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**Committee on WIPO Standards (CWS)**

**Reconvened Fourth Session**

**Geneva, March 21 to 24, 2016**

Proposal for Annexes V and VI of WIPO Standard ST.96

*Document prepared by the Secretariat*

## INTRODUCTION

1. The Committee on WIPO Standards (CWS), at its second session in 2012, adopted WIPO Standard ST.96 along with Annexes I to IV; and noted that drafts of two other Annexes, Annex V (Implementation Rules and Guidelines) and Annex VI (Transformation Rules and Guidelines), which were presented at the session, needed further work before they could be adopted. The CWS therefore requested the XML4IP Task Force to prepare a proposal for the adoption of these Annexes as part of WIPO Standard ST.96 by the CWS.
2. Since 2011, the XML4IP Task Force held many discussion rounds to prepare the proposal for Annexes V and VI. Owing to the active collaboration of all Task Force members, the preparation of Annexes V and VI has been completed.
3. The final drafts of Annexes V and VI for consideration and adoption by the CWS are based on ST.96 XML Schema version 2.0. The proposal for Annex V, which contains two Appendices, is attached as Annex I to the present document and the proposal for Annex VI, which contains three Appendices, is attached as Annex II to the present document.

## ANNEX V OF STANDARD ST.96

1. Annex V of ST.96, *Implementation Rules and Guidelines*, aims to provide guidance for the customization of XML Schemas defined in Annex III of ST.96, in a common way, to fit a specific business requirement of an Intellectual Property Office (IPO) even though in many cases ST.96 XML Schema can be used “as is”. However, IPOs may need to address Use Cases whose requirements are not met by the ST.96 XML Schemas, Annex V is intended to guide IPOs on how to develop their schemas based on ST.96 Schemas and other XML resources.
2. There are two types of customization schemas, i.e., compatible schema and conformant schema to WIPO Standard ST.96. Once an IPO decides to customize ST.96 Schema, it should decide whether the result will be ST.96 *conformant* or ST.96 *compatible*. Annex V provides a comprehensive set of rules and guidelines for the customization and implementation of ST.96 XML Schemas. Moreover, in order to guide IPOs with concrete examples, Annex V provides two Appendices, i.e. Appendix A for examples of ST.96 conformant schemas and Appendix B for examples of ST.96 compatible schemas.
3. Furthermore, *ST96XSDValicator* is now part of Annex V. *ST96XSDValicator* is a tool that uses *Schematron* to validate XML schema against *ST.96 XML Design Rules and Conventions* (Annex I of ST.96). The tool is very convenient for IPOs to validate their implementation XML schema against Standard ST.96.

## ANNEX VI OF STANDARD ST.96

1. Before the adoption of WIPO Standard ST.96, WIPO Standards ST.36, ST.66 and ST.86 had already been used by IPOs; therefore, maintaining transformability with XML instances conforming to those Standards was one of the primary concerns for the XML4IP Task Force. For the facilitation of data exchange and interoperability between an IPO using ST.36/ST.66/ST.86 and an IPO using ST.96, transformation between ST.96 and the existing Standards was required; therefore the XML4IP Task Force started developing Annex VI.
2. Annex VI of ST.96, *Transformation Rules and Guidelines*, is intended to provide rules and guidelines for transformation between XML instances conforming to ST.96 and XML instances validating against ST.36, ST.66 or ST.86. It should be noted that Annex VI is not intended to address either transformations for national implementations or transformation of XML instances between different versions of ST.96. In order to guide IPOs on how they can transform their data conforming to ST.36, ST.66 or ST.86 to data conforming ST.96 and *vice versa*, Annex VI includes three Appendices, i.e. Appendix A for the mapping tables of elements and attributes, Appendix B for the mapping tables of enumeration values, and Appendix C for example codes of eXtensible Stylesheet Language Transformations (XSLT) based on the mapping tables of Appendices A and B. The three Appendices are made available on the WIPO website at: <http://www.wipo.int/edocs/mdocs/cws/en/cws_4_bis/cws_4_bis_12-appendix1.zip>.

MODIFICATION OF TASK NO. 41

1. As the XML4IP Task Force has completed the preparation of the proposal for Annexes V and VI of ST.96, the International Bureau proposes to remove the first part of Task No. 41 and keep only its second part. The new wording for Task No. 41 would read “Task No. 41: ensure the necessary revisions and updates of WIPO Standard ST.96”. The International Bureau also proposes that the XML4IP Task Force will continue working on the revised Task No. 41.
2. *The CWS is invited to:*
   1. *take note of the information contained in this document;*
   2. *consider and adopt Annex V of WIPO Standard ST.96, which is reproduced in Annex I to this document;*
   3. *consider and adopt Annex VI of WIPO Standard ST.96, which is reproduced in Annex II to this document and the three Appendices of the proposed ST.96 Annex VI as referred to in paragraph 8; and*
   4. *approve the modification of Task No. 41 and the assignment of revised Task No. 41 to the XML4IP Task Force as proposed in paragraph 9 above.*

[Annex I follows]