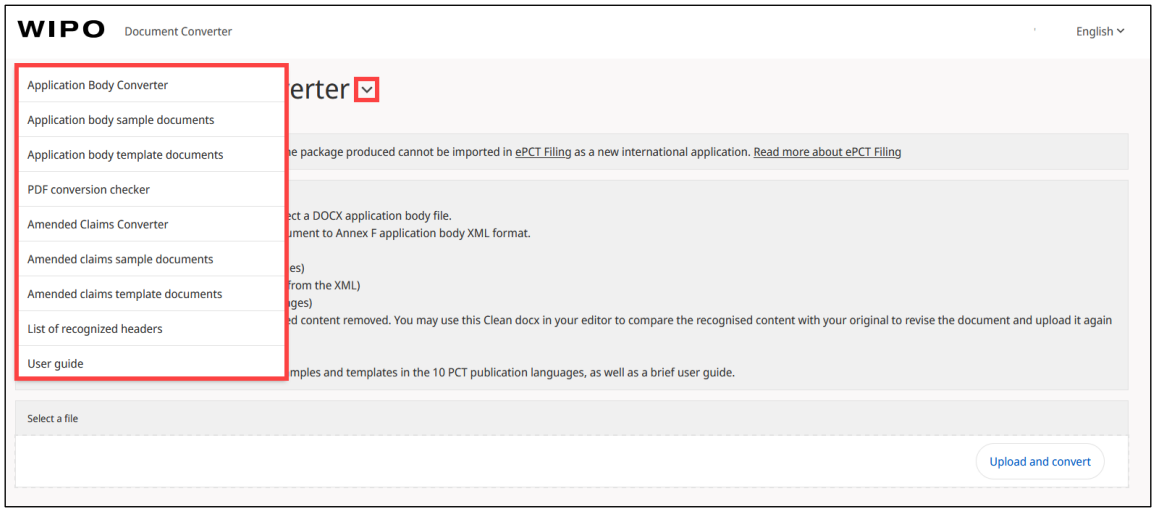
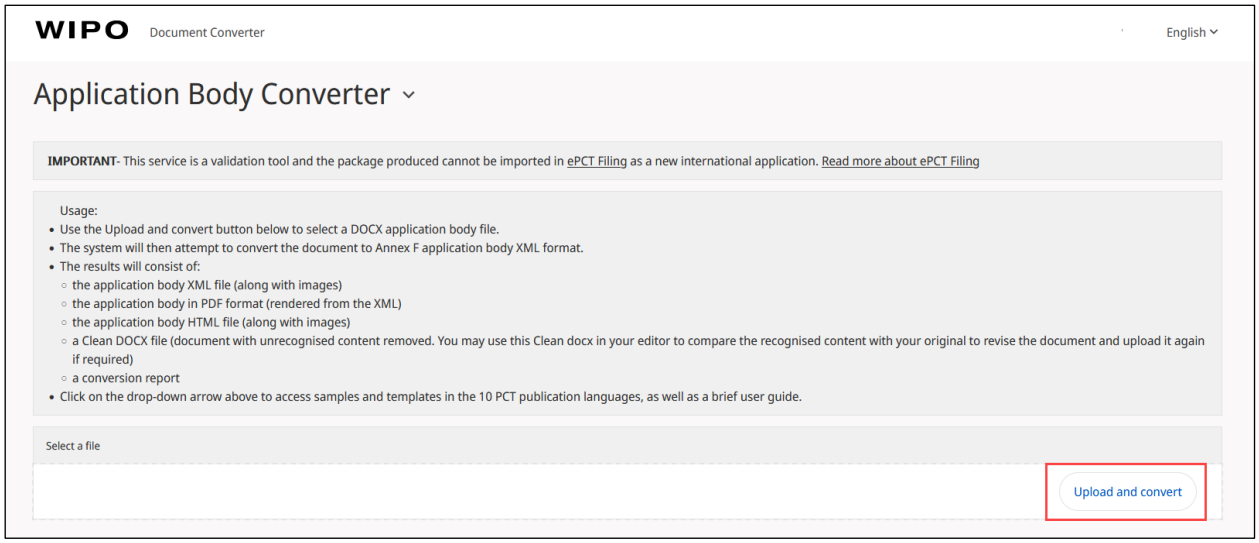
Click the arrow next to the ‘Application Body Converter’ heading to open the menu with links to template files, sample files and this user guide (see screenshot below). These links are also available in ePCT-Filing as part of the function to attach a DOCX format specification to a draft new International Application (IA).



Click ‘upload and convert’ (as shown below) to browse and select the DOCX file, or drag and drop the file next to the button. The language of the uploaded DOCX document will be automatically detected by the converter.



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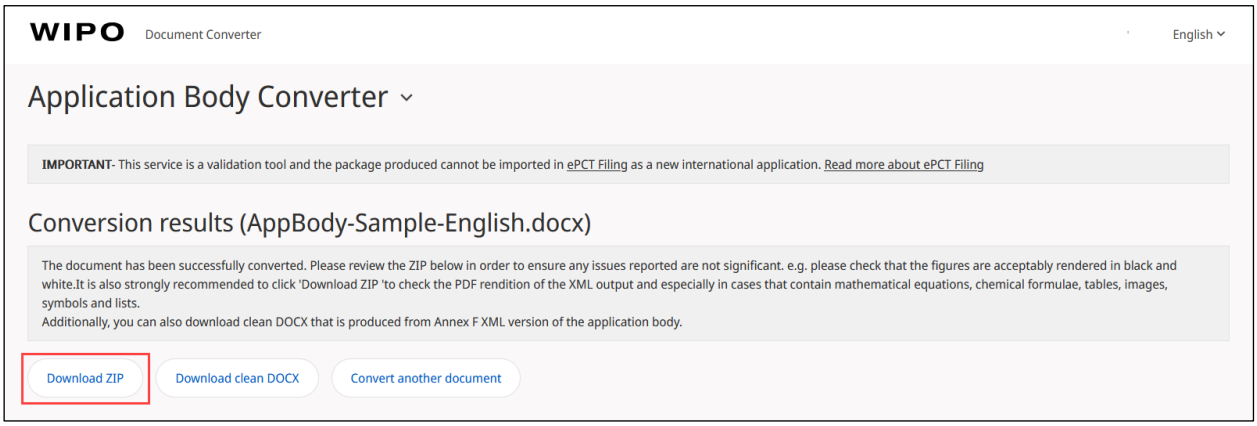
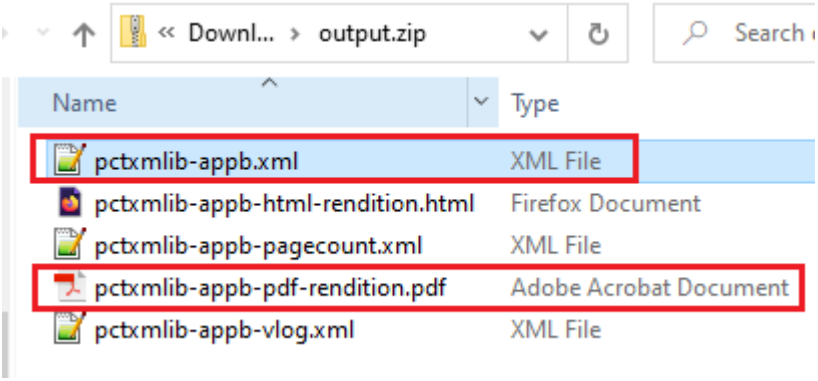
View the document after conversion

To check the document after conversion:

1. Click ‘Download ZIP’ and extract the files from the zip



2. In the extracted zip folder open the application body in PDF format ‘pctxmlib-appb-pdf-rendition.pdf’ and in XML format ‘pctxmlib-appb.xml’.



The output zip folder also contains the following files:

- The page count XML file
- An HTML rendition of the application body including images (if any)
- The validation log XML file
- The images included in the DOCX application body

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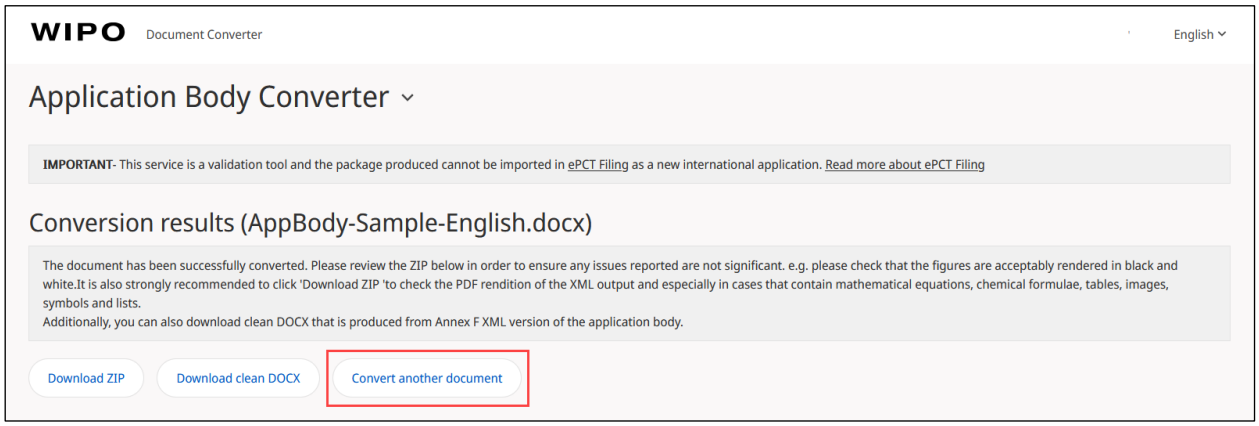
To convert another document, click the ‘Convert another document’ button.



How to create an application body

Single specification

In ePCT-Filing and with the Standalone Application Body Converter, you can only attach a DOCX file as a single specification including all sections (Description, Claims, Abstract, and Drawings (if any)) in one single document.

Language of the application body

The converter can process the application body in the following languages:

- Arabic
- Chinese
- English
- French
- German
- Japanese
- Korean
- Portuguese
- Russian
- Spanish

Show mark-up (show paragraph marks and other hidden formatting symbols)

When preparing your DOCX application body, viewing the formatting marks, such as paragraph breaks, can be helpful, especially for captions and paragraph numbering. To view the paragraph marks and other hidden formatting symbols, click the MS Word > Home tab >

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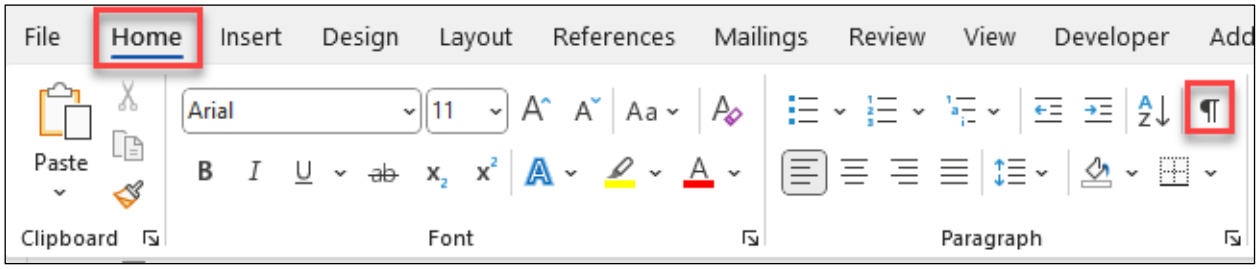
Show mark-up button:



Recognized CAF headers

The list of recognized headers shows the list the pre-defined CAF (Common Application Format) headings and their accepted variations in each language of publication.

Application body elements

Order of the sections

The Application Body sections are expected in the following order:

1. Description
2. Claims
3. Abstract
4. Drawings (if any)

Section headings

The DOCX file must contain the section headings “Claims” and “Abstract” at the beginning of each of these sections in the language of the uploaded document. It is recommended to include also the headings “Description” and ‘Title of Invention:’ although these two headings are optional.

The heading ‘Drawings’ is optional at the beginning of that section and if not used it is recommended to use a page break and section break at the end of the Abstract section to clearly indicate the beginning of the Drawings section.

[IMPORTANT]

It is recommended to use a page/section break at the end of each section to clearly indicate where each section ends and to make sure that the next section starts on a new sheet (MS Word ‘Insert’ or ‘Layout’ tab > Breaks > Page/section).

Headings

Headings in the Description:

- Must be in bold or underlined characters (to be recognized as headings)
- Be written in one line and have less than 50 characters
- Should not have a paragraph number

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For example: **Technical Field,** Background Art, **My heading** etc... Other text will be detected as a paragraph and automatically numbered in the XML output.

For the pre-defined texts for CAF (Common Application Format) headings such as 'Background Art', 'Technical Field' and others in each language, please see the list of recognized headers. Recognized headers are case insensitive.

[IMPORTANT]

A heading is always expected to be followed by a paragraph. Headings that are not followed by a paragraph may be removed during conversion with a warning in the validation report.

Fonts

The document should be drafted using any Unicode font, preferably:

- Unicode Arial MS;
- MS-Gothic;
- MS-Simsun;

After conversion, an informational validation message will be displayed in the Validation report. It will show the list of fonts and font sizes used in the original Docx and indicate that the text will be conversion to the WIPO Uni font.

MS-Word functions and elements not supported

The MS Word functions listed below are not supported by the converter and will generate warnings or red blocking errors. Please remove them before converting a DOCX file.

- Encrypted text or signatures
- Hidden text
- Comments, annotations
- Headers and footers
- Content Controls
- Embedded OLE Object
- ChemDraw objects
- Mathematical Equation produced using MS-Word versions prior to Word 2007.
- Revision history / Track Changes
- MS Word Shapes
- Hyperlinks (ignored during conversion with a warning message)
- Bookmarks
- Watermarks
- Tables in tables (can be inserted as an image of a table containing another table)
- Grouped/Overlapped images (image on an image) created in the DOCX document (can be inserted as one image)

- Certain image formats
- Image effects applied directly in the DOCX document such as Transparency, Contrast and other (ignored with warning)
- Charts/graphs (can be inserted as an image)
- Text color other than black
- Text effects like Highlight

Description

Heading

The Description may start with the heading ‘Description’ (optional) on one line without any other text or image. For the pre-defined texts for CAF (Common Application Format) headings in each language, please see the template files and/or the List of recognized headers.

Title of the invention

The Description must include the title of the invention.

If the optional heading ‘Description’ is used, the title of the invention should appear under it.

The ‘Title of Invention’ heading is optional but nevertheless recommended. If used, it should appear in the following format: Title of Invention: [XXXXXXXXXXX] (XXX stands for the title of the invention) in the language of the uploaded document (see examples below).

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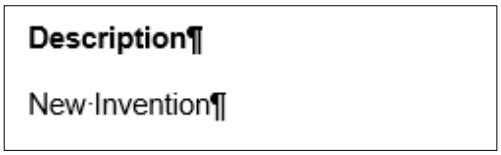
As best practice, it is recommended to use both headings ‘Description’ and ‘Title of Invention’.

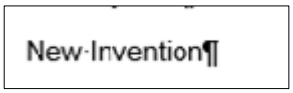
Example 1 (Recommended)

Example 2 (Recommended):

Example 3 (acceptable but not recommended)



Example 4 (Not recommended)



For the pre-defined texts for CAF (Common Application Format) headings in each language, please see the template files and/or the List of recognized headers.

Paragraphs

The converter automatically numbers the paragraphs in the Description.

[IMPORTANT] Paragraphs can also be numbered by the user, in which case the numbering should preferably be in the format [0001], [0002] etc. Please carefully check the document after conversion using the Preview and ‘View the document as rendered at the IB’ functions in ePCT to make sure the numbering is correct.

Each paragraph must be separated by a “Paragraph Break” using the Keyboard Enter key.

[Useful Tip]

Use the MS Word function (‘Home’ tab > ¶) to show paragraph-breaks/line-break. In MS Word, each of them is shown as follows:

- *Paragraph break:* ¶
- *Line break:* ↵

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It is easier to use the template files that already include the appropriate tags and styles for paragraph numbering to avoid errors in the document output.

Indent

You may indent texts by using the keyboard Tab key or the corresponding MS-Word function:

Home tab > .

If an indentation or a tab is ignored during conversion, it will be indicated in the Validation report after conversion.

Lists and bullets

It is recommended to use the MS Word automated lists:

Home tab >

The following supported list formats should be used.

Unordered lists

Supported list bullets :

- Round bullet points
- Dashes

Other types of bullets may be converted as one the supported bullet formats

Ordered lists

It is recommended to use standard ordered list styles ‘1’, ‘A’, ‘I’ , ‘a’, ‘i’ (also for lists of multiple levels). If no list format is specified or if the list format is not supported, the list may be converted to the supported list styles 1. at level 0, a. at level 1, i. at level 2 and 1. for deeper levels.

Important: If you use lists, and especially with multiple levels, after conversion:

1. Read the validation messages to see if they contain any warnings regarding lists.
2. Check the document after conversion using the ‘Preview’ and ‘Preview rendering of document after submission’ function in ePCT, to make sure the lists have been converted correctly.

Captions

A caption is a word, generally between square brackets, that describes and precedes certain elements of the application body to reference them precisely in the XML. They can be used

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for mathematical formulae/equations [Math], chemical formulae [Chem], tables [Table] and figures of the drawings [Fig.]

The converter requires a caption **before** each figure in the Drawings section (mandatory): [Fig. 1], followed by a paragraph break and the image. For further details, please see the chapter on Drawings .

Captions for a mathematical equation [Math], a chemical formula [Chem] or a table [Table] are optional, but if used, each caption must be placed before the element followed by a paragraph break ¶.

Square brackets [ ] for captions are also optional.

For further details, please see the chapters on 'Chemical formula', 'Mathematical equation' and Tables.

For the text of the captions in each language, please see the template files and/or the list of recognized headers.

You can simply type the caption before the element (with or without square brackets): [Math. 1] or Math 1, [Chem. 1] or Chem. 1, [Table 1] or Table 1 or use the MS Word function 'right-click > insert caption'.

Tables

To insert a table in the Description you can use the MS-Word feature 'Insert' tab > 'Table', or simply add the image of a table. The caption (if any) should be placed before the table, with or without square brackets [ ]: [Table 1] or Table 1, followed by a paragraph break (¶).

[Table 1]¶

A	B
C	D
E	F

Or

Table 1¶

A	B	C
D	E	F

¶

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When you copy & paste a table from another DOCX file, please check the output carefully to make sure the table is converted correctly.

[IMPORTANT]

- *There could be conversion issues when inserting tables created with LibreOffice, so it is recommended to check carefully the document after conversion.*
- *Large tables that extend on several pages could cause conversion issues. In this case, it is preferable to split the table in several smaller tables. Please always check carefully the rendered PDF after conversion.*

For the text of the captions in each language, please see the template files and/or the list of recognized headers.

Note:

- Nested tables (a table embedded within another table) are not supported. If required, you can insert the image of a table containing another table.
- Tables designed with the text editor are not accepted in the Drawings section, only in the Description section. To insert a table as a figure of the Drawings, please insert it as an image.

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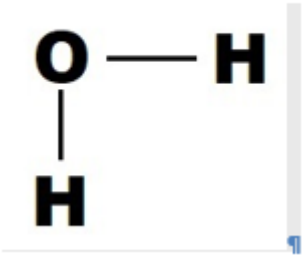
Chemical Formula

Chemical structure diagrams must be inserted using a supported image format as other chemical structure formats such as ChemDraw objects will not be converted.

With caption

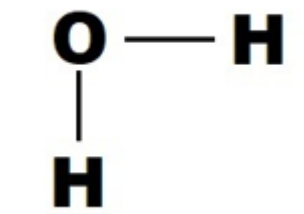
When inserting a chemical formula, the caption (if any) should be placed before the image, with or without square brackets [ ], e.g. [Chem.1] or Chem. 1 and must be followed by a paragraph break.

[Chem.·1]¶



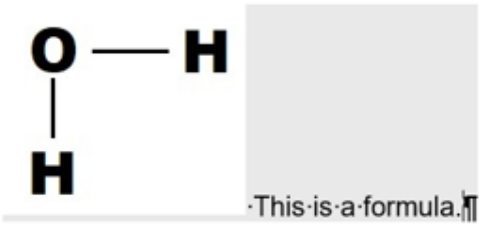
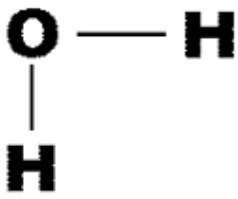
Or

Chem·1¶



For the supported image formats, please see the section on 'image formats'

If some text follows the image on the same line, after conversion, the text will appear under the image.

Text typed next to the image (DOCX)	PDF output after conversion
[Chem.·2]¶  ·This·is·a·formula.¶	[Chem.2]  This is a formula.

For the text of the captions in each language, please see the template files and/or the list of recognized headers.

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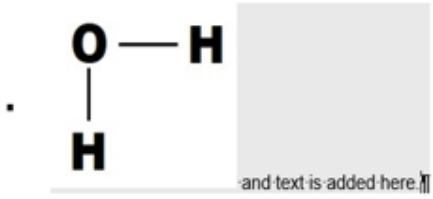
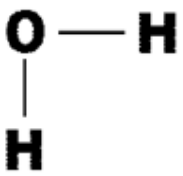
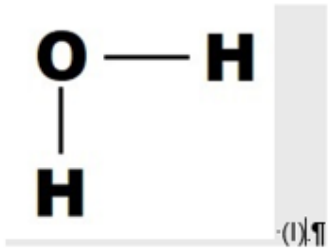
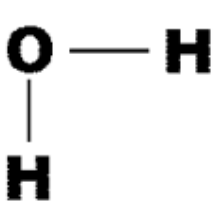
Without caption

If the chemical formula has no caption and text follows the image on the same line, after conversion the text will be aligned with the top of the image (see examples below). In this case, please check carefully the alignment in the output document.

Text typed next to the image (DOCX)	PDF output after conversion
[0004]·The·invention·can·be·summarized·by·this·formula:¶  ·and·text·is·added·here.¶	[0004] The invention can be summarized by this formula:  and text is added here.
 ·(I)¶	 (I)

Mathematical Equation

To insert a mathematical equation you can use the MS-Word function ‘Insert’ tab > Equation’ or simply add the image of a mathematical equation.

With caption

The caption is optional but if used, it should be placed before the image, with or without brackets [ ]: [Math.1] or Math. 1 and followed by a paragraph break (¶).

[Math.·1]¶

$$(a + b)^2 = a^2 + 2ab + b^2$$ ¶

Or

Math·1¶

$$(a + b)^2 = a^2 + 2ab + b^2$$ ¶

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If text follows the image on the same line, after conversion the text will appear under the image (see example below).

Text typed next to the image (DOCX)	PDF output after conversion
[Math·1]¶ $(x+a)^n = \sum_{k=0}^{n} \binom{n}{k} x^k a^{n-k}$·and·text·is·added·here.¶	[Math.1] $(x+a)^n = \sum_{k=0}^{n} \binom{n}{k} x^k a^{n-k}$ and text is added here.

For the text of each caption in each language, please see the template files and/or the list of recognized headers.

Without caption

If an equation without caption is followed by text on the same line, after conversion the text will be aligned with the top of the image of the equation (see examples below). Please check carefully the output PDF.

Text typed next to the image (DOCX)	PDF output after conversion
This·is·a·mathematical·equation:↵ $(x+a)^n = \sum_{k=0}^{n} \binom{n}{k} x^k a^{n-k}$·and·text·is·added·here.¶	This is a mathematical equation: $(x+a)^n = \sum_{k=0}^{n} \binom{n}{k} x^k a^{n-k}$ and text is added here.
The·equation:¶ $x = \frac{-b \pm \sqrt{b^2-4ac}}{2a}$·(I)¶	The equation: $x = \frac{-b \pm \sqrt{b^2-4ac}}{2a}$ (I)

Equations/images in line

If equations or images are in line with the text or with other images, after conversion, the text next to the image will be aligned with the top of the image (see examples below). Please check carefully the output PDF.

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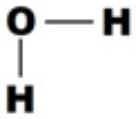
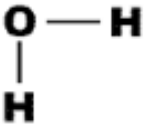
Example 1:

DOCX	PDF output (after conversion)
The present invention shows a chemical formula (I) :  (II) text next to the image.	The present invention shows a chemical formula (I) :  (II) text next to the image.

Example 2:

DOCX
The equation $(x+a)^n = \sum_{k=0}^{n} \binom{n}{k} x^k a^{n-k}$ is an example.
PDF output (after conversion)
The equation $(x + a)^n = \sum_{k=0}^{n} \binom{n}{k} x^k a^{n-k}$ is an example.

Example 3: **several equations on the same line without captions**

DOCX
This·equation:·$(x+a)^n = \sum_{k=0}^{n} \binom{n}{k} x^k a^{n-k}$·followed·by·$A = \pi r^2$·and·text.¶
PDF output (after conversion)
This equation: $(x + a)^n = \sum_{k=0}^{n} \binom{n}{k} x^k a^{n-k}$ followed by $A = \pi r^2$ and text.

Symbols

Some symbols of certain fonts may not be converted. Symbols inserted using the MS Word feature Insert (tab) > Symbols with font 'normal text' are usually converted. If a character is not converted (this can happen for some characters of fonts such as Cambria Math or Symbols), a warning message will appear in the validation report/conversion results. However, it is recommended to check carefully the output document after conversion.

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Figure references

To make a reference in the Description to figures in the Drawings section, it is recommended to indicate the reference as [Fig. X] or Fig. X , figure X, Figure X (X stands for a number) (square brackets are optional).

Each figure included in the Drawings section should be described separately in the Description, preferably in the “Brief Description of Drawings” section.

Example:

[0010] [Fig.1] is an example of…

[0011] [Fig.2] indicates …

Validations

- If a figure number in the Drawings section does not have a corresponding reference in the Description section, the validation report will show a warning after conversion indicating that figure [Fig. 1] in the Drawings does not have a corresponding reference in the Description. This warning will not prevent filing the international application.
- If a figure reference in the Description does not have a corresponding figure in the Drawings section, the validation report will show a warning after conversion indicating that figure reference [Fig. 2] in the Description does not have a corresponding figure in the Drawings. This warning will not prevent filing the international application.

For the pre-defined CAF (Common Application Format) headings in each language, please see the list of recognized headers or use the template files. For examples, see the sample files.

Citations (Patent Citation, Non Patent Citation)

To indicate a citation, it is recommended to begin the citation with “PTL:X”, “NPL:X” (X stands for a number). Please see the list of recognized headers in each language. Examples can be found in the sample files.

Claims

The Claims section is mandatory and must start with the heading **Claims** in the language of the uploaded document. This heading should be on one line without any other text or image.

The Claims section must include at least one claim.

For the pre-defined text of the heading in each language, please see the template files and/or the list of recognized headers.

Claim numbering

All claims must be numbered, preferably as [Claim X] (X stands for a number). For each language, see the list of recognized headers.

It is easier to number the claims using the pre-defined headers provided in the template files available in all languages of publication.

MS Word automated lists (Home tab >) can also be used to number the claims.

Multiple level lists/bullets should be avoided in the claims. If used, please check carefully how the document will be rendered after conversion using the 'Preview' and 'View the document as it will be rendered at the IB' functions in ePCT.

Abstract

The Abstract section is required and must start with the heading **Abstract** in the language of the uploaded document. This heading should be on one line without any other text or image.

Only the Abstract heading is mandatory**,** so you can leave the abstract section empty with no text. In this case, a warning will appear in the validation report, telling you that the abstract seems to be empty. This will not prevent filing the international application. However, if the 'Abstract' heading 'is missing the document will not be converted and a red error will appear indicating that the converter failed to detect the abstract heading.

Page break

If the Abstract is followed by a Drawings section, it is recommended to add a Page break or a Section break (Insert tab > Page Break) at the end of the Abstract in order to clearly indicate the end of this section.

For the pre-defined text of the heading in each language, please see the template files or the list of recognized headers.

[Useful tip]
The Abstract should preferably not contain a table.

Drawings

Only images can be included in the Drawings section with their respective caption, otherwise conversion will fail with a specific error message. (Please also see the section on the accepted 'image formats').

[REMINDER]

Drawings are to be "executed in durable, black, sufficiently dense and dark, uniformly thick and well defined, lines and strokes without colorings (PCT Rule 11.13), furthermore, they *shall not contain text matter, except a single word or words, when absolutely indispensable (PCT Rule 11.11).*

Caption format

Each image of the Drawings must be numbered and include a caption. The caption must be placed before each image (with or without square brackets), and followed by a paragraph break (¶), [Fig.1] or Fig. 1 (see examples below).

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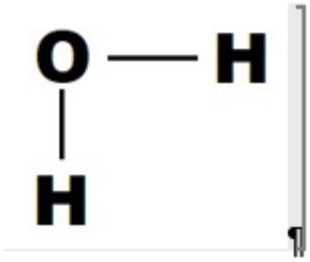
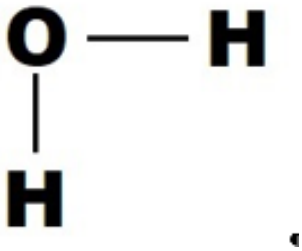
[Fig. 1]¶



Or

Fig. 1¶



For the pre-defined CAF (Common Application Format) headings in each language, please see the list of recognized headers.

Figure reference

Each figure should also be referenced separately in the 'Brief description of drawings' section of the Description as shown in the Sample documents.

If a figure number in the Drawings section does not have a corresponding reference in the Description section, the validation report will show a warning after conversion indicating that figure [Fig. 1] in the Drawings does not have a corresponding reference in the Description. This warning will not prevent filing the international application.

Images

Image formats

The converter supports the following image formats within the DOCX file (images in other formats will be rejected):

- EMF Image
- GIF Image
- JPEG Image
- PNG Image
- TIFF Image
- WMF Image

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[IMPORTANT]

EMF/WMF images are, in general, converted although the conversion of certain images in this format may fail or they may not be converted correctly. In this case, a warning will appear in the Validation report.

Please check carefully the images after conversion using the 'Preview' and 'View the document as it will be rendered at the IB' functions in ePCT.

Grouped/overlapped images

Grouped/overlapped and superimposed images will not be converted. Each figure of the drawings should consist of one image.

Image Modifications in MS Word

Modifications applied to images directly in the document with MS Word using the features 'Format > Picture/shape' , 'Image corrections' may not be taken into account during conversion and will generate a warning in the Validation report. These modifications should be applied before inserting the image in the DOCX document.

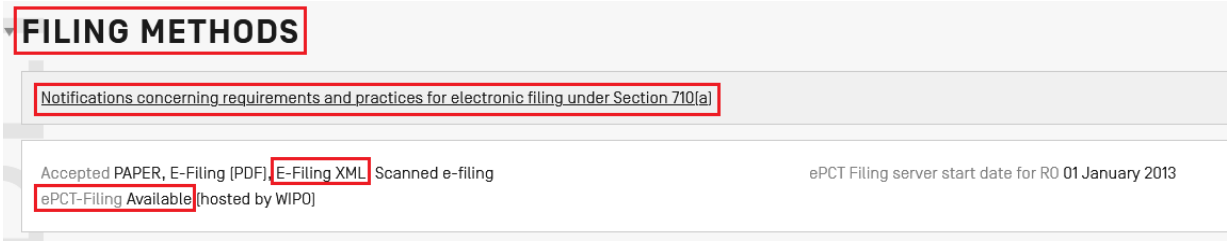
Transparency

Images where a Transparency effect has been applied in the document will not be converted. In this case, a warning will appear in the validation report *'Image does not exist for caption [Figure X] in the Drawings*'.

Which Receiving Offices accept filings in DOCX format?

To find out which receiving Offices accept filings in DOCX format using ePCT-Filing:

1. Log into ePCT (https://pct.wipo.int) with strong authentication
2. Click your name at the top right-hand side of the screen and select 'Office Profiles'
3. Select the receiving Office of your choice
4. Go to 'Filing methods': check that ePCT-Filing is available for the receiving Office and that 'E-filing XML' is also accepted by that Office. If both options are available then Docx format is accepted by that receiving Office.



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[IMPORTANT]

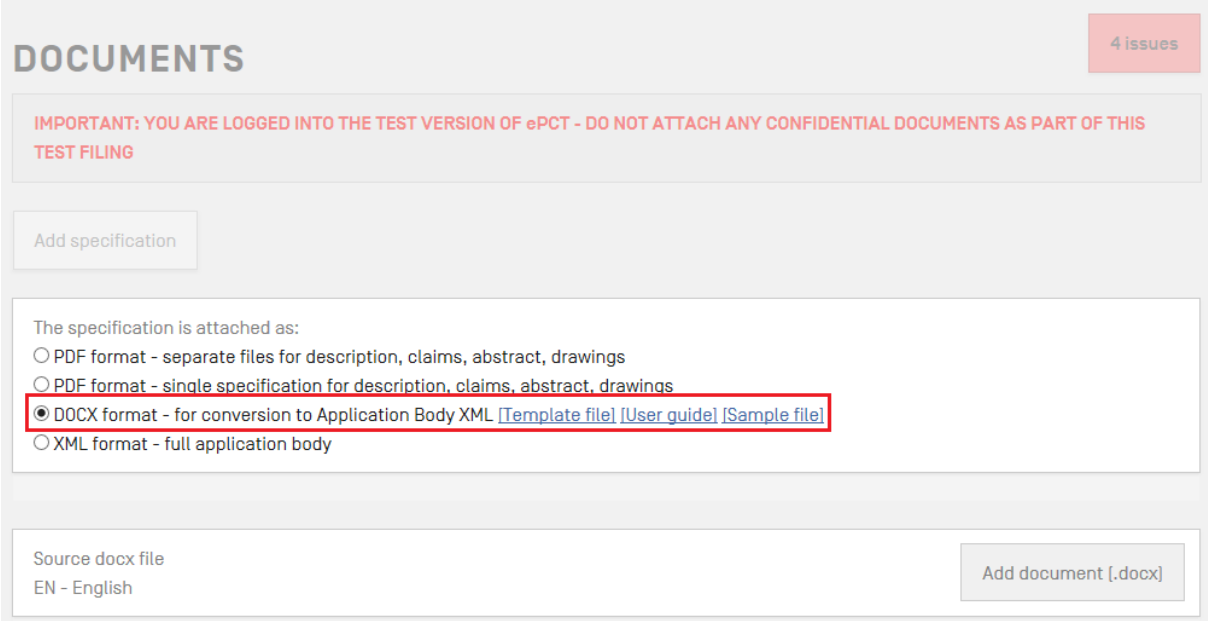
Exceptions:

- *RO/KR does not accept PCT applications in DOCX format, only in full XML*
- *RO/US does not accept PCT applications in DOCX format.*

How to attach your DOCX application body in ePCT-Filing

After creating your application body with .docx file extension, you can attach it to the Documents section of a draft New International Application (new IA)

1. Log into ePCT with strong authentication (https://pct.wipo.int/ePCT).
2. Click "Create new IA".
3. Go to the 'Documents' section and click 'Add Specification'.
4. Select "DOCX format – for conversion to Application Body XML".
   Links to Template files, user guide, and sample files are also available here for download.



[IMPORTANT]

You can only attach a DOCX file as a single specification including all sections (Description, Claims, Abstract, and Drawings (if any)) in one single document.

5. Click 'Add document (.docx)' to select the .docx file for upload or drag and drop the file next to the 'Add document (.docx)' button.

If the converter encounters an error in the DOCX file that prevents conversion to XML, a red error message is displayed. If possible, please correct the error and try again. Alternatively, for certain issues, you will be prompted to contact the PCT Operations Customer Support Help Desk.

When the converter has successfully processed the DOCX file, an initial conversion report is displayed which outlines issues detected. Please read this report carefully.

Preview rendering of document after submission (TIFF-based PDF)

Please check carefully the rendered document after conversion by clicking on the 'Preview' and 'Preview rendering of document after submission [TIFF-based PDF]' functions in ePCT to view the document as it will converted by the International Bureau in view of publication.

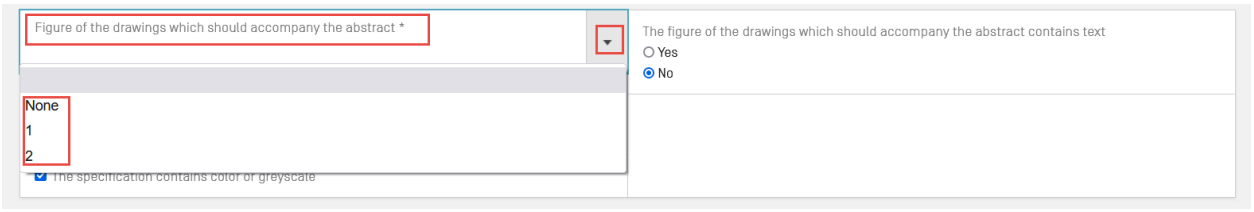
You will also be able to download the application body generated in XML format (see screenshot below).

If you need to make corrections to the DOCX document, click the 'Delete' icon to remove the attached file and upload an updated version.

[IMPORTANT]

The Application Body XML file will be considered as the original application body and the original DOCX pre-conversion file is included in the application as filed to enable the subsequent correction of any conversion issues.

6. Scroll-down to select the figure of the Drawings that should accompany the abstract:



7. Click on 'Save' to save the documents in ePCT.

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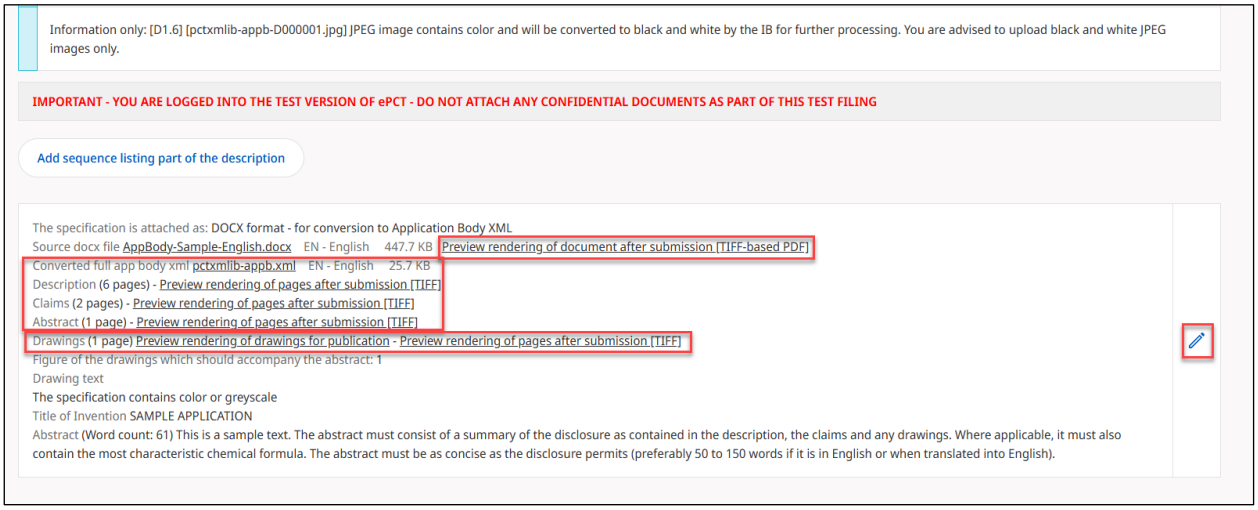
The buttons will become links and you can also preview the drawings for publication by using the corresponding link ‘Preview rendering of drawings for publication’ (as shown below).

The ‘Edit’ icon on the right-hand side’ can be used to go back to the previous screen, delete the attached DOCX file and upload a new one if required.



Validation report

After conversion of the DOCX application body in ePCT-Filing or with the Standalone Application Body Converter, a validation report displays any conversion issues.

These validations can be related to:

- Text formatting ignored during conversion (hidden text, text color, text highlight, italics/underlined in a heading, indentations/tabs ignored)
- Image conversion issues
- Symbols or elements not supported and ignored during conversion (tables embedded in tables, non-converted symbols, MS Word shapes, hyperlinks and others). Please also see the section on ‘MS Word functions and elements not supported’
- PCT Art. 14 defects (missing abstract or title of the invention)
- Missing figure of the Drawings or related figure reference in the Description.

In ePCT-Filing, the validation messages appear in three colored levels:

- Red :Prevents filing and requires correction in order to enable filing the international application
- Orange: requires correction (preferably before filing) but does not prevent filing
- Information only: Information about certain aspects of the data or documents in the New IA that are for information only.

As long as you have no red validations, the international application can be filed.

Red errors preventing the upload of the DOCX document

Certain defects will prevent uploading the document and generate an immediate red error message. The message is generally self-explicit.

The most common red blocking errors are related to:

- Invalid images, elements or symbols that are not supported
- Missing Description section, missing Claims heading with at least one claim, missing Abstract heading
- Incorrect figure numbering in the Drawings section or incorrect claim numbering
- Missing title of invention
- Incorrect order of the application body sections
- Multiple languages used in the standard section headings (Description, Claims, Abstract, CAF headings)

[IMPORTANT]

In rare cases a red error appears 'A system exception occurred whilst processing the document'. In this case, please contact the PCT Operations Customer Support Help Desk for assistance. This action will also help us improve the Application Body Converter.

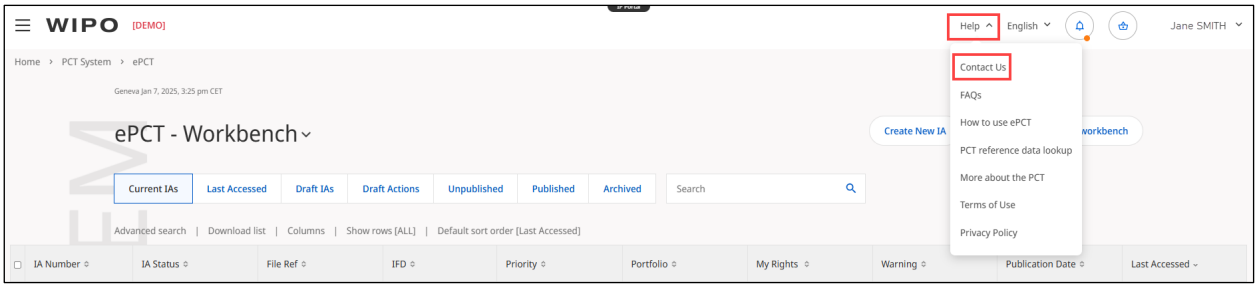
Contact details of the PCT Operations Customer Support Help Desk

E-mail: pct.eservices@wipo.int

Tel. +41 22 338 95 23

Opening hours: Monday to Friday from 09:00 to 18:00 (Geneva time)

Chat feature available via Contact Us and in the FAQs in **ePCT Help**



V. 4.14 November 2024 *[End of document]*

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