

## **Комитет по стандартам ВОИС (КСВ)**

**Шестая сессия**  
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### **ПЕРЕСМОТР СТАНДАРТА ВОИС ST.27**

*Документ подготовлен Международным бюро*

#### **ВВЕДЕНИЕ**

1. На своей пятой сессии, состоявшейся 29 мая – 2 июня 2017 г., Комитет по стандартам ВОИС (КСВ) принял стандарт ВОИС ST.27 «Рекомендация в отношении обмена данными о правовом статусе патентов». КСВ также утвердил следующее редакционное примечание, касающееся стандарта ST.27: «Детальные события, включенные в настоящий стандарт, носят предварительный характер и будут проанализированы ведомствами промышленной собственности (ВПС) в течение одного года. На основании сообщений ВПС об итогах такого анализа на утверждение шестой сессии КСВ будет вынесено окончательное предложение о детальных событиях для включения в настоящий стандарт. При желании ВПС могут обмениваться данными о правовом статусе, основанными только категориях и ключевых событиях» (см. пункты 50 и 51 документа CWS/5/22).
2. КСВ принял следующее измененное описание Задачи № 47: «Подготовить окончательное предложение по детальным событиям и методические указания в отношении данных о правовом статусе патентов; подготовить рекомендацию в отношении обмена данными о правовом статусе товарных знаков и промышленных образцов между ведомствами промышленной собственности» (см. пункт 55 документа CWS/5/22).

#### **ПРЕДЛАГАЕМЫЙ ПЕРЕСМОТР СТАНДАРТА ВОИС ST.27**

3. В рамках задачи № 47 Целевая группа по правовому статусу (ЦГПС) подготовила предложение по пересмотру стандарта ВОИС ST.27, уточнив, в частности, перечень детальных событий и добавив к нему новое Приложение V «Методические указания».

#### Краткое изложение предлагаемых изменений стандарта ST.27

4. Предлагаемые изменения стандарта ВОИС ST.27 включают уточнение Общей модели делопроизводства по выдаче патентов/СДО и предложения по исправлению и уточнению основного текста стандарта ST.27, изменения ключевых и детальных событий, включая как перечень событий, так и их названия/описания, определенные в Приложении I к стандарту ST.27, и внесение изменений в Приложение II к стандарту ST.27 «Дополнительная информация о событиях». Предлагаемые изменения стандарта ST.27 воспроизводятся в Приложении I к настоящему документу.

5. С учетом представленной ВПС информации о результатах рассмотрения и анализа детальных событий предложено внести некоторые изменения в перечень событий. Эти изменения включают как добавление новых детальных событий, так и изменение названий и описаний существующих событий. Так, например, описания категории «М. Сохранение прав ИС» и ключевого события «M10. Право ИС сохранено» были уточнены таким образом, чтобы они определенным образом относились к случаям как полного, так и частичного продления регистрации. Добавлены новые детальные события – например, события «M15. Право ИС сохранено в неизменном или измененном виде после полного или частичного продления», и «U14. Пошлина за указание не уплачена», касающиеся методов работы ВПС, которые не охватывались существующими событиями. Наконец, в интересах большей ясности изменены названия и/или описания некоторых существующих детальных событий: так, для четкого разграничения понятий «выпуск» и «публикация» («выпуск» касается взаимоотношений с заявителем, в то время как «публикация» – это публичное сообщение) изменено описание события «D14. Отчет о поиске выпущен».

6. В Общую модель делопроизводства по выдаче патентов/СДО также внесено изменение: добавлена возвратная стрелка к этапу «Выдача патента», соответствующему ключевому событию «M10. Право ИС сохранено» для описания ситуации, когда право ИС сохраняется, например, в результате уплаты ежегодной пошлины за поддержание.

7. Что касается дополнительной информации о событиях, включенной в Приложение II к стандарту ST.27, такие изменения касались дополнительных данных по ряду категорий.

8. Хотя Целевая группа предлагает внести изменения в перечень событий, представленный в Приложении I к стандарту ST.27, она считает, что ввиду сложности различных методов работы ВПС детальные события, перечисленные в Приложении I, следует проанализировать дополнительно – например, это касается уровня детализации детальных событий, особенно в категории S (Информация о лицензировании). В этой связи Целевая группа просит предоставить ей больше времени на подготовку окончательного перечня детальных событий, а также просит КСВ рекомендовать ВПС участвовать в обсуждении.

#### Новое Приложение V: Методические указания

9. Целевая группа подготовила проект методических указаний, который предлагается добавить к стандарту ВОИС ST.27 в качестве Приложения V. Предлагаемое новое Приложение V к Стандарту ST.27 воспроизводится в Приложении I к настоящему документу.

10. Предлагаемые методические указания включают примеры возможных историй событий, основанные на сопоставительных таблицах, полученных от ведомств-членов Целевой группы. Благодаря этому предлагаемые методические указания помогут ВПС сопоставить события, применяемые в их национальной/региональной практике, со стандартными событиями, и использовать стандартные события для описания различных форм делопроизводства.

11. Хотя предлагаемые методические указания будут полезны и в их нынешнем виде, позволяя ВПС соотносить события, соответствующие их практике, со стандартными событиями, Целевая группа считает, что они могут быть дополнительно улучшены, в частности, в направлении улучшения их удобочитаемости на основе более структурированного представления информации на основе сценариев операционного цикла, а также обеспечения их большей полноты за счет использования дополнительных примеров из практики различных ВПС. В связи с этим предлагается считать представленные методические указания предварительными.

#### Изменение редакционного примечания

12. Учитывая упомянутую выше остающуюся работу, касающуюся перечня детальных событий и методических указаний, Международное бюро предлагает заменить текущее редакционное примечание во вводной части стандарта ST.27, следующим текстом:

«Редакционное примечание Международного бюро

Детальные события, включенные в Приложение I к настоящему стандарту, рассматривались и анализировались ведомствами промышленной собственности (ВПС) в течение одного года после их принятия в предварительном порядке на пятой сессии КСВ. На основании сообщений ВПС об итогах такого анализа предварительные детальные события были пересмотрены. Ввиду сложности различных методов работы ВПС подготовка окончательного предложения по детальным событиям, которое будет представлено на утверждение седьмой сессии КСВ, требует более глубокого анализа. При желании ВПС могут обмениваться данными о правовом статусе, основанными только категориях и ключевых событиях.

Методические указания, содержащиеся в Приложении V к настоящему стандарту, имеют предварительный характер и будут оцениваться и анализироваться ВПС и Целевой группой по правовому статусу. Окончательное предложение будет представлено для рассмотрения и принятия на седьмой сессии КСВ.»

13. *КСВ предлагается:*

*(a) принять к сведению содержание настоящего документа;*

*(b) рассмотреть и утвердить изменения и дополнения к основному тексту и Приложениям I - IV к стандарту ВОИС ST.27, воспроизведенные в Приложении I к настоящему документу;*

*(c) рассмотреть и утвердить в предварительном порядке предлагаемое новое Приложение V к Стандарту ST.27, упоминаемое в пунктах 9 - 11 выше и воспроизведенное в Приложении II к настоящему документу; и*

*(d) рассмотреть и  
утвердить предлагаемый  
измененный текст редакционного  
примечания, приведенный в  
пункте 12.*

[Приложение I следует]

## STANDARD ST.27

### RECOMMENDATION FOR THE EXCHANGE OF PATENT LEGAL STATUS DATA

*Proposal presented by the Legal Status Task Force for consideration and approval at the CWS/6*

#### Editorial Note by the International Bureau

The detailed events included in this Standard ~~were reviewed and assessed~~ ~~are provisional and will be reviewed and assessed~~ by industrial property offices (IPOs) for one year ~~after its provisional adoption at the CWS/5~~. On the basis of the outcome of the review and assessment reported by IPOs, ~~the provisional detailed events were revised~~. Due to the complexity of various practices of IPOs, ~~more intensive assessment is required to prepare~~ a final proposal on the detailed events ~~in this Standard, which will be submitted for approval at the ~~seventh~~ ~~sixth~~ session of the CWS~~. IPOs may choose to exchange legal status data on the basis of categories and key events only, if they so desire.

The Guidance Document, Annex V of this Standard, is provisional and will be reviewed and assessed by IPOs as well as the Legal Status Task Force. The final proposal will be submitted for consideration and adoption at the seventh session of the CWS.

### TABLE OF CONTENTS

INTRODUCTION .....	2
DEFINITIONS .....	2
REFERENCES .....	2
SCOPE OF THE STANDARD.....	3
OVERALL PATENT/SPC PROSECUTION MODEL .....	3
States.....	3
Stages.....	4
Events .....	4
EVENTS LIST .....	5
Category .....	5
Key Event.....	5
Detailed Event.....	5
DATA STRUCTURE AND FORMAT FOR EXCHANGE .....	5
Status Event Code .....	5
State Code.....	6
Stage Code.....	6
Key Event Code.....	6
Detailed Event Code.....	7
National/Regional Event Code.....	7
Calendar Dates Linked to the Event.....	7
Legal Status Data Structure .....	7
Supplementary event data .....	10
IMPLEMENTATION.....	11
ANNEX I: Event list.....	12
ANNEX II: Supplementary event data.....	19
ANNEX III: Overall Patent/SPC Prosecution Model with examples.....	25
ANNEX IV: Model template for Mapping Table between National/Regional events and Standard events.....	28

## INTRODUCTION

1. The availability of up-to-date, reliable, and understandable legal status information on Industrial Property (IP) rights is necessary to be able to avoid IP right infringement. Industrial Property Offices (IPOs) currently provide this information in different formats and languages, inconsistently, and in an untimely manner due to differing national and regional patent laws and practices. Therefore, a standardized model which can describe the legal status of a patent application during its prosecution or of a granted patent in a global manner is highly desirable.

2. This Standard is intended to promote efficient exchange of patent legal status data in a harmonized manner between IPOs in order to facilitate access to that data by IP information users, IPOs, IP data providers, the general public and other interested parties (hereinafter referred to as “users”). This Standard aims at improving worldwide availability, reliability and comparability of patent legal status data.

## DEFINITIONS

3. For the purposes of this Standard, the expression:

- (a) “patent” includes such industrial property rights as patents for inventions, plant patents, design patents, inventors’ certificates, utility certificates, utility models, patents of addition, inventors’ certificates of addition and utility certificates of addition.
- (b) “SPCs” stands for supplementary protection certificates. The SPC takes effect at the end of the term of a patent which protects the product as such, a process to obtain the product or an application of the product.
- (c) “IP right” includes such industrial property rights as patents, supplementary protection certificates (SPCs), trademarks and industrial designs.
- (d) “legal status” refers to the status of an application or IP right according to the applicable law of the prosecuting IPO and is determined based on preceding events.
- (e) “state” refers to whether the application or IP right is active, not active or terminated after an event occurred according to the applicable law of the IPO.
- (f) “stage” refers to a phase in the prosecution of an application or IP right, which encompasses the happening of events.
- (g) “event” refers to an action during the prosecution of an application or IP right caused by the applicant, IP right owner, IPO or third party according to applicable law, which may cause a change in the state and/or stage of the application or IP right.
- (h) “category” refers to a set of events which are grouped together according to a common theme.
- (i) “key event” refers to a generic, broad, universally-termed event in a category.
- (j) “detailed event” refers to an event in a category, which is not the key event and is more specific in nature.
- (k) “national/regional event” refers to an event in the prosecution of an application or IP right according to national/regional law.
- (l) “effective date” refers to the date the event has legal effect according to applicable law.
- (m) “publication date” refers to the date the event data is communicated to the public (e.g. by way of publication in a gazette or IP right register).
- (n) “event date” refers to the date the event occurs.

## REFERENCES

4. The following WIPO Standards are relevant to this Standard:

WIPO Standard ST.2	Standard Manner for Designating Calendar Dates by Using the Gregorian Calendar
WIPO Standard ST.3	Recommended Standard on Two-Letter Codes for the Representation of States, Other Entities and Intergovernmental Organizations
WIPO Standard ST.13	Numbering of Applications for IPRs
WIPO Standard ST.16	Identification of Different Kinds of Patent Documents

## SCOPE OF THE STANDARD

5. This Standard provides codes which can be used to straightforwardly identify the legal status of a patent or SPC. The use of codes allows the legal status of a patent or SPC to be identified without knowledge of the language used by the prosecuting IPO.

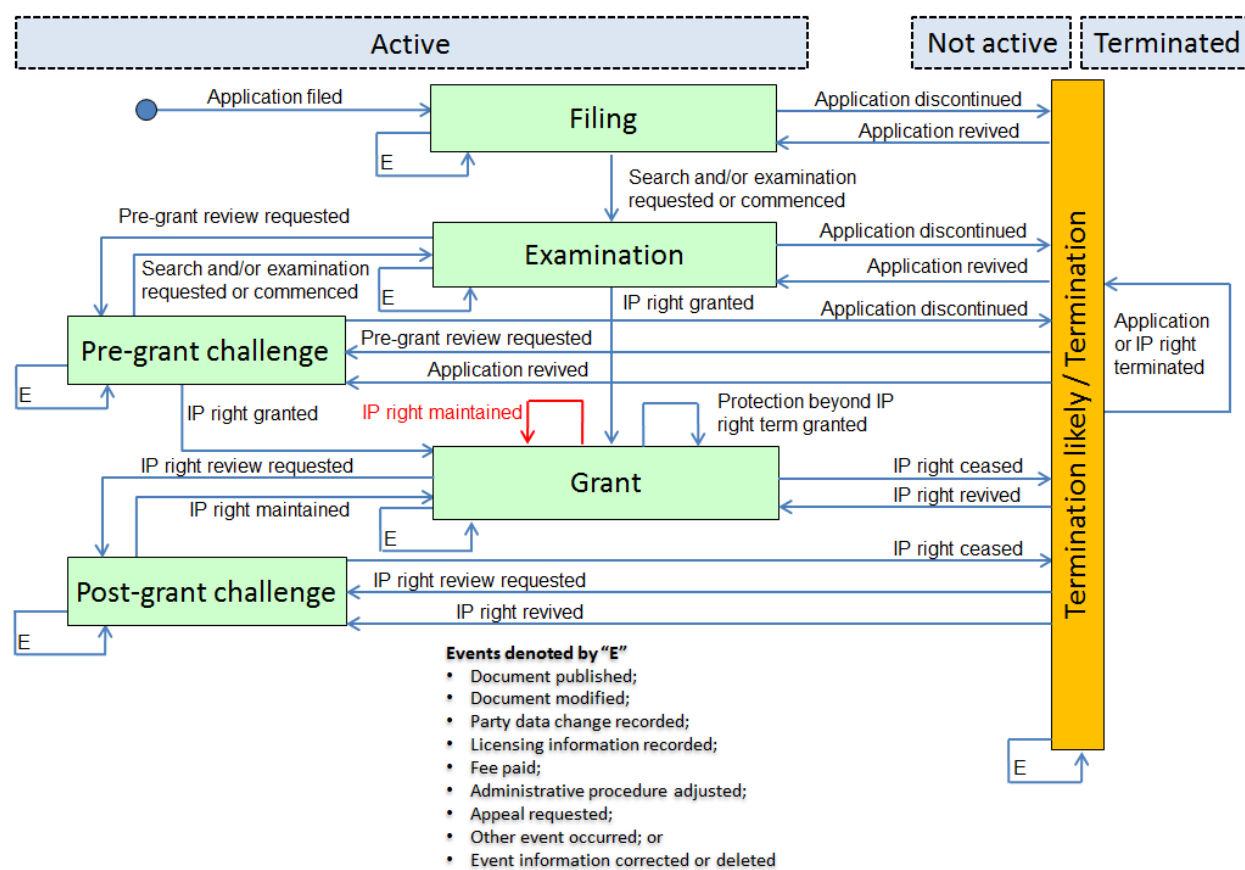
6. This Standard defines legal status events that may take place during the lifecycle of a patent or SPC on the basis of an Overall Patent/SPC Prosecution Model. The definitions of the events are broad so as to cover the various practices of different IPOs.

7. This Standard also provides the data structure to be used to exchange the legal status data in electronic form between IPOs, the data associated with the defined events, and guidelines for IPOs to map their national/regional events to the events in this Standard.

8. Taking the diversity of IP laws and practices among various jurisdictions into consideration, this Standard is not aimed at harmonizing procedural or substantive requirements under national/regional laws and regulations.

## OVERALL PATENT/SPC PROSECUTION MODEL

9. The diversity in patent and SPC prosecution laws among IPOs is significant. This Standard uses a general prosecution model to broadly describe the patent and SPC prosecution practices among IPOs worldwide. The model does not describe the unique prosecution practices of all IPOs, nor does it cover every eventuality that may occur during the prosecution of an application or IP right. Furthermore, considering the different types of patents, and the specific prosecution practices applied to the different types of IP rights, this model may not accurately describe the prosecution practices for each type of patent or SPC in some IPOs. Nonetheless, the prosecution model provides a comprehensive overview of the general steps involved in the prosecution of a patent or SPC at IPOs worldwide.




10. The Overall Patent/SPC Prosecution Model illustrated above incorporates states (dashed rectangular boxes), stages (solid rectangular boxes) and events (arrows) to describe the prosecution of patents or SPCs. For the sake of brevity, only key events are indicated in the Prosecution Model.

### States



11. The state of the application or IP right according to applicable law of the IPO can either be active, not active, or terminated.

- **Active:** The application is pending or the IP right is in force.

- **Not active:** The application is discontinued or the IP right is not  in force.
- **Terminated:** The discontinued application or the not-in-force IP right cannot be revived. Exceptionally this state may return to “Active” or “Not active” due to a change in IP legislation. Note that not all IPOs can specify this state under national/regional law.

### Stages

12. The stage of the prosecution of the application or IP right according to applicable law of the IPO can be the filing stage, examination stage, pre-grant challenge stage, grant stage, post-grant challenge stage, or termination likely/termination stage.

- **Filing:** The filing stage encompasses the receipt of an application for the grant of an IP right by a national or regional IPO. This stage includes when the IPO receives a description of an invention together with any additional documentation and/or fees necessary to obtain a filing date under national law, regional law or convention, or the Patent Cooperation Treaty (PCT) as applicable. This stage also includes the filing of a divisional, continuation, or continuation in part application, conversion from one type of application into another, filing of a PCT international application, or entry of a PCT international application into the national or regional phase.
- **Examination:** The examination stage encompasses both formality and substantive examinations. That is an examination of the application as to form after the application has already been accorded a filing date or an examination of the application as to substance. It is possible for an application to undergo both a formality examination and a substantive examination. The examination stage may include events such as requests for examination, requests for prior art searches, and may include the publication of information (such as the application and certain bibliographic information). The examination stage may also include the decision or intention to grant an IP right, but does not include the act of granting and/or registering the IP right itself.
- **Pre-grant challenge:** The pre-grant challenge stage encompasses a review of the application, initiated before the granting or registration of an IP right, in accordance with national or regional law. A pre-grant review includes such proceedings as a pre-grant opposition, re-examination, or limitation.
- **Grant:** The grant stage encompasses the act in which the IPO grants and/or registers the IP right, publishes the application as granted and/or registered and enters the details of the granted and/or registered IP right in the IPO's register. The act of publishing the granted IP right may be the first time the specification is made publicly available in accordance with the applicable national or regional law. If applicable under national or regional law, the granted IP right may be renewed  or a patent term adjustment (PTA), patent term extension (PTE) or supplementary protection certificate (SPC) extension may be granted to extend the protection beyond the IP right term.
- **Post-grant challenge:** The post-grant challenge stage encompasses a review of the IP right, initiated after the IP right was granted and/or registered, in accordance with national or regional law. An IP right review includes such proceedings as a post-grant opposition, re-examination, limitation, reissue, or surrender of the granted and/or registered IP right.
- **Termination likely/termination:** The termination likely/termination stage encompasses when an application is discontinued or a granted and/or registered IP right is not  in force with a possibility of revival (termination likely) and when a discontinued application or a not-in-force IP right is terminated by the IPO or a court without a possibility of revival (termination) according to the applicable law.

### Events

13. The events which occur in the prosecution of the application or IP right may result in a change to the state and/or stage of the application or IP right. They can be triggered by an action of the IPO, applicant, IP right owner, or third party.

14. This Standard recommends a list of generically-termed events with general descriptions on the basis of the terminology used by IPOs worldwide to broadly cover national/regional events. This Standard thereby assists users in interpreting national/regional events without requiring in-depth knowledge of the specific practices of the prosecuting IPO.

15. The events incorporated in the Overall Patent/SPC Prosecution Model illustrated above are key events. In some cases the events will move the application or IP right from one stage into another stage and/or change the state of the application or IP right. In other cases, the happening of an event does not change the stage or state of the application or IP right (for example, see recursive arrows in the Overall Patent/SPC Prosecution Model, denoted using an 'E').

16. Due to the broad descriptions of the key events, multiple situations can be described by a single key event. The description of a key event may therefore cover multiple scenarios. Annex III provides examples of how multiple national/regional events can be mapped to the same key event in the Overall Patent/SPC Prosecution Model.



## EVENTS LIST

17. This Standard provides the list of events that may be used to exchange legal status data between IPOs. The events are grouped into an event category, which provides a high-level cluster of related events. A single key event and several detailed events are defined in a category. Each category, key event and detailed event has a defined code. The codification is described below.

18. The entire list of categories, key events, detailed events and their descriptions is available in Annex I.

### Category

19. This Standard defines 21 categories. The categories describe a group of events which are of particular importance to the prosecution of a patent or SPC and share a common theme. The category description defines the theme of events included in that category. The list of categories and their description are available in Annex I.

20. Each category has one key event and multiple detailed events except categories 'W. Other' and 'Y. Correction and deletion of event information', which do not have any detailed events. A category may cover many more national/regional events than those described by the key and detailed events. Therefore, the list of examples provided in the description of the category are not exhaustive and do not restrict the scope of the category.

### Key Event

21. A key event is an important event related to the category. Key events are meant to enable IPOs to map national/regional events to a generic, universally-termed event that is understandable by a user.

22. This Standard defines 21 key events listed below; their description is provided in Annex I. Each key event includes a description for explanatory purposes. Since legal status events and terminologies vary according to national and regional laws, the descriptions of the key events are broad and encompassing. The descriptions are written in the past tense to indicate that the event has already occurred. The enumerated list of examples provided in the descriptions are for explanatory purposes only, and do not restrict the scope of the key event.

### Detailed Event

23. The detailed events are events in a category, which are more specific than a key event. They may describe a practice specific to only a few IPOs, or they may describe a practice that is nearly universal but that is of a specific nature. The list of detailed events and their description ~~are~~<sup>is</sup> available in Annex I.

24. While some detailed events can be mapped to the key event in the sense that they are a specific example of events subsumed under the key event, not all detailed events can be mapped to the key event. Annex I provides guidance on the relationship between ~~the key events~~<sup>the key event</sup> and detailed events defined under the same category by indicating which detailed events may be subsumed under their respective key event according to the national/regional practices of some IPOs.

## DATA STRUCTURE AND FORMAT FOR EXCHANGE

25. This Standard recommends, for the purpose of facilitating the exchange of legal status data, a data structure in coded form. This structure describes the minimum information which should be provided for each event. This information includes the following components:

- status event code;
- calendar dates linked to the event; and
- supplementary data associated with the event.

### Status Event Code

26. The status event code consists of three components: state information, stage information and event information, which are defined in coded form and determine the unique position of the application, patent or SPC on the Overall Patent/SPC Prosecution Model presented above. The legal status event code allows users the ability to pinpoint the legal status of an application or IP right to any place in the prosecution lifecycle.

27. The status event code below describes the structure of the code but does not necessarily represent the final visualization and representation in XML format.

[State – From (previous) stage – To (current) stage – Key event – Detailed event – National/regional event]

#### *State Code*

28. In the status event code the state of the application or IP right is determined after the event has occurred. For example, if the key event 'B10. Application discontinued' has occurred and as a result of the occurrence of this event the state of the application moved from "active" to "not active", the state would be recorded as "not active". Since some IPOs may not be able to currently provide this information, it is necessary provide the option of an "unspecified" state. The three states: active, not active, and terminated, as well as the unspecified state are codified by one alphabetic letter:

- Active = A
- Not active = N
- Terminated = T
- Unspecified = U

#### *Stage Code*

29. The status event code includes stage information for before the event occurs and after the event occurs. Since an event can move an application or IP right from one stage into another stage, both the initial and end stages need to be included in the status event code. Without the initial and end stage information, the legal status of the application or IP right may be ambiguous. For example, 'C10. Application revived', can denote that an application has moved from the termination likely/termination stage into either the pre-grant challenge stage, the examination stage, or the filing stage. Without providing both the initial and end stage information, determining the precise legal status of the application or IP right is not possible.

30. The codification of the six stages is formed below with a single numeric digit from 1 to 6, including an "unspecified" stage codified by "0" to accommodate IPOs which are not currently able to provide such information:

- Filing = 1
- Examination = 2
- Pre-grant challenge = 3
- Grant = 4
- Post-grant challenge = 5
- Termination likely/termination = 6
- Unspecified = 0

#### *Key Event Code*

31. The key events are formed by a combination of a single alphabetic letter followed by the number "10". The single alphabetic letter is assigned according to the categories.

32. The codes for the 21 key events are as follows:

- |      |  |
|------|--|
| A10. | Application filed                                |
| B10. | Application discontinued                         |
| C10. | Application revived                              |
| D10. | Search and/or examination requested or commenced |
| E10. | Pre-grant review requested                       |
| F10. | IP right granted                                 |
| G10. | Protection beyond IP right term granted          |
| H10. | IP right ceased                                  |
| K10. | IP right revived                                 |
| L10. | IP right review requested                        |

M10.	IP right maintained
N10.	Application or IP right terminated
P10.	Document modified
Q10.	Document published
R10.	Party data change recorded
S10.	Licensing information recorded
T10.	Administrative procedure adjusted
U10.	Fee paid
V10.	Appeal requested
W10.	Other event occurred
Y10.	Event information corrected or deleted

33. This Standard requires that IPOs map their national/regional events to a key event. If it is not possible to map a national/regional event to a key event, the key event code will be a combination of the alphabetic letter denoting the category, followed by the digits "00" indicating that the national/regional event cannot be mapped to a key event in that category.

#### *Detailed Event Code*

34. The detailed events are formed by a combination of a single alphabetic letter followed by a two-digit number from 11 to 99. The single alphabetic letter is assigned according to the categories. The codes for detailed events are contained in Annex I.

35. In addition to the mapping process described in paragraph 33 above, this Standard recommends that IPOs map their national/regional events to a detailed event. If it is not possible to map a national/regional event to a detailed event, the detailed event code will be a combination of the alphabetic letter denoting the category, followed by the digits "00" indicating that the national/regional event cannot be mapped to a detailed event in that category.

#### *National/Regional Event Code*

36. The "national/regional event" entry in the status event code is the national/regional codification of the national/regional event which is being mapped to a key and/or detailed event.

37. This Standard recommends the combination of an alphabetic letter and a three-digit number from 100 to 999 for the national/regional event codes. The alphabetic letter should correspond to the relevant category code. For example, the code 'A123' can be assigned to a national event, 'SPC application filed', which maps to category 'A. Application filing'. An example of a status event code using this national/regional event could be 'A-1-1-A10-A00-A123' or 'A-1-1-A10-A12-A123'.

38. If IPOs already have their own codes for national/regional events in alphanumeric combination, then these codes can continue to be used. If IPOs do not currently have national/regional events and/or plan on only using the key events and/or detailed events for the data exchange to describe their national/regional practices, then the positions of "national/regional event" should be filled with the code 'X000'.

#### Calendar Dates Linked to the Event

39. The IPO must provide at least one calendar date associated with the status event code. The date(s) provided can be the event date, the publication date, and/or the effective date. These dates have the meanings provided in the Definitions section above.

40. Dates should be provided in accordance with WIPO Standard ST.2 using the Gregorian calendar in a single numeric data string comprising eight numerals in the manner of 'CCYYMMDD', e.g., '20161126' for the date 'November 26, 2016'.

#### Legal Status Data Structure

41. This Standard provides the structure for the exchange of legal status data between IPOs. The structure consists of (a) an IP office code, (b) the date the file was created, (c) identification of the document, (d) event data for the application or patent/SPC, which can correspond to the entire history of events or a partial history of events for an identified time period. If a partial history of events is provided, the time period which is covered by the events should be identified.

42. The legal status data should be structured as follows:

- (a) Office code according to WIPO Standard ST.3 (mandatory)
- (b) Creation date of legal status data file (mandatory)
- (c) Document identification (mandatory)
  - i. Application number (mandatory), Patent/SPC number (optional), Applicant file reference (optional), Filing language code (optional), Application filing category (optional), Filing date (optional)
  - ii. Type of IP right (mandatory)
- (d) Event data (mandatory)
  - i. Status event code (mandatory)
    - State
    - From (previous) stage
    - To (current) stage
    - Key event
    - Detailed event
    - National/regional event
  - ii. Calendar dates linked to the event (at least one date is mandatory)
    - Event date
    - Effective date
    - Publication date
  - iii. Supplementary event data (optional)
  - iv. Unique identifier (optional)

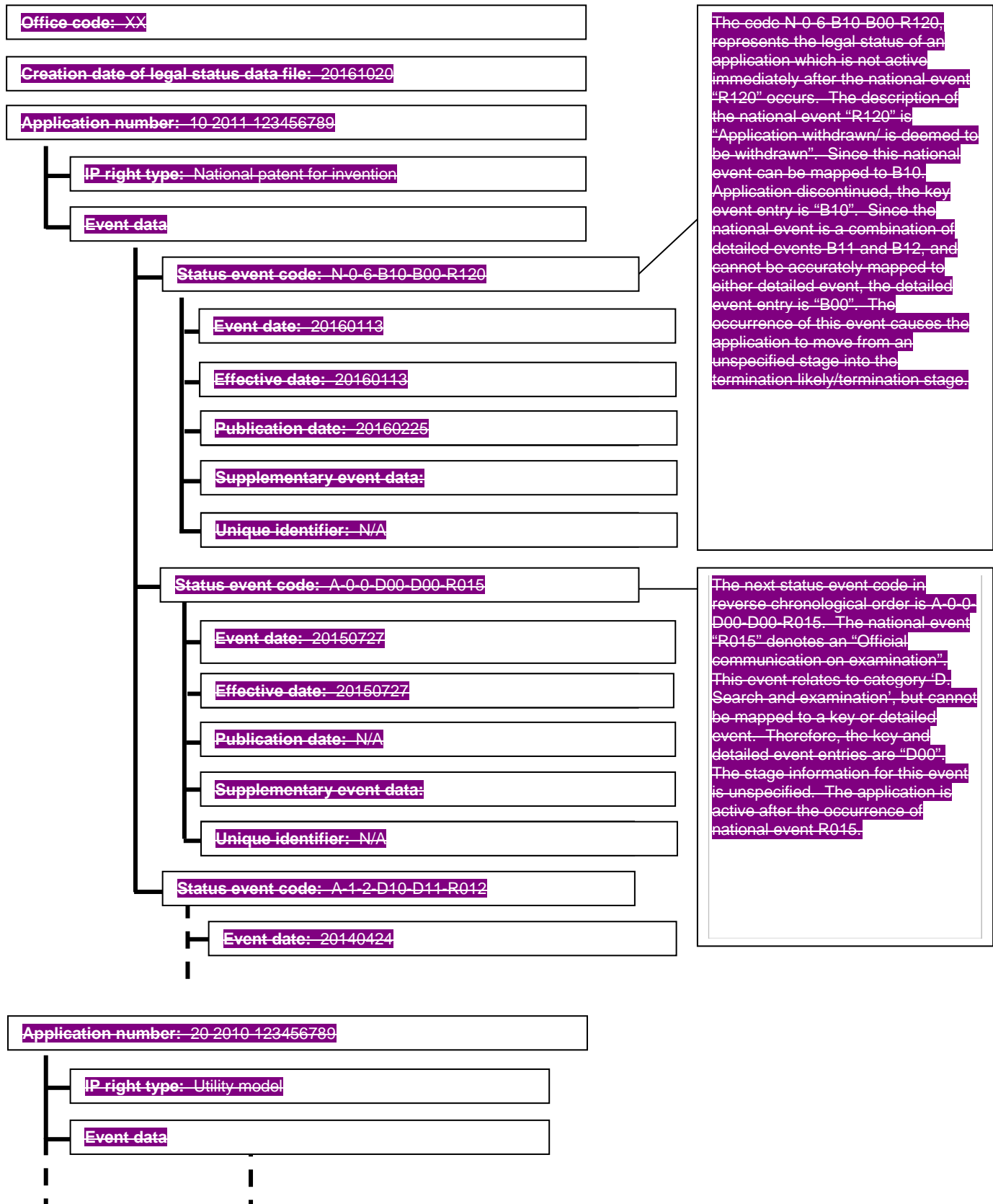
43. The office code must be provided so that a user knows which IPO is providing the legal status data. The creation date of the legal status data file must be provided so that users know the date as of which the information is current. The document identification must be provided so that a user knows the application or IP right for which the legal status data pertains.

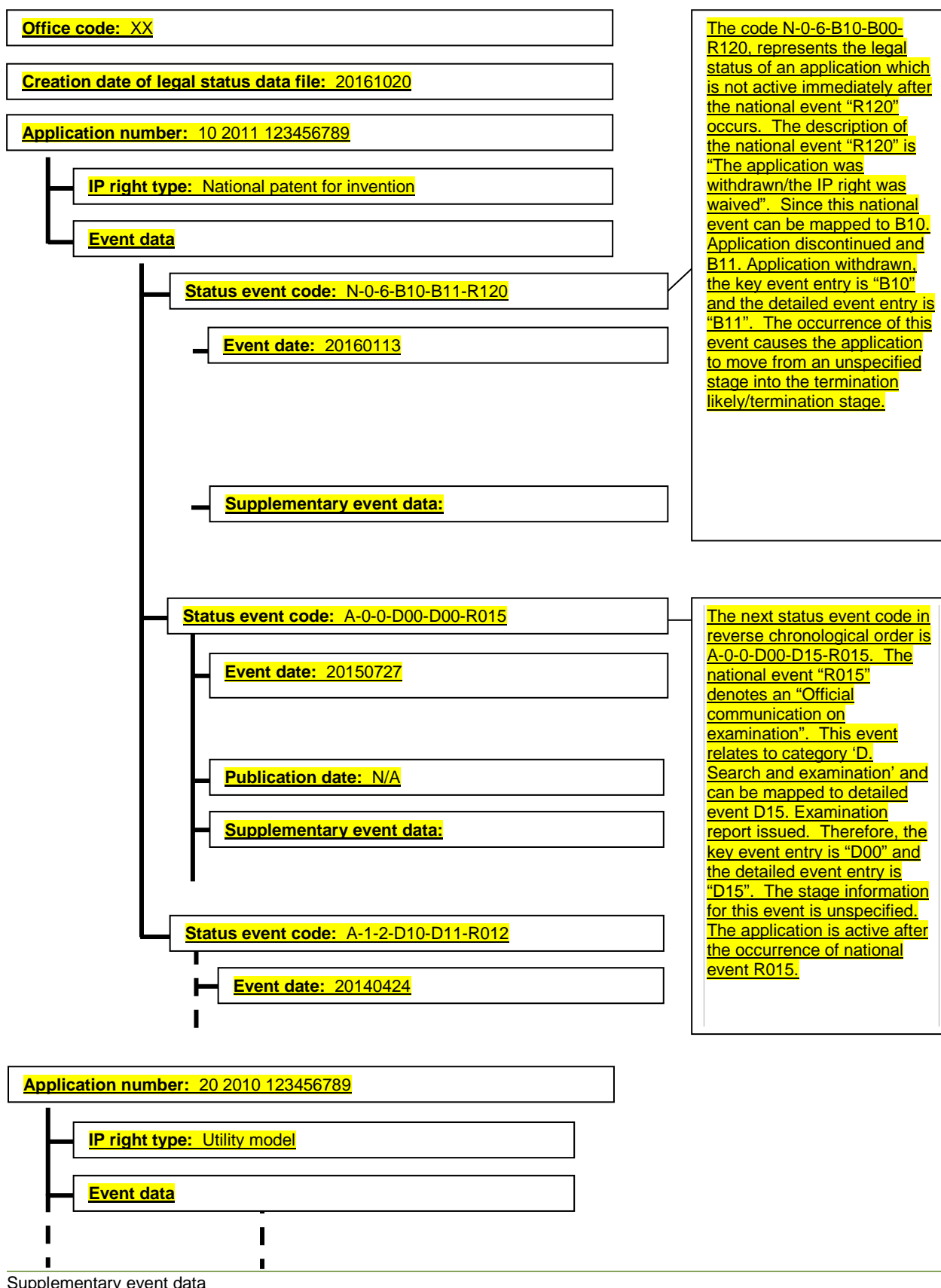
44. As document identification, IPOs are required to provide the application number and the type of IP right. In cases where legal status data is being provided for an IP right which has been granted, IPOs are strongly encouraged to provide the patent/SPC number in addition to the application number. The type of IP right can be any IP right defined in the Definitions section, including various types of patents.

45. An IPO must provide the combined information of the status event code and the related calendar date(s) for the most recent event in relation to a specific application or IP right prosecuted by the IPO. The combined status event code and calendar date is the minimum information needed to uniquely identify a legal status event for an application or IP right. The IPO may also provide the status event codes and the calendar dates for all events that have occurred during the existence of the application or IP right (i.e. the event history). Where the entire event history or a subset of the event history is provided, it is recommended that the most recent event is provided first in the list.

46. IPOs can optionally provide a unique event identifier, which uniquely identifies an event and its date for an application or IP right. In this way, two indistinguishable events, such as the recordation of two voluntary licenses for the same IP right on the same day, which would otherwise have identical status event codes and dates, can be distinguished using the unique event identifier.

47. A visual representation of the aforementioned structure, with examples of data which could be provided is as follows:





48. This Standard recommends that IPOs provide additional information associated with events so that a user may understand the context in which the national/regional event occurred. This Standard provides the minimum supplementary event data that should be exchanged; IPOs can provide further information. Exchanging supplementary event data is optional.

49. The minimum supplementary event data related to a category is listed in Annex II. There are two groups of data: data numbered (1) through (3) is common supplementary event data which an IPO may provide for any national/regional event regardless of the category it maps to; data numbered from (4) onwards is specific to that category.

#### IMPLEMENTATION

50. IPOs are encouraged to implement this Standard as soon as possible to facilitate the effective exchange of harmonized legal status data for applications and IP rights. Implementing this Standard will require that IPOs map their national/regional events to the events defined in the Standard or at the very least a category.

51. It is recommended that when implementing this Standard, an announcement be made and the International Bureau of WIPO be informed by providing a mapping table of national/regional events to the events in this Standard on the basis of the model template available in Annex IV.

52. IPOs are requested to provide a title and description of their national/regional event codes in English such that users can obtain more information about the specific national/regional event. It is recommended that IPOs provide this information either along with the legal status data, or by providing the uniform resource identifier (URI) of their national/regional IP register or some other forum where this information is publicly available.

53. This Standard suggests that the frequency of exchange of legal status data should occur at one month intervals at a minimum, ideally at weekly intervals.

[Annex I follows]

## ANNEX I

### EVENT LIST

1. This Annex includes the entire list of events that may be used to exchange legal status data between IPOs. The events are grouped into 21 event categories, coded with a single alphabetic letter, which provides a high-level cluster of related events. A single key event, coded with one alphabetic letter followed by the number "10" and several detailed events, coded with one alphabetic letter followed by a number from 11 to 99, are defined in a category. The categories and events include a description to assist IPOs with mapping their national/regional events to an event and/or category in the event list.

2. A detailed event code followed by an asterisk ("\*") indicates that the detailed event may map to, or may be subsumed under the key event. This assignment is meant for guidance purposes only and may not accurately describe the national/regional practices of all IPOs.

**A. Application filing:** This category is a group of events related to the filing of an application. It includes, for example, when a national or regional IPO receives an application for the grant of an IP right together with any additional documentation and fees necessary to obtain a filing date under national or regional law or convention or the Patent Cooperation Treaty (PCT) as applicable. This category also includes events related to the filing of a provisional application, divisional application, continuation, continuation in part, or an application for conversion. It also includes entry of an international application into the national or regional phase.

A10. **Application filed:** An application for an IP right was filed. This includes, but is not limited to when a national, regional or PCT international application was filed. It also includes when a provisional application, divisional, continuation, continuation in part, or conversion application was filed, or when a PCT international application has entered into the national or regional phase. Usually a filing date and application number are recorded by the IPO.

A11\*. Provisional application filed (A provisional application was filed with an IPO.)

A12\*. National or regional application filed (A national or regional application was submitted to an IPO and a filing date and application number are recorded.)

A13\*. PCT application filed (An international application under the PCT was filed.)

A14\*. Regional application entered into the national phase (A regional application entered into the national phase.)

A15\*. PCT application entered into the national or regional phase (An international application under the PCT entered into the national or regional phase.)

A16\*. Divisional, continuation or continuation in part application filed (A divisional, continuation or continuation in part application was filed.)

A17. Divisional, continuation or continuation in part application rejected (A divisional, continuation or continuation in part application was inadmissible, rejected or withdrawn.)

A18. Application divided or continuation or continuation in part accepted (A divisional application was accepted and the original application was divided into two or more applications for one or more types of IP right, or a continuation or continuation in part was accepted.)

A19\*. Conversion application filed (A conversion application was filed, for example, an application was filed to convert one type of IP right application, such as an application for a patent for invention into another type of IP right application, such as a utility model application, or to convert a regional or PCT application into a national application.)

A20. Conversion application rejected (A conversion application was inadmissible, rejected or withdrawn.)

A21. Application converted from another type of IP right (A request for conversion was accepted and the application was converted, for example, an application for one type of IP right, such as an application for a patent for invention was converted into another type of IP right application, such as a utility model application. Unlike the case of divisions, an entire IP right application was converted to another type of application.)

A22. Application converted from a regional or PCT application (A request for conversion was accepted and the application was converted from a regional or PCT application into a national application.)

**B. Application discontinuation:** This category is a group of events related to the discontinuation of an application. It includes, for example, when an application has been voluntarily withdrawn by the applicant, was deemed to be withdrawn, abandoned or lapsed or was refused by the IPO. The events in this category may move an application from the filing stage, examination stage or pre-grant challenge stage into the termination likely/termination stage.

B10. **Application discontinued:** An application was discontinued. This includes, but is not limited to when an application was discontinued due to a withdrawal by the applicant, refusal by the IPO or because there was a failure to prosecute. For example, a failure to prosecute may occur due to a non-payment of fees or failure to respond to an office action within the required time period.

B11\*. Application withdrawn (An applicant voluntarily withdrew the application.)

B12\*. Application deemed to be withdrawn, abandoned or lapsed (An application was discontinued due to a failure to prosecute, for example, an application was discontinued due to non-payment of fees or not responding to an office action within the relevant period.)



- B13\*. Regional filing not entered into the national phase (A regional application did not enter the national phase within the time period prescribed in the applicable law.)
- B14\*. PCT filing not entered into the national or regional phase (An international application under the PCT did not enter the national or regional phase within the time period prescribed in the applicable law.)
- B15\*. Application refused following examination (An application was refused by an IPO following a formality or substantive examination.)
- B16\*. Application discontinued following rejected revival request (A request for revival of a discontinued application was inadmissible, rejected or withdrawn.)
- B17\*. Application discontinued following pre-grant review (Following a pre-grant review, an application was discontinued.)
  
- C. Application revival:** This category is a group of events related to the revival, reinstatement or restoration of an application after it has been discontinued. It includes, for example, when an application was revived following a request for application revival after payment of an outstanding fee, responding to an outstanding action or decision which had resulted in the application being discontinued, or following an appeal. The events in this category may move an application from the termination likely/termination stage into the filing stage, examination stage or pre-grant challenge stage.
  
- C10. **Application revived:** An application was revived after it had been discontinued. This includes, but is not limited to when an application was revived following an application revival request or an appeal.
- C11. Application revival requested (A revival, reinstatement or restoration of a discontinued application was requested.)
- C12. Request for application revival rejected (A request for an application revival was inadmissible, rejected or withdrawn.)
- C13\*. Application revived following an application revival request (An application was revived, reinstated or restored following an application revival request.)
- C14. Rights of priority restored (The right of priority was restored where a subsequent application was filed after the expiration of the priority period but within the time limit prescribed in the applicable law, provided that the conditions specified in the applicable law were met.)
  
- D. Search and examination:** This category is a group of events related to the examination proceeding and prior art searches. It includes, for example, a formality examination or a substantive examination. It also includes a request for a prior art search and an announcement of the intention of the IPO to grant an IP right. The events in this category may move an application from the filing stage or the pre-grant challenge stage into the examination stage.
  
- D10. **Search and/or examination requested or commenced:** The search and/or examination of an application was requested, initiated or continued. This includes, but is not limited to when a formality or substantive examination was requested, initiated or continued or when a search was requested or initiated.
  
- D11\*. Substantive examination requested (A substantive examination of an application was requested by an applicant or a third party, or an IPO initiated the examination independently, in accordance with the applicable law.)
- D12. Request for substantive examination rejected (A request for a substantive examination was inadmissible, rejected or withdrawn.)
- D13\*. Search requested (A prior art search for an application was requested by the applicant or the examiner.)
- D14. Search report issued (A prior art search report for an application was issued.)
- D15. Examination report issued (A substantive examination report or a notification of the reason for refusal of the application was issued.)
- D16\*. Fast track examination requested (An expedited or accelerated examination of the application was requested.)
- D17. Fast track examination accepted (A request for an expedited or accelerated examination was accepted by the IPO.)
- D18\*. Deferred examination requested (A request was made to defer or postpone the examination of an application until a later time.)
- D19. Deferred examination accepted (A request to defer or postpone the examination of an application was accepted by the IPO.)
- D20\*. Deferred examination resumed (A deferred examination was resumed.)
- D21. Rejection of application intended (An IPO announced its intention to reject an application and not grant an IP right.)
- D22. Grant of IP right intended (An IPO announced its intention to grant an IP right, provided that certain conditions are met within a time period prescribed in the applicable law. For example, in one jurisdiction, an IP right will be granted if an applicant pays a fee and submits a translation (if necessary) within a certain period. In another jurisdiction, an IP right will be granted provided that no pre-grant opposition is filed within a certain period or such an opposition is inadmissible, rejected or withdrawn.)
- D23\*. Examination continued following pre-grant review (An examination of an application was continued following a pre-grant review.)
- D24\*. Re-examination commenced (A re-examination of the application was commenced.)
  
- E. Pre-grant review request:** This category is a group of events related to the request for a pre-grant review. It includes, for example, a request for a pre-grant opposition, pre-grant re-examination, or pre-grant limitation. It also includes when such a request was inadmissible, rejected or withdrawn. The events in this category may move an application from the examination stage or the termination likely/termination stage into the pre-grant challenge stage.
  
- E10. **Pre-grant review requested:** A pre-grant review was requested. This includes, but is not limited to a request for a pre-grant opposition, pre-grant re-examination, or pre-grant limitation.
  
- E11\*. Pre-grant opposition filed (A pre-grant opposition was filed.)
- E12\*. Pre-grant re-examination requested (A pre-grant re-examination was requested.)

- E13\*. Pre-grant limitation requested (A pre-grant limitation of the application was requested.)
- E14. Pre-grant third party observation filed (A third party filed prior art documents or other related information with the IPO before the grant of an IP right.)
- E15. Request for pre-grant review rejected (A request for a pre-grant review was inadmissible, rejected or withdrawn).
- F. IP right grant:** This category is a group of events which relate to the effective grant date of an IP right and/or entry of an IP right into the IPO's register. It includes, for example, when an IP right was granted following an examination, an appeal, pre-grant review or inadmissibility, rejection or withdrawal of a pre-grant review request. The events in this category may move an application from the examination stage or the pre-grant challenge stage into the grant stage.
- F10. **IP right granted:** An IP right was granted in full or amended form after an examination, a pre-grant review or an appeal. This includes, but is not limited to when an IP right was granted after a formality or substantive examination, or subsequent to a pre-grant review.
- F11\*. IP right granted following substantive examination (Following a substantive examination, an IP right was granted by the IPO.)
- F12\*. IP right granted following formality examination (Following a formality examination, an IP right was granted by the IPO.)
- F13\*. IP right granted in full following pre-grant review (Following a pre-grant review, an IP right was granted in full.)
- F14\*. IP right granted in amended form following pre-grant review (Following a pre-grant review, an IP right was granted in amended form.)
- F15\*. IP right granted following rejected pre-grant review request (Following an inadmissible, rejected or withdrawn request for a pre-grant review, the IP right was granted.)
- F16. IP right converted from another IP right (An IP right was converted from one type of IP right into another.)
- G. Protection beyond IP right term:** This category is a group of events related to the protection of an IP right beyond its term. It includes, for example, a request for a patent term adjustment (PTA), patent term extension (PTE) or a supplementary protection certificate (SPC) extension and also includes related events that occur subsequent to such a request. The events in this category occur during the grant stage.
- G10. **Protection beyond IP right term granted:** Protection beyond the IP right term was granted. This includes, but is not limited to the granting of a patent term adjustment (PTA), patent term extension (PTE) or a supplementary protection certificate (SPC) extension.
- G11. Extension of SPC term requested (An extension of a Supplementary Protection Certificate (SPC) term was requested.)
- G12. Extension of SPC term not granted (An extension of a Supplementary Protection Certificate (SPC) term was not granted.)
- G13\*. Extension of SPC term granted (An extension of a Supplementary Protection Certificate (SPC) term was granted.)
- G14. Extension of SPC term revoked (An extension of a Supplementary Protection Certificate (SPC) term was revoked by the IPO.)
- G15. PTA requested (A Patent Term Adjustment (PTA) was requested.)
- G16. PTA not granted (A Patent Term Adjustment (PTA) was not granted.)
- G17\*. PTA granted (A Patent Term Adjustment (PTA) was granted.)
- G18. PTE requested (A Patent Term Extension (PTE) was requested.)
- G19. PTE not granted (A Patent Term Extension (PTE) was not granted.)
- G20\*. PTE granted (A Patent Term Extension (PTE) was granted.)
- H. IP right cessation:** This category is a group of events related to the cessation of an IP right. It includes, for example, the cessation of an IP right following an IP right review, an appeal, a refusal to reinstate, or a lapse or expiry. The events in this category may move an IP right from the grant stage or the post-grant challenge stage into the termination likely/termination stage.
- H10. **IP right ceased:** An IP right has ceased. This includes, but is not limited to when an IP right has ceased following an IP right review or an appeal, due to a refusal to revive, or because of a lapse or expiry.
- H11\*. IP right ceased following rejected request for revival (A request for revival of a ceased IP right was inadmissible, rejected or withdrawn.)
- H12\*. IP right ceased following an IP right review (The IP right was ceased following an IP right review.)
- H13\*. IP right lapsed (The IP right was ceased through neglect to maintain it, for example, non-payment of fees or not responding to an office action.)
- H14\*. IP right expired (A statutory IP right term, for example 20 years from the filing date, has expired.)
- H15\*. IP right surrendered (An IP right was surrendered or abandoned by the IP right owner.)
- K. IP right revival:** This category is a group of events related to the revival, reinstatement or restoration of an IP right after its cessation. It includes, for example, the request for the revival and the decision to revive an IP right, including by way of an appeal. The events in this category may move an IP right from the termination likely/termination stage into the grant stage or the post-grant challenge stage.

- K10. **IP right revived:** An IP right was revived, reinstated or restored in full or amended form after its cessation. This includes, but is not limited to when an IP right is revived following payment of an outstanding maintenance or renewal fee or following an appeal.
- K11. IP right revival requested (A revival, reinstatement or restoration of a ceased IP right was requested.)
- K12. Request for IP right revival rejected (A request for revival, reinstatement or restoration of a ceased IP right was inadmissible, rejected or withdrawn).
- K13\*. IP right revived in full (A ceased IP right was revived, reinstated or restored in full.)
- K14\*. IP right revived in amended form (A ceased IP right was revived, reinstated or restored in amended form.)
- L. IP right review request:** This category is a group of events related to a request for a review of an IP right after its grant. It includes, for example, a request for a post-grant opposition, re-examination, limitation, reissue, surrender, or invalidation. It also includes when such a request was inadmissible, rejected or withdrawn. The events in this category may move an IP right from the grant stage or the termination likely/termination stage into the post-grant challenge stage.
- L10. **IP right review requested:** An IP right review was requested. This includes, but is not limited to a request for a post-grant opposition, re-examination, limitation, reissue, surrender, or invalidation.
- L11\*. Post-grant opposition filed (A post-grant opposition was filed.)
- L12\*. Post-grant re-examination requested (A post-grant re-examination was requested.)
- L13\*. Limitation or reissue of IP right requested (A limitation or reissue of an IP right was requested.)
- L14\*. Surrender of IP right requested (A request to surrender an IP right was made by the IP right owner.)
- L15\*. Invalidation requested (An administrative revocation, cancellation, nullity, annulment or invalidation proceeding was requested.)
- L16. Post-grant third party observation filed (A third party filed prior art documents or other related information with the IPO after the grant of an IP right.)
- L17. Declaration of non-infringement requested (A third party requested a declaration of non-infringement of the IP right.)
- L18. Request for IP right review rejected (A request for an IP right review was inadmissible, rejected or withdrawn.)
- L19\*. Post-termination review requested (A post-termination review was requested to invalidate an IP right *ex tunc*.)
- M. IP right maintenance:** This category is a group of events related to the maintenance of a granted IP right in full or amended form. It includes, for example, an IP right being maintained in full or amended form following a full or partial renewal, an appeal, an IP right review or the inadmissibility, rejection or withdrawal of a request for an IP right review. The events in this category may occur in the grant stage or may move an IP right from the post-grant challenge stage into the grant stage.
- M10. **IP right maintained:** An IP right was maintained in full or amended form. This includes, but is not limited to when an IP right was maintained following a full or partial renewal, an appeal, an IP right review or when a request for an IP right review was inadmissible, rejected or withdrawn.
- M11\*. IP right maintained in full following an IP right review or an appeal (The IP right was maintained in full following an appeal or an IP right review, for example, following a post-grant opposition, post-grant re-examination, limitation or reissue, surrender, or invalidation proceeding.)
- M12\*. IP right maintained in amended form following an IP right review or an appeal (The IP right was maintained in amended form following an appeal or an IP right review, for example, following a post-grant opposition, post-grant re-examination, limitation or reissue, surrender, or invalidation proceeding.)
- M13\*. IP right maintained following rejected IP right review request (The IP right was maintained following an inadmissible, rejected or withdrawn request for an IP right review.)
- M14. Re-examination certificate issued (A re-examination certificate was issued following a re-examination procedure confirming which claims were confirmed, cancelled or amended.)
- M15\*. IP right maintained in full or amended form following a full or partial renewal (The IP right was maintained in full or amended form following a full or partial renewal.)
- N. Termination:** This category is a group of events related to the termination of an application or an IP right without a possibility of its revival. It includes, for example, when an application or IP right was terminated by the IPO or a court. The events in this category are not available to all IPOs.
- N10. **Application or IP right terminated:** An application or IP right was terminated.
- N11\*. Application terminated (An application was terminated.)
- N12\*. IP right terminated (A granted IP right was terminated.)
- P. Document modification:** This category is a group of events related to modifications of an application, IP right document or other document, which occur outside the context of a pre-grant review or IP right review. It includes, for example, amendments and corrections of errors in applications and IP right documents. The events in this category may occur during any stage.
- P10. **Document modified:** An amendment or correction was made to an application, IP right document or other document, excluding modifications which occur in the context of a pre-grant review or IP right review. This includes, but is not limited to corrections of errors in IP documents, amendments to applications or amendments to translations of applications.

- P11. Amendment of application requested (An amendment of the application has been requested.)
- P12. Request for amendment of application rejected (A request to amend the application was inadmissible, rejected or withdrawn.)
- P13\*. Application amended (The application has been amended in response to a request by the applicant.)
- P14. Amendment of IP right document requested (An amendment of the IP right document has been requested outside the scope of an IP right review.)
- P15. Request for amendment of IP right document rejected (A request for an amendment of the IP right document outside the scope of an IP right review was inadmissible, rejected or withdrawn.)
- P16\*. IP right document amended (The IP right document has been amended outside the scope of an IP right review in response to a request by the IP right owner.)
- P17\*. Translation of an application amended (A translation of the application has been amended.)
- P18\*. Priority claim added or amended (A priority claim has been added or amended.)
- P19. Errors in documents containing IPO's decisions corrected (Errors, such as a linguistic error, transcription error or obvious mistakes have been corrected in documents containing decisions of the IPO.)
- P20\*. Errors in documents filed by the applicant or IP right owner corrected (Errors in documents filed by the applicant or IP right owner have been corrected.)
- P21\*. Errors in published documents corrected (Errors in a document published by the IPO, including an application or an IP right document have been corrected.)
- P22. Classification modified (The assigned classification of an application or IP right document was changed, corrected or reclassified according to IPC, CPC or national/regional classifications.)
- P23. Related IP right document modified (A related IP right document, such as a linked basic patent was modified.)
- P24. Related application modified (A related application, such as a regional application was modified.)

**Q. Document publication:** This category is a group of events related to document publication by the IPO. It includes, for example, publication of an application, IP right document or bibliographic information by the IPO. The events in this category may occur during any stage.

- Q10. **Document published:** A document was published by the IPO. This includes, but is not limited to publication of an application, IP right document or bibliographic information.
- Q11\*. Certain bibliographic information on the application published (Certain bibliographic information on the application and the applicant, for example, the application number, title of the invention and the applicant's name, were published before the publication of the application as filed.)
- Q12\*. Application published (An application was published by the IPO with or without a search report; an IPO may accept an application in a foreign language for the purpose of according a filing date; however, in general, the IPO requires that an applicant submit a translation of the application in a language the IPO publishes in, before it will be published.)
- Q13\*. IP right document published (The document related to a granted and/or registered IP right or an IP right which the IPO intends to grant was published.)
- Q14\*. Secret application or IP right declassified and published (A secret application or IP right was declassified and published.)
- Q15. Earlier publication cancelled (A publication, including an application, IP right document or bibliographic information, was cancelled or withdrawn by the IPO.)
- Q16\*. A copy of IP right certificate issued (An official copy of an IP right certificate was issued.)
- Q17\*. Modified document published (An amended or corrected document was published.)

**R. Party data change:** This category is a group of events related to the IPO recording changes in party data. It includes, for example, when the IPO records changes to a party concerned with the application or IP right, e.g. the applicant(s), owner(s), inventor(s) or representative(s). It also includes events related to the recording of changes in party contact information. The events in this category may occur during any stage.

- R10. **Party data change recorded:** A change in the data identifying the parties concerned with an application or IP right was recorded by the IPO. This includes, but is not limited to when a change to the name(s), composition or contact information of a party, e.g. the applicant(s), owner(s), inventor(s) or representative(s), was recorded by the IPO. This also includes when an IPO records a change in ownership due to a transfer of rights, an assignment or a legal proceeding.
- R11. Change to the name of applicant or owner or transfer of ownership requested (A change to the name(s) of the applicant(s) or owner(s), a transfer of ownership or an assignment was requested, or a legal proceeding was commenced to change the applicant(s) or owner(s) of the application or IP right.)
- R12\*. Change to the name of applicant or owner or transfer of ownership recorded (A change to the applicant(s) or owner(s) of the application or IP right, including a change in name(s) or in composition, was recorded by the IPO. This may be due to a name change, a transfer of ownership, an assignment or a legal proceeding.)
- R13\*. Change to the name of applicant or owner recorded (A change to the name(s) of the applicant(s) or owner(s) of the application or IP right was recorded by the IPO.)
- R14\*. Transfer of ownership recorded (A transfer of ownership, an assignment or a change to the composition of applicant(s) or owner(s) of the application or IP right due to a legal proceeding was recorded by the IPO.)
- R15. Change to inventor requested (A change in the name(s) or composition of the inventor(s) was requested or a legal proceeding was commenced to change the inventor(s) of the application or IP right.)
- R16\*. Change to inventor recorded (A change to the inventor(s), including a change in name(s) or in composition, was recorded by the IPO.)

- R17\*. Change to representative recorded (A change to the representative(s) of the applicant(s) or owner(s), including a change in name(s) or in composition, was recorded by the IPO.)
- R18\*. Changes to party contact information recorded (A change to the contact information, such as the email address, postal address or phone number of a party was recorded by the IPO.)
- R19. Request for party data change rejected (A request for a party data change was inadmissible, rejected or withdrawn.)

**S. Licensing information:** This category is a group of events related to the IPO recording licensing information and amendments to such records. It includes, for example, when an IPO records that a license, pledge or security interest has been agreed to, amended, cancelled or transferred. The events in this category may occur during any stage.

**S10. Licensing information recorded:** Licensing information has been recorded by the IPO. This includes, but is not limited to when an agreement for a license between an IP right owner and another party was recorded or its amendment, cancellation or transfer was recorded by the IPO.

- S11\*. Voluntary license recorded (A voluntary licensing arrangement, on an exclusive or non-exclusive basis, between an applicant or IP right owner and another party was recorded.)
- S12\*. Recordation of voluntary license amended (Recordation of a voluntary license was amended.)
- S13\*. Recordation of voluntary license cancelled (Recordation of a voluntary license was cancelled.)
- S14\*. Exclusive voluntary license recorded (A voluntary licensing arrangement, on an exclusive basis, between an applicant or IP right owner and another party was recorded.)
- S15\*. Recordation of exclusive voluntary license amended (Recordation of an exclusive voluntary license was amended.)
- S16\*. Recordation of exclusive voluntary license cancelled (Recordation of an exclusive voluntary license was cancelled.)
- S17\*. Non-exclusive voluntary license recorded (A voluntary licensing arrangement, on a non-exclusive basis, between an applicant or IP right owner and another party was recorded.)
- S18\*. Recordation of non-exclusive voluntary license amended (Recordation of a non-exclusive voluntary license was amended.)
- S19\*. Recordation of non-exclusive voluntary license cancelled (Recordation of a non-exclusive voluntary license was cancelled.)
- S20\*. Security interest recorded (A security interest, pledge or mortgage between an applicant or IP right owner and another party was recorded.)
- S21\*. Recordation of security interest amended (Recordation of a security interest, pledge or mortgage was amended.)
- S22\*. Recordation of security interest cancelled (Recordation of a security interest, pledge or mortgage was cancelled.)
- S23\*. Compulsory license recorded (A compulsory license was recorded following the grant of a license by the IPO to allow another party to produce, use or import the protected product or process without the consent of the applicant or IP right owner.)
- S24\*. Recordation of compulsory license amended (Recordation of a compulsory license was amended.)
- S25\*. Recordation of compulsory license cancelled (Recordation of a compulsory license was cancelled.)
- S26\*. Availability or offer of license by an applicant or IP right owner recorded (Availability or an offer by an applicant or IP right owner to license his or her rights to third parties by way of a binding or non-binding commitment, for example a non-binding interest to grant a license or willingness to grant a license, was recorded.)
- S27\*. Recordation of availability or offer of license by applicant or IP right owner cancelled (Recordation of availability or an offer of a license by an applicant or IP right owner was cancelled.)
- S28\*. Royalty agreement recorded (A royalty agreement between an applicant or IP right owner and another party was recorded.)
- S29\*. Recordation of royalty agreement amended (Recordation of a royalty agreement was amended.)
- S30\*. Recordation of royalty agreement cancelled (Recordation of a royalty agreement was cancelled.)
- S31\*. Sublicense recorded (A sublicense was recorded between a licensee and a sublicensee.)
- S32\*. Recordation of sublicense amended (Recordation of a sublicense was amended.)
- S33\*. Recordation of sublicense cancelled (Recordation of a sublicense was cancelled.)
- S34\*. Concession recorded (A concession was recorded.)
- S35\*. Recordation of concession amended (Recordation of a concession was amended.)
- S36\*. Recordation of concession cancelled (Recordation of a concession was cancelled.)
- S37\*. Subconcession recorded (A subconcession was recorded.)
- S38\*. Recordation of subconcession amended (Recordation of a subconcession was amended.)
- S39\*. Recordation of subconcession cancelled (Recordation of a subconcession was cancelled.)

**T. Administrative procedure adjustment:** This category is a group of events related to the adjustment of an administrative procedure conducted by the IPO. It includes, for example, granting an extension of an administrative time limit or continued processing of a necessary procedure. It also includes a suspension, stay or interruption of an administrative procedure, or the resumption of a suspended, stayed or interrupted administrative procedure. The events in this category may occur during any stage.

**T10. Administrative procedure adjusted:** An adjustment has been made to an administrative procedure. This includes, but is not limited to a time limit extension, a suspension, stay or interruption of an administrative procedure, or resumption of a suspended, stayed or interrupted procedure.

- T11. Administrative time limit extension requested (An extension of a time limit or continued processing was requested.)
- T12. Administrative time limit extension not granted (A request for an extension of a time limit or continued processing was inadmissible, rejected or withdrawn.)
- T13\*. Administrative time limit extension granted (A request for an extension of a time limit or continued processing was granted.)

- T14\*. Administrative procedure suspended or stayed (An administrative procedure was suspended, stayed or discontinued.)
- T15\*. Administrative procedure interrupted (An administrative procedure was interrupted.)
- T16\*. Administrative procedure resumed (An administrative procedure which had previously been suspended, stayed, discontinued or interrupted was resumed.)
- U. Payment:** This category is a group of events related to the payment of fees. It includes, for example, payment of a renewal, maintenance or other designation fee. The events in this category may occur during any stage.
- U10. **Fee paid:** A fee payment was made. This includes, but is not limited to payment of a renewal, maintenance or designation fee.
- U11\*. Renewal or maintenance fee paid (A renewal or maintenance fee was paid.)
- U12\*. Designation fee paid (A designation fee was paid.)
- U13. Renewal or maintenance fee not paid (A renewal or maintenance fee was not paid by the due date.)
- U14. Designation fee not paid (A designation fee was not paid.)**
- V. Appeal:** This category is a group of events related to an appeal of a decision made during the prosecution of an IP right. It includes, for example, a request by the applicant, IP right owner, or third party for an administrative or court appeal of any decision made during the prosecution of an IP right and the procedural outcome of such an appeal. The substantive outcome of the appeal may be mapped to an event in another category, for example, application discontinued, application revived, IP right granted, IP right ceased, or IP right maintained. The events in this category may occur during any stage.
- V10. **Appeal requested:** An appeal of a decision made during the prosecution of an application or IP right was requested to an administrative body, tribunal, board or court. This includes, but is not limited to when an applicant or IP right owner requests an appeal against a decision made by the examiner during the prosecution of the IP right.
- V11\*. Administrative appeal requested (An appeal of a decision was requested to an administrative body, board, or tribunal.)
- V12\*. Court appeal requested (An appeal of a decision was requested to a court or judicial body.)
- V13. Appeal inadmissible, rejected or withdrawn (The appeal was inadmissible, rejected or withdrawn).
- V14. Decision remanded (The appeal was allowed and the appellate body remanded the decision back to the original decision-maker for reconsideration.)
- V15. Decision substituted (The appeal was allowed and the appellate body substituted its own decision for the original decision.)
- W. Other:** This category covers events which cannot be categorized under any other Category. It is recommended to use this category as a last resort for unusual cases, where a liberal interpretation of the description of all other Categories would fail to adequately describe the national/regional event (e.g. legacy events or interim/internal events).
- W10. **Other event occurred:** An event which cannot be categorized under any other category occurred (e.g. a legacy event or an interim/internal event.)
- Y. Correction and deletion of event information:** This category is a group of events related to the correction or deletion of erroneous event information that the IPO previously provided. It includes, for example, correction in the status event code of an application or IP right provided under this Standard or the correction or deletion of an event that was announced erroneously in a gazette, IP register or other published documentation. The events in this category may occur during any stage.
- Y10. **Event information corrected or deleted:** Errors in the legal status data have been corrected or deleted. This includes, but is not limited to corrections of legal status data provided under this Standard or the correction or deletion of an event that was announced erroneously in a gazette, IP register or other published documentation.

[Annex II follows]

## ANNEX II

## SUPPLEMENTARY EVENT DATA

1. Each status event code may be accompanied by supplementary event data. There is supplementary event data that is specific to events in a particular category and there is common supplementary event data which is common to all events. The common supplementary event data includes (1) the effective country or region, (2) the gazette issue number, and (3) comment (i.e. free text). The “effective country or region”, is the country or region where the event has legal effect, which is particularly relevant for regional IPOs where the effect of an event, such as discontinuation due to non-payment of renewal fees, only has effect in some of the countries where the IP right is active. The “gazette issue number” is the issue of the national/regional gazette where the particulars of the national/regional event are made public. IPOs will be able to provide additional associated data which is not specified in the “comment” entry.

Category Code	Category Title	Category Description	Supplementary event data
A	Application filing	This category is a group of events related to the filing of an application. It includes, for example, when a national or regional IPO receives an application for the grant of an IP right together with any additional documentation and fees necessary to obtain a filing date under national or regional law or convention or the Patent Cooperation Treaty (PCT) as applicable. This category also includes events related to the filing of a provisional application, divisional application, continuation, continuation in part, or an application for conversion. It also includes entry of an international application into the national or regional phase.	<ol style="list-style-type: none"> <li>Effective Country or Region</li> <li>Gazette Issue Number,</li> <li>Comment (i.e. free text)</li> <li>Related Document Identification (e.g. parent document ID)</li> <li>Priority Date</li> <li>PCT Filing Date</li> <li>Regional Filing Date</li> <li>Name of Applicants</li> <li>Divided Applications</li> </ol>
B	Application discontinuation	This category is a group of events related to the discontinuation of an application. It includes, for example, when an application has been voluntarily withdrawn by the applicant, was deemed to be withdrawn, abandoned or lapsed or was refused by the IPO. The events in this category may move an application from the filing stage, examination stage or pre-grant challenge stage into the termination likely/termination stage.	<ol style="list-style-type: none"> <li>Effective Country or Region</li> <li>Gazette Issue Number,</li> <li>Comment (i.e. free text)</li> </ol>
C	Application revival	This category is a group of events related to the revival, reinstatement or restoration of an application after it has been discontinued. It includes, for example, when an application was revived following a request for application revival after payment of an outstanding fee, responding to an outstanding office action which had resulted in the application being discontinued, or following an appeal. The events in this category may move an application from the termination likely/termination stage into the filing stage, examination stage or pre-grant challenge stage.	<ol style="list-style-type: none"> <li>Effective Country or Region</li> <li>Gazette Issue Number</li> <li>Comment (i.e. free text)</li> <li>Discontinuation Date</li> </ol>



D	Search and examination	This category is a group of events related to the examination proceeding and prior art searches. It includes, for example, a formality examination or a substantive examination. It also includes a request for a prior art search and an announcement of the intention of the IPO to grant an IP right. The events in this category may move an application from the filing stage into the examination stage.	<ol style="list-style-type: none"> <li>1. Effective Country or Region</li> <li>2. Gazette Issue Number</li> <li>3. Comment (i.e. free text)</li> <li>4. Search Category (e.g. first, further invention, additional search due to shift in scope of claims)</li> <li>5. Requester of Search (e.g. applicant, third party, or independently by the IPO)</li> <li>6. Requester of Examination (e.g. applicant, third party, or independently by the IPO)</li> </ol>
E	Pre-grant review request	This category is a group of events related to the request for a pre-grant review. It includes, for example, a request for a pre-grant opposition, pre-grant re-examination, or pre-grant limitation. It also includes when such a request was inadmissible, rejected or withdrawn. The events in this category may move an application from the examination stage or the termination likely/termination stage into the pre-grant challenge stage.	<ol style="list-style-type: none"> <li>1. Effective Country or Region</li> <li>2. Gazette Issue Number</li> <li>3. Comment (i.e. free text)</li> <li>4. Details of Court/Tribunal (e.g. name of court, tribunal, IPO body)</li> <li>5. Party Name(s)</li> <li>6. Representative's Name(s) &amp; Contact Details</li> </ol>
F	IP right grant	This category is a group of events which relate to the effective grant date of an IP right and/or entry of an IP right into the IPO's register. It includes, for example, when an IP right was granted following an examination, an appeal, pre-grant review or inadmissibility, rejection or withdrawal of a pre-grant review request. The events in this category may move an application from the examination stage or the pre-grant challenge stage into the grant stage.	<ol style="list-style-type: none"> <li>1. Effective Country or Region</li> <li>2. Gazette Issue Number</li> <li>3. Comment (i.e. free text)</li> <li>4. Name of Registered Owner</li> <li>5. Reference to Pre-grant Review Decision (e.g. court or tribunal order following pre-grant review)</li> </ol>
G	Protection beyond IP right term	This category is a group of events related to the protection of an IP right beyond its term. It includes, for example, a request for a patent term adjustment (PTA), patent term extension (PTE) or a supplementary protection certificate (SPC) extension and also includes related events that occur subsequent to such a request. The events in this category occur during the grant stage.	<ol style="list-style-type: none"> <li>1. Effective Country or Region</li> <li>2. Gazette Issue Number</li> <li>3. Comment (i.e. free text)</li> <li>4. Extension <u>Expiry</u> Date (e.g. end date of PTA, PTE, or SPC extension)</li> <li>5. <u>Active ingredient (generic and brand name)</u></li> <li>6. <u>Medical indication (disease state)</u></li> </ol>



H	IP right cessation	This category is a group of events related to the cessation of an IP right. It includes, for example, the cessation of an IP right following an IP right review, an appeal, a refusal to reinstate, or a lapse or expiry. The events in this category may move an IP right from the grant stage or the post-grant challenge stage into the termination likely/termination stage.	<ol style="list-style-type: none"> <li>1. Effective Country or Region</li> <li>2. Gazette Issue Number</li> <li>3. Comment (i.e. free text)</li> <li>4. <i>Ex tunc</i> or <i>Ex nunc</i> Indicator</li> <li>5. Decision Authority Category (e.g. national court, tribunal, IPO)</li> </ol>
K	IP right revival	This category is a group of events related to the reinstatement or restoration of an IP right after its cessation. It includes, for example, the request for the reinstatement and the decision to reinstate an IP right, including by way of an appeal. The events in this category may move an IP right from the termination likely/termination stage into the grant stage or the post-grant challenge stage.	<ol style="list-style-type: none"> <li>1. Effective Country or Region</li> <li>2. Gazette Issue Number</li> <li>3. Comment (i.e. free text)</li> <li>4. Reinstatement Reason Category (e.g. following payment of fee)</li> <li>5. Cessation Date</li> <li>6. Expiry Date</li> </ol>
L	IP right review request	This category is a group of events related to a request for a review of an IP right after its grant. It includes, for example, a request for a post-grant opposition, re-examination, limitation, reissue, surrender, or invalidation. It also includes when such a request was inadmissible, rejected or withdrawn. The events in this category may move an IP right from the grant stage or the termination likely/termination stage into the post-grant challenge stage.	<ol style="list-style-type: none"> <li>1. Effective Country or Region</li> <li>2. Gazette Issue Number</li> <li>3. Comment (i.e. free text)</li> <li>4. Party Name(s)</li> <li>5. Representative's Name(s) &amp; Contact Details</li> </ol>
M	IP right maintenance	This category is a group of events related to the maintenance of a granted IP right in full or amended form. It includes, for example, an IP right being maintained in full or amended form following a full or partial renewal, an appeal, an IP right review or the inadmissibility, rejection or withdrawal of a request for an IP right review. The events in this category may occur in the grant stage or may move an IP right from the post-grant challenge stage into the grant stage.	<ol style="list-style-type: none"> <li>1. Effective Country or Region</li> <li>2. Gazette Issue Number</li> <li>3. Comment (i.e. free text)</li> <li>4. IP Right Review Details (i.e. information about the IP right review, including court order details for example)</li> <li>5. Decision Authority Category (e.g. court, tribunal, IPO)</li> <li>6. Renewal Details (e.g. length of renewal)</li> </ol>
N	Termination	This category is a group of events related to the termination of an application or an IP right. It includes, for example, when an application or IP right was terminated by the IPO or a court. The events in this category are not available to all IPOs.	<ol style="list-style-type: none"> <li>1. Effective Country or Region</li> <li>2. Gazette Issue Number</li> <li>3. Comment (i.e. free text)</li> </ol>

P	Document modification	This category is a group of events related to modifications of an application, IP right document or other document, which occur outside the context of a pre-grant review or IP right review. It includes, for example, amendments and corrections of errors in applications and IP right documents. The events in this category may occur during any stage.	<ol style="list-style-type: none"> <li>1. Effective Country or Region</li> <li>2. Gazette Issue Number</li> <li>3. Comment (i.e. free text)</li> <li>4. Publication identification</li> <li>5. Modified Part of Document Category (e.g. bibliographic information, priority claim, specification, claims, drawings)</li> <li>6. Modification Category (e.g. amendment or correction)</li> <li>7. Previously Published (erroneous) Content</li> <li>8. New (corrected) Content</li> </ol>
Q	Document publication	This category is a group of events related to document publication by the IPO. It includes, for example, publication of an application, IP right document or bibliographic information by the IPO. The events in this category may occur during any stage.	<ol style="list-style-type: none"> <li>1. Effective Country or Region</li> <li>2. Gazette Issue Number</li> <li>3. Comment (i.e. free text)</li> <li>4. Patent Document Category (ST.16)</li> <li>5. Publication Identification</li> </ol>
R	Party data change	This category is a group of events related to the IPO recording changes in party data. It includes, for example, when the IPO records changes to a party concerned with the application or IP right, e.g. the applicant(s), owner(s), inventor(s) or representative(s). It also includes events related to the recording of changes in party contact information. The events in this category may occur during any stage.	<ol style="list-style-type: none"> <li>1. Effective Country or Region</li> <li>2. Gazette Issue Number</li> <li>3. Comment (i.e. free text)</li> <li>4. Party Data Change Category (e.g. owner change, inventor change, representative change, owner contact information change, inventor contact information change, representative contact information change)</li> <li>5. Previous Party Name/Contact Information</li> <li>6. Previous Party Country Code <del>(EA)</del></li> <li>7. New Party Name/Contact Information</li> <li>8. New Party Country Code <del>(EA)</del></li> <li>9. Assignment Document Number (e.g. number associated with transfer of IP right)</li> <li>10. Ownership Transfer Date</li> <li>11. Legal Proceedings Details (if applicable)</li> </ol>

S	Licensing information	<p>This category is a group of events related to the IPO recording licensing information and amendments to such records. It includes, for example, when an IPO records that a license, pledge or security interest has been agreed to, amended, cancelled or transferred. The events in this category may occur during any stage.</p>	<ol style="list-style-type: none"> <li>1. Effective Country or Region</li> <li>2. Gazette Issue Number</li> <li>3. Comment (i.e. free text)</li> <li>4. License Registration Number</li> <li>5. License Record Category (e.g. initial record, amendment, cancellation)</li> <li>6. License Status (e.g. active, inactive, terminated)</li> <li>7. License Start Date</li> <li>8. Term of License (i.e. duration of license) / License End Date</li> <li>9. Name of Licensor(s)</li> <li>10. Country Code of Licensor</li> <li>11. Name of Licensee(s)</li> <li>12. Country Code of Licensee</li> <li>13. Licensing Information Amendment Category (i.e. which terms were amended)</li> <li>14. Territory of License Validity</li> <li>15. Legal Proceeding Details (if applicable)</li> </ol>
T	Administrative procedure adjustment	<p>This category is a group of events related to the adjustment of an administrative procedure conducted by the IPO. It includes, for example, granting an extension of an administrative time limit or continued processing of a necessary procedure. It also includes a suspension, stay or interruption of an administrative procedure, or the resumption of a suspended, stayed or interrupted administrative procedure. The events in this category may occur during any stage.</p>	<ol style="list-style-type: none"> <li>1. Effective Country or Region</li> <li>2. Gazette Issue Number</li> <li>3. Comment (i.e. free text)</li> <li>4. Adjustment Category (e.g. time extension, suspension, stay, resumption, interruption, delay in communication services, as-of-right extension granted, IPO disruption, IPO irregularity)</li> <li>5. Reason for Adjustment (e.g. natural disaster, IPO delay, court delay, applicant/patentee delay)</li> <li>6. Start and End Date (e.g. date at which the adjustment starts and date at which the adjustment ends)</li> </ol>

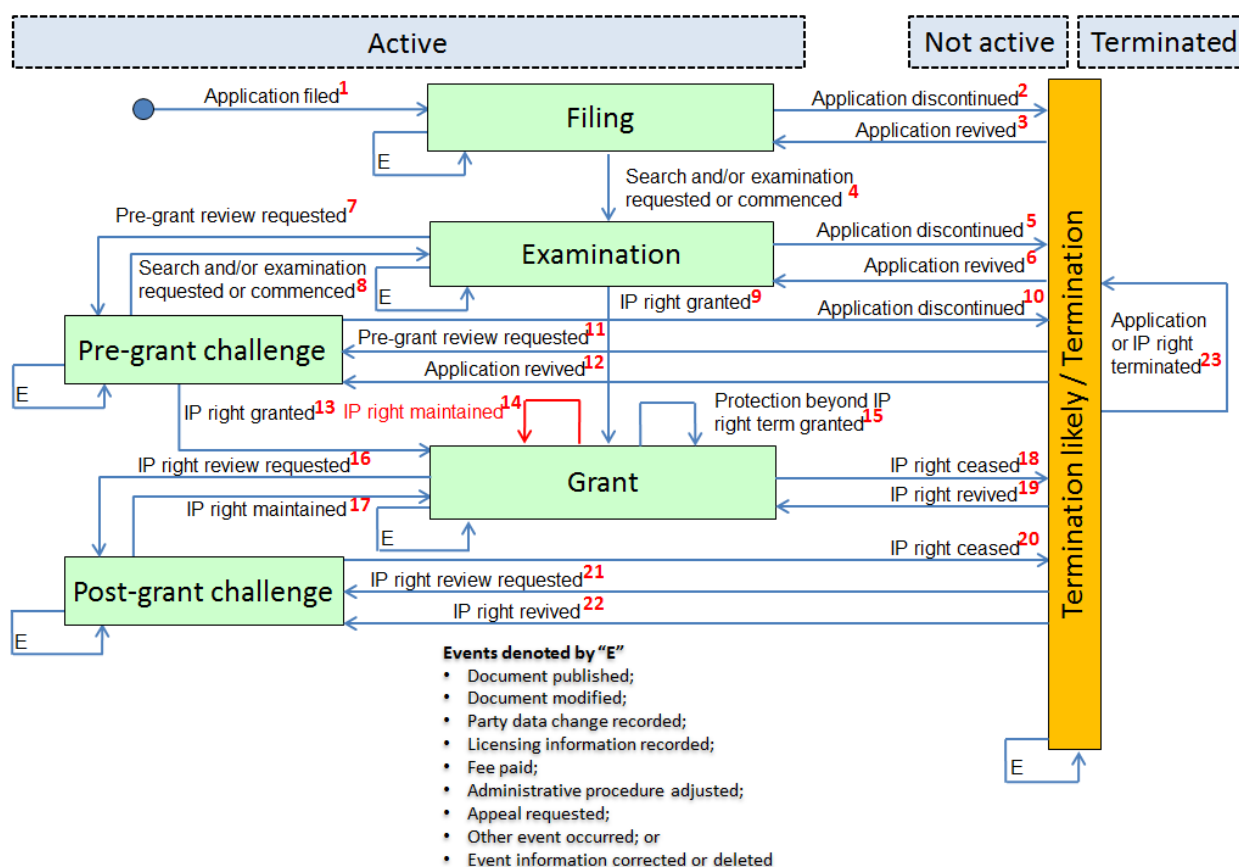
U	Payment	This category is a group of events related to the payment of fees. It includes, for example, payment of a renewal, maintenance or other designation fee. The events in this category may occur during any stage.	<ol style="list-style-type: none"> <li>1. Effective Country or Region</li> <li>2. Gazette Issue Number</li> <li>3. Comment (i.e. free text)</li> <li>4. Fee Category (e.g. registration fee, maintenance fee, renewal fee, designation fee)</li> <li>5. 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)</li> <li>6. Next Fee Due Date (i.e. date at which the next fee becomes due)</li> <li>7. Year of Fee Payment</li> </ol>
V	Appeal	This category is a group of events related to an appeal of a decision made during the prosecution of an IP right. It includes, for example, a request by the applicant, IP right owner, or third party for an administrative or court appeal of any decision made during the prosecution of an IP right and the procedural outcome of such an appeal. The substantive outcome of the appeal may be mapped to an event in another category, for example, application discontinued, application revived, IP right granted, IP right ceased, or IP right maintained. The events in this category may occur during any stage.	<ol style="list-style-type: none"> <li>1. Effective Country or Region</li> <li>2. Gazette Issue Number</li> <li>3. Comment (i.e. free text)</li> <li>4. Appellate body</li> <li>5. Decision Being Appealed</li> <li>6. Appellate Decision Details</li> <li>7. Decision Citation</li> </ol>
W	Other	This category covers events which cannot be categorized under any other Category. It is recommended to use this category as a last resort for unusual cases, where a liberal interpretation of the description of all other Categories would fail to adequately describe the national/regional event (e.g. legacy events or interim/internal events).	<ol style="list-style-type: none"> <li>1. Effective Country or Region</li> <li>2. Gazette Issue Number</li> <li>3. Comment (i.e. free text)</li> <li>4. National/regional Event Description</li> </ol>
Y	Correction and deletion of event information	This category is a group of events related to the correction or deletion of event information that the IPO previously provided. It includes, for example, correction in the legal status event code of an application or IP right provided under this Standard or the correction or deletion of an event that was announced erroneously in a gazette, IP register or other published documentation. The events in this category may occur during any stage.	<ol style="list-style-type: none"> <li>1. Effective Country or Region</li> <li>2. Gazette Issue Number</li> <li>3. Comment (i.e. free text)</li> <li>4. Status Event Identification (Status Event Code and Date; or Unique Identifier)</li> <li>5. Previously Published Erroneous Content</li> <li>6. New Corrected Content</li> </ol>

## ANNEX III

### OVERALL PATENT/SPC PROSECUTION MODEL WITH EXAMPLES

1. This Annex provides examples of the types of national/regional events which can be mapped to the key events as they are used in the Overall Patent/SPC Prosecution Model. The examples are not exhaustive and are only meant to be illustrative. The key events are numbered in the Overall Patent/SPC Prosecution Model and examples of the national/regional events that correspond to these key events are provided below. The purpose of this Annex is to provide guidance on how multiple distinct national/regional practices can be subsumed in a single key event. For example, the key event 'B10. Application discontinued', occurs three times in the Overall Patent/SPC Prosecution Model (numbers 2, 5, and 10). While the description of this key event covers all three scenarios, the examples below illustrate how three separate national/regional events can be mapped to the same key event. The examples below also illustrate why key event information by itself, without state and stage information, is insufficient to provide the full picture of the legal status of the application or IP right.

2. The Overall Patent/SPC Prosecution Model is only meant to be illustrative and will not describe every situation for patents (including patents for inventions, patents of addition, plant patents, utility models, etc.); there will always be exceptions to the general model. Nor is it possible for one prosecution model to describe the prosecution processes in all IPOs; however, this model describes the general prosecution of applications, patents and SPCs used by many IPOs worldwide.



- Application filed
  - An international (PCT) application was filed
  - An international application (PCT) entered into the national or regional phase
  - A national or regional application was filed with an IPO
  - A divisional application was filed
  - A conversion application was filed
- Application discontinued (Filing stage → Termination likely/termination stage)
  - An application was withdrawn by the applicant before examination had commenced
  - An application was deemed to be withdrawn, abandoned or lapsed because the applicant did not pay a necessary fee or did not request a substantive examination
- Application revived (Termination likely/termination stage → Filing stage)




- An application which was discontinued due to a non-payment of a filing fee was revived by the IPO following a request by the applicant and the payment of the necessary fee
- 4. Search and/or examination requested or commenced (Filing stage → Examination stage)
  - A formality examination is initiated by the IPO
  - A prior art search was requested by the applicant
  - A prior art search was initiated independently by the IPO
  - A substantive examination is requested by the applicant
  - A substantive examination is initiated independently by the IPO
- 5. Application discontinued (Examination stage → Termination likely/termination stage)
  - An application was discontinued because an examination could not proceed due to no response by the applicant to an office action within the required time period
  - Following a substantive or formal examination, the application was refused because of non-compliance with laws or regulations or failure to meet certain requirements imposed by the prosecuting IPO
- 6. Application revived (Termination likely/termination stage → Examination stage)
  - An application which was discontinued due to failure to respond to an office action has re-entered into the examination stage after payment of a fee was made and a response was provided
- 7. Pre-grant review requested (Examination stage → Pre-grant challenge stage)
  - Pre-grant opposition was filed by a third party
  - Pre-grant re-examination was requested
- 8. Search and/or examination requested or commenced (Pre-grant challenge stage → Examination stage)
  - Following a request for a pre-grant review, the application was sent back for re-examination
- 9. IP right granted (Examination stage → Grant stage)
  - Following a substantive examination an IP right was granted
  - Following a formality examination an IP right was granted
- 10. Application discontinued (Pre-grant challenge stage → Termination likely /termination stage)
  - A pre-grant opposition was successful and the application was discontinued
- 11. Pre-grant review requested (Termination likely/termination stage → Pre-grant challenge stage)
  - Following the discontinuation of an application due to an IPO ruling that the application was overbroad, the applicant requested a pre-grant limitation
- 12. Application revived (Termination likely/termination stage → Pre-grant challenge stage)
  - Failure to pay an annuity fee during the pre-grant challenge stage was rectified and the application was revived
- 13. IP right granted (Pre-grant challenge stage → Grant stage)
  - A pre-grant opposition was found to be inadmissible, was rejected or withdrawn and the IP right was granted
- 14. IP right maintained (Grant stage → Grant stage)
  - An IP right was maintained after a renewal fee was paid
- 15. Protection beyond IP right term granted (Grant stage → Grant stage)
  - PTA granted
  - PTE granted
  - Extension of SPC granted
- 16. IP right review requested (Grant stage → Post-grant challenge stage)
  - Post-grant opposition was filed by a third party against a granted IP right
  - A re-examination of a granted IP right was requested
  - Surrender of an IP right was requested
  - Limitation or reissue of an IP right was requested
  - Administrative revocation, cancellation, nullity, annulment, or invalidation of an IP right was requested
- 17. IP right maintained (Post grant challenge stage → Grant stage)
  - An IP right was maintained in full or amended form following a post-grant opposition, or a request for an opposition was withdrawn, rejected or inadmissible
  - An IP right was maintained in full or amended form following a re-examination, or a request for a re-examination was withdrawn, rejected or inadmissible
  - A request to surrender an IP right was refused
  - An IP right was limited or reissued
  - A request for a limitation or reissue of an IP right was withdrawn, rejected or inadmissible

18. IP right ceased (Grant stage → Termination likely/termination stage)
  - An IP right lapsed through neglect to maintain it, for example, an IP right owner did not pay the necessary maintenance fees
  - An IP right expired
19. IP right revived (Termination likely/termination stage → Grant stage)
  - An IP right or part of an IP right was revived following payment of an outstanding maintenance fee or renewal fee
20. IP right ceased (Post-grant challenge stage → Termination likely/termination stage)
  - A request to surrender an IP right was accepted and the IP right was surrendered
  - An IP right was revoked following an administrative revocation, cancellation, nullity, annulment, or invalidation proceeding
  - An IP right was ceased following a post-grant opposition
21. IP right review requested (Termination likely/termination stage → Post-grant challenge stage)
  - Following an IP right ceasing, a limitation or reissue was requested by the IP right owner
22. IP right revived (Termination likely/termination stage → Post-grant challenge stage)
  - Failure to pay a maintenance fee during the post-grant challenge stage was rectified and the IP right was revived
23. Application or IP right terminated (Termination likely/termination stage → Termination likely/termination stage)
  - The IPO has determined that the IP right has ceased with no possibility of reinstatement (e.g. an expiry with no possibility of a term extension or renewal)
  - A court has determined that the IP right has ceased with no possibility of reinstatement (e.g. the highest court in the country has determined that a patent is invalid and the decision cannot be appealed)

[Annex IV follows]

**ANNEX IV****MODEL TEMPLATE FOR MAPPING TABLE  
BETWEEN NATIONAL/REGIONAL EVENTS AND STANDARD EVENTS**

When implementing this Standard, an announcement should be made and the International Bureau of WIPO should be informed by providing a mapping table of national/regional events to the Standard events on the basis of the suggested model template below. Note that it may be possible for an IPO to map multiple national/regional events to a single key or detailed event.

Standard Event		[ST.3 Office code]			
Code	Title (Description)	National  or regional event title(s) in original language (Description(s) in original language)	National  or regional event title(s) in English (Description(s) in English)	National  or regional event code(s) (if applicable)	<b>Remark</b>
A10	Application filed (An application for an IP right was filed. This includes, but is not limited...)				
A11					
A12					
.					
.					
.					
.					
Y10					

[End of Annex IV and of Standard]

[Приложение II следует]



## Proposed ST.27 - ANNEX V

### GUIDELINE DOCUMENT

*Draft proposal presented for consideration at the CWS/6*

### TABLE OF CONTENTS

ANNEX V .....	1
TABLE OF CONTENTS .....	1
INTRODUCTION.....	2
STRUCTURE OF EXAMPLES .....	2
EXAMPLES.....	3
Category A: Application filing.....	3
Category B: Application discontinuation .....	6
Category C: Application revival .....	9
Category D: Search and examination.....	10
Category E: Pre-grant review requested.....	12
Category F: IP right grant .....	15
Category G: Protection beyond IP right term.....	17
Category H: IP Right Cessation.....	22
Category K: IP right revival.....	27
Category L: IP right review requested .....	29
Category M: IP right maintenance .....	32
Category N: Termination .....	34
Category P: Document modification .....	36
Category Q: Document publication.....	38
Category R: Party data change .....	42
Category S: Licensing information.....	45
Category T: Administrative procedure adjustment .....	50
Category U: Payment .....	52
Category V: Appeal .....	53
Category W: Other .....	61
Category Y: Correction and deletion of event information.....	63

## INTRODUCTION

1. WIPO Standard ST.27 is aimed to provide a standardized model which describes national, regional or international legal status events of a patent or supplementary protection certificate (SPC) in a global manner that is understandable to a user who lacks an in-depth understanding of the specific laws and/or prosecution practices of the prosecuting intellectual property office (IPO). The events of Standard ST.27 consist of Categories, Key events and Detailed events.
2. It is recommended that IPOs map their national/regional events to the events defined in Standard ST.27, so that a user can understand the legal status of an application or IP right without in-depth knowledge of the specific national or regional prosecution practices. IPOs should attempt to map their national/regional event to a Detailed event(s) and/or a Key event(s). If it is not possible for an IPO to map their national/regional event to either a Key event or a Detailed event, the IPO should map it to a Category.
3. The IPO should map their national or regional events to the standardized events and/or categories on the basis of their titles and descriptions, the examples provided in this Standard, the Overall Patent/SPC Prosecution Model, and the scenarios included in this Guidance Document. The list of events provided in the descriptions of the categories and key events are examples only and do not limit the scope of the category or key event.
4. This Guidance Document is intended to help IPOs on how to map their national/regional events to the Key events, Detailed events, and Categories defined in Standard ST.27. It provides examples of possible event histories that can be used to describe a particular scenario. The Guidance Document includes event histories for actual patents or SPCs as well as for theoretical situations, which can be specific to an IPO or unspecific, in which case no national/regional events or dates will be included.

## STRUCTURE OF EXAMPLES

5. This Guidance Document provides examples according to the 21 Categories defined in Standard ST.27 on the basis of the practices reported by IPOs. Each example under the Categories is composed of the title of the example, the scenario, the ST.3 two-letter code of the IPO event history being described, the IPO's name, basic information, illustration of the events in the Overall Patent/SPC Prosecution Model, national event history, Key event history, Detailed event history, Category history and Mapping summary.
6. It should be noted that the examples are for event histories that describe various real and theoretical situations that may occur during the prosecution of an IP right. The situations, for which the event histories are provided may be generic and not specific to the national/regional practices of any individual IPO or they may be specific to the practices of a few individual IPOs or a single IPO.
7. The event history provided for a scenario is an example only and does not represent the only possible event history that may describe that scenario. The event history used to describe a scenario may vary based on national and regional practices; however, the example event history provides one possible set of events that can be used to describe the scenario.
8. The event history provided for each example may be partial event history only and may not necessarily include all events that could have occurred. The event history focuses on the events most important to the scenario described and are listed in chronological order. Note that while the event history is listed in chronological order in the Guidance Document for ease of understanding, the Standard requires legal status information to be exchanged with event histories in reverse chronological order. Status event codes are presented alongside the event history.
9. The examples in this document are based on the data that IPOs provided. When no date information was provided for an event, a theoretical date is used for guidance in this document.

## EXAMPLES

### Category A: Application filing

#### Example 1: PCT application enters national phase and is then divided

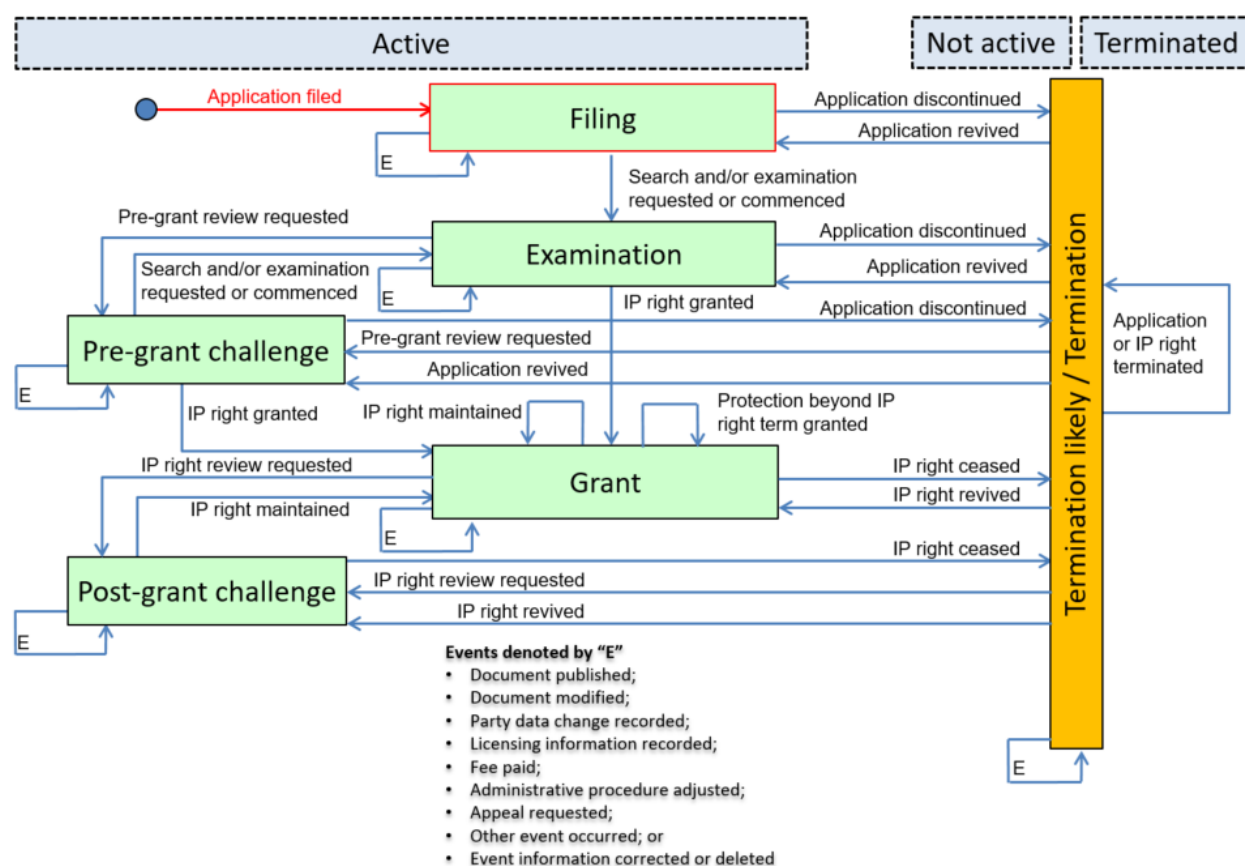
Scenario: A PCT application was filed and then entered into the national phase. The applicant then made a request to divide the national application. The request was accepted by the IPO.

#### CA Example

##### Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

##### Overall Patent/SPC Prosecution Model:



##### National Event History:

- 2008-04-02: X000<sup>1</sup>: International filing into Interap system
- 2009-01-02: X000: PCT national entry applications
- 2009-08-20: X000: Divisional request filed
- 2009-12-23: X000: Divisional request granted

<sup>1</sup> According to WIPO Standard ST.27, the code "X000" is given to the national events to which the IPO has not assigned any national or regional event code.

Key Event History:

- 2008-04-02: A10: Application filed
- 2009-01-02: A10: Application filed
- 2009-08-20: A10: Application filed

Detailed Event History:

- 2008-04-02: A13: PCT application filed
- 2009-01-02: A15: PCT application entered into the national or regional phase
- 2009-08-20: A16: Divisional, continuation or continuation in part application filed
- 2009-12-23: A18: Application divided or continuation or continuation in part accepted

Category History:

- 2008-04-02: A: Application filed
- 2009-01-02: A: Application filed
- 2009-08-20: A: Application filed
- 2009-12-23: A: Application filed

Mapping Summary:

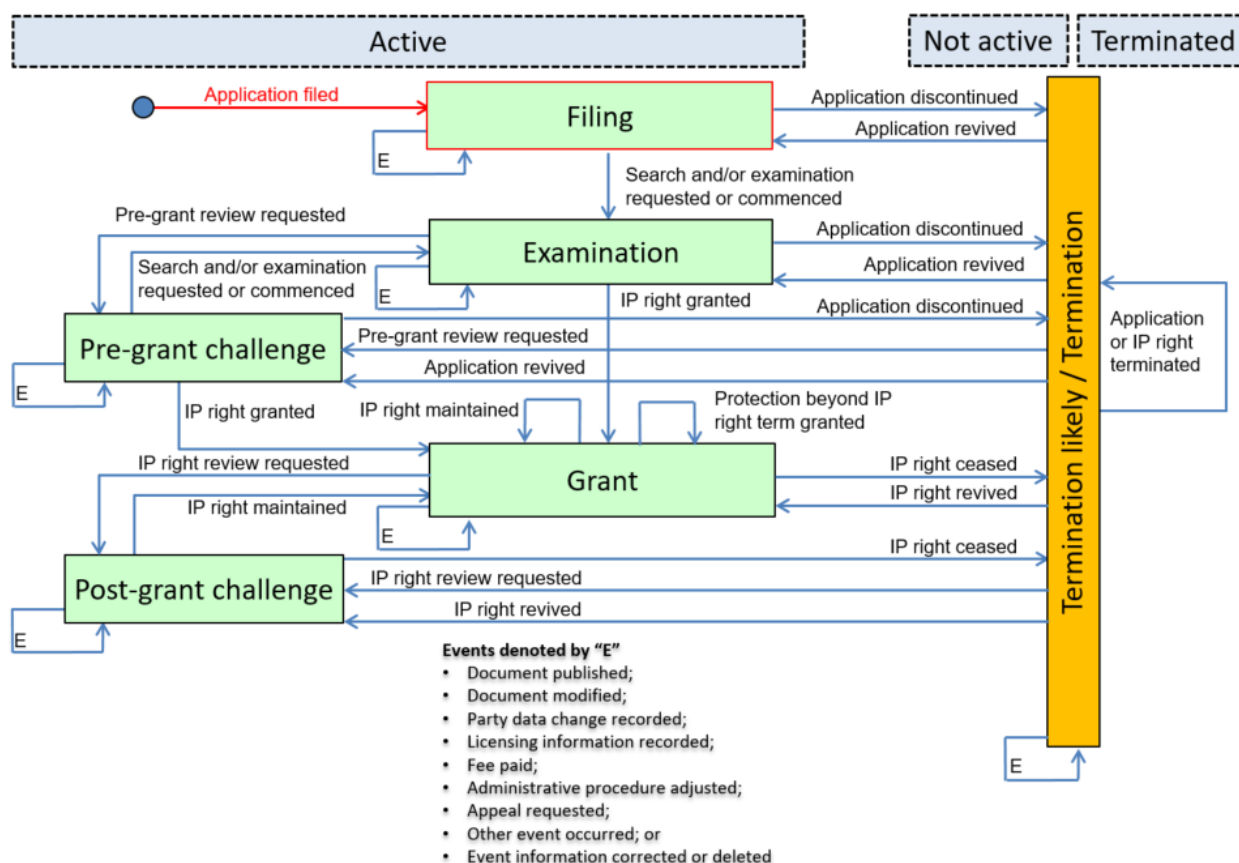
Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2008-04-02	X000	International filing into Interap system	A	A10	A13	A-0-1-A10-A13-X000	
2009-01-02	X000	PCT national entry applications	A	A10	A15	A-1-1-A10-A15-X000	
2009-08-20	X000	Divisional request filed	A	A10	A16	A-1-1-A10-A16-X000	
2009-12-23	X000	Divisional request granted	A	-	A18	A-1-1-A00-A18-X000	

**JP Example**

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 2006-02-03: X000: PCT application filed
- 2006-07-15: X000: PCT application entered into the national phase
- 2006-11-29: X000: Divisional application filed
- 2007-01-29: X000: Application divided

Key Event History:

- 2006-02-03: A10: Application filed
- 2006-07-15: A10: Application filed
- 2006-11-29: A10: Application filed

Detailed Event History:

- 2006-02-03: A13: PCT application filed
- 2006-07-15: A15: PCT application entered into the national or regional phase
- 2006-11-29: A16: Divisional, continuation or continuation in part application filed
- 2007-01-29: A18: Application divided or continuation or continuation in part accepted

Category History:

- 2006-02-03: A: Application filed
- 2006-07-15: A: Application filed
- 2006-11-29: A: Application filed
- 2007-01-29: A: Application filed

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2006-02-03	X000	PCT application filed	A	A10	A13	A-0-1-A10-A13-X000	
2006-07-15	X000	PCT application entered into the national phase	A	A10	A15	A-1-1-A10-A15-X000	
2006-11-29	X000	Divisional application filed	A	A10	A16	A-1-1-A10-A16-X000	
2007-01-29	X000	Application divided	A	-	A18	A-1-1-A00-A18-X000	

Category B: Application discontinuation

*Example 1: Application discontinued after substantive examination*

Scenario: Examination was requested at the point of filing. The application was rejected after substantial examination and the application was discontinued.

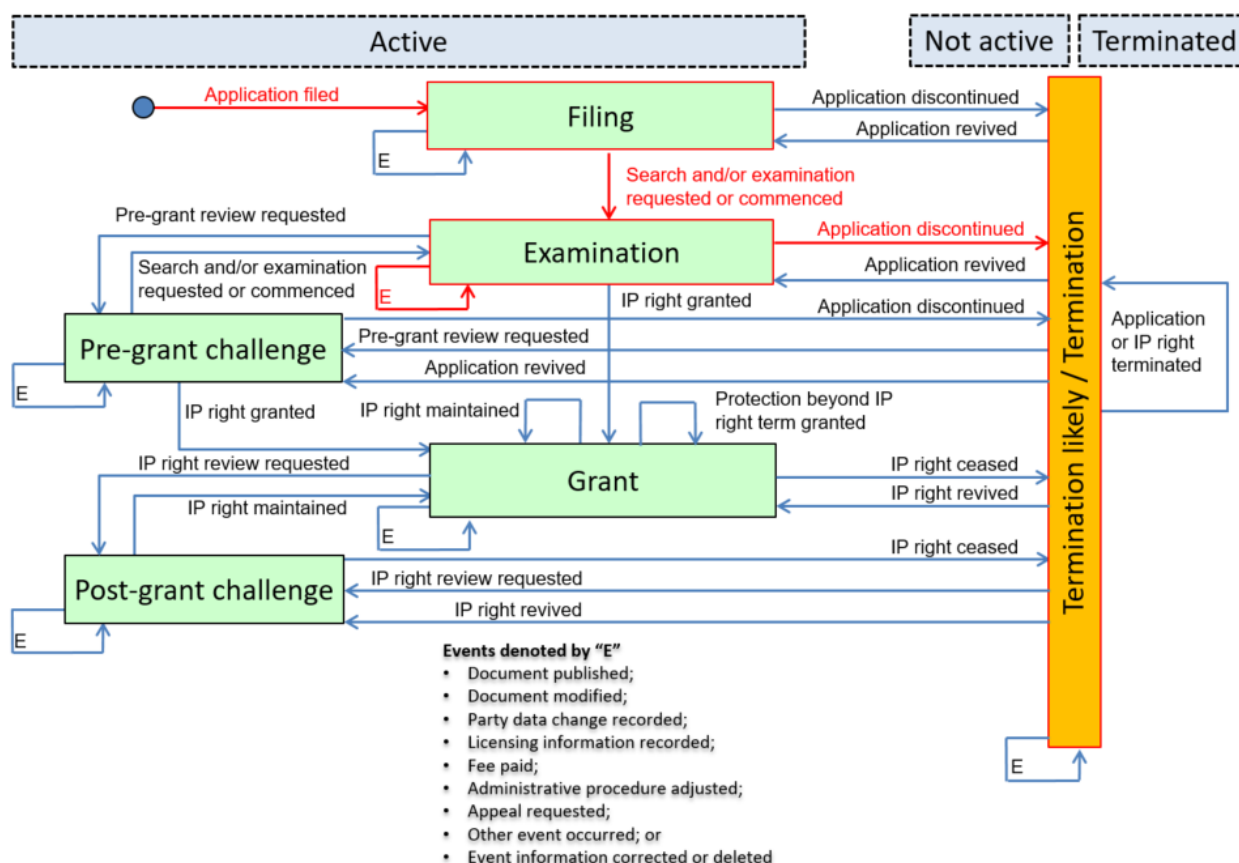
**DE Example**

Basic Information:

- File Creation date: 2017-07-14
- Application number: 10 2012 001 472.4
- Type of IP right: National patent

Link to national Patent register: <https://register.dpma.de/DPMAreister/pat/register?AKZ=1020152029573>

# Overall Patent/SPC Prosecution Model:



## National Event History:

- 2015-02-18: R000: The application is under preliminary examination
- 2015-02-18: R012: Request for examination effectively filed
- 2015-02-18: R004: Pre-registration procedure has been concluded
- 2015-07-28: R015: Official communication on examination
- 2015-11-25: R016: Reply to official communication
- 2016-01-07: R200: Publication of application (Offenlegungsschrift)
- 2016-01-07: R230: Request for early publication of application (Offenlegung)
- 2016-01-12: R002: Decision to reject in examination/protection certificate/registration procedure
- 2016-02-16: R003: Decision to reject has become final

## Key Event History:

- 2015-02-18: A10: Application filing
- 2015-02-18: D10: Search and/or examination requested or commenced
- 2016-01-07: Q10: Document published
- 2016-02-06: B10: Application discontinued

## Detailed Event History:

- 2015-02-18: D11: Substantive examination requested
- 2015-07-28: D15: Examination report issued
- 2016-01-07: Q12: Application published
- 2016-02-16: B15: Application refused following examination

## Category History:

- 2015-02-18: A: Application filing
- 2015-02-18: D: Search and examination
- 2015-03-27: A: Application filing
- 2015-07-28: D: Search and examination
- 2015-11-25: P: Document modification
- 2016-01-07: Q: Document publication
- 2016-01-07: Q: Document publication
- 2016-01-12: B: Application discontinuation
- 2016-02-16: B: Application discontinuation

## Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2015-02-18	R000	The application is under preliminary examination	A	A10	-	A-1-2-A10-A00-R000	
2015-02-18	R012	Request for examination effectively filed	D	D10	D11	A-2-2-D10-D11-R012	
2015-03-27	R004	Pre-registration procedure has been concluded	A	-	-	A-0-0-A00-A00-R004	
2015-07-28	R015	Official communication on examination	D	-	D15	A-2-2-D00-D15-R015	"Issue" is limited to communication between the IPO and the applicant/owner as opposed to the public.
2015-11-25	R016	Reply to official communication	P	-	-	A-2-2-P00-P00-R016	
2016-01-07	R200	Publication of application (Offenlegungsschrift)	Q	Q10	Q12	A-2-2-Q10-Q12-R200	
2016-01-07	R230	Request for early publication of application (Offenlegung)	Q	-	-	A-2-2-Q00-Q00-R230	
2016-01-12	R002	Decision to reject in examination/protection certificate/registration procedure	B	-	-	A-2-2-B00-B00-R002	
2016-02-16	R003	Decision to reject has become final	B	B10	B15	N-2-6-B10-B15-R003	



### Category C: Application revival

#### Example 1: Application revived after lapse

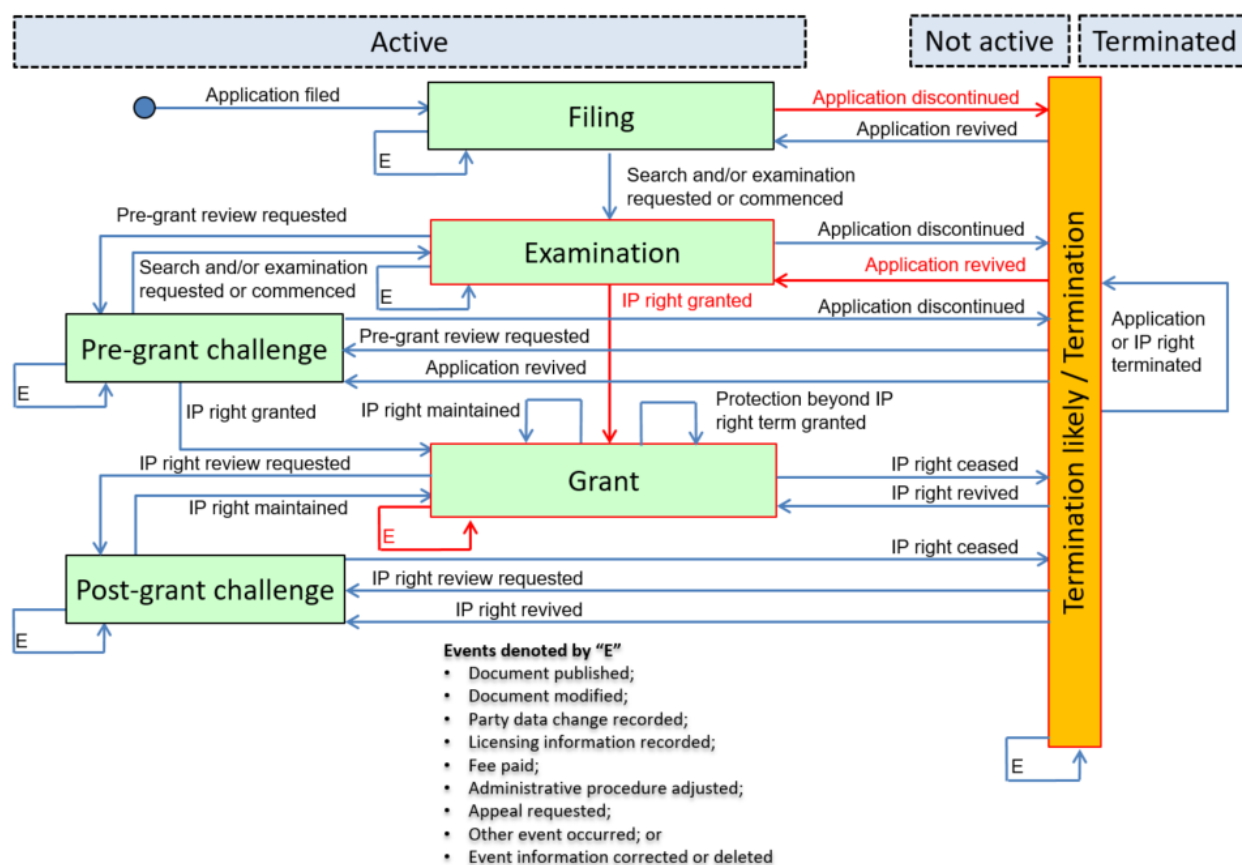
Scenario: An application is withdrawn. The lapsed application is then revived. Following a formality examination, the IP right is granted and the IP right document is published.

#### EA Example

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 1998-03-24: FA9A: Withdrawal of a Eurasian application
- 1998-06-13: NF9A: Restoration of lapsed application to a Eurasian patent application
- 1999-01-14: FG4A: Eurasian patent for invention (B1 publication)

Key Event History:

- 1998-03-24: B10: Application discontinued
- 1998-06-13: C10: Application revived
- 1999-01-14: F10: IP right granted
- 1999-01-14: Q10: Document published

Detailed Event History:

- 1998-06-13: C13: Application revived following an application revival request
- 1999-01-14: F12: IP right granted following formality examination
- 1999-01-14: Q13: IP right document published

Category History:

- 1998-03-24: B: Application discontinuation
- 1998-06-13: C: Application revival
- 1999-01-14: F: IP right grant
- 1999-01-14: Q: Document publication

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
1998-03-24	FA9A	Withdrawal of a Eurasian application	B	B10	-	N-1-6-B10-B00-FA9A	
1998-06-13	NF9A	Restoration of lapsed application to a Eurasian patent application	C	C10	C13	A-6-2-C10-C13-NF9A	
1999-01-14	FG4A	Eurasian patent for invention (B1 publication)	F	F10	F12	A-2-4-F10-F12-FG4A	
1999-01-14	FG4A	Eurasian patent for invention (B1 publication)	Q	Q10	Q13	A-4-4-Q10-Q13-FG4A	The regional event, FG4A simultaneously maps to two key/detailed events.

Category D: Search and examination

*Example 1: Fast track examination requested and granted*

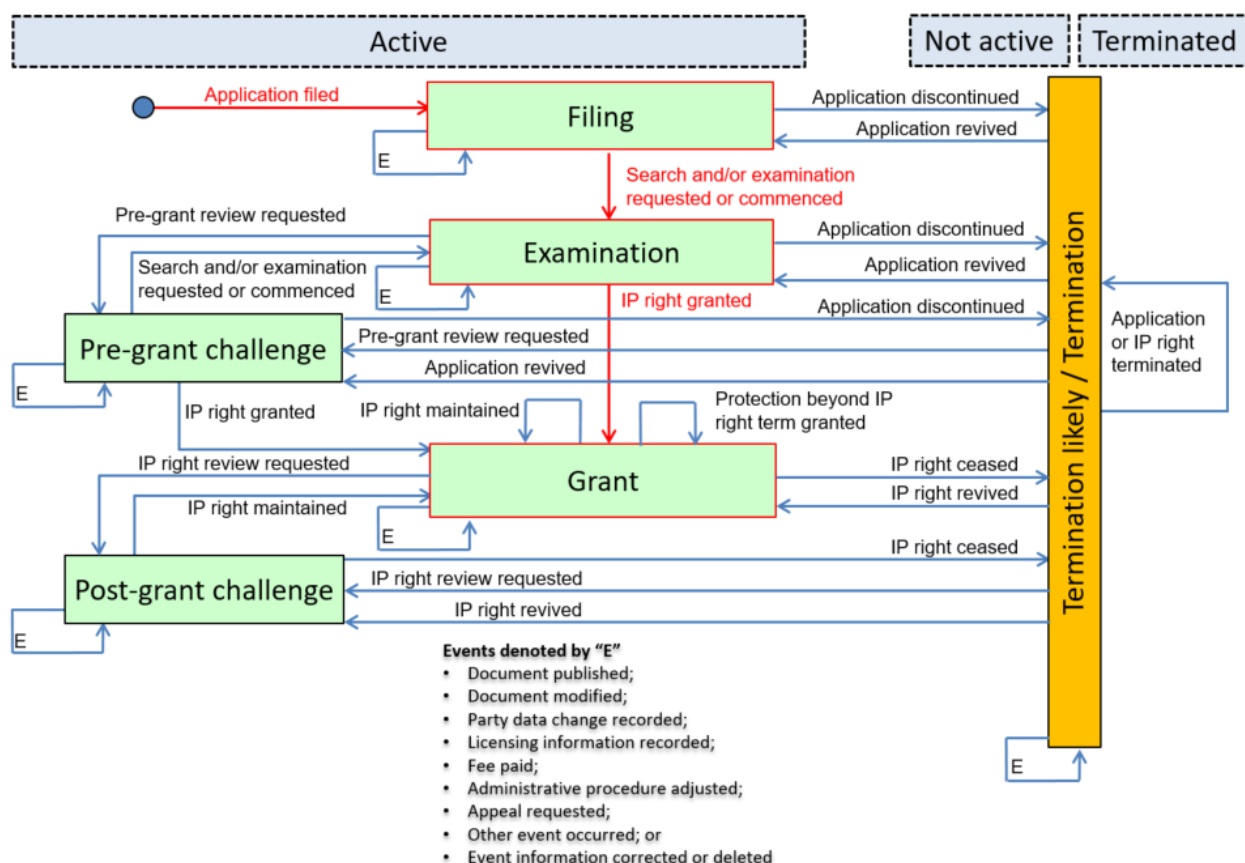
Scenario: An application for a national patent was filed. The applicant requested an accelerated examination which was granted. The IP right was granted after a substantive examination.

**US Example**

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 2011-02-27: APC Application Filing Date: Filing Date- Date Application Filed
- 2011-03-29: DOCK: Application docketed to an examiner for examination
- 2011-06-20: 289: All petitions and requests to make special are entered; Track 1 and Rocket Docket requests entered
- 2011-12-03: 289: All petitions and requests to make special are entered; Track 1 and Rocket Docket requests granted
- 2012-02-05: Patent Issue Date: Patent Issue Date

Key Event History:

- 2011-02-27: A10: Application filed
- 2011-03-29: D10: Search and/or examination requested or commenced
- 2011-06-20: D10: Search and/or examination requested or commenced
- 2012-02-05: F10: IP right granted

Detailed Event History:

- 2011-06-20: D16: Fast track examination requested
- 2011-12-03: D17: Fast track examination accepted

Category History:

- 2011-02-27: A: Application filed
- 2011-03-29: D: Search and examination
- 2011-06-20: D: Search and examination
- 2011-12-03: D: Search and examination
- 2012-02-05: F: IP right grant

## Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2011-02-27	APC	Filing Date- Date Application Filed	A	A10	-	A-0-1-A10-A00- APC Application Filing Date	Application Filing Date
2011-03-29	DOCK	Application docketed to an examiner for examination	D	D10	-	A-1-2-D10-D00-DOCK	
2011-06-20	289	All petitions and requests to make special are entered; Track 1 and Rocket Docket requests entered	D	D10	D16	A-2-2-D10-D16-289	
2011-12-03	289	All petitions and requests to make special are entered; Track 1 and Rocket Docket requests granted	D	-	D17	A-2-2-D00-D17-289	
2012-02-05	Patent Issue Date	Patent Issue Date	F	F10	-	A-2-4-F10-F00- Patent Issue Date	

Category E: Pre-grant review requested*Example 1: Pre-grant review and granted in part*

Scenario: Immediately with filing, the examination was requested and the patent was intended to be granted. After publication of the patent an opposition was filed and the patent was maintained in amended form. The patent is still in force.

Remark: This scenario describes a sequence of events with a patent scope adjustment before granting. It is a basic scenario, which should happen at least several times a year in each IP office. The pre-grant review might be an opposition or any other proceedings used to adjust the scope of a patent before grant.

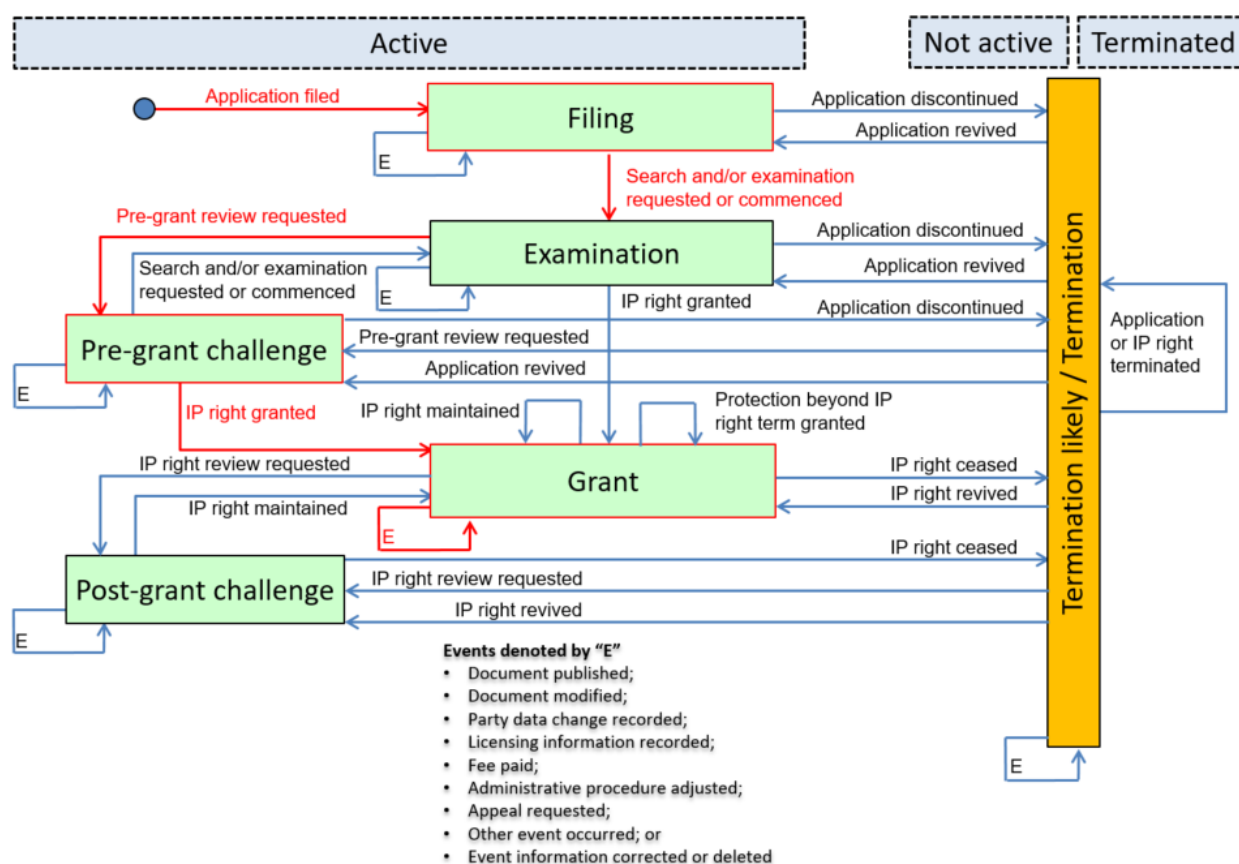
**DE Example**

## Basic Information:

- File Creation date: 2017-07-14
- Application number: 10 2011 051 254.3
- Type of IP right: National patent

Link to national Patent register: <https://register.dpma.de/DPMAregister/pat/register?AKZ=1020110512543>

Overall Patent/SPC Prosecution Model:



National Event History:

- 2011-06-22: R000: The application is under preliminary examination
- 2011-06-22: R012: Request for examination effectively filed
- 2011-08-03: R004: Pre-registration procedure has been concluded
- 2012-02-24: R015: Official communication on examination
- 2012-06-21: R016: Reply to official communication
- 2012-10-10: R018: Decision to grant patent by Examining Section/Patent Division
- 2012-12-27: R200: Publication of application (Offenlegungsschrift)
- 2013-02-21: R110: Patent specification
- 2013-05-16: R026: Opposition to patent filed
- 2016-03-25: R032: Patent maintained with limitations by decision of Patent Division
- 2016-03-25: R034: Decision to maintain patent with limitations by Patent Division / Federal Patent Court has become final
- 2016-06-16: R206: Amended patent specification

Key Event History:

- 2011-06-22: A10: Application filing
- 2011-06-22: D10: Search and/or examination requested or commenced
- 2012-12-27: Q10: Document published
- 2013-05-16: E10: Pre-grant review requested
- 2016-03-25: F10: IP right granted
- 2016-06-16: P10: Document modified

## Detailed Event History:

- 2011-06-22: D11: Substantive examination requested
- 2012-02-24: D15: Examination report issued
- 2012-10-10: D22: Grant of IP right intended
- 2012-12-27: Q12: Application published
- 2013-02-21: Q13: IP right document published
- 2013-05-16: E11: Pre-grant opposition filed
- 2016-03-25: F14: IP right granted in amended form following pre-grant review
- 2016-06-16: P16: IP right document amended

## Category History:

- 2011-06-22: A: Application filing
- 2011-06-22: D: Search and examination
- 2011-08-03: A: Application filing
- 2012-02-24: D: Search and examination
- 2012-06-21: P: Document modification
- 2012-10-10: D: Search and examination
- 2012-12-27: Q: Document publication
- 2013-02-21: W: Other
- 2013-05-16: E: Pre-grant review request
- 2016-03-25: E: Pre-grant review request
- 2016-03-25: F: IP right grant
- 2016-06-16: P: Document modification

## Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status event code	Remark
2011-06-22	R000	The application is under preliminary examination	A	A10	-	A-1-2-A10-A00-R000	
2011-06-22	R012	Request for examination effectively filed	D	D10	D11	A-2-2-D10-D11-R012	
2011-08-03	R004	Pre-registration procedure has been concluded	A	-	-	A-0-0-A00-A00-R004	
2012-02-04	R015	Official communication on examination	D	-	D15	A-2-2-D00-D15-R015	"Issue" is limited to communication between the IPO and the applicant/owner as opposed to the public.
2012-06-21	R016	Reply to official communication	P			A-2-2-P00-P00-R016	
2012-10-10	R018	Decision to grant patent by Examining Section/Patent Division	D	-	D22	A-2-2-D00-D22-R018	
2012-12-27	R200	Publication of application (Offenlegungsschrift)	Q	Q10	Q12	A-2-2-Q10-Q12-	

						R200	
2013-02-21	R110	Patent specification	W	-	-	A-2-2- W00- W00- R110	
2013-05-16	R026	Opposition to patent filed	E	E10	E11	A-2-3- E10- E11- R026	
2016-03-25	R032	Patent maintained with limitations by decision of Patent Division	E	-	-	A-3-3- E00- E00- R032	
2016-03-25	R034	Decision to maintain patent with limitations by Patent Division / Federal Patent Court has become final	F	F10	F14	A-3-4- F10- F14- R034	
2016-06-16	R206	Amended patent specification	P	P10	P16	A-4-4- P10- P16- R206	

Category F: IP right grant

*Example 1: IP right granted for utility model*

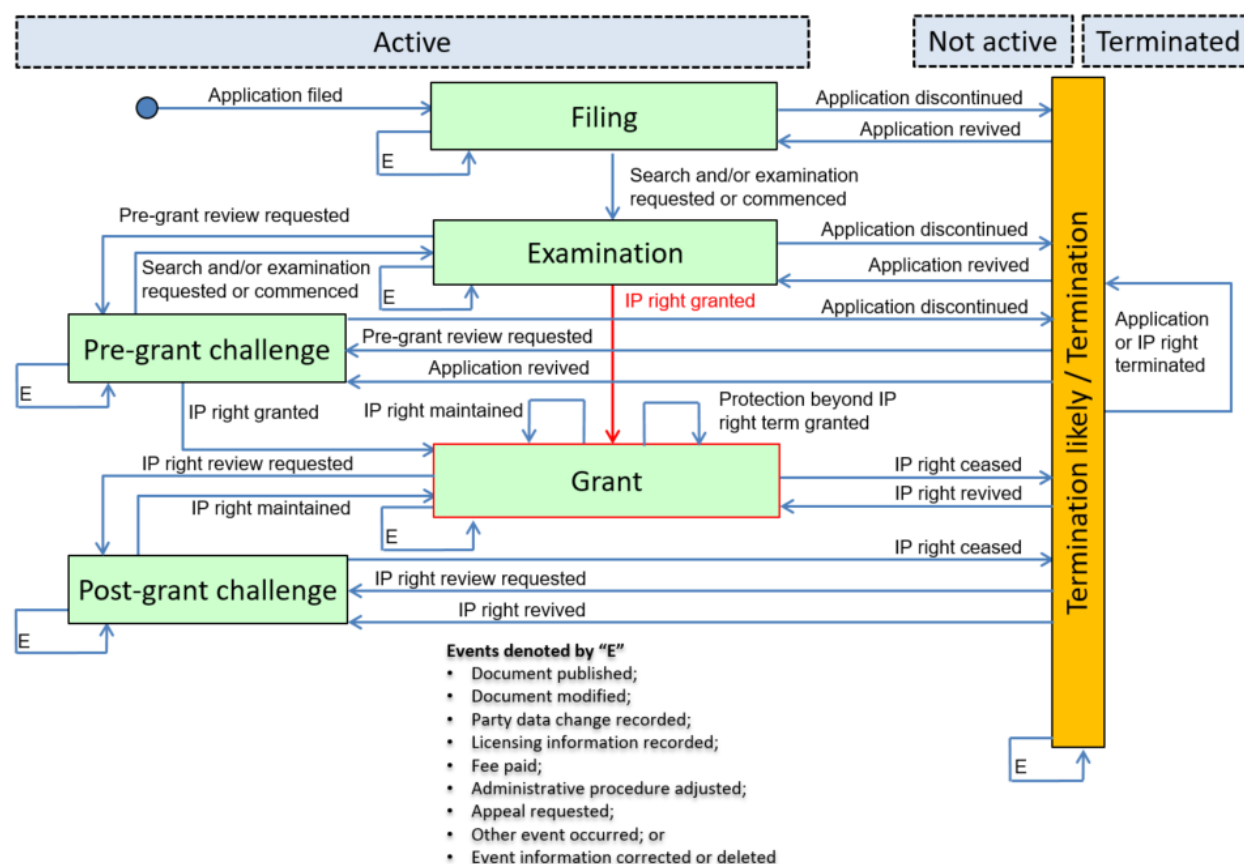
Scenario: An IP right granted for a utility model.

**UA Example**

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: Utility model

# Overall Patent/SPC Prosecution Model:



## National Event History:

- 2014-06-23: X000: Grant of a patent for a utility model

## Key Event History:

- 2014-06-23: F10: IP right granted

## Detailed Event History:

- 2014-06-23: F12: IP right granted following formality examination

## Category History:

- 2014-06-23: F: IP right grant



## Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2014-06-23	X000	Grant of a patent for a utility model	F	F10	F12	A-0-4-F10-F12-X000	UA does not report events before the grant of an IP right.

Category G: Protection beyond IP right term*Example 1: Patent Term Adjustment granted after grant of patent*

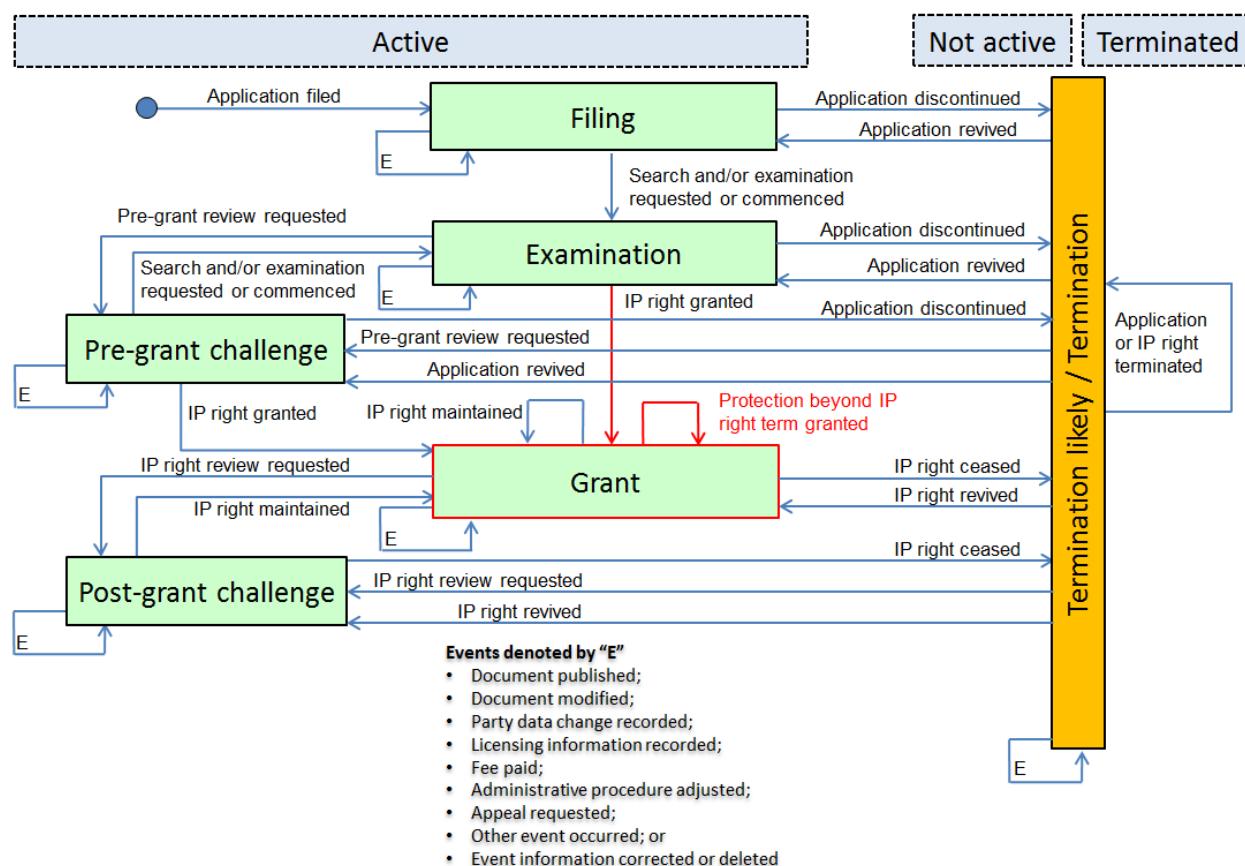
Scenario: Due to a delay in the prosecution of the patent application caused by the IPO an adjustment to the patent term is granted to extend the patent term beyond the initial 20 years. The adjustment is granted after the patent was granted.

**US Example**

## Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

## Overall Patent/SPC Prosecution Model:



## National Event History:

- 2016-04-28: Patent Issue Date: Patent Issue Date
- 2016-08-21: Petition 551 filed: Patent Term Adjustment petition entered
- 2017-01-14: Petition 551 granted: Patent Term Adjustment petition granted

Key Event History:

- 2016-04-28: F10: IP right granted
- 2017-01-14: G10: Protection beyond IP right term granted

Detailed Event History:

- 2016-08-21: G15: PTA requested
- 2017-01-14: G17: PTA granted

Category History:

- 2016-04-28: F: IP right grant
- 2016-08-21: G: Protection beyond IP right term
- 2017-01-14: G: Protection beyond IP right term

Mapping Summary:

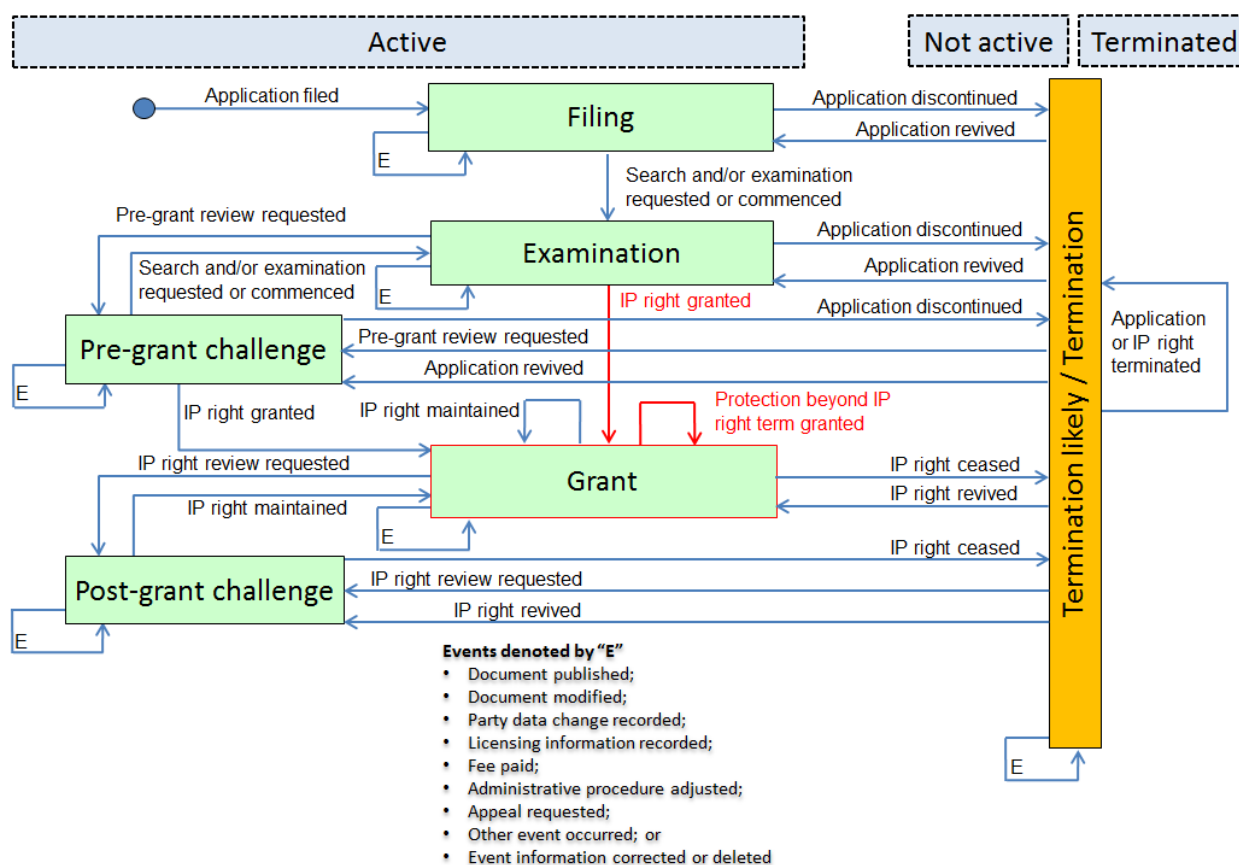
Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2016-04-28	Patent Issue Date	Patent Issue Date	F	F10	-	A-0-4-F10-F00-Patent Issue Date	
2016-08-21	Petition 551 filed	Patent Term Adjustment petition entered	G	-	G15	A-4-4-G00-G15-Petition 551 filed	
2017-01-14	Petition 551 granted	Patent Term Adjustment petition granted	G	G10	G17	A-4-4-G10-G17-Petition 551 granted	

**KR Example**

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 2009-10-16: PR0702: Registration of Establishment of National Patent
- 2010-02-25: PA0102: Application to Register Extension of Term of Patent Right Following Delayed Registration
- 2010-04-15: PE0703: Decision to Register Extension of Term of Patent Right Following Delayed Registration
- 2010-04-30: PR1102: Extension of Term of Patent Right Following Delayed Registration

Key Event History:

- 2009-10-16: F10: IP right granted
- 2010-04-30: G10: Protection beyond IP right term granted

Detailed Event History:

- 2010-02-25: G15: PTA requested
- 2010-04-30: G17: PTA granted

Category History:

- 2009-10-16: F: IP right grant
- 2010-02-25: G: Protection beyond IP right term
- 2010-04-15: G: Protection beyond IP right term
- 2010-04-30: G: Protection beyond IP right term

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2009-10-16	PR0702	Registration of Establishment of National Patent	F	F10	-	A-0-4-F10-F00-PR0702	
2010-02-25	PA0102	Application to Register Extension of Term of Patent Right Following Delayed Registration	G	-	G15	A-4-4-G00-G15-PA0102	
2010-04-15	PE0703	Decision to Register Extension of Term of Patent Right Following Delayed Registration	G	-	-	A-4-4-G00-G15-PE0703	
2010-04-30	PR1102	Extension of Term of Patent Right Following Delayed Registration	G	G10	G17	A-4-4-G10-G17-PR1102	

*Example 2: Extension of Supplementary Protection Certificate granted*

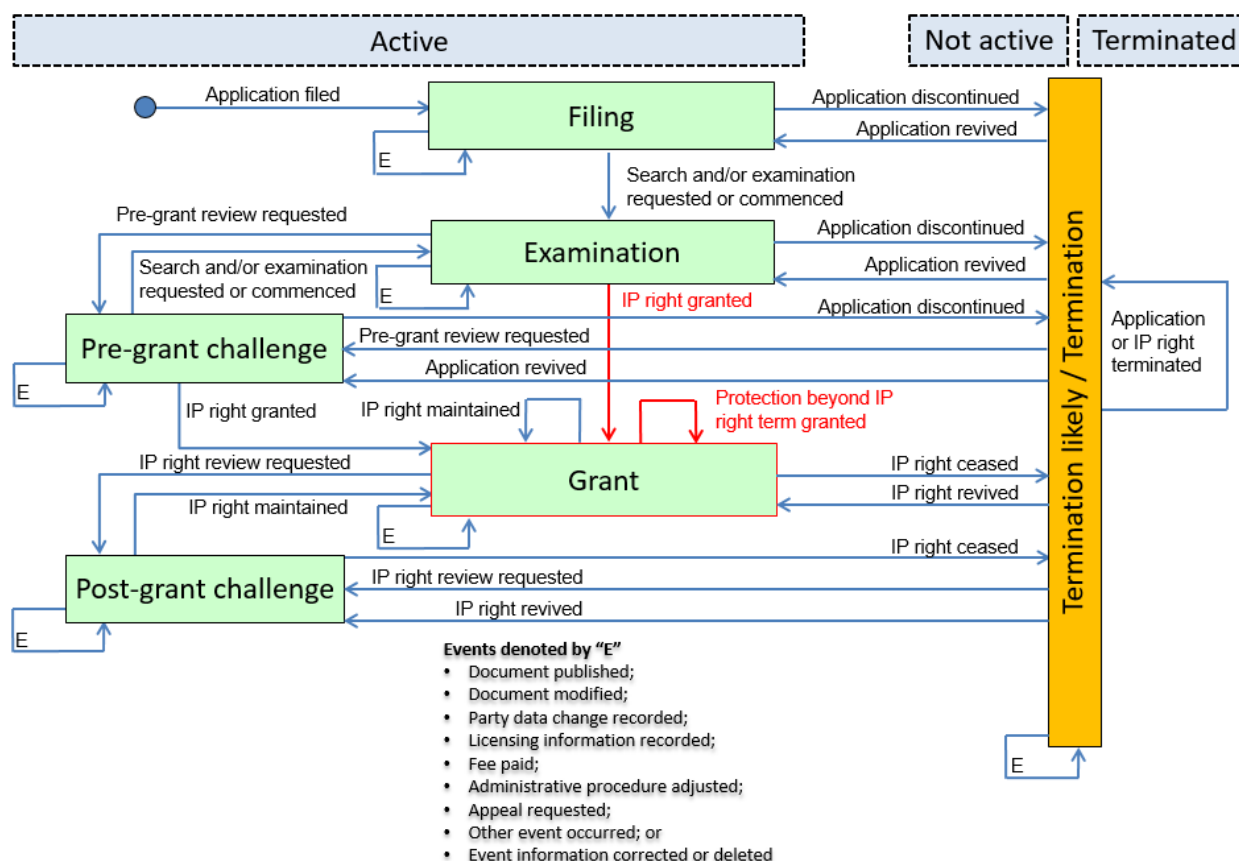
Scenario: An extension of a Supplementary Protection Certificate was granted.

**GB Example**

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: Supplementary Protection Certificate

Overall Patent/SPC Prosecution Model:



National Event History:

- 2007-06-23: X000: Application SPC/GB#### for a Supplementary Protection Certificate in respect of "..." was granted on ####/####/#### with a maximum expiry date of ####/####/####
- 2015-07-28: X000: Application SPC/GB#### for a (Paediatric) Extension of a supplementary protection certificate in respect of "..." was filed on ####/####/#### (+ variations)
- 2016-01-02: X000: Application SPC/GB#### for a Paediatric Extension of a Supplementary Protection Certificate in respect of "..." was granted on ####/####/#### with a maximum period expiring on ####/####/####

Key Event History:

- 2007-06-23: F10: IP right granted
- 2016-01-02: G10: Protection beyond IP right term granted

Detailed Event History:

- 2007-06-23: F12: IP right granted following formality examination
- 2015-07-28: G11: Extension of SPC term requested
- 2016-01-02: G13: Extension of SPC term granted

Category History:

- 2007-06-23: F: IP right grant
- 2015-07-28: G: Protection beyond IP right term
- 2016-01-02: G: Protection beyond IP right term

## Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2007-06-23	X000	Application SPC/GB###/### for a Supplementary Protection Certificate in respect of "... " was granted on ###/###/#### with a maximum expiry date of ###/###/####	F	F10	F12	A-0-4-F10-F12-X000	
2015-07-28	X000	Application SPC/GB###/### for a (Paediatric) Extension of a supplementary protection certificate in respect of "... " was filed on ###/###/#### (+ variations)	G	-	G11	A-4-4-G00-G11-X000	
2016-01-02	X000	Application SPC/GB###/### for a Paediatric Extension of a Supplementary Protection Certificate in respect of "... " was granted on ###/###/#### with a maximum period expiring on ###/###/####	G	G10	G13	A-4-4-G10-G13-X000	

Category H: IP Right Cessation*Example 1: Patent granted and surrendered*

Scenario: Examination was requested at the point of filing. The application was published and after communication between applicant and IP office the patent was granted. Patent was surrendered after one or two years.

Remark: This scenario describes an ordinary sequence of events during the live cycle of a patent. It is a basic scenario, which should happen several times a year in each IP office.

**DE Example**

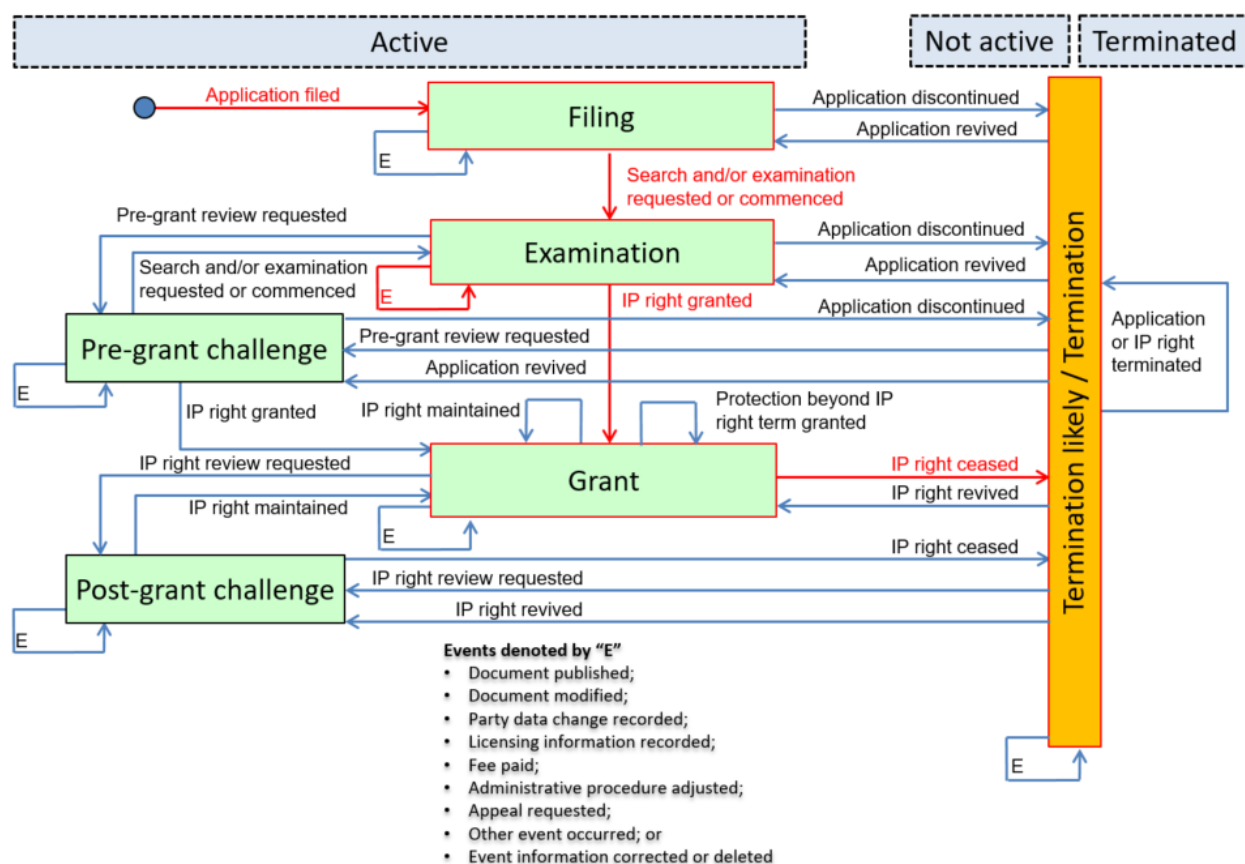
## Basic Information:

- File Creation date: 2017-07-14
- Application number: 10 2012 001 472.4
- Type of IP right: National patent

Link to national Patent register:

<https://register.dpma.de/DPMAreister/pat/register?lang=en&AKZ=1020120014724&CURSOR=0>

Overall Patent/SPC Prosecution Model:



National Event History:

- 2012-01-26: R000: The application is under preliminary examination
- 2012-01-26: R012: Request for examination effectively filed
- 2012-02-06: R004: Pre-registration procedure has been concluded
- 2012-07-11: R015: Official communication on examination
- 2012-10-12: R016: Reply to official communication
- 2013-01-08: R200: Publication of application (Offenlegungsschrift)
- 2015-02-12: R015: Official communication on examination
- 2015-03-13: R016: Reply to official communication
- 2015-04-01: R018: Decision to grant patent by Examining Section/Patent Division
- 2015-07-16: R110: Patent specification
- 2016-04-19: R020: Grant of patent has become final
- 2017-03-11: R120: Application withdrawn/ IP right surrendered

Key Event History:

- 2012-01-26: A10: Application filing
- 2012-01-26: D10: Search and/or examination requested or commenced
- 2013-08-01: Q10: Document published
- 2016-04-19: F10: IP right granted
- 2017-03-11: H10: IP right ceased

## Detailed Event History:

- 2012-01-26: D11: Substantive examination requested
- 2012-07-11: D15: Examination report issued
- 2013-08-01: Q12: Application published
- 2015-02-12: D15: Examination report issued
- 2015-04-01: D22: Grant of IP right intended
- 2017-03-11: H15: IP right surrendered

## Category History:

- 2011-01-26: A: Application filing
- 2012-01-26: D: Search and examination
- 2012-02-06: A: Application filing
- 2012-07-11: D: Search and examination
- 2012-10-12: P: Document modification
- 2013-08-01: Q: Document publication
- 2015-02-12: D: Search and examination
- 2015-03-13: P: Document modification
- 2015-04-01: D: Search and examination
- 2015-07-16: W: Other
- 2016-04-19: F: IP right grant
- 2017-03-11: H: IP right cessation

## Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2012-01-26	R000	The application is under preliminary examination	A	A10	-	A-1-2-A10-A00-R000	
2012-01-26	R012	Request for examination effectively filed	D	D10	D11	A-2-2-D10-D11-R012	
2012-02-06	R004	Pre-registration procedure has been concluded	A	-	-	A-0-0-A00-A00-R004	
2012-07-11	R015	Official communication on examination	D	-	D15	A-2-2-D00-D15-R015	"Issue" is limited to communication between the IPO and the applicant/owner as opposed to the public.
2012-10-12	R016	Reply to official communication	P	-	-	A-2-2-P00-P00-R016	
2013-08-01	R200	Publication of application (Offenlegungsschrift)	Q	Q10	Q12	A-2-2-Q10-Q12-R200	
2015-02-12	R015	Official communication on examination	D	-	D15	A-2-2-D00-D15-R015	"Issue" is limited to communication between the IPO and the applicant/owner



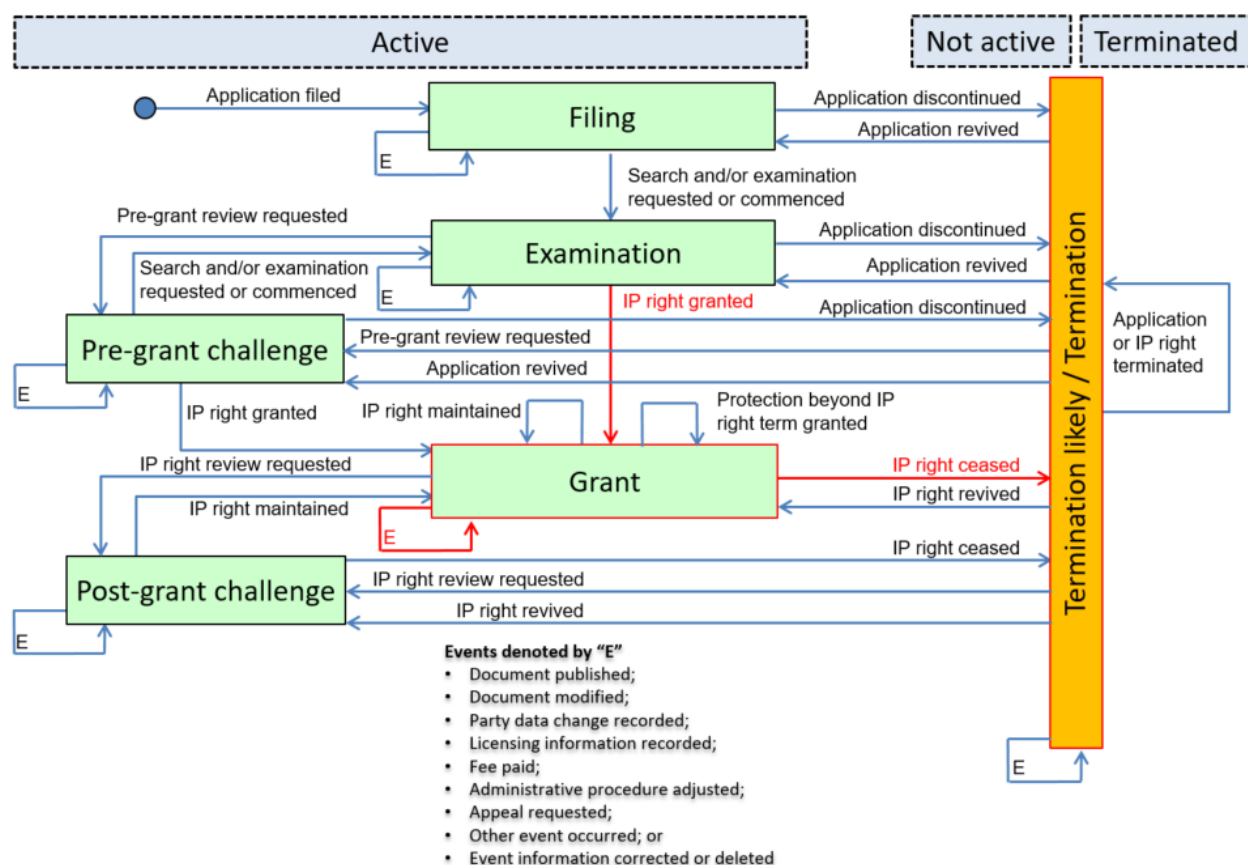
							as opposed to the public.
2015-03-13	R016	Reply to official communication	P	-	-	A-2-2-P00-P00-R016	
2015-04-01	R018	Decision to grant patent by Examining Section/Patent Division	D	-	D22	A-2-2-D00-D22-R018	
2015-07-16	R110	Patent specification	W	-	-	A-2-2-W00-W00-R110	
2016-04-19	R020	Grant of patent has become final	F	F10	-	A-2-4-F10-F00-R020	
2017-03-11	R120	Application withdrawn/ IP right surrendered	H	H10	H15	A-4-6-H10-H15-R120	

#### EA Example

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: Regional patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 2007-02-03: FG4A: Eurasian patent for invention (B1 publication)
- 2007-02-03: FG4A: Eurasian patent for invention (B1 publication)
- 2013-09-11: MA4A: Revocation of a Eurasian patent at the proprietor's request filed with EAPO

### Key Event History:

- 2007-02-03: F10: IP right granted
- 2007-02-03: Q10: Document published
- 2013-09-11: H10: IP right ceased

## Detailed Event History:

- 2007-02-03: F12: IP right granted following formality examination
- 2007-02-03: Q13: IP right document published
- 2013-09-11: H15: IP right surrendered

Category History:

- 2007-02-03: F: IP right grant
- 2007-02-03: Q: Document publication
- 2013-09-11: H: IP right cessation

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2007-02-03	FG4A	Eurasian patent for invention (B1 publication)	F	F10	F12	A-2-4-F10-F12-FG4A	The regional event, FG4A simultaneously maps to two key/detailed events.
2007-02-03	FG4A	Eurasian patent for invention (B1 publication)	Q	Q10	Q13	A-4-4-Q10-Q13-NG4A	
2013-09-11	MA4A	Revocation of a Eurasian patent at the proprietor's request filed with EAPO	H	H10	H15	N-4-6-H10-H15-MA4A	

Category K: IP right revival

*Example 1: Lapsed patent is revived*

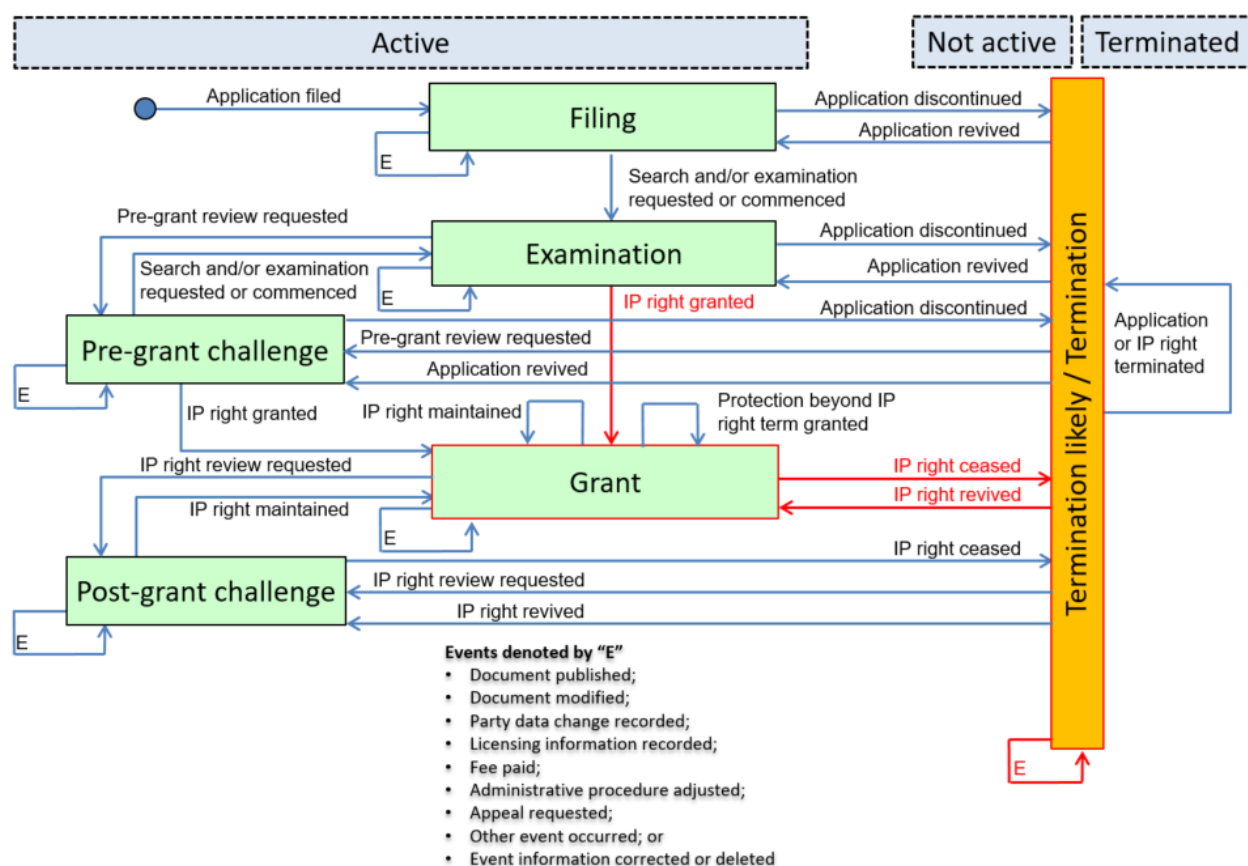
Scenario: A patent lapses due to non-payment of maintenance fees. The patent owner pays the maintenance fee and requests the revival of the lapsed patent. The IPO revives the patent.

**CA Example**

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 2010-01-18: X000: Grant
- 2011-07-18: X000: Lapsed date/log, Appl maint dead - fee not paid
- 2011-07-18: X000: Lapsed (not dead)
- 2011-08-02: X000: Maintenance fees
- 2011-08-02: X000: Request for reversal of lapsed
- 2011-08-14: X000: Lapsed Reversal

Key Event History:

- 2010-01-18: F10: IP right granted
- 2011-07-18: H10: IP right ceased
- 2011-08-02: U10: Fee paid
- 2011-08-14: K10: IP right revived

Detailed Event History:

- 2010-01-18: F11: IP right granted following substantive examination
- 2011-07-18: U13: Renewal or maintenance fee not paid
- 2011-07-18: H13: IP right lapsed
- 2011-08-02: U11: Renewal or maintenance fee paid
- 2011-08-02: K11: IP right revival requested
- 2011-08-14: K13: IP right revived in full

Category History:

- 2010-01-18: F: IP right grant
- 2011-07-18: U: Payment
- 2011-07-18: H: IP right cessation
- 2011-08-02: U: Payment
- 2011-08-02: K: IP right revival
- 2011-08-14: K: IP right revival

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2010-01-18	X000	Grant	F	F10	F11	A-0-4-F10-F11-X000	
2011-07-18	X000	Lapsed date/log, Appl maint dead - fee not paid	U	-	U13	A-4-4-U00-U13-X000	
2011-07-18	X000	Lapsed (not dead)	H	H10	H13	N-4-6-H10-H13-X000	
2011-08-02	X000	Maintenance fees	U	U10	U11	N-6-6-U10-U11-X000	
2011-08-02	X000	Request for reversal of lapsed	K	-	K11	N-6-6-K00-K11-X000	
2011-08-14	X000	Lapsed Reversal	K	K10	K13	A-6-4-K10-K13-X000	

Category L: IP right review requested

*Example 1: Post-Grant challenge and patent revoked*

Scenario: One month after filing of a patent, the examination was requested. The patent was granted without any objection. 4 years after the grant of the patent has become final, a post-grant challenge was initiated by a third party. The case was discussed at the associated authority and it was decided to revoke the patent completely.

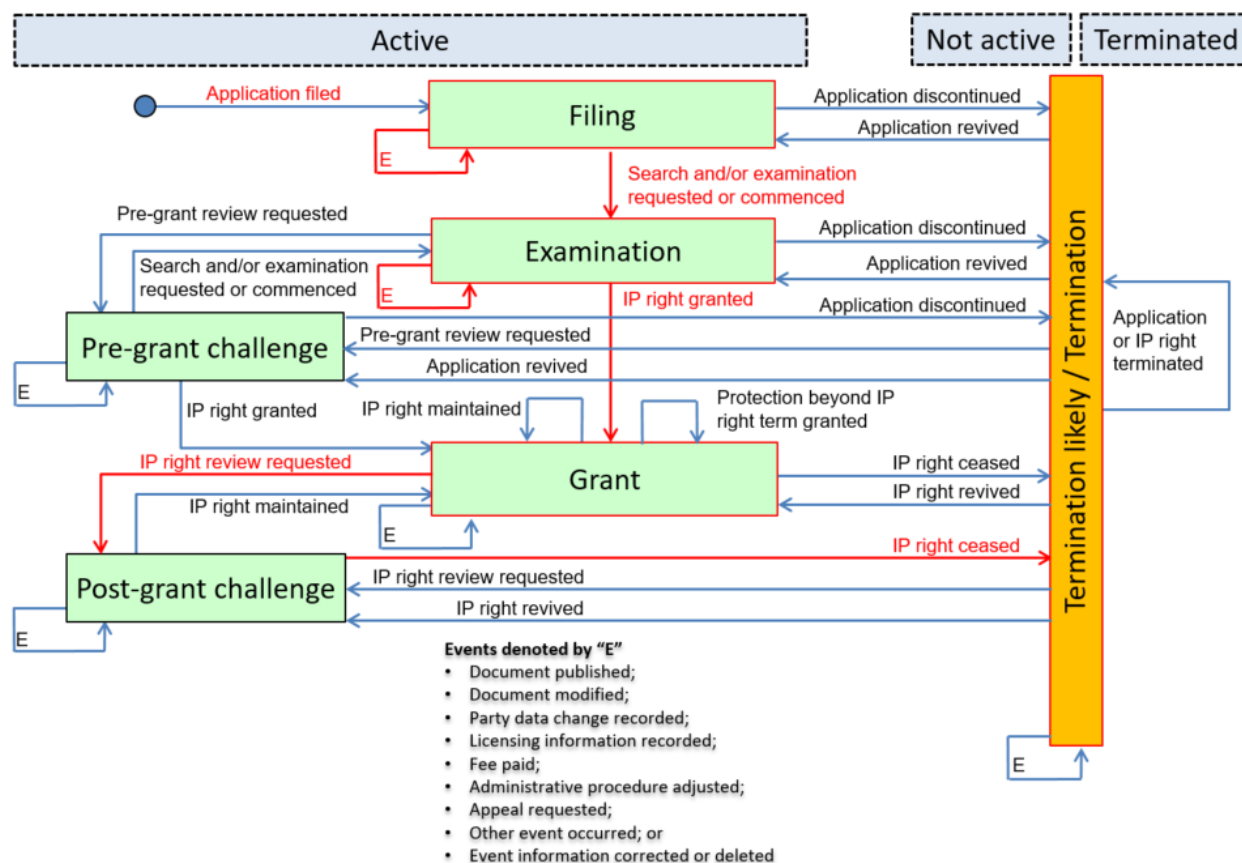
**DE Example**

Basic Information:

- File Creation date: 2017-07-14
- Application number: 10 2005 011 790.2
- Type of IP right: National patent

Link to national Patent register: <https://register.dpma.de/DPMAreister/pat/register?AKZ=1020050117902>

Overall Patent/SPC Prosecution Model:



National Event History:

- 2005-03-11: R000: The application is under preliminary examination
- 2005-04-08: R012: Request for examination effectively filed
- 2005-05-12: R004: Pre-registration procedure has been concluded
- 2005-10-17: R079: Change of IPC main class
- 2006-03-20: R015: Official communication on examination
- 2006-07-26: R018: Decision to grant patent by Examining Section/Patent Division
- 2006-11-23: R110: Patent specification
- 2007-02-23: R020: Grant of patent has become final
- 2011-07-19: R039: Action brought for declaration of nullity
- 2011-07-19: R008: Case file pending with Federal Patent Court
- 2015-08-11: R042: Final declaration of nullity of patent in full
- 2015-12-24: R078: Other <with further information such as lien, etc>

Key Event History:

- 2005-03-11: A10: Application filing
- 2005-04-08: D10: Search and/or examination requested or commenced
- 2005-10-17: P10: Document modified
- 2007-02-23: F10: IP right granted
- 2011-07-19: L10: IP right review request
- 2015-08-11: H10: IP right ceased
- 2015-12-24: W10: Other event occurred

## Detailed Event History:

- 2005-04-08: D11: Substantive examination requested
- 2005-10-17: P22: Classification modified
- 2006-03-20: D15: Examination report issued
- 2006—7-26: D22: Grant of IP right intended
- 2011-07-19: L15: Invalidation requested
- 2015-08-11: H12: IP right ceased following an IP right review

## Category History:

- 2005-03-11: A: Application filing
- 2005-04-08: D: Search and examination
- 2005-05-12: A: Application filing
- 2005-10-17: P: Document modification
- 2006-03-20: D: Search and examination
- 2006-07-26: D: Search and examination
- 2006-11-23: W: Other
- 2007-02-23: F: IP right grant
- 2011-07-19: L: IP right review requested
- 2011-07-19: V: Other
- 2015-08-11: H: IP right cessation
- 2015-12-24: W: Other

## Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2005-03-11	R000	The application is under preliminary examination	A	A10	-	A-1-2-A10-A00-R000	
2005-04-08	R012	Request for examination effectively filed	D	D10	D11	A-2-2-D10-D11-R012	
2005-05-12	R004	Pre-registration procedure has been concluded	A	-	-	A-0-0-A00-A00-R004	
2005-10-17	R079	Change of IPC main class	P	P10	P22	A-2-2-P10-P22-R079	
2006-03-20	R015	Official communication on examination	D	-	D15	A-2-2-D00-D15-R015	"Issue" is limited to communication between the IPO and the applicant/owner as opposed to the public.

2006-07-26	R018	Decision to grant patent by Examining Section/Patent Division	D	-	D22	A-2-2-D00-D22-R018	
2006-11-23	R110	Patent specification	W	-	-	A-2-2-W00-W00-R110	
2007-02-23	R020	Grant of patent has become final	F	F10	-	A-2-4-F10-F00-R020	
2011-07-19	R039	Action brought for declaration of nullity	L	L10	L15	A-4-5-L10-L15-R039	
2011-07-19	R008	Case file pending with Federal Patent Court	V	-	-	A-5-5-V00-V00-R008	
2015-08-11	R042	Final declaration of nullity of patent in full	H	H10	H12	A-5-6-H10-H12-R042	
2015-12-24	R078	Other <with further information such as lien, etc>	W	W10	-	A-0-0-W10-W00-R078	

Category M: IP right maintenance

*Example 1: IP right maintained following administrative decision resulting in partial revocation*

Scenario: Following the grant of an IP right, a third party requested an IP right review. Following the IP right review, the IP right was maintained in part and the amended IP document was published.

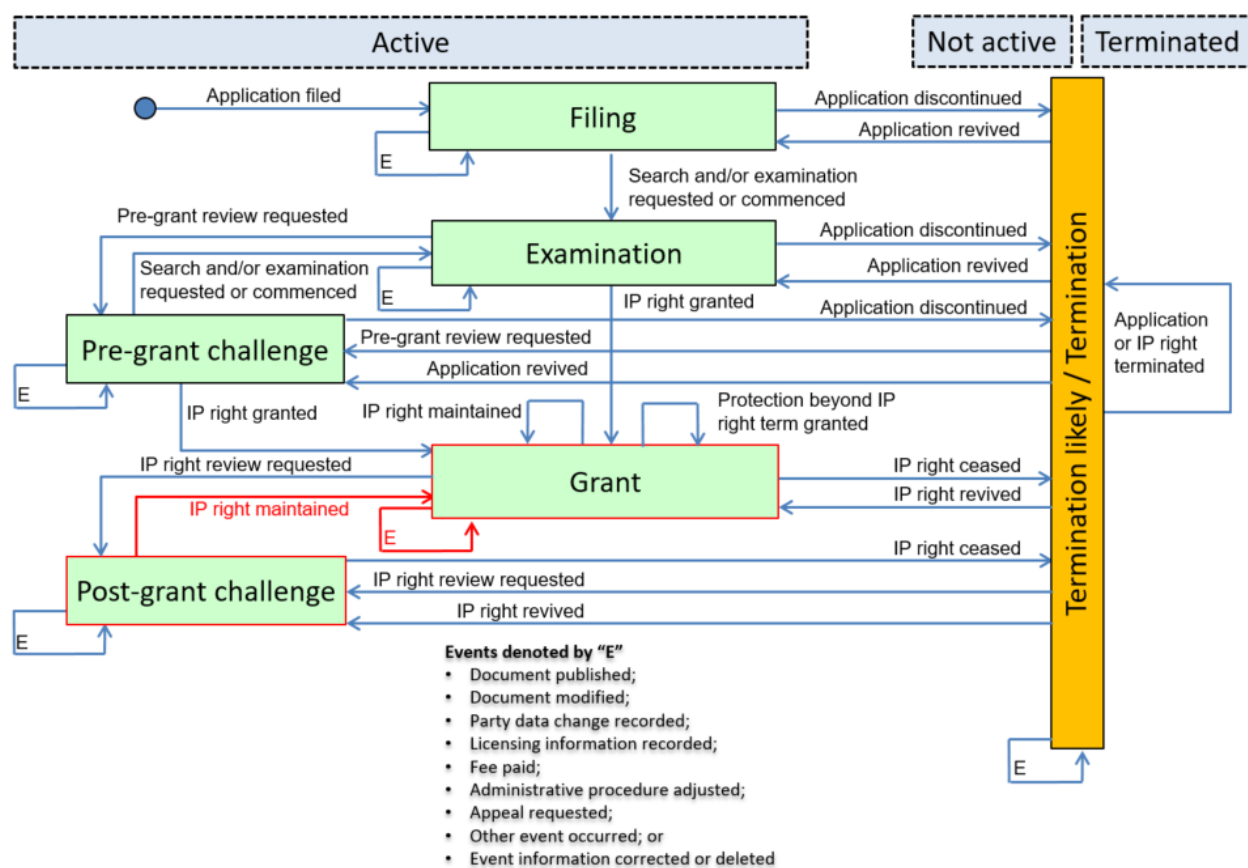
**EA Example**

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: Regional patent



Overall Patent/SPC Prosecution Model:



National Event History:

- 2009-10-11: LC4A: Eurasian patent for invention for which administrative decision of partial revocation was made (+ B2 publication)

Key Event History:

- 2009-10-11: M10: IP right maintained
- 2009-10-11: Q10: Document published

Detailed Event History:

- 2009-10-11: M12: IP right maintained in amended form following an IP right review or an appeal
- 2009-10-11: Q17: Amended document published

Category History:

- 2009-10-11: M: IP right maintenance
- 2009-10-11: Q: Document publication

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2009-10-11	LC4A:	Eurasian patent for invention for which administrative decision of partial revocation was made (+ B2 publication)	M	M10	M12	A-5-4-M10-M12-LC4A	Regional event, LC4A, simultaneously maps to two key/detailed events.
2009-10-11	LC4A:	Eurasian patent for invention for which administrative decision of partial revocation was made (+ B2 publication)	Q	Q10	Q17	A-4-4-Q10-Q17-LC4A	Q17: Amended document published is more appropriate than Q13: IP right document published, because the focus of regional event LC4A to document publication, is the amendment of a published document.

Remark: The administrative procedure, LC4A, affects all EAPO member states.

Category N: Termination

*Example 1: Lapsed patent is terminated with no possibility of revival*

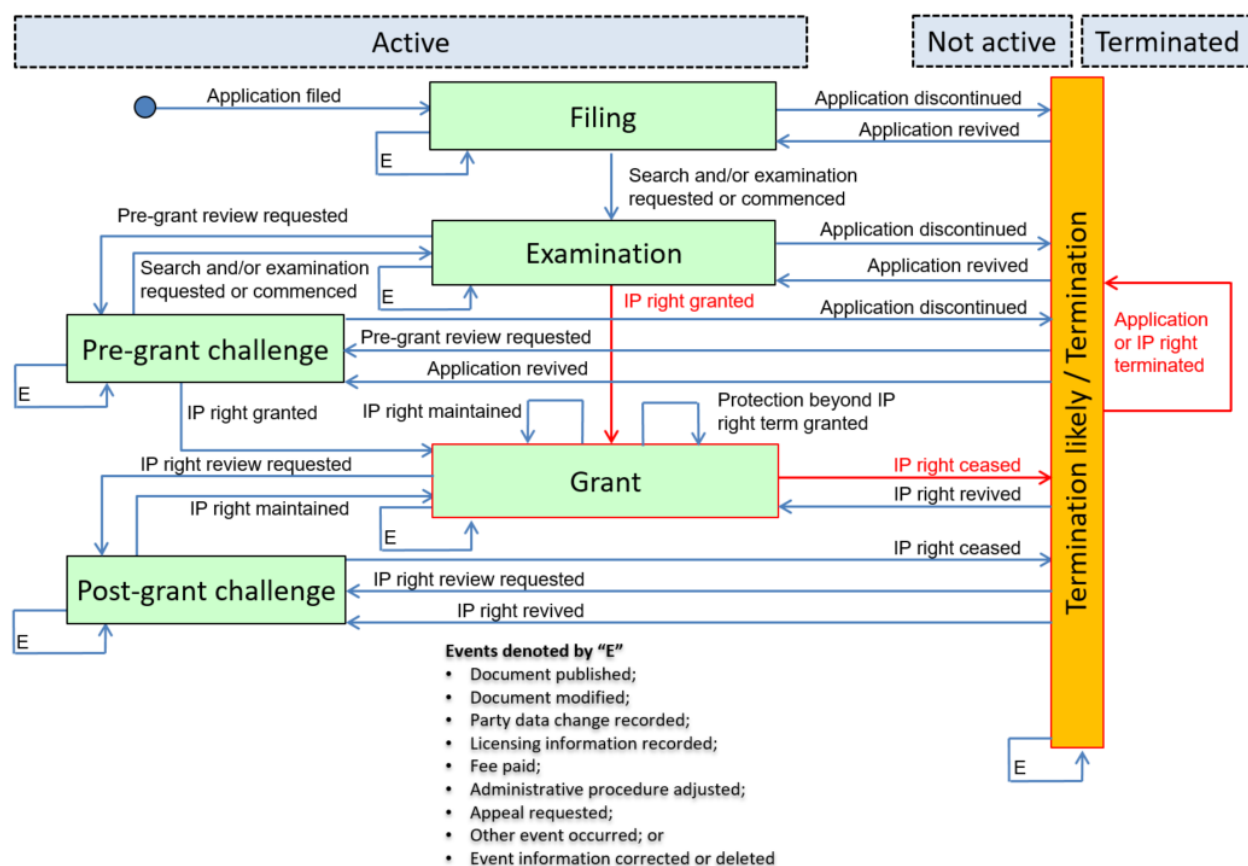
Scenario: A patent lapses due to non-payment of maintenance fees. The patent owner does not pay the maintenance fee or request revival in the allowable grace period. The IPO terminates the IP right with no possibility of revival.

**CA Example**

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 2002-04-11: X000: Grant
- 2010-04-11: X000: Lapsed date/log, Appl maint dead - fee not paid
- 2010-10-11: X000: Lapsed (not dead)
- 2011-04-11: X000: Lapsed, and expired

Key Event History:

- F10: IP right granted
- 2010-10-11: H10: IP right ceased
- 2011-04-11: N10: Application or IP right terminated

Detailed Event History:

- 2002-04-11: F11: IP right granted following substantive examination
- 2010-04-11: U13: Renewal or maintenance fee not paid
- 2010-10-11: H13: IP right lapsed
- 2011-04-11: N12: IP right terminated

Category History:

- 2002-04-11: F: IP right grant
- 2010-04-11: U: Payment
- 2010-10-11: H: IP right cessation
- 2011-04-11: N: Termination

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2002-04-11	X000	Grant	F	F10	F11	A-0-4-F10-F11-X000	
2010-04-11	X000	Lapsed date/log, Appl maint dead - fee not paid	U	-	U13	A-4-4-U00-U13-X000	
2010-10-11	X000	Lapsed (not dead)	H	H10	H13	N-4-6-H10-H13-X000	The IP right can still be revived if the missed maintenance fee is paid and the reinstatement is requested by the patent owner.
2011-04-11	X000	Lapsed, and expired	N	N10	N12	T-6-6-N10-N12-X000	

Category P: Document modification

*Example 1: Errors in application are corrected and re-published*

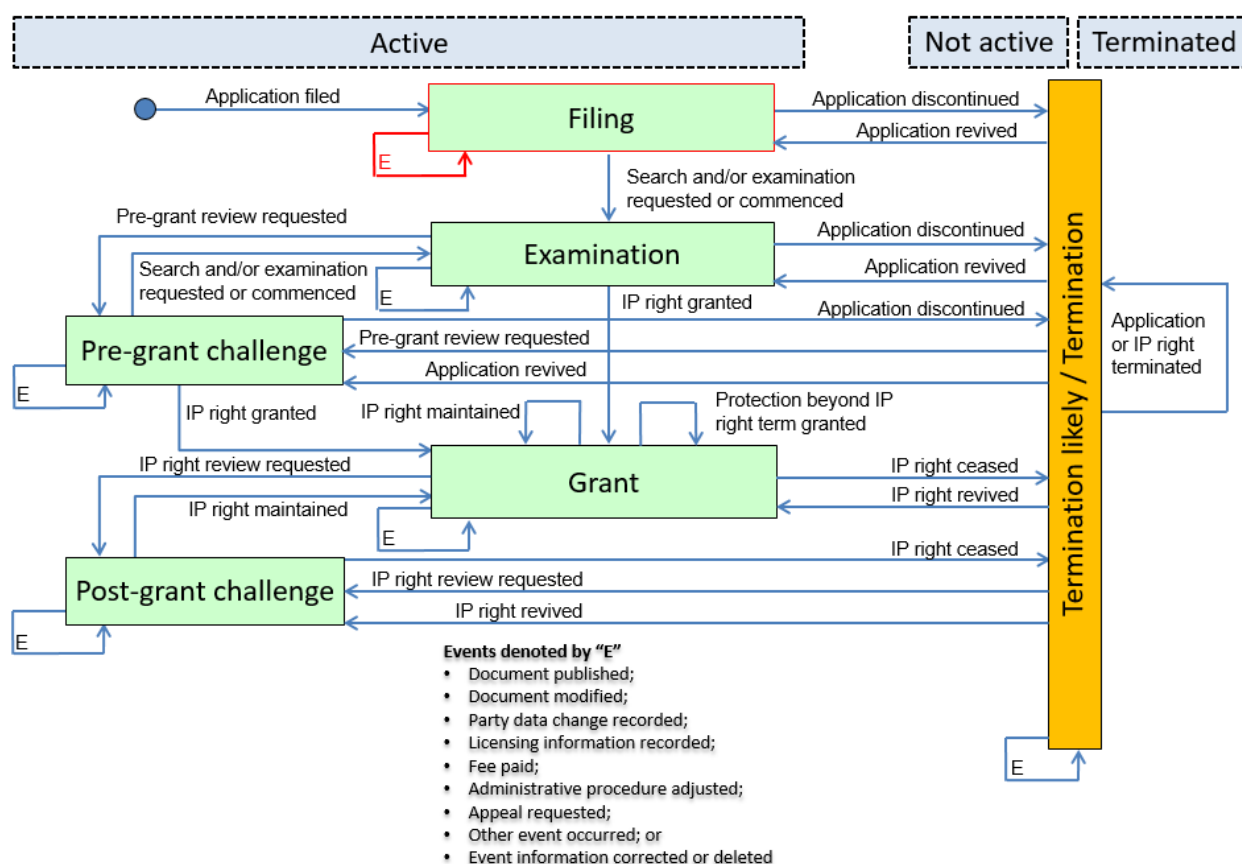
Scenario: Errors made by an IPO during the publication of the application are corrected and the application is re-published.

**EA Example**

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: Regional patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 2015-05-06: HH9A: Reprint of the description of invention in a Eurasian patent application (list of corrections applied, A9 publication)
- 2015-05-06: HH9A: Reprint of the description of invention in a Eurasian patent application (list of corrections applied, A9 publication)

Key Event History:

- 2015-05-06: P10: Document modified
- 2015-05-06: Q10: Document published

Detailed Event History:

- 2015-05-06: P21: Errors in published documents corrected
- 2015-05-06: Q17: Modified document published

Category History:

- 2015-05-06: P: Document modification
- 2015-05-06: Q: Document publication

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2015-05-06	HH9A	Reprint of the description of invention in a Eurasian patent application (list of corrections applied, A9 publication)	P	P10	R14	A-1-1-P10-P21-HH9A	This event covers both document modification (errors and correction) and republication; therefore it simultaneously maps to two key/detailed events. It includes correction of both applicants' errors and errors introduced by the EAPO at the publication stage.
2015-05-06	HH9A	Reprint of the description of invention in a Eurasian patent application (list of corrections applied, A9 publication)	Q	Q10	Q17	A-1-1-Q10-Q17-HH9A	

Category Q: Document publication

*Example 1: Amended application published*

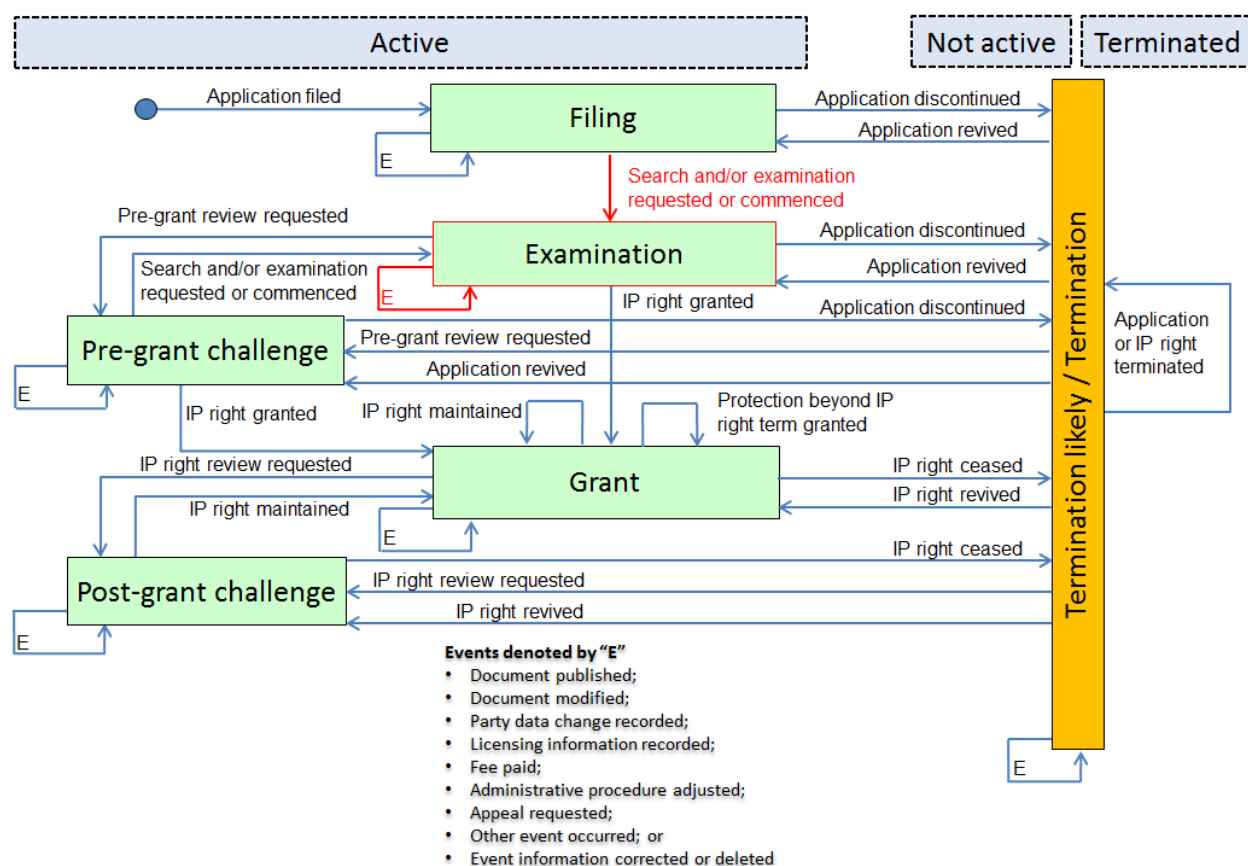
Scenario: Subsequent to the issuance of the first examination report the application is republished with corrections.

**EP Example**

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: Regional patent application

Overall Patent/SPC Prosecution Model:



National Event History:

- 2009-10-14: 17P: Request for examination filed
- 2010-03-18: 17Q: First examination report
- 2010-07-15: K1C3: Correction of patent application (complete reprint) published

Key Event History:

- 2009-10-14: D10: Search and/or examination requested or commenced
- 2010-07-15: Q10: Document published

## Detailed Event History:

- 2009-10-14: D11: Substantive examination requested
- 2010-03-18: D15: Examination report issued
- 2010-07-15: Q17: Modified document published

Category History:

- 2009-10-14: D: Search and examination
- 2010-03-18: D: Search and examination
- 2010-07-15: Q: Document publication

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2009-10-14	17P	Request for examination filed	D	D10	D11	A-0-2-D10-D11-17P	
2010-03-18	17Q	First examination report	D	-	D15	A-2-2-D00-D15-17Q	"Issue" is limited to communication between the IPO and the applicant/owner as opposed to the public.
2010-07-15	K1C3	Correction of patent application (complete reprint) published	Q	Q10	Q17	A-1-1-Q10-F11-K1C3	Regional event, K1C3 corresponds to the republication of a modified document, but does not cover the actual modification and is therefore only mapped to category Q.

*Example 2: Application laid open for public inspection*

Scenario: An application was laid open for public inspection after the expiration of an eighteen-month confidentiality period starting on the filing date.

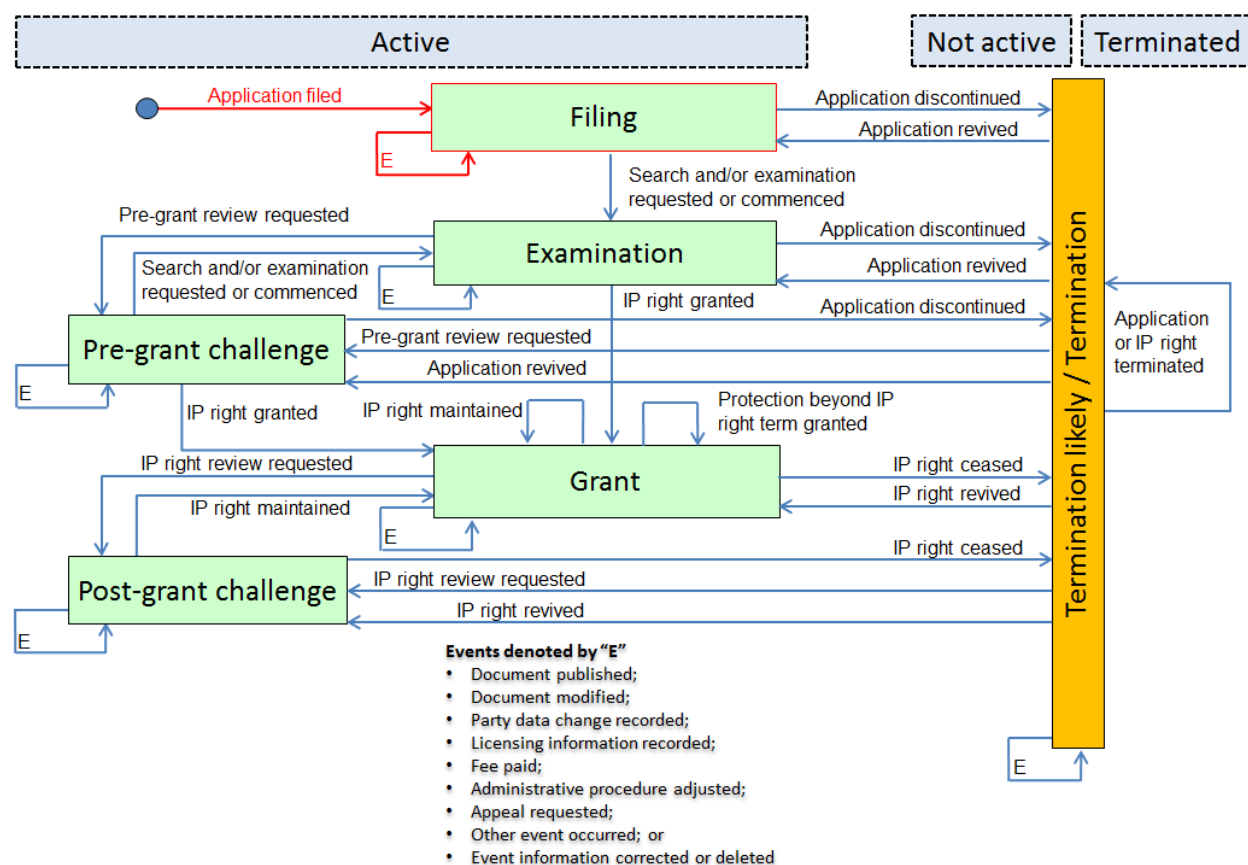
**CA Example**

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent



Overall Patent/SPC Prosecution Model:



National Event History:

- 2007-04-03: X000: International filing into Interap system
- 2007-08-11: X000: PCT national entry applications
- 2007-09-23: X000: Open to Public Inspection (OPI)

### Key Event History:

- 2007-04-03: A10: Application filed
- 2007-08-11: A10: Application filed
- 2007-09-23: Q10: Document published

## Detailed Event History:

- 2007-04-03: A13: PCT application filed
- 2007-08-11: A15: PCT application entered into the national or regional phase
- 2007-09-23: Q12: Application published

## Category History:

- 2007-04-03: A: Application filed
- 2007-08-11: A: Application filed
- 2007-09-23: Q: Document publication

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2007-04-03	X000	International filing into Interap system	A	A10	A13	A-0-1-A10-A13-X000	
2007-08-11	X000	PCT national entry applications	A	A10	A15	A-1-1-A10-A15-X000	
2007-09-23	X000	Open to Public Inspection (OPI)	Q	Q10	Q12	A-1-1-Q10-Q12-X000	Laying open an application is a form of publication as it is made available to the public. The action of laying open the application itself does not trigger a pre-grant review and should therefore be mapped to category Q and not category E.

Category R: Party data change

*Example 1: Ownership of a granted patent is transferred*

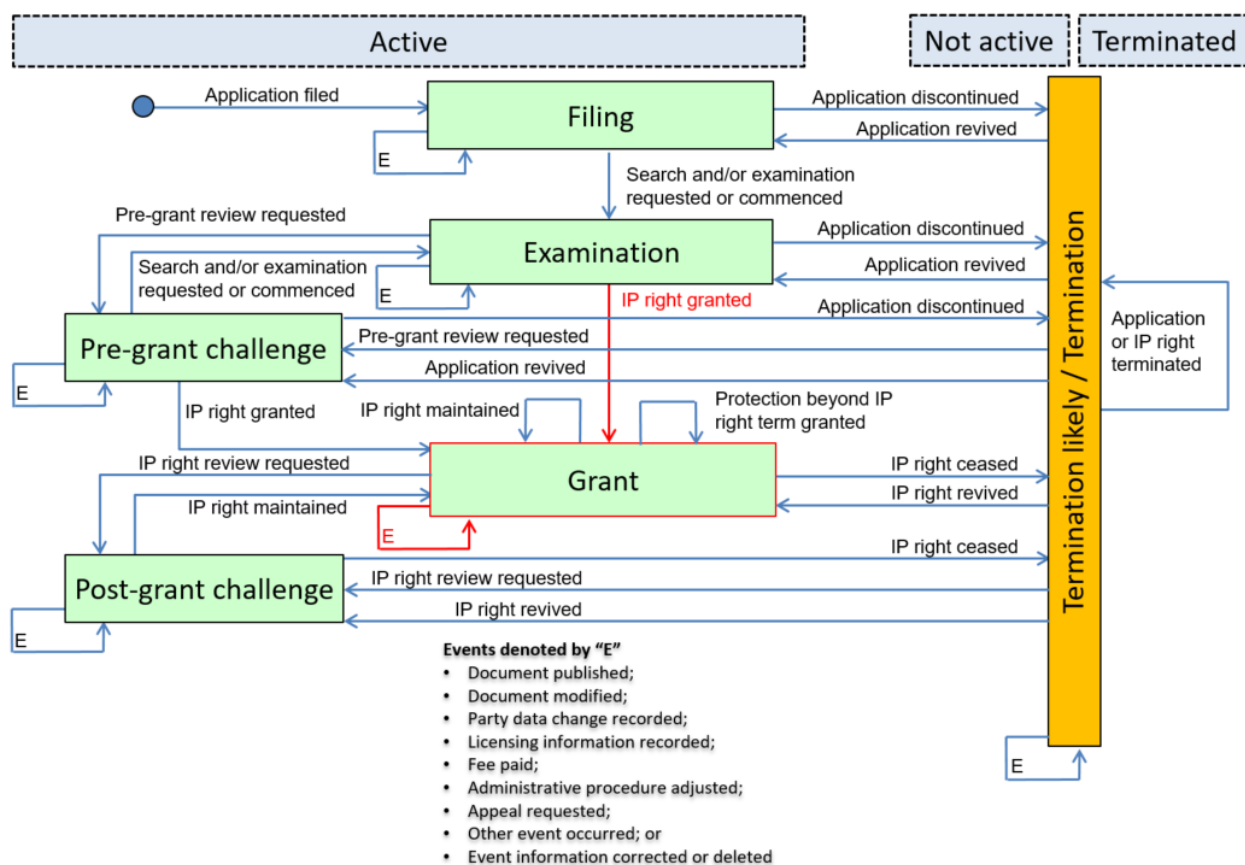
Scenario: The owner of a granted patent assigns complete ownership of the IP right to another party.

**CA Example**

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 2016-05-12: X000: Grant
- 2018-02-04: X000: Assignment

Key Event History:

- 2016-05-12: F10: IP right granted
- 2018-02-04: R10: Party data change recorded

## Detailed Event History:

- 2016-05-12: F11: IP right granted following substantive examination
- 2018-02-04: R14: Transfer of ownership recorded

Category History:

- 2016-05-12: F: IP right grant
- 2018-02-04: R: Party data change

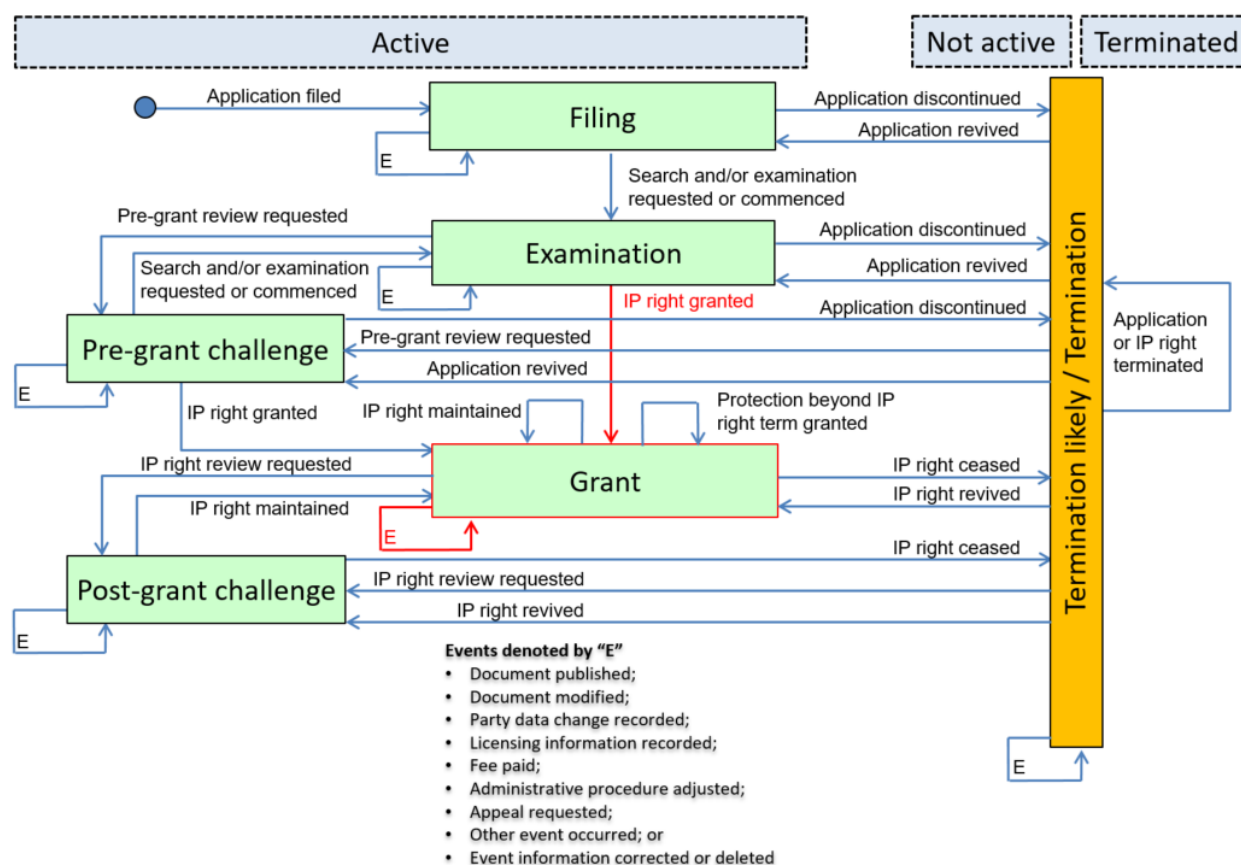
## Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2016-05-12	X000	Grant	F	F10	F11	A-0-4-F10-F11-X000	
2018-02-04	X000	Assignment	R	R10	R14	A-4-4-R10-R14-X000	

## US Example Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

## Overall Patent/SPC Prosecution Model:



## National Event History:

- 2008-09-14: Patent Issue Date: Patent Issue Date
- 2012-05-30: Pre Exam: Ownership change

## Key Event History:

- 2008-09-14: F10: IP right granted
- 2012-05-30: R10: Party data change recorded

## Detailed Event History:

- 2012-05-30: R12: Change to the name of applicant or owner or transfer of ownership recorded

Category History:

- 2008-09-14: F: IP right grant
- 2012-05-30: R: Party data change

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2008-09-14	Patent Issue Date	Patent Issue Date	F	F10	-	A-0-4-F10-F00-Patent Issue Date	
2012-05-30	Pre Exam	Ownership change	R	R10	R12	A-4-4-R10-R12-Pre Exam	The US cannot distinguish between a change in owners due to an assignment/transfer of ownership versus a change in the name/composition of owners, therefore this national event is mapped to R12.

Category S: Licensing information

*Example 1: The owner of a granted patent licenses it to another party, license amended, and then subsequently cancelled.*

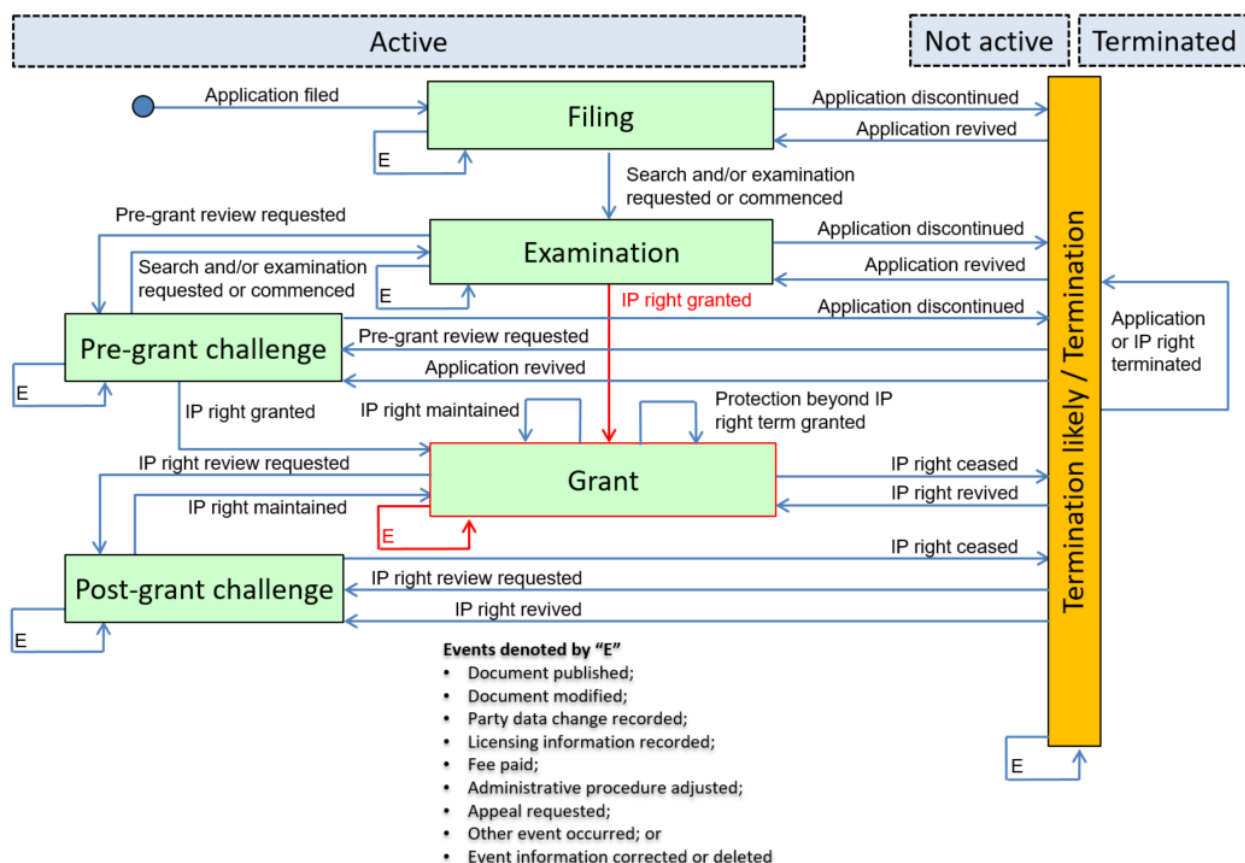
Scenario: The owner of a granted patent licenses use of the IP right to another party. The terms of the license are amended and then subsequently the license is cancelled on agreement of the parties.

**CA Example**

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 1999-05-19: X000: Grant
- 2001-08-28: X000: License agreement recorded
- 2005-08-23: X000: License agreement termination

Key Event History:

- 1999-05-19: F10: IP right granted
- 2001-08-28: S10: Licensing information recorded
- 2005-08-23: S10: Licensing information recorded

Detailed Event History:

- 1999-05-19: F11: IP right granted following substantive examination
- 2001-08-28: S11: Voluntary license recorded
- 2005-08-23: S13: Recordation of voluntary license cancelled

Category History:

- 1999-05-19: F: IP right grant
- 2001-08-28: S: Licensing information
- 2005-08-23: S: Licensing information

## Mapping Summary:

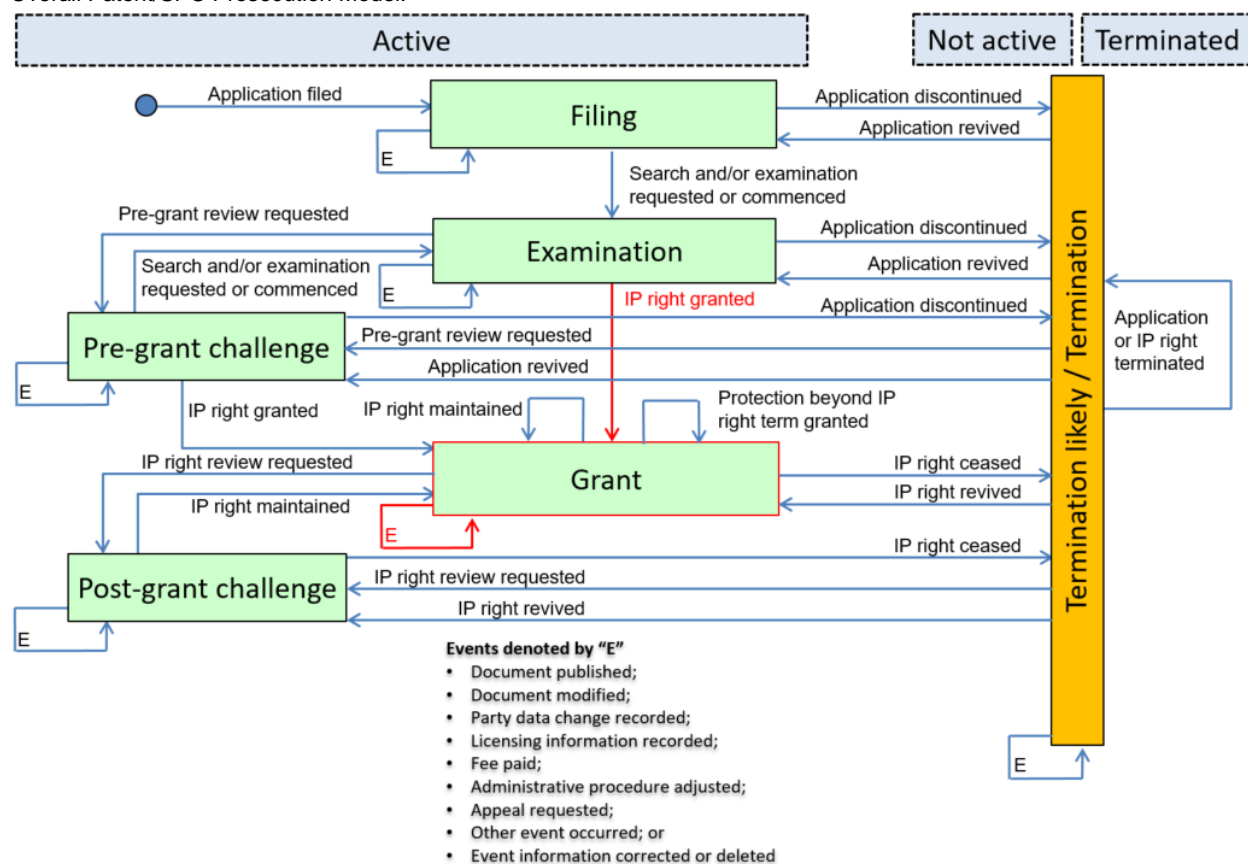
Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
1999-05-19	X000	Grant	F	F10	F11	A-0-4-F10-F11-X000	
2001-08-28	X000	License agreement recorded	S	S10	R11	A-4-4-S10-S11-X000	CA does not have a national event corresponding to the amendment of a license agreement
2005-08-23	X000	License agreement termination	S	S10	S13	A-4-4-S10-S13-X000	

## CN Example

## Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

## Overall Patent/SPC Prosecution Model:



## National Event History:

- GR01: The grant of patent right
- EE01: Taking effect of the recordation of contract for exploitation of patent
- EM01: Change of the recordation of contract for exploitation of patent
- EC01: Cancellation of the recordation of contract for exploitation of patent

Key Event History:

- F10: IP right granted
- S10: Licensing information recorded
- S10: Licensing information recorded
- S10: Licensing information recorded

Detailed Event History:

- F11: IP right granted following substantive examination
- S11: Voluntary license recorded
- S12: Recordation of voluntary license amended
- S13: Recordation of voluntary license cancelled

Category History:

- F: IP right grant
- S: Licensing information
- S: Licensing information
- S: Licensing information

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
N/A	X000	The grant of patent right	F	F10	F11	A-0-4-F10-F11-GR01	
N/A	X000	Taking effect of the recordation of contract for exploitation of patent	S	S10	S11	A-4-4-S10-S11-EE01	
N/A	X000	Change of the recordation of contract for exploitation of patent	S	S10	S12	A-4-4-S10-S12-EM01	
N/A	X000	Cancellation of the recordation of contract for exploitation of patent	S	S10	S13	A-4-4-S10-S13-EC01	

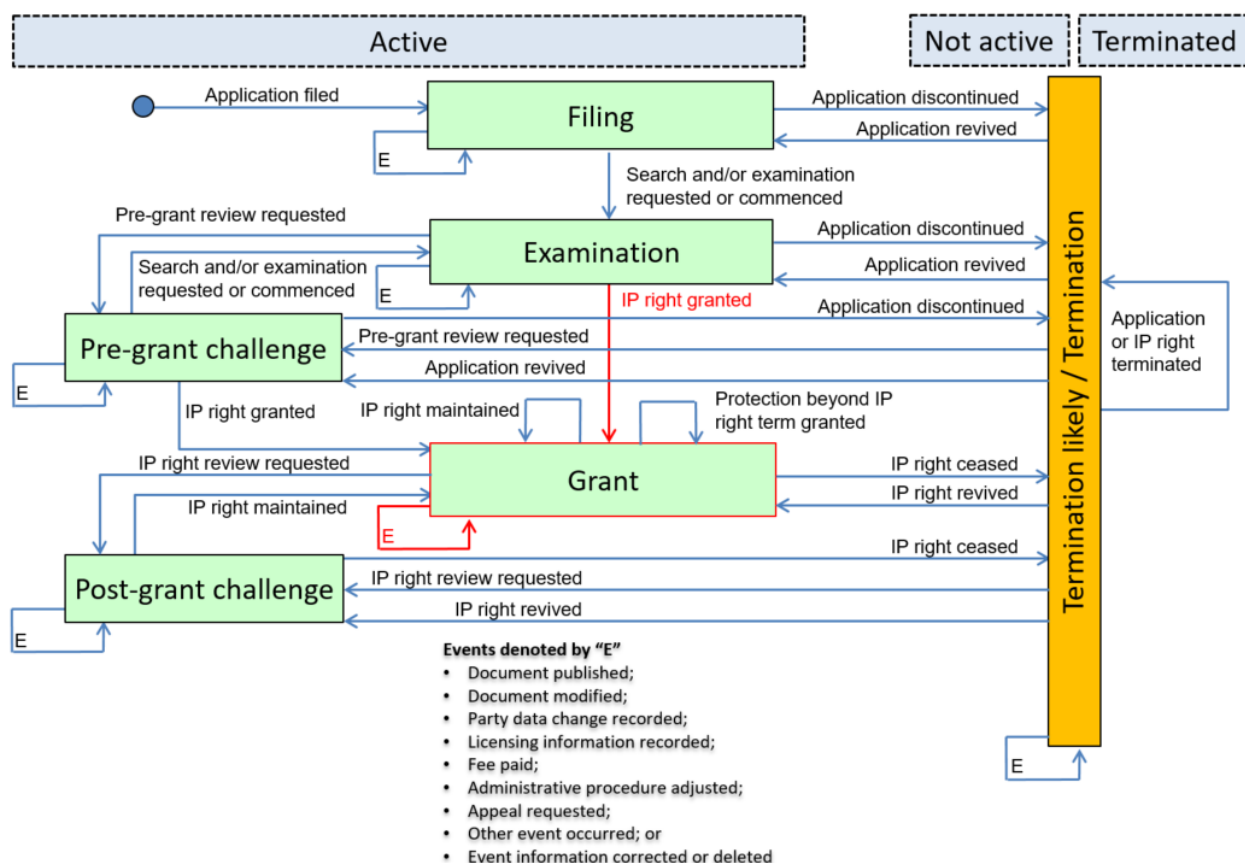
**UA Example**

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent



Overall Patent/SPC Prosecution Model:



National Event History:

- 2007-11-07: X000: Grant of a patent for an invention
- 2009-10-21: X000: Grant of a license to use
- 2013-04-06: X000: Amendments to the recorded information on the grant of a license to use
- 2015-08-11: X000: Early termination of a license agreement by mutual consent of the parties

Key Event History:

- 2007-11-07: F10: IP right granted
- 2009-10-21: S10: Licensing information recorded
- 2013-04-06: S10: Licensing information recorded
- 2015-08-11: S10: Licensing information recorded

Detailed Event History:

- 2007-11-07: F11: IP right granted following substantive examination
- 2009-10-21: S11: Voluntary license recorded
- 2013-04-06: S12: Recordation of voluntary license amended
- 2015-08-11: S13: Recordation of voluntary license cancelled

Category History:

- 2007-11-07: F: IP right grant
- 2009-10-21: S: Licensing information
- 2013-04-06: S: Licensing information
- 2015-08-11: S: Licensing information

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2007-11-07	X000	Grant of a patent for an invention	F	F10	F11	A-0-4-F10-F11-X000	
2009-10-21	X000	Grant of a license to use	S	S10	S11	A-4-4-S10-S11-X000	
2013-04-06	X000	Amendments to the recorded information on the grant of a license to use	S	S10	S12	A-4-4-S10-S12-X000	
2015-08-11	X000	Early termination of a license agreement by mutual consent of the parties	S	S10	S13	A-4-4-S10-S13-X000	

Category T: Administrative procedure adjustment

*Example 1: Prosecution of application interrupted and resumed*

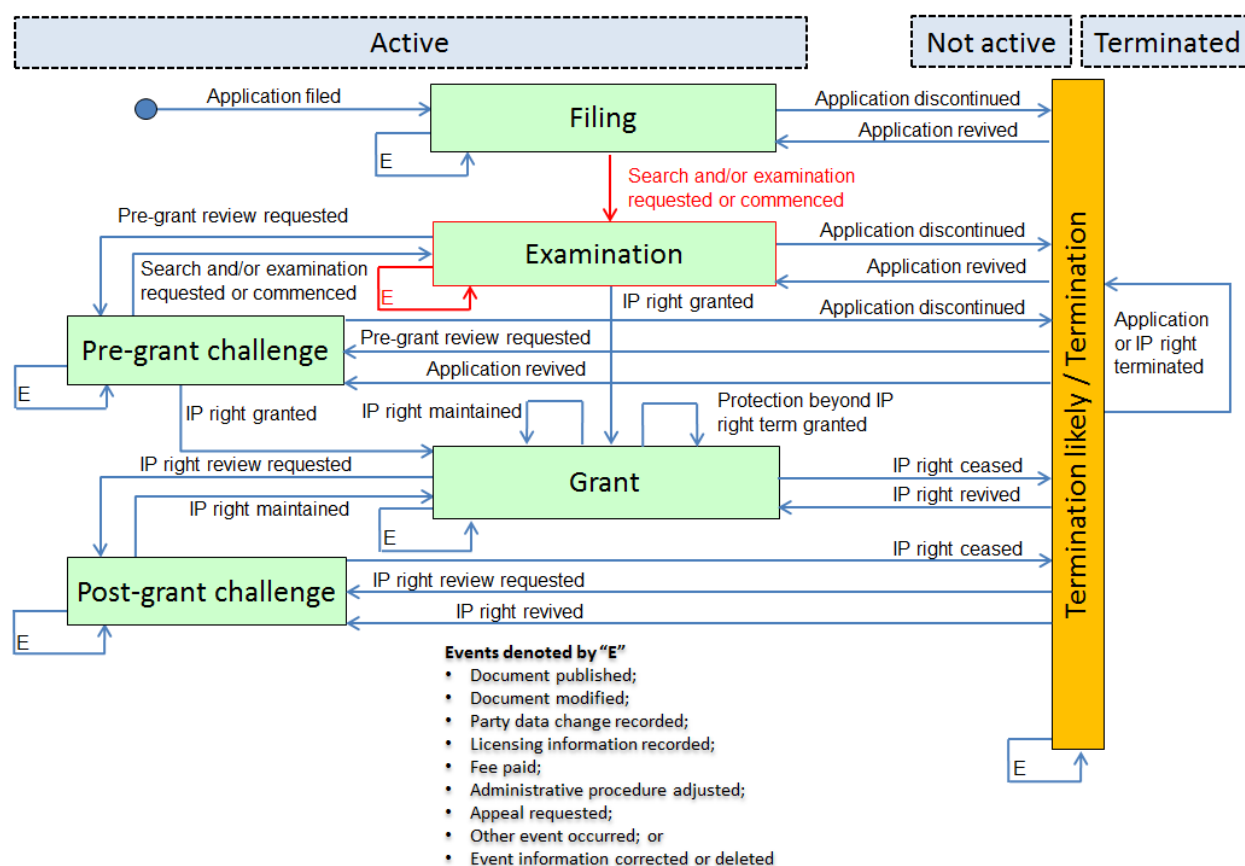
Scenario: During the prosecution of the application of a regional patent, the applicant company enters into receivership and the prosecution is interrupted. Once the receivership ends, the prosecution of the application resumes.

**EP Patent Office**

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: Regional patent application

Overall Patent/SPC Prosecution Model:



National Event History:

- 2006-05-12: 17P: Request for examination filed
- 2007-01-03: 19U: Interruption of proceedings before grant
- 2007-06-28: 19W: Resumption of proceedings before grant (after interruption of proceedings)

Key Event History:

- 2006-05-12: D10: Search and/or examination requested or commenced
- 2007-01-03: T10: Administrative procedure adjusted
- 2007-06-28: T10: Administrative procedure adjusted

Detailed Event History:

- 2006-05-12: D11: Substantive examination requested
- 2007-01-03: T15: Administrative procedure interrupted
- 2007-06-28: T16: Administrative procedure resumed

Category History:

- 2006-05-12: D: Search and examination
- 2007-01-03: T: Administrative procedure adjustment
- 2007-06-28: T: Administrative procedure adjustment

## Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2006-05-12	17P	Request for examination filed	D	D10	D11	A-0-2-D10-D11-17P	
2007-01-03	19U	Interruption of proceedings before grant	T	T10	T15	A-2-2-T10-T15-19U	
2007-06-28	19W	Resumption of proceedings before grant (after interruption of proceedings)	T	T10	T16	A-2-2-T10-T16-19W	

Category U: Payment*Example 1: Registration and renewal fee paid*

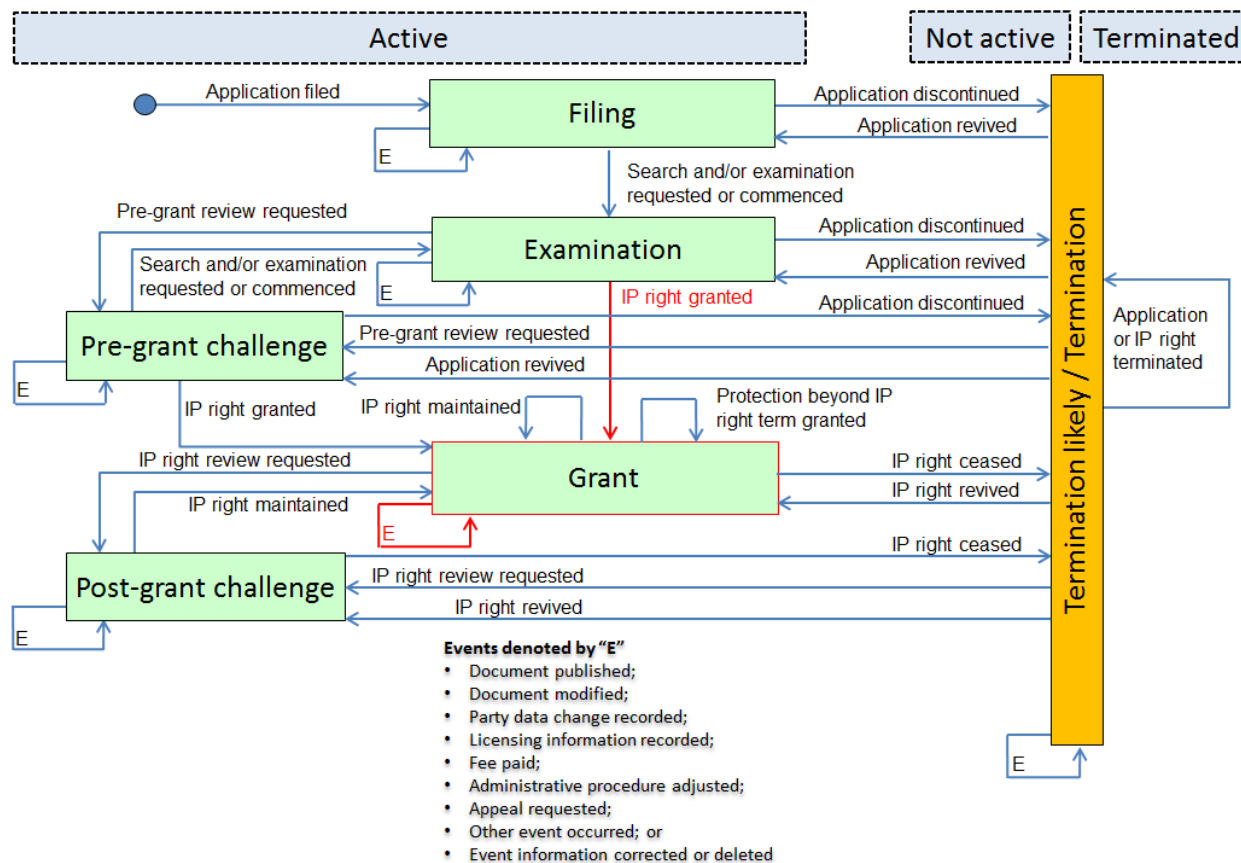
Scenario: The applicant paid the necessary fee to have the patent granted. On the first anniversary of the grant of the patent the applicant paid the annual fee to maintain the patent.

**KR Example**

## Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

## Overall Patent/SPC Prosecution Model:



National Event History:

- 2012-12-14: PR1002: Payment of Registration Fee
- 2012-12-14: PR0702: Registration of Establishment of National Patent
- 2013-12-14: PR1001: Payment of Annual Fee

Key Event History:

- 2012-12-14: U10: Fee paid
- 2012-12-14: F10: IP right granted
- 2013-12-14: U10: Fee paid

Detailed Event History:

- 2013-12-14: U11: Renewal or maintenance fee paid

Category History:

- 2012-12-14: U: Payment
- 2012-12-14: F: IP right grant
- 2013-12-14: U: Payment

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2012-12-14	PR1002	Payment of Registration Fee	U	U10	-	A-0-0-U10-U00-PR1002	
2012-12-14	PR0702	Registration of Establishment of National Patent	F	F10	-	A-0-4-F10-F00-PR0702	
2013-12-14	PR1001	Payment of Annual Fee	U	U10	U11	A-0-0-U10-U00-PR1001	

Category V: Appeal

*Example 1: Appeal regarding request to change inventors*

Scenario: Following the grant of an IP right, a third party requested the IPO to make a change to the inventors listed on the IP right document. The IPO agreed to the request and changed the inventors listed on the IP right document. The IP right owner appealed the decision of the IPO to change the inventors listed on the IP right document and the appeal was unsuccessful.

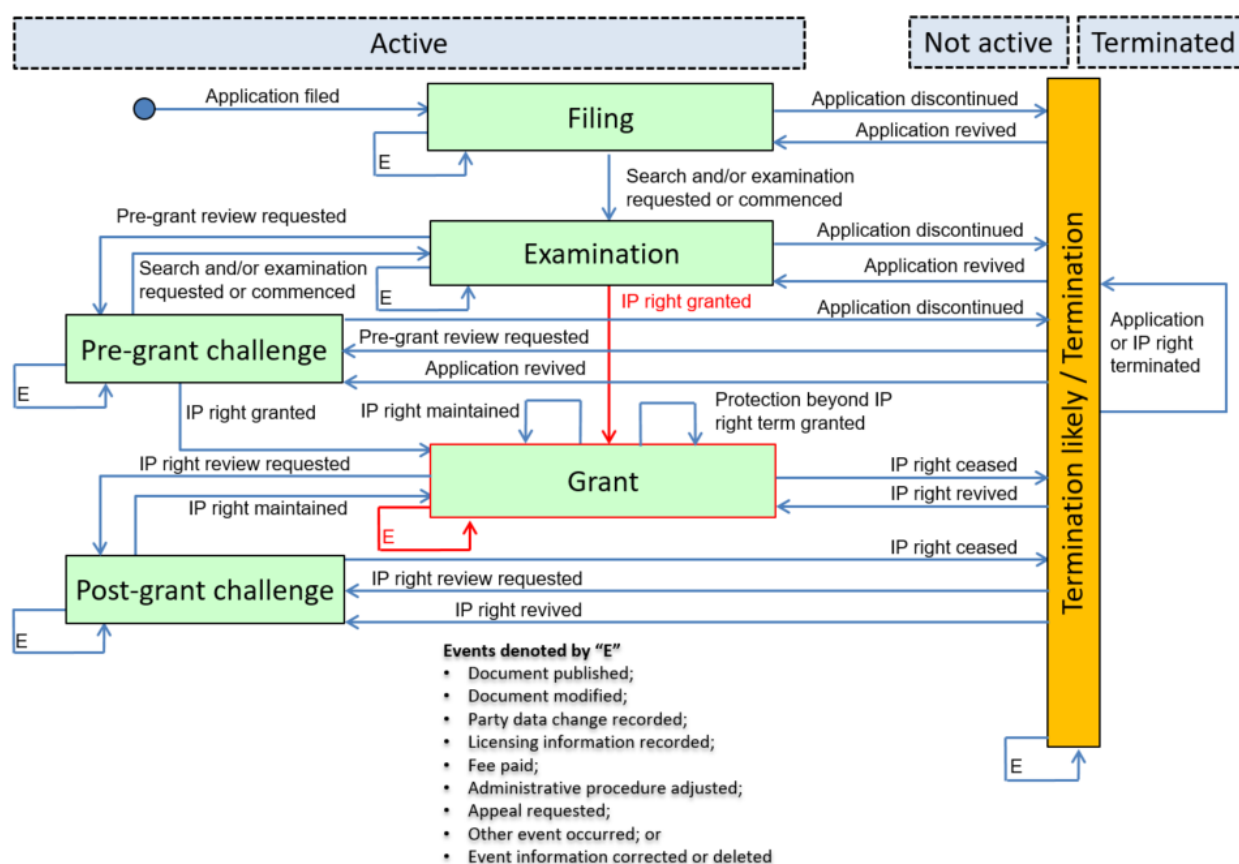
Remark: The IPO cannot distinguish between an appeal made to an administrative body or a court.

**IPO Example**

Basic Information:

- File Creation date:
- Application number:
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



Key Event History:

- 2010-05-17: F10: IP right granted
- 2012-12-22: R10: Party data change recorded
- 2013-04-11: V10: Appeal requested

Detailed Event History:

- 2012-08-09: R15: Change to inventor requested
- 2012-12-22: R16: Change to inventor recorded
- 2014-01-10: V13: Appeal inadmissible, rejected or withdrawn

Category History:

- 2010-05-17: F: IP right grant
- 2012-08-09: R: Party data change
- 2012-12-22: R: Party data change
- 2013-04-11: V: Appeal
- 2014-01-10: V: Appeal

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2010-05-17	X000	N/A	F	F10	-	A-2-4-F10-F00-X000	
2012-08-09	X000	N/A	R	-	R15	A-4-4-R00-R15-X000	
2012-12-22	X000	N/A	R	R10	R16	A-4-4-R10-R16-X000	
2013-04-11	X000	N/A	V	V10	-	A-4-4-V10-V00-X000	The IPO cannot distinguish between an appeal made to an administrative body or a court.
2014-01-10	X000	N/A	V	-	V13	A-4-4-V00-V13-X000	

*Example 2: Appeal regarding unpaid fee*

Scenario: Following the grant of an IP right, the IPO recorded that the IP right owner failed to pay a maintenance fee and consequently the IP right lapsed. The IP right owner appealed the IPO's decision that the patent lapsed due to non-payment of a maintenance fee. The appeal board/court substituted its own decision after finding that the maintenance fee was actually paid and consequently revives the IP right.

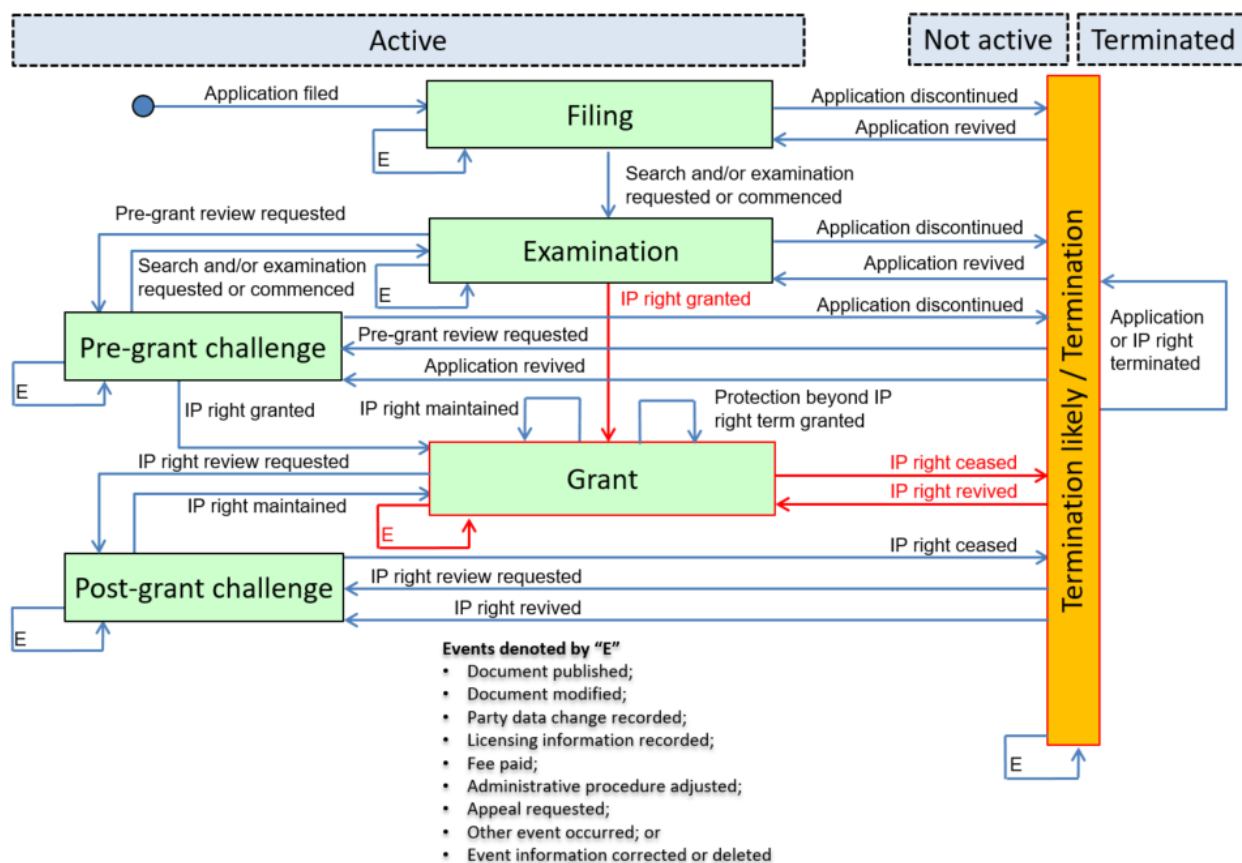
Remark: The IPO cannot distinguish between an appeal made to an administrative body or a court.

**IPO Example**

Basic Information:

- File Creation date:
- Application number:
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



### Key Event History:

- 2007-11-14: F10: IP right granted
- 2009-05-14: H10: IP right ceased
- 2009-08-23: V10: Appeal requested
- 2009-12-13: U10: Fee paid
- 2009-12-13: K10: IP right revived

## Detailed Event History:

- 2008-11-14: U13: Renewal or maintenance fee not paid
- 2009-05-14: H13: IP right lapsed
- 2009-12-13: V15: Decision substituted
- 2009-12-13: U11: Renewal or maintenance fee paid
- 2009-12-13: K13: IP right revived in full

## Category History:

- 2007-11-14: F: IP right grant
- 2008-11-14: U: Payment
- 2009-05-14: H: IP right cessation
- 2009-08-23: V: Appeal
- 2009-12-13: V: Appeal
- 2009-12-13: U: Payment
- 2009-12-13: K: IP right revival



## Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2007-11-14	X000	N/A	F	F10	-	A-2-4-F10-F00-X000	
2008-11-14	X000	N/A	U	-	U13	A-4-4-U00-U13-X000	
2009-05-14	X000	N/A	H	H10	H13	N-4-6-H10-H13-X000	
2009-08-23	X000	N/A	V	V10	-	N-6-6-V10-V00-X000	The IPO cannot distinguish between an appeal made to an administrative body or a court.
2009-12-13	X000	N/A	V	-	V15	N-0-0-V00-V15-X000	
2009-12-13	X000	N/A	U	U10	U11	N-0-0-U10-U11-X000	The effective date for the payment of the maintenance fee would be retroactive in this example.
2009-12-13	X000	N/A	K	K10	K13	A-0-4-K10-K13-X000	

*Example 3: Appeal regarding pre-grant opposition*

Scenario: Following an unsuccessful pre-grant opposition an IP right was granted in full. The third party that filed the opposition appeals the decision of the IPO to grant the IP right in full. The appeal board/court remanded the decision back to the IPO for reconsideration. The IPO reviewed the opposition and changed their decision and granted the IP right in amended form.

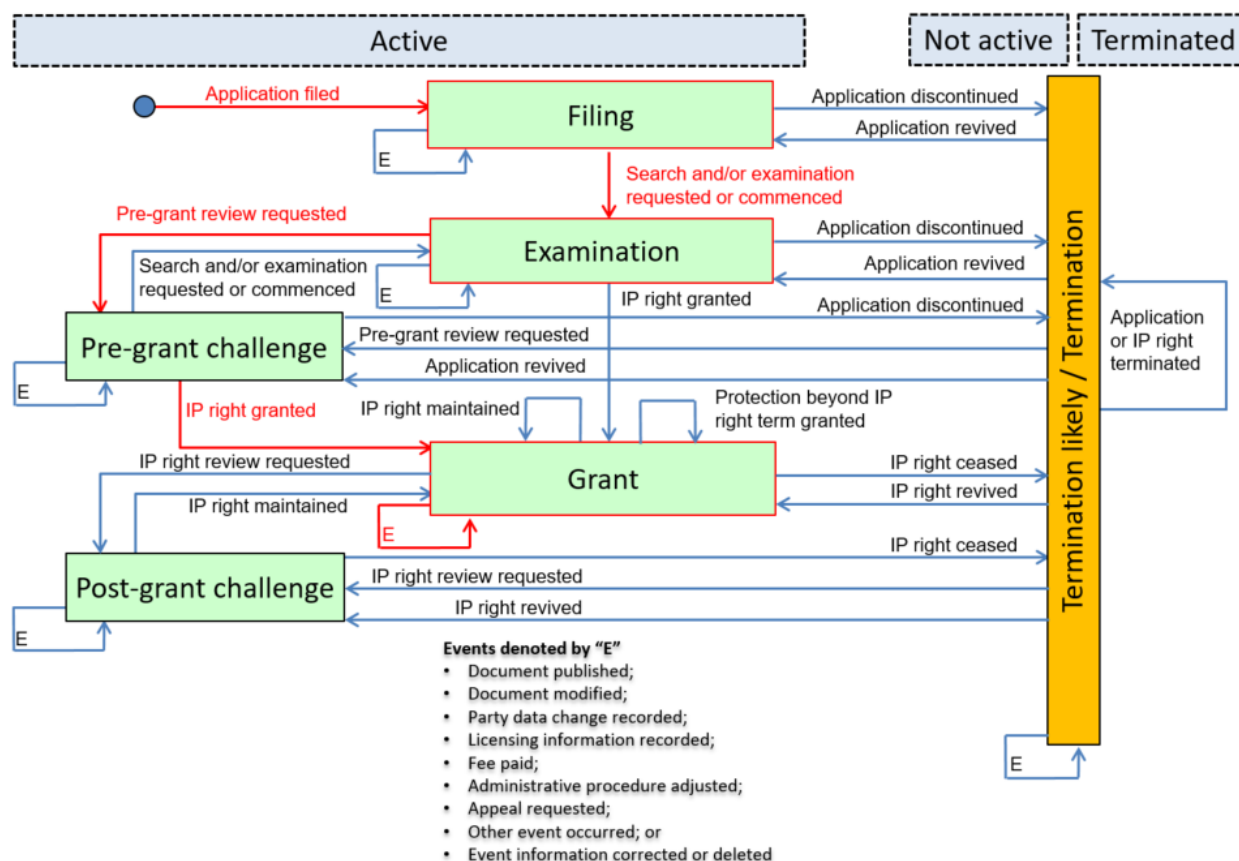
Remark: The IPO cannot distinguish between an appeal made to an administrative body or a court.

**IPO Example**

## Basic Information:

- File Creation date:
- Application number:
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



Key Event History:

- 2005-03-12: A10: Application filed
- 2005-06-01: D10: Search and/or examination requested or commenced
- 2005-09-12: E10: Pre-grant review requested
- 2006-07-13: F10: IP right granted
- 2006-11-21: V10: Appeal requested
- 2007-05-18: F10: IP right granted

Detailed Event History:

- 2005-06-01: D11: Substantive examination requested
- 2005-09-12: E11: Pre-grant opposition filed
- 2006-07-13: F13: IP right granted in full following pre-grant review
- 2007-02-11: V14: Decision remanded
- 2007-05-18: F14: IP right granted in full following pre-grant review

Category History:

- 2005-03-12: A: Application filing
- 2005-06-01: D: Search and examination
- 2005-09-12: E: Pre-grant review request
- 2006-07-13: F: IP right grant
- 2006-11-21: V: Appeal
- 2007-02-11: V: Appeal
- 2007-05-18: F: IP right grant

## Mapping Summary:

Event Date	Nat ode	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2005-03-12	X000	N/A	A	A10	-	A-0-1-A10-A00-X000	
2005-06-01	X000	N/A	D	D10	D11	A-1-2-D10-D11-X000	
2005-09-12	X000	N/A	E	E10	E11	A-2-3-E10-E11-X000	
2006-07-13	X000	N/A	F	F10	F13	A-3-4-F10-F13-X000	
2006-11-21	X000	N/A	V	V10	-	A-4-4-V10-V00-X000	The IPO cannot distinguish between an appeal made to an administrative body or a court.
2007-02-11	X000	N/A	V	-	V14	A-0-0-V00-V14-X000	
2007-05-18	X000	N/A	F	F10	F14	A-0-4-F10-F14-X000	

*Example 4: Appeal regarding intention to reject application*

Scenario: Following a substantive examination, the IPO intended to reject the application. The applicant amended the application and requested a re-examination. The IPO still intended to reject application. The applicant appealed the IPO's second decision to intend to reject the application. The appeal was unsuccessful and the application was discontinued.

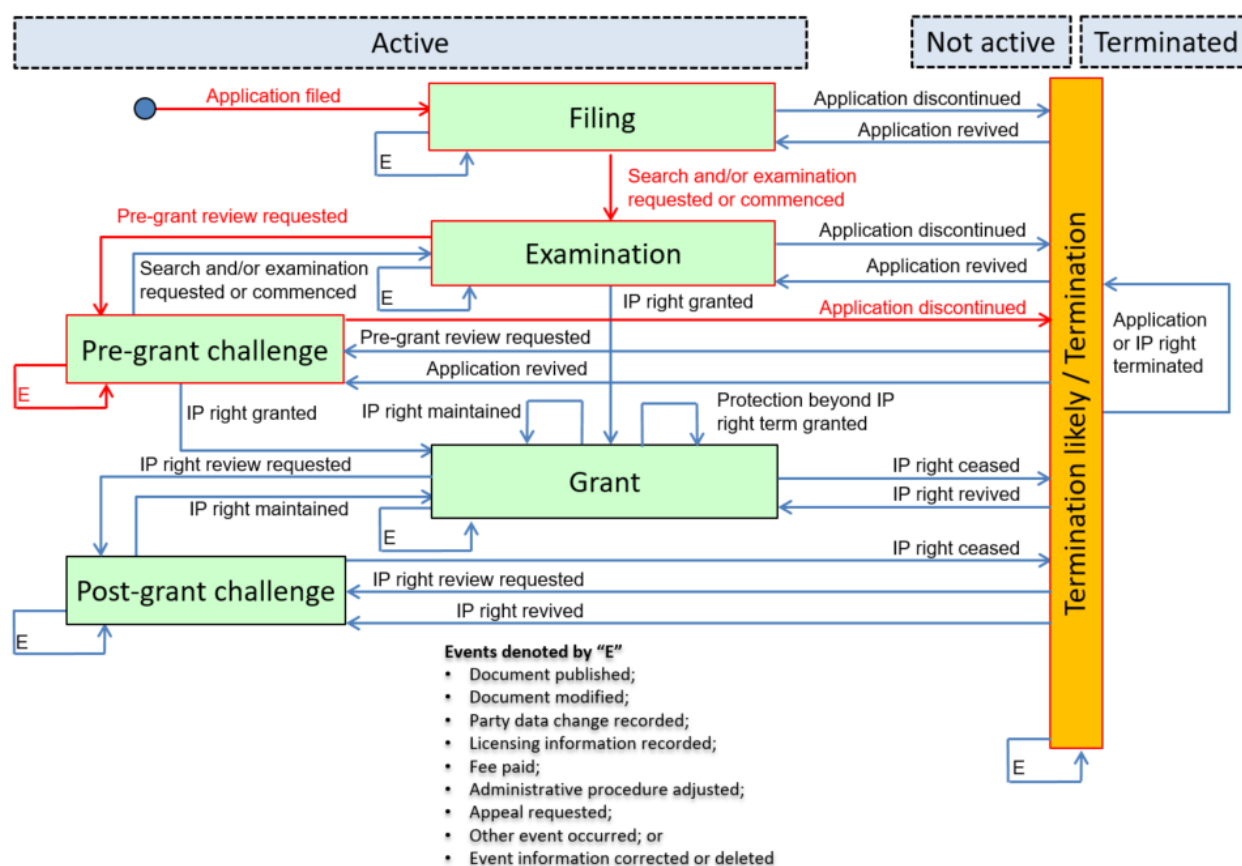
Remark: The IPO cannot distinguish between an appeal made to an administrative body or a court.

**IPO Example**

## Basic Information:

- File Creation date:
- Application number:
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



Key Event History:

- 2002-03-19: A10: Application filed
- 2002-05-29: D10: Search and/or examination requested or commenced
- 2002-12-11: P10: Document modified
- 2002-12-11: E10: Pre-grant review requested
- 2003-06-11: V10: Appeal requested
- 2003-08-14: B10: Application discontinued

Detailed Event History:

- 2002-05-29: D11: Substantive examination requested
- 2002-09-21: D21: Rejection of application intended
- 2002-12-11: P13: Application amended
- 2002-12-11: E12: Pre-grant re-examination requested
- 2003-03-19: D21: Rejection of application intended
- 2003-08-14: V13: Appeal inadmissible, rejected or withdrawn
- 2003-08-14: B15: Application refused following examination

Category History:

- 2002-03-19: A: Application filing
- 2002-05-29: D: Search and examination
- 2002-09-21: D: Search and examination
- 2002-12-11: P: Document modification
- 2002-12-11: E: Pre-grant review request
- 2003-03-19: D: Search and examination
- 2003-06-11: V: Appeal
- 2003-08-14: V: Appeal
- 2003-08-14: B: Application discontinuation

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2002-03-19	X000	N/A	A	A10	-	A-0-1-A10-A00-X000	
2002-05-29	X000	N/A	D	D10	D11	A-1-2-D10-D11-X000	
2002-09-21	X000	N/A	D	-	D21	A-2-2-D00-D21-X000	
2002-12-11	X000	N/A	P	P10	P13	A-2-2-P10-P13-X000	
2002-12-11	X000	N/A	E	E10	E12	A-2-3-E10-E12-X000	
2003-03-19	X000	N/A	D	-	D21	A-3-3-D00-D21-X000	
2003-06-11	X000	N/A	V	V10	-	A-0-0-V10-V00-X000	The IPO cannot distinguish between an appeal made to an administrative body or a court.
2003-08-14	X000	N/A	V	-	V13	A-0-0-V00-V13-X000	
2003-08-14	X000	N/A	B	B10	B15	N-0-6-B10-B00-X000	

Category W: Other

*Example 1: Patent application validated in third-party country*

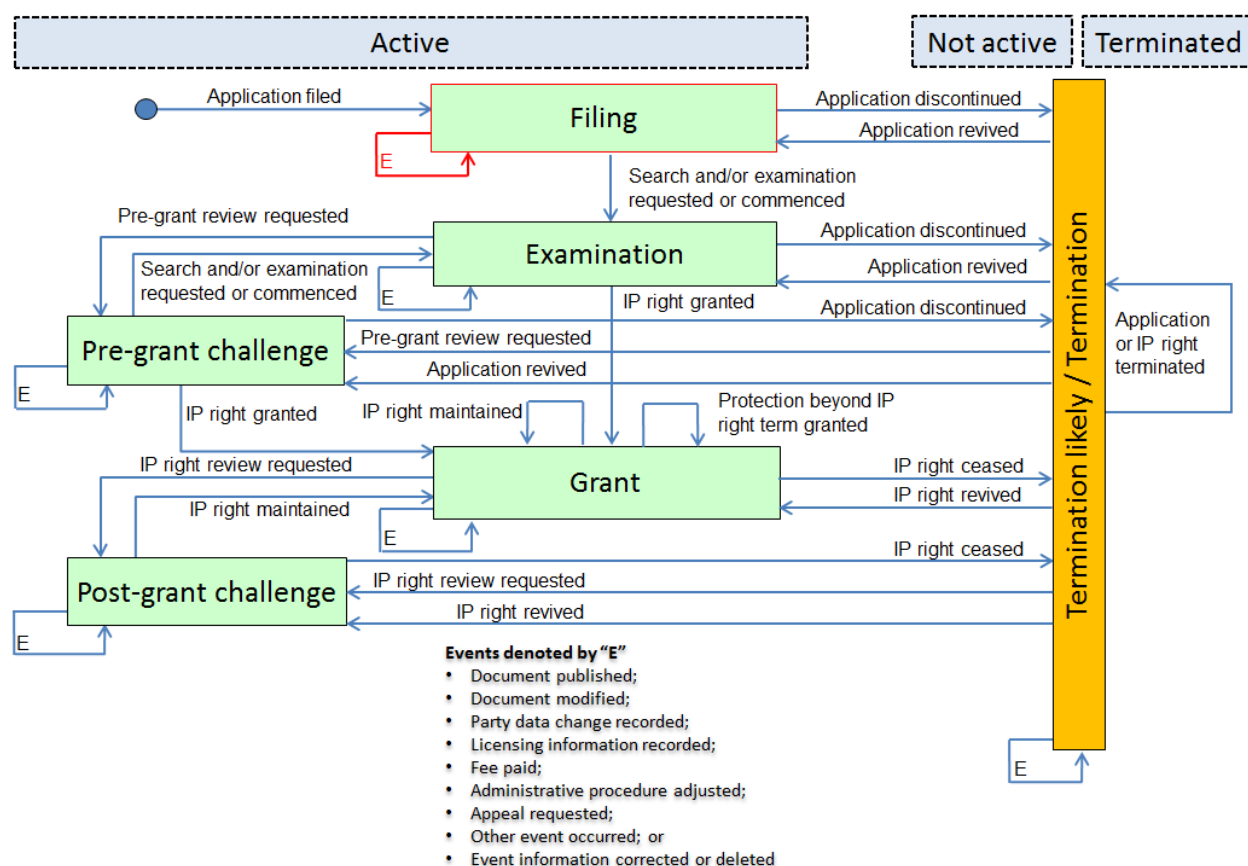
Scenario: A European patent application is validated in a third-party country (e.g., Morocco).

**EP Example**

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: Regional patent application

Overall Patent/SPC Prosecution Model:



National Event History:

- 2012-11-16: AV: Request for validation of the European patent in

Key Event History:

- 2012-11-16: W10: Other event occurred

Detailed Event History:

- N/A

Category History:

- 2012-11-16: W: Other

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2012-11-16	AV	Request for validation of the European patent in	W	W10	-	A-0-1-W10-W00-AV	The European Patent Office does not have a regional event corresponding to the filing of a regional application. However, a European patent application is automatically deemed to be a request to validate the effects of the application to all states with which there is a validation agreement in force on the date on which the application is filed. This regional event does not correspond to any other category.

Category Y: Correction and deletion of event information

*Example 1: Incorrectly recorded resumption of proceedings is corrected*

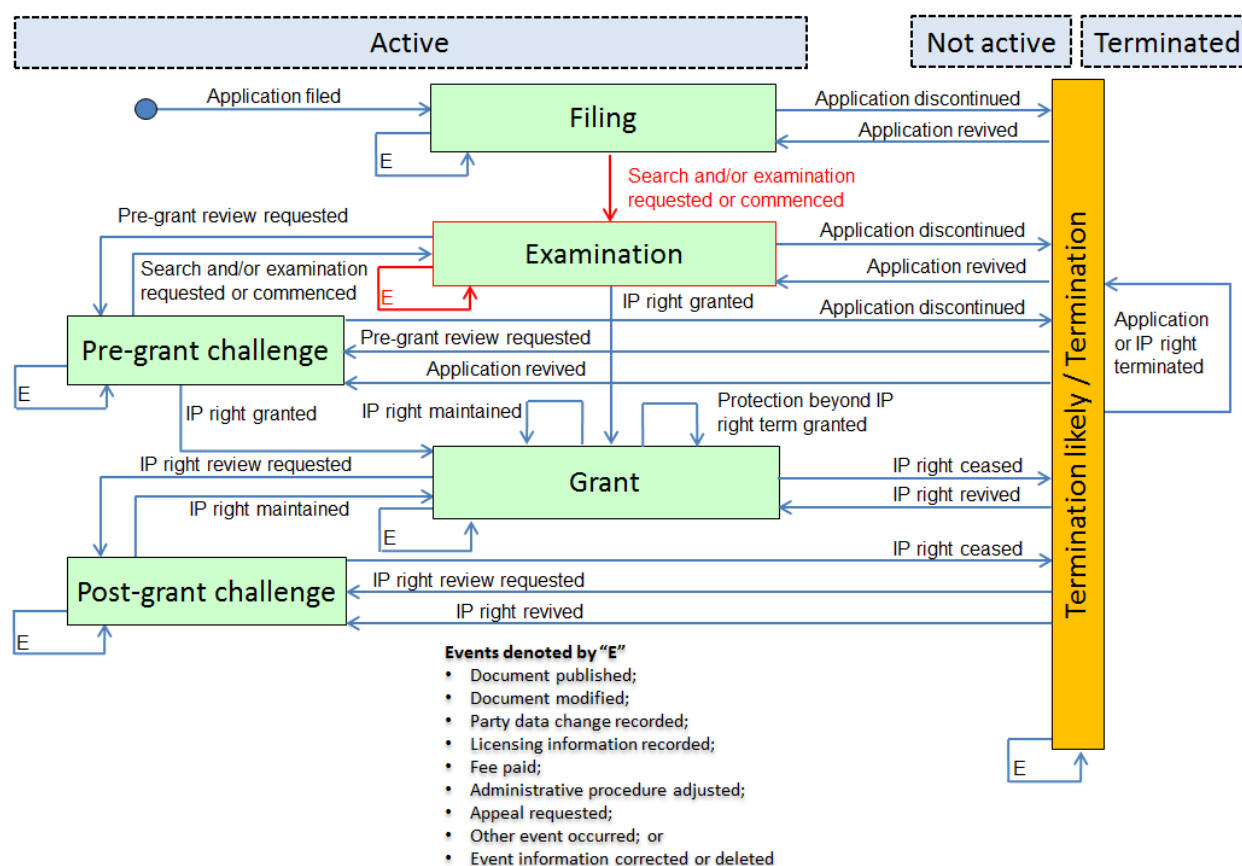
Scenario: During the prosecution of the application of a regional patent, the applicant company enters into receivership and the prosecution is interrupted. The IPO is incorrectly notified that the receivership ended; the prosecution of the application resumes and the error is then corrected.

**EP Example**

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: Regional patent application

Overall Patent/SPC Prosecution Model:



National Event History:

- 2013-11-27: 17P: Request for examination filed
- 2014-02-19: 19U: Interruption of proceedings before grant
- 2014-07-21: 19W: Resumption of proceedings before grant (after interruption of proceedings)
- 2014-08-11: D19F: Previously announced "resumption after interruption of proceedings" was erroneous

Key Event History:

- 2013-11-27: D10: Search and/or examination requested or commenced
- 2014-02-19: T10: Administrative procedure adjusted
- 2014-07-21: T10: Administrative procedure adjusted
- 2014-08-11: Y10: Event information corrected or deleted

Detailed Event History:

- 2013-11-27: D11: Substantive examination requested
- 2014-02-19: T15: Administrative procedure interrupted
- 2014-07-21: T16: Administrative procedure resumed

Category History:

- 2013-11-27: D: Search and examination
- 2014-02-19: T: Administrative procedure adjustment
- 2014-07-21: T: Administrative procedure adjustment
- 2014-08-11: Y: Correction and deletion of event information



Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2013-11-27	17P	Request for examination filed	D	D10	D11	A-0-2-D10-D11-17P	
2014-02-19	19U	Interruption of proceedings before grant	T	T10	T15	A-2-2-T10-T15-19U	
2014-07-21	19W	Resumption of proceedings before grant (after interruption of proceedings)	T	T10	T16	A-2-2-T10-T16-19W	
2014-08-11	D19F	Previously announced "resumption after interruption of proceedings" was erroneous	Y	Y10	-	A-2-2-Y10-Y00-D19F	The effective date of this event would be retroactive.

[Конец приложения II и документа]